

1 UNIVERSITY OF ILLINOIS

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4
5 *THE GENERAL RULES CONCERNING*
6 *UNIVERSITY ORGANIZATION AND*
7 *PROCEDURE*
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22 AMENDED: ~~JANUARY 24, 2013~~ MAY 27, 2015 SEPTEMBER 15, 2017
23

PREAMBLE

The University of Illinois, as a state university created by statutory edict of the Illinois legislature, is subject to the control of the Illinois General Assembly. It includes the University of Illinois at Urbana-Champaign; the University of Illinois at Chicago and its affiliated regional campuses in Peoria, Rockford, and the Quad Cities; and the University of Illinois at Springfield. The General Assembly, subject to the limitations of the state constitution and to such self-imposed restraints as are essential to the maintenance of a free and distinguished University, exercises control by virtue of its authority to change the laws pertaining to the University and its power to appropriate funds for the maintenance and improvement of the University. Under existing state law the University of Illinois is a public corporation, the formal corporate name of which is “The Board of Trustees of the University of Illinois.” Although there has been no formal, legal name change to the institution, as of May 20, 2016, the University of Illinois has adopted the organizational structure and nomenclature of a system for the effective and efficient impact, operation, and administration of the institution. The term “system” recognizes common components among the universities as well as their organization under a single governing board. Accordingly, the University of Illinois shall be referred to in this document and other governance and administrative documents as either the “University of Illinois System,” the “U of I System,” the “system,” or the “University of Illinois.”

Within the limits fixed by the Illinois constitution and laws, the Board of Trustees exercises final authority over the University of Illinois System. For the proper use of funds appropriated by the General Assembly and for the proper administration and government of the system, the board is responsible to the people of Illinois, on whose behalf its members are appointed. The board is the governing body of the system and exercises jurisdiction in all matters except those for which it has delegated authority to the president, other officers, or bodies of the system.

The educational policy, organization, and governance of the University of Illinois System as delegated by the Board of Trustees are promulgated in these *Statutes*. When acting on such matters, the board relies upon the advice of the university senates transmitted to it by the President of the system. The President’s role is to set policy for system-wide endeavors and provide leadership at the state, national, and international levels for collective activities across the universities. In these matters each senate has a legitimate concern which justifies its participation in the enactment and amendment of the *Statutes*. The Board of Trustees reserves the power to initiate and make changes in the *Statutes*, but before making any change it will seek the advice of the senates.

The General Rules Concerning University Organization and Procedure document supplements the *Statutes*. *The General Rules* are subordinate to the *Statutes* and deal with administrative organization, with the powers, duties, and responsibilities of officers of the University of Illinois System, and with various administrative matters.

The Board of Trustees delegates to the President of the University of Illinois System the authority to promulgate regulations and rules implementing *The General Rules Concerning University Organization and Procedure*. These are printed in the *Business and Financial Policies and Procedures* manual and other documents subordinate to the

72 Statutes and The General Rules setting forth established policies and procedures. Led by a
73 president, the University of Illinois System is ~~The University of Illinois System~~ also
74 comprises central administrative functions such as: (a) overseeing common fiduciary and
75 compliance responsibilities; (b) providing certain shared services across the universities;
76 and (c) coordinating system-wide data collection and reporting. The offices that provide
77 services related to these activities are referred to as “system offices” and staff within
78 these offices are referred to as “system administration” or “system leaders.”¹ The
79 adjectival form for references to such activities is “system-level.” To avoid confusion,
80 these offices are not referred to as "the system."

81
82 The three U of I System universities (University of Illinois at Urbana-Champaign,
83 University of Illinois at Chicago, and University of Illinois at Springfield) are where the
84 primary academic work of the system takes place, including: (a) research, scholarship and
85 creative activities; (b) teaching, mentoring and degree granting; (c) public and
86 professional service and engagement; and (d) economic development. Each university is
87 separately accredited and is led by a chancellor who also serves as a vice president for the
88 system. Accordingly, each institution is referred to in the governing documents as a
89 "university," reserving the terms "campus" and "university campus" for references to their
90 physical location and environment.

91
92 When referenced in the governing documents, “University of Illinois” and “University of
93 Illinois System” refer to the institution as a whole, which includes the three universities as
94 well as the system offices, and any other units associated with the institution as a whole.
95 This larger organization is a single entity from the standpoint of state law and budgetary
96 allocation. In shorthand, it is referred to as the U of I System or simply “the system.” The
97 adjectival form is “system-wide.”

98
99 The University of Illinois System serves the state and the nation as a leader in public
100 higher education.

¹ In a few instances, such as University Counsel, offices have both a system-level and university footprint

101 University of Illinois System
102 **NONDISCRIMINATION STATEMENT**
103 *Policy Council/REVISED ~~MAY 27, 2015~~SEPTEMBER 15, 2017*
104 *: ~~May 31, 2005~~*
105

106 The commitment of the University of Illinois System to the most fundamental principles
107 of academic freedom, equality of opportunity, and human dignity requires that decisions
108 involving students and employees be based on individual merit and be free from
109 invidious discrimination in all its forms.

110
111 The University of Illinois System will not engage in discrimination or harassment against
112 any person because of race, color, religion, sex, national origin, ancestry, age, marital
113 status, order of protection status, genetic information, ~~political affiliation, marital status,~~
114 disability, pregnancy, sexual orientation including gender identity, unfavorable discharge
115 from the military ~~unfavorable discharge from the military~~ or status as a protected veteran
116 and will comply with all federal and state nondiscrimination, equal opportunity and
117 affirmative action laws, orders and regulations. This nondiscrimination policy applies to
118 admissions, employment, access to and treatment in the University programs and
119 activities of the University of Illinois System.

120
121
122 University Complaint and grievance procedures provide employees and students with the
123 means for the resolution of complaints that allege a violation of this Statement. Members
124 of the public should direct their inquiries or complaints to the appropriate equal
125 opportunity office.
126

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172 **ARTICLE 11. — UNIVERSITY OF ILLINOIS SYSTEM ORGANIZATION**

173
174 **SECTION 1. THE SYSTEM UNIVERSITY AND THE UNIVERSITIES CAMPUS**

175
176 ~~The University of Illinois System serves the state and the nation as a leader in~~
177 ~~public higher education. At its core, it is student centered and committed to teaching~~
178 ~~and transforming the lives of young people. The System is also dedicated to scholarship~~
179 ~~and discovery that promotes the public good for the entire state of Illinois and beyond.~~
180 ~~The System's role in driving progress rests on three universities with distinctive identities~~
181 ~~and cultures that also work closely together to achieve synergies that benefit each as well~~
182 ~~as the whole. Each university shares the System's core missions of education, research,~~
183 ~~public engagement and economic development, and the universities are alike in the broad~~
184 ~~nature of their public responsibilities, in their basic educational policies and in their~~
185 ~~institutional quality. The universities also make unique contributions to the power of the~~
186 ~~System through their individual strengths, priorities and a high degree of self-governance.~~

187
188
189
190 Through its three universities and other units of the system, the e-University of Illinois
191 System serves the state and the nation as a leader in public higher education. At its core,
192 it is student-centered and committed to teaching and transforming the lives of young
193 people. Through their commitment to teaching, scholarship, and discovery, the three
194 universities within the system is also dedicated to scholarship and discovery that promote
195 the public good for the entire state of Illinois and beyond. -The System's role in driving
196 progress rests on three universities feature with distinctive identities and cultures that also
197 working closely together to achieve synergies that benefit each one as well as the whole.
198 Each university shares the core missions of education, research, public engagement and
199 economic development. -The universities are also alike in the broad nature of their public
200 responsibilities, in their basic educational policies and in their institutional quality. -Each
201 of the universities also makes unique contributions to the strength-power of the system
202 through its individual strengths and priorities and a high degree of self-governance.

203
204 In their pursuit of both common and distinct goals, the universities are supported by a
205 system-wide organization designed to maximize their effectiveness and efficient use of
206 resources. - The University of Illinois System administration oversees the budget for the
207 institution as a whole, advocates for the system's public policy and legislative interests,
208 fosters wide-ranging collaboration among the universities in education and research, and
209 provides the framework for an overarching institutional commitment to excellence. - The
210 system administration also provides a number of shared administrative services that
211 reduce costs and avoid unnecessary duplication of functions across the universities.

212
213 ~~The role of the University of Illinois in the state as a leader in public higher graduate and~~
214 ~~professional education rests upon the strength of its campuses and their organization~~
215 ~~within an institutional whole. organic wholeness. It is not a loose federation of three~~

216 ~~university campuses committed to working closely together and achieving synergies that~~
217 ~~benefit each as well as the whole. universities, nor is it a system of totally independent~~
218 ~~units. The mission to which the University is committed, and upon which its~~
219 ~~development thus far has been based, starts with an emphasis on the fundamental shared~~
220 ~~responsibility that each part of the University as a whole has toward that common~~
221 ~~mission. The specific contributions that each campus makes to the university's mission~~
222 ~~are diverse, since they reflect the needs and priorities methodologies appropriate to~~
223 ~~different settings; but the campuses are alike in the broad nature of their public~~
224 ~~responsibilities, in their basic educational policies, and in their institutional quality; and~~
225 ~~they are integrated supported by a university-wide organization designed to maximize~~
226 ~~their educational effectiveness and the efficient use of their academic resources.~~

227
228 ~~———The campuses of the University of Illinois share common goals, even though each~~
229 ~~makes a highly differentiated contribution to the university's mission. The campuses are~~
230 ~~assisted and strengthened by intercampus cooperation and by university-wide services,~~
231 ~~while carrying out their academic functions with a high degree of delegated authority~~
232 ~~self governance. The campuses are expected to achieve intercampus cooperation~~
233 ~~cooperate among themselves, to avoid unnecessary duplication, to develop missions~~
234 ~~responsible to their particular respective orientations and settings, and, to build upon and~~
235 ~~to foster faculty and staff strengths and initiatives. The campuses are encouraged to~~
236 ~~operate at qualitatively equivalent levels, even though each of them provides different~~
237 ~~services for varied clientele.~~
238 ~~within the framework of an overall institutional commitment to excellence.~~

239
240 **SECTION 2. FUNCTIONS OF THE UNIVERSITY-SYSTEM ADMINISTRATION**

241
242 (a) The ~~university~~-University of Illinois System administration has general
243 responsibility for the ~~entire~~ operation of the ~~system~~ University and has the following
244 specific functions to be executed consonant with the policies and actions of the Board of
245 Trustees:

- 246
247 (1) The enunciation of the mission of the University of Illinois System; the
248 development of long-range, comprehensive plans for the attainment of
249 that mission; and the development of a plan of evaluation on a regular
250 basis of the success of the University-system in meeting that mission.
251
252 (2) Seek to obtain the resources necessary to permit the support of plans and the
253 development of facilities to meet the mission of the Universitysystem.
254
255
256
257

- 258 (3) Recommend the allocation of resources, as available, to the campuses
259 universities and to other units of the University system within the
260 requirements and the priorities of the long-range, comprehensive plan for the
261 attainment of the mission of the system University.
262
- 263 (4) The development of relationships both within Illinois and elsewhere to
264 ensure that the system University plays its appropriate role as a member
265 of the larger educational community.
266
- 267 (5) The coordination of the operation of the various components of the
268 system University to ensure that the system University functions in-as an
269 organic University-interrelated mannerwhole rather than as an
270 aggregation of unrelated academic units, colleges or
271 campusesuniversities, and in so doing capitalizes upon the advantages of
272 its resources as a system.
273
- 274 (6) The administration of universitysystem-wide education and support
275 programs.- Examples include the Institute of Government and Public
276 Affairs and the University of Illinois Press.
277
- 278 (7) The management of tasks which should be accomplished at the
279 university-system level either for efficiency or to ensure the consistency
280 necessary to permit the University-system and the Board of Trustees to
281 meet their responsibilities.
282
- 283 (8) The development of public information programs to accomplish
284 understanding of and support for the mission and activities of the
285 campusesuniversities and the University system of Illinois as a whole.
286

287 (b) ~~In addition to the president, the university officers are the following vice~~
288 ~~presidents, including~~

289 In addition to the president, the universitysystem officers are the following: -the
290 executive vice president and vice president for academic affairs, the vice president/chief
291 financial officer and comptroller, the vice president for research and economic
292 development and innovation, the vice president for health affairs, the ~~chancellors/vice~~
293 ~~presidents, the university counsel, and the secretary of the University~~, all of whom report
294 directly to the president, ~~-and such additional administrative officers as shall be~~
295 ~~designated by the president after consultation with the University Senates Conference.~~
296 The system officers also include the secretary of the Board of Trustees. -On the occasion
297 of the initial appointment or reappointment of any universitysystem officer except the
298 president and the chancellors/vice presidents, and pPrior to recommending that
299 appointment to the Board of Trustees, ~~the initial appointment of any university officer~~
300 ~~except for the president and the chancellors/vice presidents, the president~~ shall seek the
301 advice of the University Senates Conference. ~~-On the occasion of the reappointment of~~
302

303 ~~any universitysystem officer, any university officer~~the president, the Board of Trustees
304 ~~shall seek the advice of~~the University Senates Conference ~~may submit its advice if it so~~
305 ~~elects may submit its advice if it so elects.~~

306
307 (c) Functioning under authority delegated by the president, the executive vice
308 president and Functioning under authority delegated by the president, Tthe vice president
309 for academic affairs is the senior academic and operating officer of the Universitysystem,
310 serving as advisor to the president on matters of educational policy; academic programs,
311 academic personnel actions, capital and operating budget developments including the
312 establishment of criteria
313

314 for judgments as to priorities for resource allocation and multi-campus university
315 initiatives, and on such other matters as the president may designate. The executive
316 vice president and vice president for academic affairs is also responsible for the overall
317 coordination of planning and budgeting at the University-system level and also works
318 closely with academic leaders on-at each campus university, the academic senates and
319 with other system and university officers to assist in the advancement of academic
320 programs, to foster shared governance and to ensure overall coordination. The executive
321 vice president also acts on behalf of the president when the president is not available.
322
323

324 (d) ~~_____~~ Reporting directly to the president, the vice president for research and
325 economic development and innovation is the senior officer of the University-system
326 serving as an advisor to the president on matters of research, intellectual property, and
327 technology commercialization, as they and and related d to economic development
328 activities, and assumes other responsibilities and duties as delegated by the president.
329 The vice president for economic development and innovation is responsible for
330 identifying universitysystem-wide research engagement opportunities, facilitating and
331 coordinating the System's University's research enterprise and its technology
332 commercialization and related economic development initiatives including relevant
333 offices, policies, and programs, and, in so doing, exercises direct line authority over
334 relevant offices, policies, and programsthe University's research parks, offices of
335 technology commercialization, and related economic development. The vice president
336 for economic development and innovation works closely with the president,
337 chancellors/vice presidents, and vice chancellors for research to facilitate the
338 system'sUniversity's- research agenda and activities across all of its campusesuniversities
339 and, under the direction of the president, communicates the system'sUniversity's
340 research and economic development priorities to local, state, and federal authorities and
341 agencies.

342 ~~The vice president for research is responsible for facilitating and managing the~~
343 ~~University's research enterprise and its technology commercialization and related~~
344 ~~economic development initiatives including relevant offices, policies, and programs, and,~~
345 ~~in so doing, exercises direct line authority over the University's major offices and entities~~
346 ~~involved in research, technology commercialization, and related economic development.~~
347 ~~The vice president for research and economic development works closely with the~~
348 ~~president, chancellors/vice presidents, and vice chancellors for research to facilitate~~
349 ~~promote the University's research agendas and facilitate research activities across all of~~
350 ~~its campuses as they relate to economic development. and, under the direction of the~~
351 ~~president, The vice president for research and economic development also communicates~~
352 ~~the University's economic development mission and research priorities to local, state, and~~
353 ~~federal authorities and agencies and businesses.~~

354
355 (e) The chancellors/vice presidents, under the direction of the president, under
356 the direction of the president, is are the chief executive officers for the campuses
357 universities and carries out additional. The chancellor/vice president has
358 responsibilities and performs duties as might be delegated by the president of the

359 ~~University system.~~— Among ~~those the primary~~ responsibilities of the chancellors/vice
360 ~~presidents as chief executive of the campus and duties~~ are: ~~overseeing the long-term~~
361 ~~strategic participation in the university's overall planning and direction of the~~
362 ~~universities campuses~~; ~~recruiting and managing a teams of administrative and academic~~
363 ~~leaders to oversee university campus operations~~; ~~overseeing the university campus budget~~
364 ~~and maintaining university university campus fiscal stability and sustainability~~;
365 ~~fundraising for the university campus~~; ~~overseeing university campus athletics~~; and ~~serving~~
366 ~~as the state, national, and international face representative of the university campus~~,
367 ~~particularly in national associations of which the university campus is the constituent~~
368 ~~member. In addition, as university system officers, the chancellors/vice presidents have~~
369 ~~responsibility for advising the president and working with each other as well as the other~~
370 ~~vice presidents to advance the well-being of the entire university system as well as of their~~
371 ~~own universiti campuses.~~— ~~allocation, and evaluation operations~~; ~~application of~~
372 ~~university wide policies~~; ~~review of academic programs and policies~~; ~~student affairs~~; and
373 ~~safety of personnel and property.~~

374
375 (f) ~~—The vice president for health affairs, under the direction of the president,~~
376 ~~oversees the University's clinical care enterprise, including the faculty practice plans,~~
377 ~~Hospital, and clinical operations. The vice president for health affairs works closely with~~
378 ~~the president and chancellor/vice president of the Chicago campus to ensure the~~
379 ~~integration of the clinical care enterprise with the research and education missions of the~~
380 ~~health sciences colleges and schools and assumes other responsibilities and duties as~~
381 ~~delegated by the president.~~

382
383
384 —(fg) There may be additional administrative officers with ~~system University~~-
385 wide responsibilities and duties as delegated by the president of the ~~system University~~.
386 The president may make changes in titles and assignment of responsibilities of ~~these~~
387 ~~officers after consultation with the University Senates Conference officers~~ and may
388 recommend to the Board of Trustees additional administrative positions as provided for
389 in Article 1, Section 2 of the ~~University Statutes~~.

391 392 **ARTICLE II. BUSINESS ORGANIZATION AND POLICIES**

393 394 **SECTION 1. THE COMPTROLLER**

395
396 As an officer of the Board of Trustees, and in accordance with the Bylaws of the
397 board, the comptroller shall:

398
399 (a) Approve for the board all expenditures for which a general or specific
400 appropriation has been made by the board.

401
402 (b) Assist the finance and audit committee of the board in matters pertaining to
403 the handling of funds and investments.

404
405 (c) Report to the board quarterly the financial condition and operation of the
406 ~~sSystemUniversity~~ and on other matters at times as the board may direct.

407
408 (d) Sign contracts to which the ~~Board of TrusteesUniversity~~ is a party unless
409 otherwise ordered by the board in specific cases.

410
411 (e) Perform such other functions as may be assigned by the Board of Trustees.
412

413
414 **SECTION -2. THE VICE PRESIDENT/CHIEF FINANCIAL OFFICER**

415
416 Functioning under authority delegated by the president, the vice president/chief
417 financial officer shall: ~~be the general business officer of the~~ University of Illinois
418 ~~SystemUniversity~~ and be responsible for the business and financial functions of the
419 ~~campuses-universities~~ of the systemUniversity, including the business and finance
420 components of all capital project development and implementation.
421

422
423 **SECTION -3. BUSINESS POLICIES AND PROCEDURES**

424
425 (a) No financial obligation shall be entered into except on authority ~~of the board~~
426 ~~board or on authority delegated by the board or on authority of the board and~~ after a
427 general or specific appropriation has been made by the board allocating funds therefore,
428 as evidenced by its records, and after having been approved by the vice president/chief
429 financial officer. ~~All allocations of funds made by the Board of Trustees, including those~~
430 ~~made from funds appropriated to the~~ systemUniversity by the State of Illinois, shall
431 expire at the end of the fiscal year, June 30, unless otherwise especially ordered.
432

433 (b) For accounting purposes, the fiscal year of the University system shall begin
434 with the first day of July of each year and end on the thirtieth day of June next
435 succeeding.
436

437 (c) No department or unit shall receive any monies directly unless authorized by
438 the vice president/chief financial officer to do so. ~~All monies shall be accounted for and~~
439 ~~paid over in such manner as the vice president/chief financial officer shall direct.~~
440

441 ~~—(d)—~~ The vice president/chief financial officer is authorized to establish and
442 administer petty cash funds where necessary for the prompt and efficient handling of
443 university system business, ~~provided that no single fund of more than \$1,000 may be~~
444 ~~established without specific action of the Board of Trustees. The board shall designate~~
445 ~~the banks in which petty cash funds in excess of \$1,000 may be deposited.~~
446

447 (d) The vice president/chief financial officer is permitted to act as treasurer of
448 student and other organizations affiliated with the systemUniversity, but in so doing shall

449 not thereby create any liability on the part of the Board of Trustees of the University of
450 Illinois. -In all cases, the accounts of these organizations shall be kept separate from the
451 systemuniversity-accounts, and the funds of such organizations shall be kept apart from
452 systemuniversity-funds.

453
454 (e) All employees shall be bonded in adequate amount and form, to be determined
455 by the board, the expense thereof to be paid by the Universitysystem.

456
457
458 **SECTION -4. AWARD AND EXECUTION OF SYSTEM UNIVERSITY CONTRACTS**

459
460 (a) All contracts shall be awarded by the Board of Trustees in accordance with
461 applicable state and federal law and systemUniversity-policies and rules.- Contracts
462 involving major changes in or deviations from systemUniversity-policies and rules shall
463 be approved specifically by the Board of Trustees.

464
465 (b) All contracts, other than purchase orders, shall be executed at least in
466 duplicate, and the original thereof shall be filed with the secretary of the Board of
467 Trustees and remain in the custody of the secretary.- A report shall periodically be made
468 to the Board of Trustees by the comptroller of all contracts executed on behalf of the
469 systemUniversity, as the Board may require.

470
471 (c) Contracts relating to appointments to the staff may be executed by the
472 secretary of the Board of Trustees. -Agreements providing for the appointments of
473 resident physicians and dentists may be executed by the chief of staff of the University of
474 Illinois Hospital.- Purchase orders issued pursuant to awards made by the Board of
475 Trustees may be executed by the University official in charge of the purchasing activity
476 as designated by the comptroller. -Assurances and certifications related to research may
477 be executed by the campusuniversity- vice chancellor for research or, where there is no
478 vice chancellor for research, the chancellor or their delegates. -Unless otherwise ordered
479 by the Board of Trustees in specific cases, other contracts to which the Universitysystem
480 is a party shall be executed by the comptroller of the Universitysystem.

481
482 (d) The awarding of procurement contracts involving expenditures of
483 Universitysystem-funds are governed by state procurement law.

485 (e) The Board of Trustees shall specifically authorize procurement contracts
486 (excluding change orders) and leases involving payments by the University system -in one
487 fiscal year in excess of such dollar amounts as the Board of Trustees may specify from
488 time to time (“the Board limit”) unless in the president’s opinion necessity requires
489 immediate action. -The president, after consulting with each member of the executive
490 committee of the Board who can reasonably be contacted, may approve emergency
491 transactions in excess of the Board limit on behalf of the Board of Trustees and report the
492 same promptly to the Board. -If the amount of the emergency transaction exceeds such
493 dollar amounts as the Board of Trustees may specify from time to time the president must
494 consult with all Board members who can reasonably be contacted before approving the
495 emergency action.

496
497 (f) The comptroller is authorized to approve on behalf of the Board of Trustees
498 procurements, intergovernmental contracts, leases, and other contracts and contract
499 change orders not expressly requiring prior specific Board authorization and shall report
500 such approvals to the Board as the Board may direct. -The requirement for specific Board
501 approval above the Board limit does not apply to, or supersede previous actions of the
502 Board authorizing, the execution of those types and classes of contracts that the Board of
503 Trustees has authorized to be executed without its prior specific approval, such as farm
504 leases; purchases of food products, grain, livestock, fertilizer, and natural gas;
505 procurements of generic commodities on joint bids with other State institutions; group
506 procurement contracts deemed to offer economic benefit to the University system that
507 comply with State law; purchases for resale to students and others; procurements of other
508 commodities that the Board may exempt; contracts for cultural and entertainment
509 presentations; subcontracts and subgrants for research, gifts or grants awarded by the
510 Board; contracts involving University Press publications; and any other transactions that
511 the Board may specify.

512
513 (g) The seal of the University of Illinois- shall be in the custody of the secretary of
514 the Board of Trustees.

515
516 (h) The comptroller and secretary are authorized to delegate ~~to responsible~~
517 ~~members of the staff of the~~ University System authority to sign contracts in the name of
518 the comptroller and the secretary of the Board, as the case may require.

519
520 (i) All bids received for a specific item or project may be rejected, without
521 referral to the Board of Trustees in accordance with state law.

522
523
524 **SECTION- 5. DRAFTING AND APPROVAL OF UNIVERSITY SYSTEM CONTRACTS**

525
526 (a) Contracts shall be drafted in tentative form by the University-University of
527 Illinois System administrator best acquainted with the subject matter and in whose
528 department-unit rests the responsibility for performance and shall be approved by the

529 comptroller or his/her delegate unless otherwise provided by the ~~Statutes of the~~
530 ~~University~~ or by other action of the Board of Trustees.

531
532 (b) Contracts are subject to review and approval as to legal form and validity by
533 the University counsel in accordance with ~~University-system~~ policies and rules. ~~The~~
534 policies and rules shall reflect best business practices and shall be subject to modification
535 from time to time as warranted.

536
537
538 **SECTION -6. RESEARCH GIFTS, GRANTS, AND CONTRACTS**

539
540 (a) ~~Sponsored Research-Generally.~~ Research conducted under the auspices of the
541 ~~University-system~~ may be supported in whole or in part through funds provided by
542 outside entities in the form of research gifts, research grants, or research contracts.
543 Third-party offers to fund research activities by gift, grant of financial assistance, or
544 contract must be reviewed and approved by the appropriate ~~University~~ administrative
545 offices before formal acceptance by the ~~University~~ president (or his/her delegate) in the
546 case of gifts, and by the ~~University~~ comptroller (or his/her delegate) in the case of grants
547 and contracts. Faculty and staff may conduct preliminary negotiations with prospective
548 research sponsors with the prior knowledge and approval of the department head or other
549 appropriate administrative officer and the dean or director if required by college policy
550 but have no authority to bind the ~~system or the universities~~ ~~University~~ to a contract. Staff
551 within the relevant ~~University department/unit~~ will direct and conduct the sponsored
552 research. The administrative coordination of research programs shall be under the
553 Agricultural Experiment Station for units in the College of Agricultural, Consumer and
554 Environmental Sciences and under the Office of Vice Chancellor for Research (OVCR)
555 or the Chancellor's Office where there is no OVCR.

556
557 (b) Research Results. Contracts for research shall conform to the rules regarding
558 intellectual property as specified in Article ~~XIII of the Statutes.~~ The sponsor may
559 receive preferential consideration in the disposition of the invention or discovery as
560 provided in ~~that~~ Article ~~III, Section 7(q) III, Section 7(p).~~ Unless otherwise permitted by
561 the Board of Trustees, the ~~system~~ ~~University~~ shall not permanently grant or convey to a
562 sponsor the exclusive benefits of the results of any investigation or research. The ~~system~~
563 ~~University~~ will retain original records of investigation and research and may furnish
564 reports or copies of such records to the sponsor. The sponsor may not use any ~~system~~
565 ~~University~~ trademark, service mark, trade name or other such property without the prior
566 approval of the ~~University~~ president or his/her delegate.

567
568 (c) Policy Waivers. If the sponsor conditions its award of funding on the waiver
569 of established ~~system~~ ~~University~~ policies, such as reimbursement of indirect cost, rights
570 of publications, or rights to intellectual property generated by the research, the ~~system~~
571 ~~University~~ may accept such conditions if required by law or if a waiver is found to be
572 clearly in the interests of the ~~system~~ ~~University~~ and the public. Waivers related to
573 intellectual property rights must be approved by the vice president for research. The

574 determination of all other waivers must be made by either the vice chancellor for research
575 (VCR) or the chancellor if no ~~campus-university~~ VCR exists, or his/her delegate.

576
577 (d) Research Funding Proposals. -All sponsored research proposals must be
578 prepared by the staff who will supervise the research and must contain at a minimum a
579 scope of work and budget providing for all direct and indirect cost recovery in
580 accordance with ~~University~~system and university -policy. - All research proposals must be
581 reviewed, approved and executed by the appropriate ~~University~~ administrative staff and
582 officials before formal submission as an ~~University~~ offer. -Final approval of all proposals
583 is the responsibility of the vice chancellor for research (VCR), or the chancellor where
584 there is no ~~campus-university~~ VCR, or his/her delegate.

585
586 (e) Expenditure of Funds. -The expenditure of funds received as indirect cost
587 recovery as cost-of-education allowances, as general-support grants or as any other
588 unrestricted gift or grant must be authorized by the Board of Trustees either as part of the
589 ~~system's~~University's annual budgets for operations or for capital improvements, or
590 during the fiscal year as an addition to the annual budget for operations or for capital
591 improvements.

592
593
594 **SECTION -7. OTHER GIFTS AND GRANTS, SCHOLARSHIPS AND ENDOWMENTS,**
595 **NONMONETARY GIFTS**

596
597 (a) **Gifts and Grants**. -Gifts and grants for purposes other than research may be
598 accepted from entities outside the ~~University of Illinois System~~ University under
599 conditions specified in this Section. - Staff members may conduct preliminary
600 negotiations with prospective donors or grantors with the prior knowledge and approval
601 of the department head or other appropriate administrative officers, but are not authorized
602 to bind the ~~system~~ University to accept a gift or grant. -Gifts are accepted by the president
603 ~~of the~~ University who may delegate the acceptance authority to others.

604
605 (b) **Scholarships and Fellowships**. -Scholarships are gratuitous payments to
606 students to provide financial assistance during the period of their training. -Fellowships
607 are awards involving cash stipends for graduate students. - In certain exceptional cases,
608 fellowships may be granted to postdoctoral scholars. -Fellowships are intended to assist
609 the recipient pursuing educational objectives; they are not awarded for carrying on
610 specific research, and no services shall be required of a fellow ~~by the~~ University.

611
612 The president is authorized to accept funds for scholarships and fellowships. -The
613 president may delegate authority for accepting scholarships and fellowships to the
614 chancellors/vice presidents or to the chancellors'/vice presidents' designees.

615
616 Funds for scholarships and fellowships shall not be accepted under terms which
617 require prohibited discrimination.

619 When funds are received from a donor for fellowships or scholarships, ~~neither the~~
620 ~~system, universities, and University~~ nor the student recipients shall not be obligated to
621 the donor in any way except to comply with the terms of the gift and to ensure that
622 established academic requirements are met. -The recipient of a scholarship or fellowship
623 shall be chosen by appropriate university units in accordance with established criteria
624 based upon scholastic attainment and financial need unless the funds are accepted under
625 other terms.

626
627 The vice president/chief financial officer may receive and disburse funds for a
628 donor who wishes to designate the recipient of a grant for financial assistance. -In such
629 circumstances, the vice president acts only as the agent of the donor; the funds thus
630 received are not ~~system university~~ funds; and the funds thus administered, although
631 perhaps designated as a scholarship or fellowship by the donor, have no official system
632 university status.

633
634 (c) **Endowment Gifts.** -The conditions of the gift as stated by the donor ordinarily
635 specify the use to which the principal and income shall be put although the determination
636 may be left to the Board of Trustees. -Gifts may be received and accepted with the
637 condition that the principal sum thereof shall be either held intact as an endowment or
638 expended upon authorization of the Board of Trustees.- The ~~system University~~ may
639 temporarily transfer funds to an endowment status to be invested and only the income
640 expended.- Such funds are designated as "funds temporarily functioning as endowment"
641 or as "quasi-endowment funds."

642
643 The terms of an offer of a gift to create an endowment shall be reviewed by the
644 department concerned, the appropriate ~~campus-university~~ administrator, the university
645 counsel, and the vice president/chief financial officer. -The president may accept offers of
646 endowment funds, reporting the gift when received to the Board of Trustees as the
647 trustees may direct.- The president may delegate authority to act on such offers to the
648 chancellors/vice presidents.- No endowment fund money may be accepted under terms
649 which require prohibited discrimination.

650
651 (d) **Nonmonetary Gifts.** -Every offer of a non-monetary gift shall be reported by
652 the unit involved to the chancellor/vice president of the ~~campus-university~~ concerned who
653 is authorized to accept the gift on behalf of the president and who shall report it to the
654 president, who shall report it to the Board of Trustees as the trustees may direct.

655
656 No object of art shall be accepted until its artistic quality has been determined.

657
658 Loans of nonmonetary property are accepted subject to the condition that the system
659 University will take reasonable care of the property but will not be responsible for loss or
660 damage thereto unless otherwise agreed to in writing and approved by the vice
661 president/chief financial officer.

664 **SECTION -8. TECHNICAL TESTS**

665
666 (a) The ~~University of Illinois System University~~ may undertake specified tests
667 using its unique or special ~~university~~ facilities on a contractual service basis for
668 individuals, institutions, or commercial entities (applicants). -In general, such tests are
669 justified when the desired facilities do not exist elsewhere or are not readily accessible
670 and when the work to be performed involves only established, preexisting methods of a
671 primarily technical nature which can be specified in advance. -A technical testing
672 contract should not be used if the work entails original, creative research.- The ~~system~~
673 ~~University~~ will not perform testing for external parties if equivalent service is known to
674 be available and feasibly obtainable from a commercial entity.

675
676 (b) The unit executive officer is responsible for determining the appropriateness
677 of the work before the ~~system University~~ accepts the contract. -Such work will be
678 arranged by the unit executive officer with the involved members of the staff in
679 accordance with the nature of their employment as part of their service to the ~~system~~
680 ~~University~~ unless such work is done at times when services are not required by the
681 ~~system University~~. -When necessary or desirable, special assistants may be employed to
682 conduct a specified testing project.- Subject to conflict of interest review and prior
683 written approval of the unit executive officer and college dean, testing using ~~university~~
684 ~~system~~ equipment and facilities may also be undertaken by individual members of the
685 ~~university~~ faculty or academic professional employees on their own time and
686 responsibility.

687
688 (c) A fee shall be assessed for each testing project sufficient to cover all direct
689 and indirect costs of service rendered, including any and all facilities of the
690 ~~University~~system used in carrying out the test and the technical support personnel
691 necessary to operate it.

692
693 (d) Both the testing methods and the objectives toward which they will be applied
694 shall be specified in writing as part of the agreement covering the testing work. -The
695 ~~system University~~ makes no claim of ownership in observational data, measurements, or
696 other results from such specified testing. -In general, it is not anticipated that any new
697 science or technology (and resulting intellectual property) would result from such
698 specified testing.- However, in special situations, such as when the proposed testing
699 involves an applicant's proprietary technology or specimens or if a specific objective or
700 application of interest to the applicant which is potentially patentable can be identified in
701 advance, the ~~system University~~ may agree not to seek a proprietary position in the
702 applicant's intellectual property. -Otherwise, inventions and discoveries (hereafter,
703 "inventions") shall belong solely or jointly to the ~~system University~~ and/or to the
704 applicant in accordance with the U.S. laws of inventorship and Article ~~XIII, Section 3,~~
705 ~~Section 3 of the Statutes~~. -For any such invention in which the ~~system University~~ has an
706 ownership interest, the ~~system University~~ will grant the applicant a limited first option to
707 negotiate a license to use the ~~system University~~ invention on reasonable commercial
708 terms.

709
710 (e) The name of the University of Illinois System shall not be used in publicity
711 concerning the tests or test results without its prior written permission.

712
713 (f) Technical testing agreements shall be approved and executed in accordance
714 with Article II, Section 5, and the policies and procedures provided for each campus
715 university by the assistant vice presidents for business affairs.

716
717 **SECTION -9. DELEGATION OF SIGNATURES**

718
719 An administrative officer is authorized to delegate to another responsible staff
720 member authority to sign official documents under conditions approved by the vice
721 president/chief financial officer and comptroller. -Such delegation does not relieve the
722 administrative officer of responsibility for what is done there under.

723 **ARTICLE-- III. INTELLECTUAL PROPERTY**

724
725 **SECTION--1. OBJECTIVES**

726
727 Technical information, inventions, discoveries, copyrightable works and other creative
728 works that have the potential to be brought into practical use may result from the
729 activities of University of Illinois System employees in the course of their duties or
730 through the use, by any person, of University-system resources such as facilities,
731 equipment, or funds.

732
733 The first purpose of this intellectual property policy is to provide the necessary
734 protections and incentives to encourage both the discovery and development of new
735 knowledge, its transfer for the public benefit and its use for development of the economy;
736 a second purpose is to enhance the generation of revenue for the University-system and to
737 provide financial and reputational benefits for the creator(s); and a third purpose is to
738 preserve the University's freedom to conduct research and to use the intellectual property
739 created by that research or pursuant to an institutional initiative.- The University of
740 Illinois System University is guided by the following general objectives:

- 741
742 (i) To optimize the environment and incentives for research and for the
743 creation of new knowledge at within the systemUniversity;
- 744
745 (ii) To ensure that the educational mission of the system University is not
746 compromised;
- 747
748 (iii) To bring technology into practical use for the public benefit as quickly and
749 effectively as possible;
- 750

- 751 (iv) To protect the interest of the people of Illinois through a reasonable
752 consideration for the ~~system~~University’s investment in its intellectual
753 property.
754

755 **SECTION ~~2.~~ DEFINITIONS**
756

757 (a) Intellectual Property.—The term “intellectual property” is broadly defined
758 to include inventions, discoveries, know-how, show-how, processes, unique materials,
759 copyrightable works, original data and other creative or artistic works which have value.
760 Intellectual property includes that which is protectable by statute or legislation, such as
761 patents, registered or unregistered copyrights, registered or unregistered trademarks,
762 service marks, trade secrets, mask works, and plant variety protection certificates.—It also
763 includes the physical embodiments of intellectual effort, for example, models, machines,
764 devices, designs, apparatus, instrumentation, circuits, computer programs and
765 visualizations, biological materials, chemicals, other compositions of matter, plants, and
766 records of research and experimental results.
767

768 (b) Traditional Academic Copyrightable Works.—“Traditional academic
769 copyrightable works” are a subset of copyrightable works created independently and at
770 the creator’s initiative for academic purposes.—Examples may include syllabi, class
771 notes, books, theses and dissertations, educational instructional materials and software
772 ~~(also known as courseware or lessonware)~~ that ~~the~~ creators may design for courses ~~they~~
773 ~~teach~~, articles, non-fiction, fiction, poems, musical works, dramatic works including any
774 accompanying music, pantomimes and choreographic works, pictorial, graphic and
775 sculptural works, or other works of artistic imagination that are not created as an
776 institutional initiative (as specified in Section 4(a)(2) below).
777

778 (c) Creator.—“Creator” refers to an individual or group of individuals who
779 make, conceive, reduce to practice, author, or otherwise make a substantive intellectual
780 contribution to the creation of intellectual property.—“Creator” includes the definition of
781 “inventor” used in U.S. patent law for patentable inventions and the definition of
782 “author” used in the U.S. Copyright Act for copy written works of authorship.
783

784 (d) University of Illinois System ~~University~~ Resources Usually and
785 Customarily Provided.—When determining ownership and license rights in copyrightable
786 works, “University of Illinois System ~~University~~ resources usually and customarily
787 provided” includes office space, library facilities, ordinary access to computers and
788 networks, or salary.—In general, it does not include the use of students or employees as
789 support staff to develop the work, or substantial use of specialized or unique facilities and
790 equipment, or other special subventions provided by the system ~~University~~ unless
791 approved as an exception.
792

793 Exceptions are expected in units where the tradition is to provide
794 subvention to some faculty in the form of graduate assistants to help prepare traditional

795 academic copyrightable works.— Exceptions are also expected in situations where
796 creators use ~~system~~University-provided facilities and resources in the creation of works
797 of artistic imagination, for example, use of studios, pottery wheels, or kilns for the
798 creation of paintings, sculpture or ceramics; use of high end computer hardware and
799 software in the creation of artistic graphical images; and so on.— Other individual
800 exceptions may be approved on a case-by-case basis [see section 7(k)].

801 **SECTION ~~3.~~ APPLICATION**

802
803
804 This policy is considered a part of the conditions of employment for every
805 employee of the University of Illinois System, University and a part of the conditions of
806 enrollment and attendance ~~at the University~~ by its students.— It is also the policy of the
807 University of Illinois System University that individuals (including visitors) by
808 participating in a sponsored research project and/or making significant use of
809 ~~system~~University-administered resources thereby accept the principles of ownership of
810 intellectual property as stated in this policy unless an exception is approved in writing by
811 the appropriate university or system-level officer (or designee)University.— All such
812 University-creators of intellectual property shall execute appropriate assignment and/or
813 other documents required to perfect, confirm, or determine ownership and rights as
814 specified in this policy.²

815
816 This policy applies only to intellectual property ~~disclosed~~developed after the
817 effective date of the policy (September 3, 1998).

818 819 820 **SECTION ~~4.~~ COPYRIGHTS**

821
822 (a) Ownership. Unless subject to any of the exceptions specified below or in
823 Sections 4(b) and 4(c), creators retain ~~copyright~~copyright rights to traditional academic
824 copyrightable works as defined in Section 2(b) above.— (See, in particular however,
825 Section 4(b)(2) below.)

826
²The creator's obligation to assign rights to the ~~system~~University is subject to the provisions of the Illinois
Employee Patent Act, which provides in part (see 765 ILCS 1060/2(1)):

A provision in an employment agreement which provides that an employee shall assign or offer to assign any of the employee's rights in an invention to the employer does not apply to an invention for which no equipment, supplies, facilities, or trade secret information of the employer was used and which was developed entirely on the employee's own time unless (a) the invention relates (i) to the business of the employer, or (ii) to the employer's actual or demonstrably anticipated research or development, or (b) the invention results from any work performed by the employee for the employer.— Any provision which purports to apply to such an invention is to that extent against the public policy of the state and is to that extent void and unenforceable.— The employee shall bear the burden of proof in establishing that his invention qualifies under this subsection.

827 The University of Illinois System shall own copyrightable works as follows, and
828 by operation of this Article, such works are hereby assigned to and the property of the
829 Universitysystem:

830
831 (1) Works created pursuant to the terms of a University of Illinois
832 System University agreement with a third party, or

833
834 (2) Works created as a specific requirement of employment or as an
835 assigned University duty that may be specified, for example, in a written job description
836 or an employment agreement.—Such specification may define the full scope or content of
837 the employee’s University employment duties comprehensively or may be limited to
838 terms applicable to a single copyrightable work.³

839
840 (3) Works specifically commissioned by the University of Illinois
841 System University.—The term “commissioned work” refers to a copyrightable work
842 prepared under an agreement between the system University and the creator when (1) the
843 creator is not a system University employee, or (2) the creator is a system University
844 employee but the work to be performed falls outside the normal scope of the creator’s
845 system University employment.—Contracts covering commissioned works shall specify
846 that the author convey by assignment, if necessary, such rights as are required by the
847 system University.

848
849 (4) Works that are also patentable.—The University of Illinois System
850 University reserves the right to pursue multiple forms of legal protection concomitantly if
851 available. Computer software, for example, can be protected by copyright, patent, trade
852 secret and trademark.

853
854 (b) University of Illinois System University Rights in Creator-Owned Works

855
856 (1) Traditional academic copyrightable works created using system
857 University resources usually and customarily provided are owned by the creators.—Such
858 works need not be licensed to the system University.

859
860 (2) Traditional academic copyrightable works created with use of
861 system University resources over and above those usually and customarily provided shall
862 be owned by the creators but licensed to the system University.—The minimum terms of
863 such license shall grant the system University the right to use the original work and to
864 make and use derivative works in its internally administered programs of teaching,
865 research, and public service on a perpetual, royalty-free, non-exclusive basis.—The

³Provisions (1) and (2) above define those works that fall within the scope of University of Illinois System
University employment as that term is used in the definition of “work made for hire” in the U.S. Copyright
Statute (see Title 17, USC, Section 101).

866 ~~system University~~ may retain more than the minimum license rights when justified by the
867 circumstances of development.

868
869 (c) Student Works.—Unless subject to the provisions of paragraph (a) or
870 provided otherwise by written agreement, copyrightable works prepared by students as
871 part of the requirements for a ~~University~~ degree program are deemed to be the property of
872 the student but are subject to the following provisions:

873
874 (1) The original records (including software) of an investigation for a
875 graduate thesis or dissertation are the property of the University of Illinois System
876 ~~University~~ but may be retained by the student at the discretion of the student’s major
877 department.

878
879 (2) The University of Illinois System shall have, as a condition of
880 awarding the degree, the royalty-free right to retain, use and distribute a limited number
881 of copies of the thesis, together with the right to require its publication for archival use.

882
883 (d) Copyright Registration and Notice.—~~UniversitySystem~~-owned works shall
884 be protected by copyright notice in the name of the Board of Trustees of the University of
885 Illinois.—Such copyright notice shall be composed and affixed in accordance with the
886 United States Copyright Law.—Registration of the copyright for ~~Universitysystem~~-owned
887 works shall be in accordance with the operational guidelines and procedures established
888 by the vice ~~chancellor~~president for economic development and innovation, pursuant to
889 Section 7(k), below. ~~for research on each campus.~~—The ~~system University~~ may also
890 decide to release a work to the public domain and if so, should so indicate.

891
892 (e) University Press Publications.—The University Press shall be responsible
893 for copyright registration of works owned by the University of Illinois System University
894 and published by the Press and for administering contracts with its authors.—Such
895 contracts shall define the rights and obligations of the author and the ~~system University~~
896 and shall be processed as other ~~system University~~ contracts.

897
898 (f) Compliance with the Copyright Act.—~~University System~~ units that
899 administer activities involving any usage regulated by the Copyright Act are responsible
900 for knowing having a reasonable knowledge of applicable regulations, monitoring their
901 continuing evolution, and conducting ~~their~~ programs in full compliance with the
902 applicable laws and regulations.

903 904 905 **SECTION 5. OTHER INTELLECTUAL PROPERTY**

906
907 Ownership.—Except as otherwise specified in this Article or by the University of
908 Illinois System in writing, intellectual property shall belong to the ~~system University~~, and
909 by operation of this Article is hereby assigned to and the property of the

910 ~~system~~University, if made:—(1) by a ~~system~~ University employee as a result of the
911 employee’s duties or (2) through the use by any person, including a ~~system~~ University
912 employee, of ~~University~~ system resources such as facilities, equipment, funds, or funds
913 under the control of or administered by the ~~system~~University.—(See also Section 4(a)(4)
914 above.)

915
916
917 **SECTION ~~6.~~ TRADEMARKS**

918
919 Trademarks and service marks are distinctive words or graphic symbols
920 identifying the source, product, producer, or distributor of goods or services.
921 Registration of trademarks or service marks, at the state or federal level, shall be
922 approved by the appropriate ~~campus~~ university or ~~system~~ University level officer (or
923 designee).—Proceeds received from
924 commercialization of a registered or unregistered mark that is related to an intellectual
925 property license for associated intellectual property will be shared with all creator(s) of
926 the associated property as specified in Sections 8(b) and 8(c) below.—For proceeds
927 received from commercialization of a mark that is licensed independently and is not
928 directly related to an intellectual property license, the share that would normally be
929 distributed to the creator(s) will be assigned to the unit(s) from which the trademark or
930 service mark originated.—Except as provided herein or subject to prior written agreement
931 between the creator(s) and the ~~system~~University, the ~~system~~ University will not share the
932 proceeds from commercialization of a mark with the individual(s) who created the mark.
933

934
935 **SECTION ~~7.~~ INTELLECTUAL PROPERTY ADMINISTRATION**

936
937 (a) Disclosure.—All intellectual property in which the University of Illinois
938 System ~~University~~ has an ownership interest under the provisions of this policy and that
939 has the potential to be brought into practical use for public benefit or for which disclosure
940 is required by law shall be reported promptly in writing by the creator(s) to the
941 ~~designated appropriate campus~~ university or system-level officer (or designee) through
942 the appropriate unit employee using the disclosure form provided by that unit.—The
943 disclosure shall consist of a full and complete description of the subject matter of the
944 discovery or development and identify all persons participating therein.—The creator(s)
945 shall furnish such additional information and execute such documents from time to time
946 as may be reasonably requested.

947
948 (b) Evaluation and Exploitation Decisions.—After evaluation of the intellectual
949 property and review of applicable contractual commitments, the University of Illinois
950 System ~~University~~ may develop the property through licensing; to an established business
951 or a start-up company, may release it to the sponsor of the research under which it was
952 made (if contractually obligated to do so), may release it to the creator(s) if permitted by
953 law and current ~~system~~ University policy, or may take such other actions considered to be
954 in the public interest.—Exploitation by the ~~system~~ University may ~~not~~ involve statutory

955 protection of the intellectual property rights, such as filing for patent protection,
956 registering the copyright, or securing plant variety certification. All agreements regarding
957 intellectual property must be executed by the vice president/chief financial officer and
958 comptroller ~~and attested to by the Secretary of the Board of Trustees or their~~ his or her
959 designees.

960
961 (c) Questions Related to ~~University System~~ Ownership.— In the event there is a
962 question as to whether the ~~system University~~ has a valid ownership claim in intellectual
963 property, such intellectual property should be disclosed in writing to the ~~appropriate~~
964 ~~university or system-level officer (or designee) University~~ by the creator(s) in accordance
965 with Section 7(a).— Such disclosure is without prejudice to the creator’s ownership claim.
966 The ~~system University~~ will provide the creator with a written statement as to the
967 ~~system University~~’s ownership interest.

968
969 (d) Informing Creators of Decisions.— The ~~appropriate university or system-~~
970 ~~level officer (or designee) University~~ will inform principal creators of its substantive
971 decisions regarding protection, commercialization and/or disposition of intellectual
972 property which they have disclosed.— However, specific terms of agreements with
973 external parties may be proprietary business information and subject to confidentiality
974 restrictions.

975
976 (e) ~~University of Illinois System University~~ Abandons Intellectual Property.
977 Should the ~~system University~~ decide to abandon development or protection of
978 ~~system University~~-owned intellectual property, ownership may be assigned to the
979 creator(s) as allowed by law and current ~~University system~~ practice, subject to the rights
980 of sponsors and to the retention of a license to practice for ~~system University~~ purposes.
981 The minimum terms of the license shall grant the ~~system University~~ the right to use the
982 intellectual property in its internally administered programs of teaching, research, and
983 public service on a perpetual, royalty-free, non-exclusive basis.— The ~~system University~~
984 may retain more than the minimum license rights, and the assignment or license may be
985 subject to additional terms and conditions, such as revenue sharing with the ~~system~~
986 ~~University~~ or reimbursement of the costs of statutory protection, when justified by the
987 circumstances of development.

988
989 (f) Commercialization.— The ~~system University~~ may, at its discretion and
990 consistent with the public interest, license intellectual property on an exclusive or non-
991 exclusive basis.— The licensee must demonstrate technical and business capability to
992 commercialize the intellectual property.— The licensee may include clear performance
993 milestones with a provision for recapture of intellectual property if milestones are not
994 achieved. The licensee may be required to assume the cost of statutory protection of the
995 intellectual property.

996
997 (g) Conflict of Interest and Commitment.— Commercialization activities
998 involving University ~~of Illinois System~~ employees will be subject to review of potential

999 conflict of interest and commitment issues and approval of a conflict management plan in
1000 accordance with applicable system University-policy.

1001
1002 (h) University of Illinois System's University's Acceptance of Independently
1003 Owned Intellectual Property.—The University of Illinois System University may accept
1004 assignment of intellectual property from other parties provided that such action is
1005 determined to be consistent with the public interest.—Intellectual property so accepted
1006 shall be administered in a manner consistent with the administration of other
1007 system University-owned intellectual property.

1008
1009 (i) Consulting Agreements.—University System employees engaged in
1010 external consulting work or business are responsible for ensuring that agreements
1011 emanating from such work are not in conflict with system University-policy, with the
1012 system University's contractual commitments or with system University-policies
1013 regarding system University-owned intellectual property.—Such employees should make
1014 their non-system University-obligations known to the appropriate campus-university
1015 officer and should provide other parties to such agreements with a statement of applicable
1016 system University-policies regarding ownership of intellectual property and related rights.

1017
1018 (j) Statement by Creators.—The creators of system University-owned
1019 intellectual property may be required to state that to the best of their knowledge the
1020 intellectual property does not infringe on any existing patent, copyright or other legal
1021 rights of third parties; that if the work is not the original expression or creation of the
1022 creators, the necessary permission for use has been obtained from the owner; and that the
1023 work contains no libelous material nor material that invades the privacy of others.

1024
1025 (k) Administrative Responsibility.—The president has ultimate authority for the
1026 stewardship of intellectual property developed at within the University of Illinois System.
1027 Pursuant to Article I, Section 2, Paragraph (d) the vice president for research economic
1028 development and innovation has direct line authority for system University-offices and
1029 entities involved in technology commercialization and related economic development.
1030 With the advice of the chancellors/vice presidents, or their designees, and in consultation
1031 with the executive vice president and vice president for academic affairs and the campus
1032 university vice chancellors for research, or their designees, the vice president for research
1033 economic development and innovation shall establish operational guidelines and
1034 procedures for the administration of intellectual property, including but not limited to
1035 determination of ownership, assignment, protection, licensing, marketing, maintenance of
1036 records, oversight of revenue or equity collection and distribution, approval of individual
1037 exceptions, and resolution of disputes among creators and/or unit executive officers.

1038
1039 (l) Campus-University Responsibility.—Each campus-university may establish
1040 an office which has responsibility for administering system University-policies regarding
1041 intellectual property as defined in this Article.

1043 (m) Contractual Authority.—Licenses, options for licenses and other agreements
1044 related to commercialization or exploitation of intellectual property shall be granted in
1045 the name of the Board of Trustees of the University of Illinois.—All such contracts shall
1046 be executed in accordance with the policies described in this Article.

1047
1048 (n) General Administrative Guidelines and Procedures.—General guidelines
1049 and procedures for the administration of intellectual property shall be established by the
1050 president in consultation with the University of Illinois System University-Intellectual
1051 Property Committee (“Intellectual Property Committee,” as specified in Section 7(o)
1052 below)-and the ~~campuses~~universities. Detailed operational guidelines and procedures for
1053 the administration of intellectual property shall be established pursuant to Section 7(k).
1054 ~~campus-based responsibilities shall be established by the vice chancellor for research.~~

1055
1056 (o) ~~University~~-Intellectual Property Committee.—The ~~University~~-Intellectual
1057 Property Committee shall be appointed annually by the president to make
1058 recommendations to the president regarding procedures, guidelines, and responsibilities
1059 for the administration and development of intellectual property and such other matters as
1060 the president shall determine.

1061
1062 (p) Appeals. -After following the operational administrative guidelines and
1063 procedures established pursuant to Section 7(k)~~by each campus~~, the ~~University~~ creator or
1064 unit executive officer may appeal to the ~~University~~-Intellectual Property Committee to
1065 seek resolution of complaints or questions regarding the matters addressed in this Article.
1066 Where a resolution is not possible, recommendations for exceptions to the operational
1067 guidelines and procedures shall be made by the Intellectual Property Committee to the
1068 president for his or her decision.

1069
1070 (q) Preferential Treatment of Sponsors.—Sponsored research agreements shall
1071 provide that all intellectual property developed as a result of the sponsored research
1072 project shall belong to the University of Illinois System University-unless otherwise
1073 specified in writing.—The sponsor may receive an option to license the resulting
1074 intellectual property on terms to be negotiated, with the option to be exercised within a
1075 specified period following the disclosure of the intellectual property.—When the nature of
1076 the proposed research allows identification of a specific area of intellectual property or
1077 application which is of interest to the sponsor, the appropriate university or system-level
1078 officer (or designee), in accordance with guidelines established pursuant to Section 7(k),
1079 ~~University~~-may accept research agreements with terms which entitle the sponsor to
1080 reasonable specific commercial rights within the defined field of interest.—Otherwise, the
1081 specific terms of licenses and rights to commercial development shall be based on
1082 negotiation between the sponsor and the appropriate university or system-level officer (or
1083 designee), in accordance with guidelines established pursuant to Section 7(k), University
1084 at the time the option is executed by the sponsor and shall depend on the nature of the
1085 intellectual property and its application, the relative contributions of the system
1086 ~~University~~-and the sponsor to the work, and the conditions deemed most likely to

1087 advance the commercial development and acceptance of the intellectual property.—In all
1088 cases where exclusive licensing is appropriate, such license agreements shall be executed
1089 apart from the sponsored research agreement and shall require diligent commercial
1090 development of the intellectual property by the licensee.—The appropriate university or
1091 system-level officer (or designee), in accordance with guidelines established pursuant to
1092 Section 7(k), University may also determine, on a case-by-case basis and only if allowed
1093 by law, that it is in the systemUniversity's interest to assign ownership of resulting
1094 intellectual property to the sponsor as an exception to this policy when circumstances
1095 warrant such action, in accordance with guidelines established by the University
1096 Intellectual Property Committee pursuant to Section 7(k), above.

1097
1098 (r) Exceptions to Policy.—Recommendations for exceptions to the provisions
1099 of the policy in this Article shall be made by the University System Intellectual Property
1100 Committee to the president for presentation to the Board of Trustees.—[For individual
1101 exceptions, see Section 7(k).]

1102 **SECTION 8 PROCEEDS DISTRIBUTION⁴**

1103
1104
1105 (a) Proceeds.—For purposes of this policy, “proceeds” shall refer to all revenue
1106 and/or equity, as defined below, received by the University of Illinois System -from
1107 transfer, commercialization, or other exploitation of systemUniversity-owned intellectual
1108 property.

1109
1110 (1) Revenue.—“Revenue” shall mean cash from payments including, but
1111 not limited to, royalties, option fees, license fees, and/or fees from the sale of the
1112 systemUniversity's equity interest.

1113
1114 (2) Equity.—“Equity” shall include, but not be limited to, stock,
1115 securities, stock options, warrants, buildings, real or personal property, or other non-cash
1116 consideration.

1117
1118 (b) Revenue Distribution.—When revenue is received by the systemUniversity,
1119 all out-of-pocket payments or obligations (and in some cases, a reasonable reserve for
1120 anticipated future expenses) attributable to protecting (including defense against
1121 infringement or enforcement actions), marketing, licensing or administering the property
1122 may be deducted from such income.—The income remaining after such deductions is
1123 defined as net revenue.—In the case of multiple intellectual properties licensed under a
1124 single licensing agreement, the system, pursuant to Section 7(k), above, shall University

⁴These proceeds distribution provisions shall apply only to revenue and equity received from agreements for commercialization that are executed subsequent to the effective date of this policy (September 3, 1998).—Unless otherwise agreed in writing between the system University and the creator(s), distribution of income for commercialization prior to the effective date of this policy shall be in accordance with the policy in effect at the time the agreement was approved.—Where no policy exists (e.g., for equity), this policy shall prevail.

1125 ~~shall~~ determine and designate the share of net income to be assigned to each intellectual
1126 property.

1127
1128 (1) Creator's Share.—The creator (or creator's heirs, successors, and
1129 assigns) normally shall receive forty percent (40%) of net revenue.—If there are joint
1130 creators, the net income shall be divided among them as they shall mutually agree.
1131 Should the creators fail to agree mutually on a decision, the vice chancellors for research,
1132 or chancellor's designee, in consultation with the vice president for economic
1133 development and innovation, University shall determine the division.

1134
1135 (2) Originating Unit's Share.—The originating unit normally shall
1136 receive twenty percent (20%) of net revenue.—If a creator is affiliated with more than one
1137 originating unit or if there are joint creators from different units, the originating unit(s)
1138 share shall be divided among such units as agreed in writing by the responsible unit
1139 executive officers. Should the units fail to agree mutually on a decision, the vice
1140 chancellors for research, or chancellor's designee, in consultation with the vice president
1141 for economic development and innovation, shall determine the division.

1142
1143 (3) System-Level and University's Shares.—The University system
1144 offices normally shall receive forty percent (40%) of net revenue. ~~Distribution of the~~
1145 ~~University's share~~ These funds shall be allocated, pursuant to Section 7(k), in support of
1146 ~~its-the~~ technology transfer activities and academic and research programs ~~as determined~~
1147 ~~by the vice chancellor president for economic development and innovation, in~~
1148 ~~consultation with the appropriate vice chancellor(s) for research at the university where~~
1149 the intellectual property was generated.

1150
1151 (c) Equity Distribution.—In any instance wherein the University of Illinois
1152 System University executes an agreement with a corporation or other business entity for
1153 purposes of exploiting intellectual property owned by the system University and the
1154 system University receives or is entitled to receive equity, revenue from the equity shall
1155 be shared among the creator(s), the originating unit(s), and the system offices University
1156 in the same proportions as revenue distributions (except as specified in Section 8(d)
1157 below).

1158
1159 (d) Exceptions When the Creator(s) Have No Entitlement.—If the University of
1160 Illinois System University accepts research support in the form of a sponsored research
1161 agreement or unrestricted grant as part of the consideration in an intellectual property
1162 license in lieu of an option fee, license fee or royalty, the creator(s) shall have no
1163 entitlement to receive a share as personal income.—For the subset of equity that is
1164 buildings, real or personal property, or other non-cash consideration, the creator(s) shall
1165 have no entitlement to receive a share as personal income.

1166
1167 (e) Special Distributions.—Special facts or circumstances may warrant a
1168 different distribution of proceeds than specified above and such distributions will be

169 determined on a case-by-case basis under the authority of the appropriate university or
170 system-level officer (or designee), in accordance with guidelines established pursuant to
171 Section 7(k). vice chancellor president for economic development and innovation, in
172 consultation with the appropriate vice chancellor(s) for research.

1173
1174 (f) Revenue from Actions for Defense or Enforcement of Intellectual Property
1175 Rights.— When the system offices University receives revenue from third parties that
1176 results from successful actions for the purpose of defending or enforcing the
1177 system University's rights in its intellectual property, such revenue may first be used to
1178 reimburse the system University (or the sponsor or licensee, if appropriate) for expenses
1179 incurred in such actions.— The creator(s) and their originating unit(s) shall be entitled to
1180 recovery of lost royalties from the remaining net revenue, in the same proportions as
1181 specified in Section 8(b) above.— The remaining net revenue shall be allocated, pursuant
1182 to Section 7(k), in support of the University's technology transfer activities and academic
1183 and research programs at the university where the intellectual property was generated as
1184 determined by the vice president for economic development and innovation, in
1185 consultation with the appropriate vice chancellor(s) for research.

1186 1187 1188 **ARTICLE- ~~IV~~^{VII}. EMPLOYMENT POLICIES**

1189 1190 1191 ***SECTION- 1. TERMS OF EMPLOYMENT OF ACADEMIC AND ADMINISTRATIVE*** 1192 ***STAFF***

1193
1194 (a) The terms of employment of the academic and administrative staff, as defined
1195 in the University of Illinois *Statutes* shall be explicitly stated by the nominating officer,
1196 indicating that services are required for:

- 1197
1198 (1) The academic year, which shall consist of two semesters.
1199
1200 (2) Twelve months, including allowable vacation.
1201
1202 (3) The summer session.
1203
1204 (4) Other stated periods.
1205

1206 (b) The teaching staff shall be appointed with services required for either the
1207 academic year or for twelve months.— Those who are appointed for the academic year
1208 shall be free for other employment, either in the system University or elsewhere, during
1209 the summer months, except that they shall report for any departmental meetings before
1210 registration and render all services requested of them in connection with registration and
1211 the preparation of materials and reports for the academic year. -No vacation benefits
1212 accrue on appointments with services required for the academic year.

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(c) The administrative, research, and extension staffs generally shall be appointed with services required for twelve months, including allowable vacation. - Allowable vacations for those appointed for twelve months shall be accrued at the rate consist of 24 working days per appointment year prorated based on FTE. Accrued vacation leave shall be granted at the beginning of the Academic year. - Vacation shall be arranged to accommodate the convenience of the staff member and the requirements of the unit. - Vacation may be accumulated up to a maximum of ~~4872~~ working days; however, only a maximum of 48 working days may be carried over from one academic year to the next. - During a partial-year appointment, vacation shall be prorated. - Vacations taken during the holiday recesses, other than the actual holidays recognized by the University system, shall be considered a part of the annual vacation allowance of 24 days. - Holidays recognized by the University system shall be New Year's Day, Martin Luther King Day, Memorial Day, Independence Day, Labor Day, Thanksgiving, Christmas, and such other days as may be determined by the president ~~of the University.~~

(d) Procedures for the determination of compensation for services for periods less than the full academic year shall be approved by the appropriate chancellor/vice president and by the president.

(e) Members of the staff required to render services during the academic year may be employed in the summer session or to perform research or other services during a period not exceeding two months and receive for each month of such service additional compensation at the monthly rate of one-ninth of the full-time rate paid for services required during the preceding academic year. - Such employment may be for longer periods during the summer only upon the advance approval of the chancellor/vice president. - Staff members required to render services for twelve months, with allowable vacation, shall not receive additional compensation for services rendered during the summer. - For staff members rendering services partly on a twelve-month basis and partly on an academic-year basis, this regulation applies only to the twelve-month portion.

(f) Full-time academic professional employees shall not receive compensation for services in excess of a normal schedule full-time appointment within the University of Illinois System University, except under the provisions of each university policy on service in excess of 100%. Work should as provided for in University policy, for specialized functions that are not within their home unit a reasonable amount of instruction in continuing education courses or grading of special examinations (outside regular course work), all to be performed done at a time that does not conflict with other system or university duties. - Exceptions may be made to this rule only with advance approval of the appropriate administrator or chancellor/vice president. - These exceptions should be held to a minimum.

(g) All staff members rendering services on a twelve-month basis with allowable vacation shall be compensated in twelve equal monthly installments.

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(h) Staff members with the exception of assistants rendering services during the academic year shall be compensated in twelve monthly installments or on a pro rata basis for shorter periods. -Assistants shall be compensated in monthly installments during the period over which services are rendered.

(i) In case of termination of service of members of the academic and administrative staff, the following rules shall govern the determination of salaries:

(1) Services required for twelve months, with allowable vacation:

- a) After the first month of service, a pro rata share of earned but not taken vacation shall be paid out, up to a maximum of 48 days.
- b) A pro rata reduction in final salary payment shall be made for any vacation taken but not earned based on the separation date and monthly vacation accrual schedule.

(2) Services required for the academic year: -Total payments shall equal a percentage of the annual salary determined by the services rendered in relation to the academic year established for the campus university.

(j) All employees ~~of the University~~ unless excepted by the president or chancellor/vice president are required upon request, to present medical evidence of their capability to safely perform the duties necessarily associated with the position that is being sought. -The form in which this evidence is to be presented will be prescribed by the ~~campus university or system university/central~~ human resources office and the director of the health service at each ~~campus-university or other appropriate medical provider~~. Employees securing a rating of "unemployable" may not be employed except on approval of the president or chancellor/vice president or his/her designee.-- As deemed necessary by the directors of the health services or other appropriate medical provider, new employees are required to be immunized against communicable diseases. -Employees ~~of the University~~ whose duties require them to handle food products shall be subject to periodic medical examinations given under the supervision of the directors of the health services, and no individual shall be employed in duties of this nature who shows evidence of any communicable disease.

(k) Failure on the part of an employee to take any required physical examination after being notified to do so shall serve to make the ~~university~~-employment contract inoperative and salary payments shall cease.

(l) Upon request, an academic staff member shall be granted, without loss of salary, bereavement/funeral -leave of up to three consecutive scheduled work days due to the death of a member of his or her immediate family or household member, and one work day to attend the visitation, funeral or memorial service due to the death of a

303 relative outside the immediate family. -Leave beyond these amounts may be approved
304 under special circumstances.- However, such additional leave will normally be taken
305 without pay or may be charged to accrued vacation.- Substantiation of the reason for
306 bereavement/funeral -leave may be required.

307
308 Under the Illinois Child Bereavement Leave Act, employees otherwise
309 eligible for Family and Medical Leave are eligible for an additional seven (7) unpaid
310 days to attend the funeral, or an alternative to a funeral; to make arrangements
311 necessitated by the death of the child; or to grieve the death of the child.- Employees
312 may use accrued leave benefits to remain in pay status while taking leave under this Act.
313 The Act does not create a right for an employee to take unpaid leave that exceeds the
314 unpaid leave time available under FMLA; therefore, employees who have exhausted their
315 12-week FMLA entitlement may not take the additional seven days under this Act.
316 Leave provided under this Act must be used within 60 days after the employee receives
317 notice of the death of his/her child.- If an employee suffers the death of more than one
318 child in any 12-month period, the employee is entitled to take up to six weeks of unpaid
319 bereavement leave in the 12-month period.

320
321 “Immediate family” shall be interpreted to be: father, mother, sister,
322 brother, spouse, domestic partner, / civil union partner, and child of the employee.- If
323 unborn child, gestational age must be 20 or more weeks. -Also included as immediate
324 family are mother-, father-, brother-, sister-, son-, and daughter-in-law, as well as
325 grandchildren and/or grandparents (includes great grandparents, great grandchildren, and
326 grandparents-in-law). -Biological, adopted, foster, legal wards, step or *in loco parentis*
327 relationships are considered as immediate family under this policy and for the definition
328 of a child for purposes of the Child Bereavement Leave Act.

329
330 -“Relative outside the immediate family” shall be interpreted to be: aunt, uncle, niece,
331 nephew, or cousin of the employee.- Great aunt, great uncle, great niece, and great
332 nephew are included in the definition of relative outside the immediate family. Such
333 relatives are regarded as members of the immediate family only if in residence in the
334 employee's household. In-law relationships are not included in the definition for other
335 relatives.

336
337 In-law relationships are not covered for relatives outside the immediate family. -For
338 purposes of application of the Bereavement Policy, relationships existing due to marriage
339 will terminate upon the death or divorce of the relative through whom the marriage
340 relationship exists. -Current marital status will be defined in accordance with Illinois
341 State law.

342
343 (m) Upon request, an eligible academic staff member shall be granted, without
344 loss of salary, parental leave of up to two weeks immediately following the birth of a
345 child, or upon either the initial placement or the legal adoption of a child under 18 years
346 of age prorated based on FTE. -An employee must have completed six continuous months
347 of employment in order to be eligible for parental leave, which is limited to one leave per

348 academic appointment year. -An employee who resigns employment before or at the
349 expiration of the parental leave normally shall be required to reimburse the system
350 University for the cost of wages paid during the leave. Parental leave is automatically
351 counted toward the 12-week family and medical leave entitlement for eligible staff
352 members.

1353
1354
355 **SECTION- 2. TERMS OF EMPLOYMENT OF CIVIL SERVICE EMPLOYEES**
1356

1357 All employment of civil service employees is controlled by the law and the rules
358 governing the State Universities Civil Service System of Illinois. -These include
1359 provisions for employment on merit through a system of examinations, the establishment
1360 of job classifications and the assignment to such classifications of all positions, and the
361 establishment of appropriate salary rates or ranges for each classification.- Detailed
362 system University rules and regulations for civil service staff members are promulgated
1363 and published in the *Policy and Rules*, as adopted and amended by the Board of Trustees.
1364
1365

366 **SECTION- 3. WAGES OF STUDENT EMPLOYEES**
1367

1368 All student employees are to be paid on the basis of classification and scale of
369 wages approved by the chancellor/vice president at each campusuniversity.
1370

1371
372 **SECTION- 4. RETIREMENT, DEATH, SURVIVOR, DISABILITY, AND SICK LEAVE**
1373 **BENEFITS**
1374

375 System University policy provides for sick leave with the payment of salary in case
376 of illness or other disability for specified periods as described below.- In addition to the
377 benefits provided by the system University, ~~a system of~~ retirement, death, survivor, and
378 disability benefits ~~is are~~ established by the law creating the State Universities Retirement
379 System of Illinois, a state agency separate and distinct from the University of Illinois
380 System.
1381

382 (a) **Participation in State Universities Retirement System.** -With certain
383 exceptions, eligible University employees are required to participate in the State
1384 Universities Retirement System.
1385

386 (b) **Sick Leave Benefits.** -The system University of Illinois provides sick leave
1387 benefits as follows:
1388

- 389 (1) **Civil Service Employees.** -Sick leave with full pay is granted in the
1390 amounts and in accordance with eligibility criteria set forth in the *Policy*
1391 *and Rules* for those employees subject to the act creating the State
1392 Universities Civil Service System.

1393
1394 (2) *Academic or Administrative Staff.*- Sick leave with full pay is granted in
1395 the amounts and in accordance with eligibility criteria set forth in the
1396 System Academic Sick Leave Policy. Academic and administrative staff
1397 members (with the exception of medical residents and postdoctoral
1398 research associates) who are participants in the State Universities Re-
1399 irement System or the Federal Retirement System, and who are
1400 appointed for at least 50 percent time to a position for which service is
1401 expected to be rendered for at least nine consecutive months, earn sick
1402 leave as provided in this subparagraph (2). Medical residents,
1403 postdoctoral research associates, re-employed SURS annuitants, and
1404 other academic and administrative staff members who are not
1405 participants in the State Universities or Federal Retirement Systems, and
1406 those who are appointed for less than 50 percent time and/or for less than
1407 nine consecutive months earn sick leave of 13 work days for each
1408 appointment year, no part of which will be cumulative, and the 13 days
1409 will be prorated for those on part-time appointments, or on appointments
1410 for less than a full appointment year.

1411
1412
1413 Executive Order 13706 requires certain employers who contract with the
1414 federal government to provide their employees with up to fifty six (56)
1415 hours (seven workdays) of paid sick leave annually, including for family
1416 care and absences resulting from domestic violence, sexual assault and
1417 stalking. Accordingly, employees performing work on or in connection
1418 with a federal contract that is covered by Executive Order 13706 and
1419 who are not otherwise eligible for sick leave benefits will be paid sick
1420 leave benefits in accordance with the terms of that Executive Order. The
1421 Department of Labor has noted that federal grants are excluded from the
1422 coverage of Executive Order 13706, as well as employees who perform
1423 work in connection with covered contracts for less than twenty percent
1424 (20%) of their hours worked in a particular workweek. The System
1425 University may limit the amount of paid sick leave employees may
1426 accrue under Executive Order 13706 to 56 hours each year, but must
1427 permit those employees to carry over accrued, unused sick leave from
1428 one year to the next. The System University also may limit the amount
1429 of paid sick leave employees have accrued to 56 hours at any point in
1430 time. Employees entitled to sick leave under Executive Order 13706
1431 may use that leave for an absence resulting from (1) physical or mental
1432 illness, injury or medical condition of the employee, (2) obtaining
1433 diagnosis, care, or preventative care from a health care provider by the
1434 employee, (3) caring for the medical needs of any other individual
1435 related by blood or affinity whose close association with the staff
1436 member is the equivalent of a family relationship, or (4) domestic
1437 violence, sexual assault, or stalking, if the absence is for the purpose of

438 ~~medical care, to obtain additional counseling, seek relocation, seek~~
439 ~~assistance from a victim services organization, take legal action, or to~~
440 ~~assist the staff member's child, parent, spouse, domestic partner, or any~~
441 ~~other individual related by blood or affinity whose close association with~~
442 ~~the staff member is the equivalent of a family relationship in engaging in~~
443 ~~any of those activities.~~

444
445 ~~Under the Public Act 90-65 and actions of the Board of Trustees, one-half of~~
446 ~~the number of days of unused sick leave earned and accumulated~~
447 ~~between January 1, 1984 and December 31, 1997, is eligible for payment~~
448 ~~upon an employee's death, retirement, resignation, or other termination~~
449 ~~of employment.~~

450
451 ~~Academic or administrative staff members who, on December 31, 1983, had~~
452 ~~an unused balance of accumulated sick leave, retained the same to a~~
453 ~~maximum of 180 work days, which may be utilized either (1) for~~
454 ~~establishing service credit in the State Universities Retirement System;~~
455 ~~or (2) for sick leave before all sick leave earned and accumulated on or~~
456 ~~after January 1, 1998 is utilized by the staff member. Unused sick leave~~
457 ~~earned by an academic or administrative staff member. Unused sick~~
458 ~~leave earned by an academic or administrative staff member between~~
459 ~~January 1, 1984 and December 31, 1997, may be accumulated up to a~~
460 ~~maximum of 240 work days, and upon termination of employment, a~~
461 ~~staff member may designate the portion of the accumulation (up to one-~~
462 ~~half) to be paid pursuant to Public Act 90-65, and the remainder thereof~~
463 ~~will be utilized for establishing service credit in the State Universities~~
464 ~~Retirement System. Pre January 1, 1984 and post January 1, 1998,~~
465 ~~accumulations of sick leave are to be utilized in full prior to the~~
466 ~~utilization of January 1, 1984 through December 31, 1997~~
467 ~~accumulations.~~

468
469 ~~Effective January 1, 1998, academic and administrative staff members who~~
470 ~~are participants (except for medical residents, postdoctoral research~~
471 ~~associates, and annuitants in SURS or the Federal Retirement System) in~~
472 ~~the State Universities Retirement System or Federal Retirement System,~~
473 ~~and who are appointed for at least 50 percent time to a position for~~
474 ~~which service is expected to be rendered for at least nine consecutive~~
475 ~~months, will earn sick leave of 12 work days for each appointment year,~~
476 ~~the unused portion of which shall accumulate without maximum. If~~
477 ~~these 12 days are fully utilized in any appointment year, up to 13~~
478 ~~additional workdays will be available for extended sick leave in that~~
479 ~~appointment year, no part of which 13 days shall be cumulative or~~
480 ~~eligible for payment. No additional sick leave is earned for a summer~~
481 ~~appointment. In the case of an appointment for less than a full~~

482 ~~appointment year, and in the case of a part-time appointment, the 12~~
483 ~~days cumulative and the 13 days noncumulative leave shall be prorated.~~

484
485 ~~In the event the 25 days of earned and extended sick leave described above, or~~
486 ~~any proration thereof, are exhausted in an appointment year, any balance~~
487 ~~of leave of cumulative sick leave remaining, accumulated before January~~
488 ~~1, 1984, will be available for use. When all cumulative sick leave has~~
489 ~~been exhausted, After that amount is depleted, any balance of sick leave~~
490 ~~accumulated on or after January 1, 1998 will be used. After that amount~~
491 ~~is depleted any balance of sick leave accumulated between January 1,~~
492 ~~1984, and December 31, 1997 will be used.~~

493
494 ~~No deduction of time from sick leave is made at a time when a staff member~~
495 ~~is not expected to furnish regular service to the University. Sick leave~~
496 ~~may be used for illness of, injury to, or need to obtain medical or dental~~
497 ~~consultation for the staff member, the staff member's spouse, children,~~
498 ~~parent, or members of the household. A staff member may use sick leave~~
499 ~~for pregnancy. Following the adoption or birth of a child, sick leave may~~
500 ~~be used for a period of time, not to exceed twelve weeks, to care for that~~
501 ~~child.~~

502
503 ~~After an academic or administrative staff member has exhausted the 12 days~~
504 ~~of cumulative earned sick leave, the 13 days of noncumulative extended~~
505 ~~sick leave in an appointment year, the unused sick leave accumulated~~
506 ~~before January 1, 1984, the unused sick leave accumulated after January~~
507 ~~1, 1998, and the sick leave accumulated between January 1, 1984 and~~
508 ~~December 31, 1997, and subject to the approval of the president, or~~
509 ~~chancellor/vice president as appropriate, a staff member who has~~
510 ~~completed at least three full years of service may be granted~~
511 ~~noncumulative sick leave with full pay for a period (including the annual~~
512 ~~and extended leaves and accumulations described above) not to exceed~~
513 ~~one half of the staff member's appointment year. (In the case of staff~~
514 ~~members of university administration offices, the president will act.)~~

515
516 ~~— A staff member who initiates a request and who within 120 days~~
517 ~~completes a direct transfer to the University of Illinois System from~~
518 ~~another State agency or employer will receive a credit for the balance of~~
519 ~~unused and uncompensated sick leave accrued at the state agency or~~
520 ~~employer from which the employee is transferring. Such transferred sick~~
521 ~~leave credit will be treated in the same manner as sick leave accumulated~~
522 ~~by University of Illinois System employees prior to~~
523 ~~January 1, 1984. The A transferring staff member will will accrued~~
524 ~~compensable sick leave at the beginning of employment with the System~~
525 ~~University only until December 31, 1997, after which time all sick leave~~
526 ~~accrued will be is noncompensable.~~

527
528 ~~Academic or administrative staff members who return to System~~
529 ~~University employment within two years of an earlier separation from~~
530 ~~System university employment and who upon return are eligible for~~
531 ~~compensable accruable sick leave under this section shall have restored~~
532 ~~as sick leave accumulated prior to January 1, 1984, regardless of when it~~
533 ~~was earned, any sick leave which was not compensated to such~~
534 ~~individuals or used to establish service credit in the State Universities~~
535 ~~Retirement System at the time of the prior separation from System~~
536 ~~university employment only until December 31, 1997, after which time~~
537 ~~all sick leave accrued will be is noncompensable.~~

538
539 ~~No deduction of time from sick leave is made at a time when an employee~~
540 ~~staff member is not expected to furnish regular service to the~~
541 ~~System University. Sick leave may be used for illness of, injury to, or~~
542 ~~need to obtain medical or dental consultation for the employee staff~~
543 ~~member, the staff member's employee's spouse, employee's civil union~~
544 ~~partner, domestic partner, children, parents, parents in law, siblings,~~
545 ~~grandchildren, grandparents (including the parents of civil union partner)~~
546 ~~or members of the employee's household. "Children" include biological,~~
547 ~~adopted, foster, stepchildren, legal wards, children for which an~~
548 ~~employee is standing in loco parentis, and children who are members of~~
549 ~~the employee's household. "Parent" is defined as a biological parent, a~~
550 ~~step parent, parent in law, or an individual who stood in loco parentis to~~
551 ~~the employee. A staff member employee may use sick leave for~~
552 ~~pregnancy. Following the adoption or birth of a child, sick leave may be~~
553 ~~used for a period of time, not to exceed twelve weeks, to care for that~~
554 ~~child.~~

555
556
557 ~~Reporting on use of sick leave will be made at the unit level and recorded centrally~~
558 ~~as required.~~

559
560 (c) ***Death, Disability, and Survivor Benefits.*** -For employees of the
561 system University, other than students paid on an hourly basis and personnel whose
562 principal employment is outside the system University with at least six months' service
563 who are not members of the State Universities Retirement System or any other publicly
564 supported retirement system which pays a death benefit, a death benefit of an amount set
565 by an appropriate authority is payable by the system University. -For employees who are
566 members of the State Universities Retirement System, death, disability, and survivor
567 benefits are provided by that system.

568
569 **SECTION -5. REGISTRATION OF STAFF MEMBERS IN UNIVERSITY CLASSES**
570

1571 With approval of the head of the employing unit, members of the academic,
1572 administrative, and civil service staffs of the ~~system University~~ and of approved ~~system~~
1573 ~~university~~-related agencies may register in university courses for which they are eligible
1574 for admission and in which space is available. Under certain conditions in degree
1575 granting programs that participate, such employees may be exempt from payment of one
1576 or more of the usual charges for tuition or fees.

1577
1578 Waiver of tuition and service fees is granted for all members of the academic and
1579 administrative staff, excluding graduate assistants, whose appointments are 25 percent or
1580 more of full-time service. -Academic and administrative staff members who qualify for
1581 tuition waivers are exempt from the service fee. -Under this practice, such staff members
1582 will not have access to the benefits provided by the fee unless they wish to pay for them
1583 as do other faculty and staff who wish to gain access to these services.

1584
1585 For graduate assistants, waiver of base-rate tuition, i.e., the in-State graduate (not
1586 professional) tuition rate, is granted for all university graduate assistants on appointment
1587 for at least 25 percent but not more than 67 percent of full-time service; a waiver of
1588 service fees is granted to those graduate assistants on appointment for at least 25 percent
1589 of full-time service.

1590
1591 The Board of Trustees has authorized the president of the ~~system University~~ or his
1592 or her designee(s) to award a limited number of tuition and fee waivers for graduate
1593 students and report to the board on the number authorized, by each campusuniversity, as
1594 part of the annual budget and tuition setting process.

1595
1596 Tuition and fee waivers are also extended to members of the civil service staff in
1597 accordance with the rules and policies set forth in the *Policy and Rules*.

1598
1599
1600 **SECTION -6. GRIEVANCE PROCEDURES FOR COMPLAINTS OF**
1601 **DISCRIMINATION**

1602
1603 Procedures shall be developed for each ~~campus-university~~ and for ~~system university~~
1604 administration offices in accordance with guidelines approved by the Board of Trustees
1605 for the prompt, fair, and definitive resolution of grievances concerning alleged violation
1606 of the system'sUniversity's Nondiscrimination Statement. - discrimination by the
1607 University on the basis of race, sex, national origin, religion, age, handicap, or status as
1608 disabled veteran or veteran of the Vietnam era.

1609 **ARTICLE ~~IV~~. UNIVERSITY OF ILLINOIS PROPERTY**

1610
1611 **SECTION -1. USE OF ~~UNIVERSITY~~ PREMISES AND FACILITIES**

1613 (a) The use of ~~system University~~ premises and facilities shall be subject to all
1614 applicable State and Federal laws and shall also be in accord with the actions of the
1615 Board of Trustees.

1616
1617 (b) The use of ~~system University~~ premises and facilities by individuals other than
1618 in connection with ~~University~~ educational or research programs will be permitted only
1619 under regulations formulated and administered by the appropriate chancellor/vice
1620 president and approved by the president. ~~A facilities use agreement, articulating the~~
1621 ~~terms of use, should reflect the conditions deemed most likely to advance the~~
1622 development and acceptance of the intellectual property.

1623
1624 (c) The president is authorized to make such traffic and parking regulations and
1625 such changes therein as conditions may warrant and may delegate such authority to the
1626 chancellors/vice presidents.

1627
1628
1629 ***SECTION- 2. CUSTODIANSHIP OF PROPERTY***

1630
1631 (a) Under the State Property Control Act, the president is accountable to state
1632 officials for the supervision, control, and inventory of all ~~system University~~ property
1633 subject to that act. ~~In discharging these and other responsibilities, the president is~~
1634 ~~authorized to specify or to deputize the chancellors/vice presidents and other system~~
1635 ~~University officers to specify procedures and responsibilities for the supervision, control,~~
1636 and inventory of all ~~system University~~ property.

1637
1638 (b) Unless otherwise specified, the supervision, control, and inventory of
1639 ~~University~~ personal property shall be the responsibility of the head of the unit to which
1640 the property is assigned. ~~An inventory of all such property shall be maintained in a~~
1641 ~~manner determined by the vice president and chief financial officer/comptroller and the~~
1642 ~~vice president and chief financial officer/comptroller may require reports concerning the~~
1643 ~~same. The individual responsible shall report to the comptroller all items of University~~
1644 ~~personal property which-that~~ are of no further use to the department, and the vice
1645 president and chief financial officer/comptroller may transfer the same to another unit or
1646 direct other disposition.

1647
1648 (c) Land ~~which-that~~ has been assigned by the Board of Trustees to a college or
1649 department for particular use or for a definite period may not be used for any other
1650 purpose or beyond the period designated without authorization by the Board of Trustees.
1651 The assignment of land, equipment, or any other property to a department or division
1652 does not give the department a title to the same, but only the right to use as long as
1653 necessary for accomplishing the function of the department or division; and the use of
1654 land or equipment or other property shall not exclude its use, at the same time, for other
1655 purposes by other departments or divisions of the ~~system University~~ on approval of the
1656 president provided that any such second use shall not interfere with the efficient

1657 utilization of said land, equipment, or other property for the purpose for which it was first
1658 assigned.

1659

1660

1661 **SECTION -3. PRIVATE USE OF UNIVERSITY OF ILLINOIS~~UNIVERSITY~~**
1662 ***PROPERTY***

1663

1664 No one connected with the University of Illinois System ~~University~~ in any capacity
1665 shall use for any personal purpose any system ~~University~~ property of whatever
1666 description, and no one shall be permitted to remove from the buildings or grounds any
1667 property belonging to the system~~University~~, even though it may seem to be of no value,
1668 unless it be temporarily removed pursuant to some well-established regulation, or with
1669 the approval of the appropriate chancellor/vice president or the vice president/chief
1670 financial officer in the instance of system~~university~~-level property.

1671

1672

1673 **SECTION -4. NAMING OF SYSTEM AND UNIVERSITY FACILITIES AND**
1674 ***PROGRAMS; - COMMEMORATIVE PLAQUES AND TABLETS***

1675

1676 (a) System and u~~University~~ “f~~Facilities~~” refers to any building, structure, street,
1677 drive, landscaped area, open space, physical improvement, or other property under the
1678 administrative control of the University of Illinois. -“Programs” refers to any academic or
1679 non-academic program, school, college, institute, center, etc., but does not include
1680 endowed faculty positions such as chairs or professorships.

1681

1682 (b) Insofar as consistent with State law, the naming of University ~~F~~facilities and
1683 p~~P~~Programs lies within the authority of the Board of Trustees and shall require Board
1684 approval except as specifically described in paragraph (e) below.

1685

1686 (c) University ~~F~~Facilities and p~~P~~Programs may be named for the following:

1687

1688 (1) Donors who have made substantial contributions toward financing the
1689 construction, renovation or remodeling of a Facility or an addition thereto; or
1690 establishing, advancing or maintaining a Program;

1691

1692 (2) An honoree nominated by such a donor and approved by the Board of
1693 Trustees;

1694

1695 (3) Distinguished persons in the public life of the State of Illinois or the
1696 nation;

1697

1698 (4) Distinguished former members of the Board of Trustees; or

1699

1700 (5) Former members of the University, ~~faculty, staff,~~ or administration.

1701 In addition, the Board may approve the naming of a ~~University F~~facility or ~~p~~Program in
1702 situations other than those described above when the Board, in its discretion, determines
1703 that the interests of the University are served in doing so.

1704
1705 (d) Buildings should be named in such a way as to denote their general use; such
1706 names may include a designation such as auditorium, gymnasium, hall, laboratory, or
1707 school.

1708
1709 (e) Notwithstanding the above provisions, commemorative plaques or tablets may
1710 be installed inside buildings near spaces such as rooms, lounges, laboratories,
1711 performance spaces and lecture halls in recognition of:

1712
1713 (1) Distinguished members of the ~~University~~ faculty, staff, ~~or~~ administration,
1714 alumni, or students whose services were identified with the functions of said spaces; or

1715
1716 (2) Donors of funds (or an honoree designated by the donor) where the
1717 contribution was substantial in financing the renovation or remodeling of said spaces.
1718 Any such plaque or tablet must be approved by the appropriate chancellor/vice president
1719 but does not require Board approval.

1720
1721 (f) The chancellors/vice presidents may develop procedures for their respective
1722 ~~campuses-universities~~ procedures for internal review and approval prior to the submission
1723 of items to the Board for its consideration.

725 **ARTICLE -VII. GENERAL PROVISIONS**

726 **SECTION -1. ~~UNIVERSITY-SYSTEM~~ COUNCILS AND COMMITTEES**

727
728 The president is authorized to establish and to appoint ~~the~~ members of system
729 ~~university~~ councils and committees to serve as advisers on educational, research, and
730 engagement initiatives and other service programs affecting all ~~campuses-universities-~~ and
731 to provide for ~~intereampus-interuniversity~~ relationships in such matters.

732 733 734 735 **SECTION -2. ADMINISTRATIVE COMMITTEES**

736
737 The president of the University of Illinois System ~~University~~ is authorized to
738 appoint such administrative and other committees or boards as are necessary for
739 assistance in discharging the president's duties, ~~as the official advisor to and executive~~
740 agent of the Board of Trustees.

745
746 ***SECTION 3. — ADVISORY COMMITTEES***
747

748 ~~— The president of the University may recommend to the Board of Trustees the~~
749 ~~appointment of consultative committees to advise the colleges and schools and other~~
750 ~~divisions of the University.???~~
751

752
753 ***SECTION 34. UNIVERSITY AND SYSTEM ARCHIVES***
754

755 (a) The ~~u~~University ~~a~~Archives, a ~~division~~s of the ~~L~~ibrari~~es~~y under the direction
756 of an archivist ~~on each campus at each university, is are~~ the depository~~ies~~y for records
757 having research or historical value and includes records transferred to its custody. ~~The~~
758 ~~u~~University ~~a~~Archives also includes professional and personal manuscripts of members
759 of the academic and administrative staffs and records of faculty and student organizations
760 that may be given to the ~~system or university~~ University for preservation and use.
761

762 (b) Records produced or received by any agency or employee of the ~~system~~
763 ~~University~~ in the transaction of university business become ~~system university~~ property.⁵
764 ~~except as provided under Article XIII of the Statutes. For the purposes of this paragraph~~
765 ~~and consistent with the Illinois State Records Act (5 ILCS 160/2), records shall be~~
766 ~~defined as “all books, papers, digitized electronic material, maps, including all~~
767 ~~documents, correspondence, accounts, files, manuscripts, publications, photographs,~~
768 ~~databases, or other official documentary materialstapes, drawings, or other material~~
769 ~~bearing upon the regardless of physical form or characteristics, made, produced, executed~~
770 ~~or received by any unit activities and functions of the University or its officers and~~
771 ~~employees in pursuance of state law or in connection with the transaction of University~~
772 ~~business and preserved or appropriate for preservation by the University as evidence of~~
773 ~~its organization, function, policies, decisions, procedures, operations, or other activities~~
774 ~~or because of the informational data contained therein. (“)?~~
775

776 ~~(BM) A closing quotation mark seems to be missing from the definition of records. More~~
777 ~~importantly, the quotation of the definition of State Records in the Illinois State Records~~
778 ~~Act (5 ILCS 160/2) has been made obsolete by Illinois Public Act 99-147 which became~~
779 ~~effective in 2016 and 2017. Instead, the General Rules text should be changed to:~~
780 ~~“records shall be defined as ‘all books, papers, born-digital electronic material, digitized~~
781 ~~electronic material, electronic material with a combination of digitized and born-digital~~
782 ~~material, maps, photographs, databases, or other official documentary materials,~~
783 ~~regardless of physical form or characteristics, made, produced, executed, or received”” by~~
784 ~~any unit of the u~~University in pursuance of state law or in connection with the transaction
785 of university or system business and preserved or appropriate for preservation by the
786 university or system as evidence of its organization, function, policies, decisions,

⁵ Nothing in this Section shall ~~impact~~affect copyright ownership, including without limitation, as provided in Article III, Section 4.

787 procedures, operations, or other activities or because of the informational data contained
788 therein.

789” The Public Act revisions were intended to remove any ambiguity about the difference
790 between born digital and digitized material. [NB: If the Act uses the term “University and we are
791 quoting in, we can’t change it here.]

792
793 (BM) Article VI, Section 4, footnote 4. “Nothing in this Section shall impact” is bad
794 grammar and should be rephrased to “Nothing in this Section shall affect“

1795
1796
1797 No university or system records shall be discarded or destroyed except upon
1798 the prior approval of the archivist pursuant to the finding and recommendation by the
1799 administrative unit involved that such records have no further administrative value.—The
1800 archivist shall withhold the approval of any such action until satisfied that the records
1801 involved have no value for other administrative offices and that they need not be retained
1802 for legal reasons, as determined by appropriate officers.- Where appropriate, the archivist
1803 may arrange for the transfer of records to the University Archives as an alternative to
1804 destruction.

1805
1806 (c) Pursuant to the State Records Act, Illinois Compiled Statutes,
1807 5 ILCS 160/16, /17, and /18, January 3, 2003, the university archivist shall forward
1808 approved requests for permission to discard or destroy records to the president and to the
1809 State Records Commission for their approvals.

1810
1811 (d) The archives of the universitysystem-level administration shall be under the
1812 jurisdiction of the archivist at the University of Illinois, Urbana-Champaign campus.

816 **ARTICLE ~~-VII.~~ AMENDMENTS**

1817
1818 *The General Rules Concerning University-University Organization and Procedure*
1819 *document supplements and is subordinate to the University of Illinois-Statutes. -In the*
1820 *event of conflict between the provision of *The General Rules* and the *Statutes*, the*
1821 *Statutes shall prevail.*

1823 *The General Rules* are adopted by the Board of Trustees acting on the advice of the
1824 president of the University of Illinois System~~University~~. -The board may make changes
1825 in *The General Rules* after consultation with the president~~of the University~~. Before
1826 providing such advice or consultation, the president shall consult with the University
1827 Senates Conference, which shall give due regard to the provisions of Article XII, Section
1828 5 of the ~~University of Illinois~~ Statutes; ~~which shall give due regard to the provisions of~~
1829 ~~Article XII, Section 5 of the University of Illinois Statutes~~. -However, consultation with
1830 the conference is not required when because of exceptional circumstances a proposed
1831 action of the Board of Trustees would authorize a deviation from *The General Rules* for a
1832 specific transaction. When changes to the General Rules are approved, the University
1833 Senates Conference should inform the ~~campus~~university senates about such changes.
1834
1835
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1843

1844 *Note:*

1845 The University of Illinois *Statutes*~~-~~ <http://www.uillinois.edu/trustees/statutes.cfm>~~-~~ and *The General Rules*
1846 *Concerning ~~University~~ University Organization and Procedure* <http://www.uillinois.edu/trustees/rules.cfm>
1847 make reference to and/or are supplemented by a variety of internal policy documents as well as
1848 federal and state statutes and regulations. -Policy documents internal to the University exist in
1849 various forms:- some printed as pamphlets, e.g., *Policy on Patents and Copyrights* and *Policy and*
1850 *Procedures on Academic Integrity in Research and Publication*; some as extensive, comprehensive
1851 publications such as *Policy and Rules* (Civil Service); some updated yearly, e.g., *Guidelines for*
1852 *Sabbatical Leaves of Absence*; some unique to each ~~campus~~university, e.g., *Campus Administrative*
1853 *Manual*. -Internal policy documents may be identified by using the web site maintained by the
1854 Office of the Vice President for Academic Affairs which offers links to policy documents
1855 developed by various offices and officials within the Universitysystem.
1856