

# THE FLORIDA INTERNATIONAL UNIVERSITY



## BOARD OF TRUSTEES

29 June 2005

### MEMBERS

ADOLFO HENRIQUES, *CHAIRPERSON*

DAVID PARKER, *VICE-CHAIRPERSON*

ROSA SUGRAÑES, *TREASURER*

BETSY ATKINS

ALBERT DOTSON, SR.

PATRICIA FROST

KIRK LANDON

MIRIAM LÓPEZ

SERGIO PINO

CLAUDIA PUIG

HERBERT WERTHEIM

BRUCE HAUPTLI, *FACULTY TRUSTEE*

ALEX PRADO, *STUDENT TRUSTEE*

*FIU FOUNDATION BOARD OF DIRECTORS' LIAISON*

CARLOS MIGOYA

*UNIVERSITY PRESIDENT, CORPORATE SECRETARY*

MODESTO A. MAIDIQUE

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

WEDNESDAY, 29 JUNE 2005  
9:30 A.M.

FLORIDA INTERNATIONAL UNIVERSITY  
BISCAYNE BAY CAMPUS  
WOLFE UNIVERSITY CENTER  
MIAMI, FL

**AGENDA**

- |  |                           |
|--|---------------------------|
| <b>I. CALL TO ORDER</b>  | <b>CHAIRMAN HENRIQUES</b> |
| <b>II. CHAIRMAN'S REMARKS</b>  | <b>CHAIRMAN HENRIQUES</b> |
| <b>III. REQUESTS TO ADDRESS THE BOARD</b>  | <b>CHAIRMAN HENRIQUES</b> |
| <b>IV. FIU FOUNDATION REPORT</b>   | <b>CARLOS MIGOYA</b>      |
| <b>V. UNIVERSITY REPORT</b>  | <b>MODESTO MAIDIQUE</b>   |
| <br><b>VI. ITEMS FOR BOARD CONSIDERATION</b>   |                           |
| <b>A. ELECTION OF OFFICERS</b>   | <b>CHAIRMAN HENRIQUES</b> |
| <b>B. ACTION ITEMS</b>   |                           |
| <b>1. CONSENT AGENDA</b>   | <b>CHAIRMAN HENRIQUES</b> |
| a. MINUTES 3.07.05 ( <i>EXHIBIT "A"</i> )  |                           |
| b. MINUTES 5.18.05 ( <i>EXHIBIT "B"</i> )  |                           |
| c. STATE UNIVERSITIES ANNUAL EQUITY UPDATE, 2004-2005 ( <i>EXHIBIT "C"</i> )               |                           |
| d. APPROVAL OF CONSULTING CONTRACT WITH A.T. KEARNEY                                       |                           |
| e. EXTENSION OF UNIVERSITY PRESIDENT'S CONTRACT  |                           |
| f. TENURE NOMINATIONS ( <i>EXHIBIT "D"</i> )   |                           |
| g. TENURE AS A CONDITION OF EMPLOYMENT NOMINATIONS ( <i>EXHIBIT "E"</i> )                  |                           |
| h. PERFORMANCE MEASURES ( <i>EXHIBIT "F"</i> )   |                           |
| i. UNIVERSITY PERSONNEL RULE 6C8-4.018 – RULE REPEAL                                       |                           |
| j. PERSONNEL POLICIES FOR NON-BARGAINING EMPLOYEES ( <i>EXHIBIT "G"</i> )                  |                           |
| k. PROPOSED PERSONNEL RULES 6C8-4.025 AND 6C8-4.030 ( <i>EXHIBITS "H" and "I"</i> )        |                           |
| l. UNIVERSITY PERSONNEL RULES – RULE AMENDMENTS ( <i>EXHIBITS "J," "K," "L," AND "M"</i> ) |                           |

**C. OTHER ACTION ITEMS**

*ACADEMIC POLICY AND STUDENT AFFAIRS*

- |  |                     |
|--|---------------------|
| <b>2. BACHELOR OF LANDSCAPE ARCHITECTURE (EXHIBIT "O")</b>         | <b>DAVID PARKER</b> |
| <b>3. MASTER OF INTERIOR DESIGN (EXHIBIT "P")</b>                  | <b>DAVID PARKER</b> |
| <b>4. M.S. IN INTERNATIONAL REAL ESTATE (EXHIBIT "Q")</b>          | <b>DAVID PARKER</b> |
| <b>5. PH.D. IN MATERIALS SCIENCE AND ENGINEERING (EXHIBIT "R")</b> | <b>DAVID PARKER</b> |

*FINANCE AND AUDIT*

- |  |                      |
|--|----------------------|
| <b>6. INVESTMENT POLICY STATEMENT (EXHIBIT "S")</b>                  | <b>ROSA SUGRAÑES</b> |
| <b>7. PROPOSED 2005-2006 OPERATING BUDGET (EXHIBIT "T")</b>          | <b>ROSA SUGRAÑES</b> |
| <b>A. UNIVERSITY TUITION FEE RULE – RULE AMENDMENT (EXHIBIT "N")</b> |                      |
| <b>B. ACTIVITY AND SERVICE FEE INCREASE</b>                          |                      |
| <b>C. FEE WAIVER POLICIES (EXHIBIT "U" AND "V")</b>                  |                      |
| <b>D. 2006-2007 LEGISLATIVE BUDGET REQUEST (EXHIBIT "W")</b>         |                      |

**VII. COMMITTEE STATUS REPORTS**

- |   |                      |
|---|----------------------|
| <b>8. ADMINISTRATION AND COMPENSATION COMMITTEE</b><br><i>(MINUTES INCLUDED AS INFORMATION ITEM. NO ACTION NEEDED.)</i> | <b>ALBERT DOTSON</b> |
| <b>9. ACADEMIC POLICY AND STUDENT AFFAIRS</b><br><i>(MINUTES INCLUDED AS INFORMATION ITEM. NO ACTION NEEDED.)</i>       | <b>DAVID PARKER</b>  |
| <b>10. FINANCE AND AUDIT COMMITTEE</b><br><i>(NO ACTION NEEDED. NO MINUTES INCLUDED)</i>                                | <b>ROSA SUGRAÑES</b> |
| <b>11. GOVERNMENTAL RELATIONS</b><br><i>(MINUTES INCLUDED AS INFORMATION ITEM. NO ACTION NEEDED.)</i>                   | <b>MIRIAM LÓPEZ</b>  |

<b>VIII. OTHER BUSINESS (IF ANY)</b>	<b>CHAIRMAN HENRIQUES</b>
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<b>IX. ADJOURNMENT</b>	<b>CHAIRMAN HENRIQUES</b>
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**NEXT FULL BOARD MEETING IS SCHEDULED FOR GRAHAM CENTER BALLROOMS  
19 SEPTEMBER 2005**

## BOARD OF TRUSTEES

29 JUNE 2005

**SUBJECT: ELECTION OF OFFICERS**

**PROPOSED BOARD ACTION:**

## ELECTION OF OFFICERS

### BACKGROUND INFORMATION:

**Florida International University Board of Trustees Operating Procedures** (approved 22 November 2004) states in relevant part:

The officers of the Board of Trustees are the Chair, Vice-Chair, Treasurer, Executive Officer and Corporate Secretary. The Chair and Vice-Chair shall be selected by the Board of Trustees and shall serve for a two-year term to begin immediately upon selection. Thereafter, the Board of Trustees shall select the Chair and Vice Chair at the last regularly scheduled meeting of the fiscal year for a two year term to begin September 1. The Chair and Vice-Chair shall be eligible for reselection for one additional consecutive term. The Treasurer shall be appointed by the Chair. The university president shall serve as Executive Officer and Corporate Secretary of the Board of Trustees.

**EXHIBITS/SUPPORTING DOCUMENTS:**

- NONE

**FACILITATOR/PRESENTER:**

■ CHAIRMAN HENRIQUES

**C. OTHER ACTION ITEMS**

*ACADEMIC POLICY AND STUDENT AFFAIRS*

- |  |                     |
|--|---------------------|
| <b>2. BACHELOR OF LANDSCAPE ARCHITECTURE (EXHIBIT "O")</b>         | <b>DAVID PARKER</b> |
| <b>3. MASTER OF INTERIOR DESIGN (EXHIBIT "P")</b>                  | <b>DAVID PARKER</b> |
| <b>4. M.S. IN INTERNATIONAL REAL ESTATE (EXHIBIT "Q")</b>          | <b>DAVID PARKER</b> |
| <b>5. PH.D. IN MATERIALS SCIENCE AND ENGINEERING (EXHIBIT "R")</b> | <b>DAVID PARKER</b> |

*FINANCE AND AUDIT*

- |  |                      |
|--|----------------------|
| <b>6. INVESTMENT POLICY STATEMENT (EXHIBIT "S")</b>                  | <b>ROSA SUGRAÑES</b> |
| <b>7. PROPOSED 2005-2006 OPERATING BUDGET (EXHIBIT "T")</b>          | <b>ROSA SUGRAÑES</b> |
| <b>A. UNIVERSITY TUITION FEE RULE – RULE AMENDMENT (EXHIBIT "N")</b> |                      |
| <b>B. ACTIVITY AND SERVICE FEE INCREASE</b>                          |                      |
| <b>C. FEE WAIVER POLICIES (EXHIBIT "U" AND "V")</b>                  |                      |
| <b>D. 2006-2007 LEGISLATIVE BUDGET REQUEST (EXHIBIT "W")</b>         |                      |

**VII. COMMITTEE STATUS REPORTS**

- |   |                      |
|---|----------------------|
| <b>8. ADMINISTRATION AND COMPENSATION COMMITTEE</b><br><i>(MINUTES INCLUDED AS INFORMATION ITEM. NO ACTION NEEDED.)</i> | <b>ALBERT DOTSON</b> |
| <b>9. ACADEMIC POLICY AND STUDENT AFFAIRS</b><br><i>(MINUTES INCLUDED AS INFORMATION ITEM. NO ACTION NEEDED.)</i>       | <b>DAVID PARKER</b>  |
| <b>10. FINANCE AND AUDIT COMMITTEE</b><br><i>(NO ACTION NEEDED. NO MINUTES INCLUDED)</i>                                | <b>ROSA SUGRAÑES</b> |
| <b>11. GOVERNMENTAL RELATIONS</b><br><i>(MINUTES INCLUDED AS INFORMATION ITEM. NO ACTION NEEDED.)</i>                   | <b>MIRIAM LÓPEZ</b>  |

<b>VIII. OTHER BUSINESS (IF ANY)</b>	<b>CHAIRMAN HENRIQUES</b>
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<b>IX. ADJOURNMENT</b>	<b>CHAIRMAN HENRIQUES</b>
------------------------	---------------------------

**NEXT FULL BOARD MEETING IS SCHEDULED FOR GRAHAM CENTER BALLROOMS  
19 SEPTEMBER 2005**

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

29 JUNE 2005

**SUBJECT: CONSENT AGENDA**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED, that the following matters included in the Consent Agenda are hereby approved:

- a. MINUTES 3.07.05 (*EXHIBIT "A"*)
- b. MINUTES 5.18.05 (*EXHIBIT "B"*)
- c. STATE UNIVERSITIES ANNUAL EQUITY UPDATE, 2004-2005 (*EXHIBIT "C"*)
- d. APPROVAL OF CONSULTING CONTRACT WITH A.T. KEARNEY
- e. EXTENSION OF UNIVERSITY PRESIDENT'S CONTRACT
- f. TENURE NOMINATIONS (*EXHIBIT "D"*)
- g. TENURE AS A CONDITION OF EMPLOYMENT NOMINATIONS (*EXHIBIT "E"*)
- h. PERFORMANCE MEASURES (*EXHIBIT "F"*)
- i. UNIVERSITY PERSONNEL RULE 6C8-4.018 – RULE REPEAL
- j. PERSONNEL POLICIES FOR NON-BARGAINING EMPLOYEES (*EXHIBIT "G"*)
- k. PROPOSED PERSONNEL RULES 6C8-4.025 AND 6C8-4.030 (*EXHIBITS "H" and "I"*)
- l. UNIVERSITY PERSONNEL RULES – RULE AMENDMENTS (*EXHIBITS "J," "K," "L," AND "M"*)

FURTHER RESOLVED that Exhibits "A," "B," "C," "D," "E," "F," "G," "H," "I," "J," "K," "L," and "M" are attached to this Resolution and made part of the minutes for this meeting.

**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBITS “A,” “B,” “C,” “D,” “E,”  
“F,” “G,” “H,” “I,” “J,” “K,” “L,”  
and “M”

**FACILITATOR/PRESENTER:**

- NONE

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: MINUTES, 7 MARCH 2005**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the minutes of the meeting of the Florida International University Board of Trustees held on 7 March 2005, attached to this Resolution as Exhibit “A,” are hereby approved.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “A” – MINUTES, 7 MARCH 2005

**FACILITATOR/PRESENTER:**

- NONE



**DRAFT**



**THE FLORIDA INTERNATIONAL BOARD OF TRUSTEES  
BOARD MEETING**

**MINUTES**

**MONDAY, 7 March 2005  
University Park Ballrooms  
FLORIDA INTERNATIONAL UNIVERSITY  
MIAMI, FLORIDA**

**I. CALL TO ORDER**

Chairman Adolfo Henriques convened the meeting of The Florida International University Board of Trustees at 9:00 a.m., on 7 March 2005, at University Park Campus, Graham Center Ballrooms, Miami, Florida.

The following attendance was recorded:

***PRESENT:***

Adolfo Henriques  
Betsy Atkins  
Albert Dotson, Sr.  
Patricia Frost  
Bruce Hauptli  
Kirk Landon  
Miriam López

David R. Parker  
Claudia Puig  
Jorge Rosario  
Rosa Sugrañes  
Herbert Wertheim  
  
Modesto Maidique

***EXCUSED:***

Sergio Pino

Attendance was recorded by Casandra Roache.

**II. CHAIRMAN'S REMARKS:**

Chairman Henriques welcomed all Trustees, Foundation Directors, and University faculty and staff. He also welcomed Kirk Landon, the Board's newest Trustee, appointed by Governor Jeb Bush in February 2005. Chairman Henriques thanked Trustee Landon for his willingness to serve on the Board and help lead the University. The Chairman also noted Trustee Landon's many contributions to FIU including the \$5 million gift to the Undergraduate School of Business. Chairman Henriques reported that three other Trustees had been reappointed for another term: Trustees Atkins, Frost, and Parker.

Chairman Henriques opened discussion of the Police Benevolent Association's Collective Bargaining Agreement with the University as detailed in an addendum to the agenda, with all Trustees indicating they had reviewed the Agreement and proposed policies. Trustee Parker asked if the terms of the Agreement were within the fiscal constraints of the university budget. University staff responded affirmatively.

With no further discussion, the Board adopted the following Resolution:

WHEREAS, the Board of Trustees ("BOT") is the public employer of all employees of the University and is obligated to engage in collective bargaining with any employees who are represented by a union;

WHEREAS, certain employees of the University Police department are members of a bargaining unit represented by the Dade County Police Benevolent Association ("PBA");

WHEREAS, representatives of the BOT and the PBA have engaged in collective bargaining and have reached an agreement on the terms of a Collective Bargaining Agreement (Exhibit "J");

WHEREAS, the members of the bargaining unit represented by PBA voted to ratify the Agreement on Friday February 18, 2005;

NOW, THEREFORE BE IT RESOLVED, that the Board of Trustees hereby ratifies the Collective Bargaining Agreement, and attached hereto as Exhibit "J";

BE IT FURTHER RESOLVED, that the University Administration take all actions necessary to give effect to this Resolution.

Chairman Henriques presented an ancillary Resolution pursuant to the adoption of the Collective Bargaining agreement. With no discussion, the Board adopted the following Resolution:

WHEREAS, the Board of Trustees ("BOT") is the public employer of all employees of the University and is charged with establishing the personnel program for all University employees;

WHEREAS, the University has developed policies for employees of the University' Police department who are certified law enforcement personnel (Exhibit "K");

WHEREAS, the University, through the collective bargaining process has bargained the policies with those certified law enforcement personnel who are within the bargaining unit represented by the Dade County Police Benevolent Association;

NOW, THEREFORE BE IT RESOLVED, that the Board of Trustees adopts the personnel policies attached hereto as Exhibit “K”

BE IT FURTHER RESOLVED, that the policies attached hereto as Exhibit “K” shall be effective immediately unless the policy states otherwise;

BE IT FURTHER RESOLVED, that the University Administration take all actions necessary to give effect to this Resolution.

### **III. REQUESTS TO ADDRESS THE BOARD:**

- Dr. Alan Gummerson, President, United Faculty of Florida  
Dr. Gummerson addressed the Board on behalf of the United Faculty of Florida, FIU Chapter. He voiced the UFF’s concerns regarding the progress of collective bargaining.

Chairman Henriques responded on behalf of the Board, with several other Trustees making comments. Chairman Henriques thanked all for their comments and reiterated the Board’s commitment to a speedy and amicable resolution.

### **IV. FIU FOUNDATION REPORT**

FIU Foundation Chairman Carlos Migoya reported that for the seven-month period ended January 31<sup>st</sup>, 2005, Foundation revenues significantly surpassed their budgeted amounts, because of several new gifts made in support of various building funds and better-than-expected investment returns. Expenses were either in line with or under their budgeted amounts.

### **V. UNIVERSITY REPORT**

Chairman Henriques requested that President Maidique present the University Report. President Maidique reported on the FIU School of Medicine proposal the University presented to the Board of Governors in January. He noted that the medical school had recently received additional endorsements from the *Miami Herald*, the Latin Builders Association, and the Beacon Council. He announced that FIU reached a milestone in its research efforts by signing its first licensing agreement for a stroke therapy drug. He also invited Trustees to attend several upcoming events including the groundbreaking for the College of Law and Commencement for the first graduating class of the College of Law.

Yann Weymouth, architect for the Patricia and Phillip Frost Art Museum, reported on the progress of the project, noting the innovative design and materials made possible by the generous donations of the Frosts and other members of the community.

President Maidique concluded his report congratulating all responsible for the great success of the South Beach Wine and Food Festival held at the end of February and thanked Trustees for their attendance. Trustee Wertheim requested a letter of appreciation be sent on behalf of the

Board to the Chaplin family, Southern Wine and Spirits and those who organized the Festival.

## **VI. ITEMS FOR BOARD CONSIDERATION:**

### **ACTION ITEMS:**

#### *Naming of the Frost Art Museum:*

Chairman Henriques requested the Board consider a motion to request Legislative approval of the naming of the Patricia and Phillip Frost Art Museum building. With no further discussion, the Board adopted the following Resolution:

WHEREAS Patricia and Phillip Frost are dedicated supporters of Florida International University and its educational mission;

WHEREAS they have been the patrons of the new building that will be the new Art Museum at Florida International University; and

WHEREAS, they have been instrumental in the design and development of the building;

BE IT RESOLVED that the Florida International University Board of Trustees requests approval from the Legislature of the State of Florida to name the building in honor of its patrons, Patricia and Phillip Frost as the Patricia and Phillip Frost Art Museum at Florida International University; and

FURTHER RESOLVED that the Board authorizes the University President to file the petition with the State of Florida and take all actions necessary to implement the naming.

#### *Consent Agenda:*

Chairman Henriques noted that there was an addition to the consent agenda [Item “k”, Repeal of Rule 6C8-6.001, Florida Administrative Code, (“Rule”) Contracts and Grants (*Exhibit “L”*)] which had been inadvertently left off the Consent Agenda. The Chairman asked if any Trustees would like to have any of the items on the Consent Agenda pulled for consideration as a separate item. Hearing none, with no further discussion, the Board adopted the following Resolution:

RESOLVED, that the following matters included in the Consent Agenda are hereby approved:

- a. Minutes 11.22.04 (*Exhibit “A”*)
- b. Minutes 02.10.05 (*Exhibit “B”*)
- c. Depository of University Funds
- d. Authorization to Sign Checks

- e. University Parking and Traffic Rule (*Exhibit "C"*)
- f. Federal Priorities 2005-2006 (*Exhibit "D"*)
- g. Process and Timetable for Performance Evaluation of University President 2004-2005 (*Exhibit "E"*)
- h. School of Architecture Degree-Nomenclature Changes (*Exhibit "F"*)
- i. Administrative Changes to B.S. Special Education
- j. Rule-making Resolution Language
- k. Repeal of Rule 6C8-6.001, Florida Administrative Code, ("Rule") Contracts and Grants (*Exhibit "L"*)

FURTHER RESOLVED that Exhibits "A," "B," "C," "D," "E," "F", and "L" are attached to this Resolution and made part of the minutes for this meeting.

**OTHER ACTION ITEMS:**

Academic Policy and Student Affairs Committee Chairman, David Parker, introduced three items for Board consideration. He noted that the items had not gone through the Committee process and asked if any Trustees had questions on any of the three items. Chairman Parker outlined the provisions in each of the three proposals before the Board.

*Asian Studies:*

After discussion, the Board adopted the following Resolution:

RESOLVED that The Florida International Board of Trustees hereby adopts the M.A. in Asian Studies as a new academic program under the College of Arts and Sciences, and attached to this Resolution as Exhibit "G", and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

*M.S. Curriculum and Instruction*

After discussion, the Board adopted the following Resolution:

RESOLVED that The Florida International Board of Trustees hereby adopts the M.S. in Curriculum and Instruction as a new academic program under the College of Education, and attached to this Resolution as Exhibit "H", and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

*M.S. Higher Education Administration*

After discussion, the Board adopted the following Resolution:

RESOLVED that The Florida International Board of Trustees hereby adopts the Recommended conversion of existing tracks in the Master of Science in Educational Leadership to a Stand Alone Master of Science in Higher Education Administration, under the College of Education, and attached to this Resolution as Exhibit “T”, and

FURTHER RESOLVED, that the Board authorizes the University President to file the conversion with the Division of Colleges and Universities and take all actions necessary to implement the program.

#### **VII. COMMITTEE STATUS REPORTS**

Chairman Henriques requested that each Committee Chair present a status report on the ongoing work of the Committee.

Academic Policy and Student Affairs Committee Chair David Parker, Administration and Compensation Committee Chair Albert Dotson, Finance and Audit Committee Chair Rosa Sugrañes, Governmental Relations Committee Chair Miriam López reported on items heard by their respective Committees.

#### **VII. OTHER BUSINESS:**

Trustee Dotson requested that the Board send a letter of congratulations to basketball Coach Sergio Rouco for the outstanding work he had done with the team during his first year.

#### **VII. ADJOURNMENT:**

Since there was no other business to come before the Board, the meeting of the Florida International University Board of Trustees was adjourned on Monday, 7 March 2005, at 11:02 a.m.

THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
MINUTES  
7 MARCH 2005  
PAGE 7

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Adolfo Henriques  
*Chairman*  
*FIU Board of Trustees*

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Modesto A. Maidique  
*Corporate Secretary*  
*FIU Board of Trustees*

*Attachments: Exhibits "A", "B", "C", "D," E," "F," "G," "H," "I," "J," "K," & "L".*

*CLR/clr*  
3.07.05

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: MINUTES, 18 MAY 2005**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the minutes of the meeting of the Florida International University Board of Trustees held on 18 May 2005, attached to this Resolution as Exhibit “B,” are hereby approved.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “B” – MINUTES, 18 MAY 2005

**FACILITATOR/PRESENTER:**

- NONE





## **THE FLORIDA INTERNATIONAL BOARD OF TRUSTEES BOARD MEETING**

### **MINUTES**

**Wednesday, 18 May 2005  
Via Conference Call**

#### **I. CALL TO ORDER**

Chairman Adolfo Henriques convened the meeting of The Florida International University Board of Trustees at 4:32 p.m., on 18 May 2005, via Conference Call.

The following attendance was recorded:

#### ***PRESENT:***

Adolfo Henriques  
Betsy Atkins  
Albert Dotson, Sr.  
Patricia Frost  
Bruce Hauptli  
Kirk Landon

David R. Parker  
Sergio Pino  
Alex Prado  
Rosa Sugrañes  
Herbert Wertheim  
Modesto Maidique

#### ***EXCUSED:***

Miriam López  
Claudia Puig

Attendance was recorded by Casandra Roache.

#### **II. CHAIRMAN'S REMARKS:**

Chairman Henriques welcomed all Trustees, University faculty, and staff to the meeting. He welcomed newly-appointed Student Trustee, Alex Prado, to his first full-board meeting.

#### **III. ITEMS FOR BOARD CONSIDERATION**

Due to time constraints of some presenters, Chairman Henriques asked that the Tax Exempt Financing item be reviewed out of order. Hearing no objections, the item was considered first.

##### **1. TAX-EXEMPT FINANCING**

Chairman Henriques reminded Trustees that under the provisions of devolution, the university is permitted to manage some of its revenues. University CFO Vivian Sanchez added that devolution created new investment options that will provide additional revenue streams for the university and those revenues may be used to cover items such as the repayment of loans.

Chairman Henriques noted that at the 10 February 2005 meeting, the Board approved the settlement of the U.S. government's claims against the University arising out of the performance of federally-sponsored agreements by the University's Hemispheric Center for Environmental Technology (HCET) and requested that the President find the best financial vehicle to finance the payment of \$10 million. The Chairman stated that the President's recommendation was for the Florida International University Research Foundation, Incorporated, to issue, on behalf of the Board of Trustees, a tax exempt note and taxable obligation for \$10 million.

After discussion, the BOT unanimously adopted the following resolution:

WHEREAS, on February 10, 2005, the Florida International University Board of Trustees (the "BOT") approved the settlement of the United States Government's claims against the University arising out of the performance of Federally sponsored agreements by the University's Hemispheric Center for Environmental Technology (the "Settlement");

WHEREAS, the BOT empowered the President of the University to find the best financial vehicle to finance the payment due pursuant to the Settlement; and

WHEREAS, the President of the University, acting through his designee, the University's Chief Financial Officer, after considering all reasonable options, has requested that the Florida International University Research Foundation, Incorporated (the "Research Foundation") issue on behalf of the BOT, a tax exempt note and taxable obligation, in an aggregate principal amount not to exceed \$10,000,000, to finance the payment due pursuant to the Settlement.

THEREFORE, BE IT RESOLVED THAT

(I) The BOT hereby approves the issuance of a five-year, fully amortized bank-qualified tax-exempt note (the "Tax-Exempt Note") and a taxable obligation (collectively, the "Obligations"), in a principal amount not to exceed \$10,000,000 in the aggregate, by the Research Foundation on behalf of the BOT to finance (a) payment of amounts due under the Settlement; and (b) certain costs relating to the Obligations, all pursuant to a note purchase agreement to be entered into by the Research Foundation and a financial institution to be selected by the Research Foundation (the "Lender"); and

(II) BE IT FURTHER RESOLVED that the BOT approve the existence and amended purposes of the Research Foundation attached hereto as Exhibit "B" and incorporated by reference herein; and

(III) BE IT FURTHER RESOLVED that the BOT hereby designates the Tax-Exempt Note as a qualified tax-exempt obligation, as defined under Section 265(b)(3) of the Internal Revenue Code of 1986, as amended; and

BE IT FURTHER RESOLVED that these Resolutions shall become effective on this 18 day of May, 2005.

## **2. RATIFICATION OF MEMORANDUM OF UNDERSTANDING BETWEEN THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES AND THE UNITED FACULTY OF FLORIDA**

President Maidique explained that impasse had been declared with the UFF but he had concerns that some faculty had not received a raise in over 18 months. He then reported that the collective bargaining committee of the Board had reluctantly agreed to enter into a MOU with the UFF providing a 4% salary increase for all faculty for fiscal year 2004 - 2005, as well as promotional increases in an amount equal to nine percent(9%) of the employee's June 30, 2004 base salary rate.

Chairman Henriques requested comments from Trustees on the proposed MOU. Several Trustees voiced strong concern on across-the-board salary increases, noting the importance of rewarding merit and thus a preference for merit-based increases. Chairman Henriques asked CFO Vivian Sanchez what the financial impact of a 4% across the board raise for faculty would be for the university. She reported that for the 2004-2005 fiscal year it would be approximately \$917,000 and \$2.18 million for fiscal year 2005-2006.

Trustee Hauptli praised President Maidique for his advocacy in Tallahassee which secured a 3.6% increase for all state employees and for his support of the MOU before the BOT. He added that university faculty was also committed to merit raises and that meritorious accomplishment should be rewarded. He noted that after the cost of living issue has been addressed through these across-the-board raises and he believed it was just and right that future raises be based only on merit. He also committed himself to communicate this message to the faculty. Chairman Henriques requested that all Trustees take note of Trustee Hauptli's comments.

Chairman Henriques noted that he had strong reservations about authorizing an across the board raise but, after many long discussion with President Maidique, he would reluctantly support the adoption of the MOU. He stressed that there would be no further wage increases for unions absent ratified or imposed collective bargaining agreements and that any future increases be solely merit-based. Several Trustees agreed with the Chairman's statements.

With no further discussion, the Board adopted the following Resolution:

WHEREAS, the Board of Trustees is the public employer for collective bargaining purposes,

WHEREAS, the majority of the Faculty of the Institution has not had a raise for eighteen months,

WHEREAS, because this is a unique time in the history of the institution as it tries to

reach a first agreement with the UFF at the local level,

THEREFORE, BE IT RESOLVED that the Board of Trustees ratifies the Memorandum of Understanding entered into between the Florida International Board of Trustees and the United Faculty of Florida, and attached to this Resolution as Exhibit "A."

#### **IV. OTHER BUSINESS:**

VP Marcos Perez reported on the success of the Women's Tennis team over the past season, culminating in a berth at the NCAA tournament. VP Perez noted that Coach Ronnie Bernstein was named the Sunbelt Conference Coach of the Year. Trustee Dotson requested that Chairman Henriques send a letter of congratulations to Coach Bernstein and the Women's tennis team.

President Maidique also invited all Trustees to attend the Inaugural Commencement for the College of Law on Sunday, 22 May 2005, at 2:00 p.m.

#### **V. ADJOURNMENT:**

Since there was no other business to come before the Board, the meeting of the Florida International University Board of Trustees was adjourned on Wednesday, 18 May 2005 at 5:20 p.m.

---

Adolfo Henriques  
*Chairman*  
*FIU Board of Trustees*

---

Modesto A. Maidique  
*Corporate Secretary*  
*FIU Board of Trustees*

*Attachment: Exhibit "A."*

**Exhibit “E”**

**FLORIDA DEPARTMENT OF  
EDUCATION**

**STATE UNIVERSITIES  
ANNUAL EQUITY ACT UPDATE  
2004-2005**

**Florida International University**

**Final Report**

**June 30, 2005**

**STATE UNIVERSITIES  
OFFICE OF EQUITY & ACCESS**

**FLORIDA EDUCATIONAL EQUITY ACT UPDATE  
2004-2005**

**FLORIDA INTERNATIONAL UNIVERSITY  
(UNIVERSITY)**

**Reviewed By:** \_\_\_\_\_  
**VP Human Resources** **Signature**

**President:** \_\_\_\_\_  
**Signature**

**Chair, University Board of Trustees:** \_\_\_\_\_  
**Signature**

**Campus Equal Opportunity Officer:** Dr. Bennie L. Osborne

**Local Phone:** (305) 348-2785

**SUNCOM:** 441-2785 **Fax:** (305) 348-3459

**E-Mail Address:** Osborneb@fiu.edu

**Plan received by the Office of Equity & Access:** \_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

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**Institution: Florida International University**

**PART I**  
**SUBMISSION OF POLICIES & PROCEDURAL REQUIREMENTS**

Please submit for review, all new or modified policies and procedures pursuant to FL Statutes Section 1000.05, The Florida Educational Equity Act, the FL Statutes Section 1012.95, Employment Equity Accountability Program, the Civil Rights Act & Title IX of the Education Amendments of 1972. Changes in the policies will be requested in subsequent years to this reporting period and in monitoring work plans. The OEA will review policies and procedural requirements to assess if they meet state and federal standards.

See Appendix 1, which includes three new University policies:

1. Expansion of Non-Discrimination Policy to include Sexual Orientation
2. Same-Sex, Domestic Partnership Health Insurance Stipend
3. Severe Weather/Emergency Closing: Guidelines for Emergency Evacuation & Preparedness for Persons with Disabilities

**PART II**  
**INCOMPLETE ITEMS OR PENDING ACTION**

Indicate below items that were incomplete at the time that the 2003-04 Annual Employment Accountability Plan (EAP) was submitted. Please note that, starting from the 2003-04 reporting period, the EAP became a part of the Annual Equity Act Update, which will comprise reporting requirements for The Florida Educational Equity Act and the Employment Equity Accountability Plan.

There are no incomplete or pending policies that fall within the scope of this request.

### **PART III**

### **STUDENT PARTICIPATION**

**Program Area:      Graduate Students**

Please see the templates (sent to you electronically) to complete and compare Fall 03 and Fall 04 data on the enrollment and graduation rates of graduate students in targeted groups. The formulas are included in the tables. Please cut and paste into the report, as appropriate.

A comparison of your 03 and 04 data should show the progress being made for the targeted groups. Also, fill in the charts below to document methods and strategies to increase enrollment and graduation rates for students in the targeted groups. Please note that effective methods and strategies should reflect a positive change in the numbers from 03-04. Where progress is not shown, an explanation should be included as to why this is the case, and targeted methods and strategies should be developed included in the report.

This section of the report demonstrates the institution's progress in achieving equal educational opportunity. The DOE will evaluate first-degree enrollment gaps, retention and graduation information based on 2002-03 and 2003-04 data. The Department of Education's website contains data on current enrollment, retention and graduation rates for state universities with aggregated and disaggregated data, by racial and ethnic groupings and gender. Accordingly, the Office of Equity and Access is requesting universities to develop one to three potentially high impact strategies and success measures for areas where a critical disparity exists among underrepresented groups.

**A. Strategies to Increase Graduate Enrollment Rates (See Appendix 2)**

<b>STRATEGIC ACTION PLAN.</b>	
<b>Identification of underrepresented group(s)</b>	African Americans and Hispanics have traditionally been underrepresented at the graduate level. African American enrollment increased by 29 students this year. Hispanic enrollment was basically flat (decline of 24 students out of 1900 students). Historically, females have also been underrepresented, although in the past few years, the under representation has shifted to males. Although females still dominate in enrollment at the graduate level, we saw some progress this year with an increase of 147 males and a decrease of 10 females..
<b>Methods &amp; Strategies to increase the number of underrepresented groups</b>	Given that Hispanic students are the majority at FIU, there are no specific programs targeted for this population. Some of our African American students participate in the McKnight Scholars program and others in the Graduate Minority Opportunity Program. In addition we have begun a program of outreach to groups which are largely African American or have a large African American component. This includes a graduate school presentation to the McNair Scholars and the hosting of a group of 60 African American Students from the University of Alabama - Birmingham participating in an NSF TRIO grant program. The Graduate School was a major participant in the development of the successful McNair proposal and the University Graduate School (UGS) committed one fellowship for an FIU McNair graduate who was admitted to a graduate program at FIU. We also waive the application fee for all McNair Scholars who apply to graduate programs at FIU. We have also been aiming advertising for our open houses at Florida Memorial College and at Florida A & M University. In our present budget request, we plan UGS and faculty visits to colleges and universities with large African American populations in addition to expenditures of the type discussed above.
<b>Projected Goals for 04-05 in %</b>	We expect Hispanic enrollment to increase at the same rate as enrollment of the University in general. We want African American enrollment to increase at a greater percentage than enrollment in general in order to decrease the underrepresented nature of their participation in graduate education. We want to encourage the recent trend of increasing enrollment of males for all ethnic groups. We are aiming for a 2 % increase. Our ability to achieve this is partially tied to the approval of our advertising budget request.
<b>Contact Person</b>	Dr. Stephan Mintz, Associate Dean

## B. Strategies to Increase Graduate Completion Rates

	STRATEGIC ACTION PLAN.
<b>Identification of underrepresented group(s)</b>	African Americans make up 13.5% of the graduate completions and 11.3% of the graduate enrollments, thus they are over-represented in terms of program completion. Hispanics make up 38.9% of the graduate completions and 38.7% of the graduate enrollments, thus they are only slightly overrepresented. Whites make up 25.2% of the graduation completions and 28.3% of the graduate enrollments. They are the most underrepresented group in terms of completion relative to enrollment.
<b>Methods &amp; Strategies to increase the number of underrepresented groups</b>	The University has programs to assist all students in completing their degree programs in a timely manner, including requirements for Doctoral students to meet with their committees on at least an annual basis and file progress reports with the University Graduate School. At the Master's level we are reducing the number of semesters we will provide financial support to encourage students to focus on degree completion. Obviously these tactics have worked better with our African American and Hispanic populations than with our White population. We will continue these endeavors.
<b>Projected Goals for 04-05 in %</b>	We have two measures: The first is to increase the completion rate for all students. The second is to ensure that the representation of the different student groups in completion is approximately the same as it is in the enrollment data. Again here it makes no sense to put in absolute percentage values because completions must be related to participants. If a particular group has a lower percentage of completion than it does of participation, then we have a problem to address. As noted above, if African Americans continue to represent 11.3% of graduate enrollment, then our goal is for them to represent 11.3% of degree completions; if Hispanic students continue to represent 38.7% of our graduate enrollment, then our goal is for them to represent 38.7% of degree completions. In order to increase our completion rates and obtain information pertinent to retaining our students, we have instructed the graduate program directors to contact all students who have left their programs while in good standing to urge them to return and complete their degrees. We also asked them to determine the reason or reasons why the students left the program. The graduate school also did a direct mailing to these students to urge them to return. The reasons given for leaving our programs were largely personal and did not point to any systemic problems.
<b>Contact Person</b>	Dr. Stephan Mintz, Associate Dean

## **PART IV      REPORT OF SELECTED UNIVERSITY EQUITY INDICATORS**

Program Area: Undergraduate Students

A comparison of your 03 and 04 data should show the progress being made for the targeted groups. Also, fill in the charts below to document methods and strategies to increase enrollment rates of FTICS, retention and graduation rates of students in the targeted groups. Please note that effective methods and strategies should reflect a positive change in the numbers from 03-04. Where progress is not shown, an explanation should be included as to why this is the case, and targeted methods and strategies to address this should be included. (See Appendix 2)

**PART IV A. STRATEGIES TO INCREASE FTIC STUDENT ENROLLMENT RATES  
(among underrepresented groups only)**

	<b>STRATEGIC ACTION PLAN.</b>
<b>Identification of Under-represented Group(s)</b>	African Americans students are underrepresented in the total number of First Time In College (FTIC) Students in the Fall 04 class.
<b>Methods &amp; Strategies to increase the number of under-presented groups</b>	The University continues to utilize several strategies to increase enrollment diversity of undergraduate students. We recruit vigorously in high schools with diverse enrollments and we continue to develop partnerships with high schools to facilitate college readiness. FIU strengthens efforts at the high school level through several programs targeting minority and low income students including Talent Search (6 <sup>th</sup> through 8 <sup>th</sup> graders) and Talent Search II (9 <sup>th</sup> through 11 <sup>th</sup> graders), Partners in Progress I (10 <sup>th</sup> graders) and Partners in Progress II (11 <sup>th</sup> graders), Upward Bound Program, College Reach Out – “Switch On” (a summer residential program for 9 <sup>th</sup> graders), Gear-Up Program and Enlace Program. Workshops are also held with parents regarding college readiness. Efforts have been made to enhance scholarship opportunities and strengthen financial aid packaging to increase access to higher education. The University offers institutional scholarships such as Invitational Scholars and Golden Drum Scholars.
<b>Projected Goals for 04-05 in %</b>	We expect African American enrollment to increase at a greater percentage than enrollments in general in the Fall semester and other semesters of entry (Summer and Spring). We expect to increase the above trend line on an annual basis.
<b>Contact Person</b>	Corinne Webb, VP Enrollment Services.

**PART IV B: STRATEGIES TO ENSURE INCREASED RETENTION RATES  
(among underrepresented groups only)**

	<b>STRATEGIC ACTION PLAN.</b>
<b>Identification of underrepresented group(s)</b>	White Non-Hispanic and Other Minorities (Asian and Indian) are the most under-represented.
<b>Methods &amp; Strategies to increase the number of underrepresented groups</b>	Retention activities across the university include entry orientation, testing and advisement, first year experience classes, Freshman interest groups (learning communities), and extensive efforts to involve students in campus life. Additional efforts focus on those leaving with FIU GPAs of <2.0 by providing academic alert and interventions through academic assistance both in-person and online. Supplemental instruction and tutoring is taking place in the Residence Halls and in several locations on campus as well as online for commuter students. New or expanded programs coming on line for 2005 include peer mentoring, enhanced advising services, mandatory orientation for transfer students, and new online resources for high failure gateway classes. An early alert system will be implemented Summer of 2005 to track the success of students identified as academically at risk and to offer interventions in their first semester before they have failed any classes. Email is used to communicate with students frequently about services to support their success and continued enrollment.
<b>Projected Goals for 04-05 in %</b>	Retention rates will increase for all student groups. We expect to increase the above trend line on an annual basis.
<b>Contact Person (s)</b>	Dr. Rosa L. Jones, VP Academic Affairs and Undergraduate Education

**PART IVC. STRATEGIES TO ENSURE INCREASED GRADUATION RATES**  
**(among underrepresented groups only)**

	<b>STRATEGIC ACTION PLAN.</b>
<b>Identification of underrepresented group(s)</b>	Males of all groups are the most significantly under-represented with 49% of the entering cohort and only 34% of the graduating class.
<b>Methods &amp; Strategies to increase underrepresented groups</b>	<p>Strategies to promote minority success appear to be making a difference. African Americans are 9.8% of the entering cohort and 13% of the graduating class, giving them strong representation in the graduating class. In addition to aforementioned retention strategies, activities currently being implemented include early linkage to the majors, seamless advisement from lower to upper division, upper-division mandatory orientations, and increased support to transfer students.</p> <p>Programs/majors are employing success strategies including summer bridge programs, recitation sessions, enhanced advisement and mentoring by faculty, and online support systems designed to help commuting students.</p> <p>It is important to note that financial constraints leading to full time employment is affecting the graduation rate for males. We are increasing student awareness of financial aid opportunities and encouraging students to sustain full time enrollment in classes.</p>
<b>Projected Goals for 04-05 in %</b>	Graduation rates for all groups will increase. Average time-to-graduation will also decrease for the general population and for under-represented groups. We expect to increase the above trend line on an annual basis.
<b>Contact Person</b>	Dr. Rosa L. Jones, VP Academic Affairs and Undergraduate Education



## PART V - ISSUES IN ATHLETICS

### A. Diversity in Athletic Program Management and Leadership

This section is designed to compile information and data related to diversity among individuals currently employed as **full-time** athletic directors and full-time coaches. Please provide below the breakout of current employees in these job categories by race/ethnicity and gender. Indicate percentage change from fall 2003 to fall 2004.

Target Employees	Total # Full-Time Employees	White	Black	Hispanic	Asian	Other	Male	Female
Percentage Fall 03		65.1	23.3	11.6	0.0	0.0	73.2	26.8
*Directors:	10	7	1	2	0	0	7	3
<u>Coaches:</u> Women's Sports	16	10	5	1	0	0	4	12
Men's Sports	20	8	9	3	0	0	19	1
Total	46	25	15	6	0	0	28	16
Percentage Fall 04		54.4	32.6	13.0	0.0	0.0	60.9	34.8
Percentage change Fall 03 to Fall 04		-10.8	+9.3	+1.4			-12.3	+8.0

**\*Includes Associate and Assistant Directors.** Please note: Each university should include a statement to explain variations in numerical counts for full-time and half-time coaches.

## PART V - ISSUES IN ATHLETICS

This section is designed to compile information and data related to diversity among individuals currently employed as **\*part-time** athletic directors and coaches. Please provide below the breakout of current employees in these job categories by race/ethnicity and gender.

Target Employees	Total # Full-Time Employees	White	Black	Hispanic	Asian	Other	Male	Female
Percentage Fall 03		55.6	22.2	11.1	11.1	0.0	88.9	11.1
<b>*Directors:</b>								
<u>Coaches: Women's Sports</u>	8	5	1	2	0	0	7	1
Men's Sports	7	4	1	2	0	0	7	0
Total	15	9	2	4	0	0	14	1
Percentage Fall 04		60.0	13.3	26.7	0.0	0.0	93.3	6.7
Percentage change Fall 2003 to Fall 2004		+4.4	-8.9	+15.6	-11.1	0.0	+4.4	-4.4

**\*Include OPS employees**

## PART V - ISSUES IN ATHLETICS

### Employment Strategies

- a. List below strategies to develop and prepare women and racial minorities for promotional opportunities leading to employment as athletic directors and coaches:

Women and racial minorities in leadership positions are members of the senior executive team and are involved in all staff meetings and decision making processes as it relates to budgetary and personnel matters. These individuals are developed for promotional opportunities by supervising operating budgets and directly supervising head coaches and professional staff at the department head and assistant athletic director levels. Evaluation processes are on-going and include weekly one-on-one meetings, most of which include professional development and mentoring.

- b. Describe the search process for hiring **full-time coaches**:

All search processes are conducted under the supervision of the Division of Human Resources and Equal Opportunity Programs. The process includes face to face interviews with the Director of Athletics, Intercollegiate Athletics Senior Staff, Selected Fulltime Coaches, Faculty Athletic Council members, and when appropriate, members of the President's Executive Council, and members of the outside community. Steps are taken to ensure that all applicant pools and the interviewers are balanced in respect to gender and race.

- c. Where search committees are utilized in the selection and hiring of **full-time coaches**, what steps are taken to ensure diversity on the search/selection committee(s)?

See above, section B. Once the interview committees are selected, they are verified by the Associate Athletic Director (Senior Women's Administrator) and the Faculty Athletic Representative for diversity in representation, with special emphasis on women and ethnic minorities.

- d. What efforts are made to encourage part-time coaches to apply for vacant positions as full-time athletic directors and coaches?

We have only nine part-time coaches. Part-time coaches are involved in all department meetings and informational seminars relating to NCAA compliance. In essence, part time coaches are treated like full-time staff members and trained accordingly due to the fact that they are responsible for student-athletes and NCAA compliance. Part-time coaches are always interviewed and considered when a full-time position opens.

- e. Specify media, including publications, agencies, organizations and networks utilized to identify qualified applicants as coaches and athletic directors:

Anytime a position opens, it is advertised nationally in the NCAA news and within the State of Florida University system. We send notices to every NCAA Division I Conference office and identify open positions in the Black Coaches Association.

- f. Describe modifications the institution will make to ensure greater diversity among individuals hired as athletics directors and full-time coaches.

We feel current practices are sensitive to and accommodate this practice.

## PART V - ISSUES IN ATHLETICS

### B. Gender Equity in Athletics – Compliance Review and Corrective Action Plan

- In the 2003-04 Update, universities that were out of compliance in one or more components of the Athletics Self-Review completed a Corrective Action Plan. If your university filled out the corrective action plan, please indicate the status of the plan for this 2004-05 report.

	Males 2003-2004	Males 2004-2005	Females 2003-2004	Females 2004-2005	Total 2003-2004	Total 2004-2005
Baseball	38	27	0	0	38	27
Basketball	17	14	15	14	32	28
Golf	0	0	10	9	10	9
Softball	0	0	18	19	18	19
Swimming	0	0	14	16	14	16
Tennis	0	0	8	9	8	9
Track, Field & CC	27	38	27	29	54	67
Volleyball	0	0	15	15	15	15
Soccer	32	24	28	23	60	47
Football	92	90	0	0	92	90
Total Participants	206	193	135	134	341	327
% of Participants	60.41%	59.02	39.59%	40.98%		
EF2A Enrollment	14,389	15,240	19,195	19,821	33,584	35,061
Percent	42.84%	43.47%	57.16%	56.53%		

**Note:** OCR defines a participant as anyone who: 1) participated in competition, or 2) participated with the team and was eligible for competition but did not play in the game. Participation is determined as of the date of the first competitive event for the sport. This section applies to all universities offering intercollegiate sports, where there is disproportionality found between the rate at which women are enrolled full-time in the university and the rate at which women are participation in intercollegiate sports.

**Corrective Action Plan.** If the Fall 2004 full-time enrollment of women was greater than five percentage points above the representation of women participating in sports, describe below the university's plan to correct this disparity. Specify modifications proposed for 2005 and include a time line for completion of the Plan.

The following are taken directly from the EADA Title IX Gender Equity Report and will demonstrate the consistent increase in female opportunities.

	2002-2003		2003-2004	
	Men's	Women's	Men's	Women's
<b>Total Participants</b>	223	137	264	177
<b>Percentage of Participants</b>	61.9	38.1	59.9	40.1

(1) Gender Equity in Athletics Component	(2) Planned Actions To Address Deficiencies Found in Athletics	(3) Responsible Person(s) and Contact Information	(4) Time Lines
<p>In conjunction with FIU Title IX Committee and the Athletic Council, alterations will be made to current Title IX/Gender Equity plan to address participation numbers.</p>	<p>The plan to address this issue will be executed in three distinct phases.</p> <p>1. In 2004-05, 26 additional scholarships were dedicated to women's sports programs in an effort to increase participants.</p> <p>2. In 2005-06, since the additional women's scholarships improved but did not significantly impact the scholarship balance between men and women, the following interventions will be implemented: Male program rosters will be capped as a means of balancing participation opportunities. Please note that the capping will not negatively impact student-athlete experience and welfare. At the end of Spring 2005 semester, the numbers will be determined and approved by the Faculty Athletic Council.</p> <p>Five additional women's scholarships will be added (note: all but two women's sports are fully funded – track is at 13 out of 18 and swimming is at 13 out of 14). Additionally, instead of increasing the scholarships (i.e. adding mean, housing) of our current women's students to meet the 200 scholarships, this year we want to add new students to increase the overall numbers.</p> <p>The Department of Institutional Research, will conduct an interest survey among incoming FIU female students to assess potential interest for consideration of a new women's program in the future.</p>	<p>Mr. Rick Mello, Director of Athletics</p> <p>Dr. Steve Fain, Faculty Athletics Representative</p>	<p>August 1, 04</p> <p>August 1, 05 – August 1, 07</p>

	<p>3. If the aforementioned efforts are not successful, an additional women's sport will be considered provided there is demonstrated interest in a specific program that is not currently offered (even if it is an NCAA emerging program or club sport). The sports considered will be judo, crew or team handball, since they already exist as club sports. However, this may be altered depending on the result of the interest survey. Please note that it is our intent, however, to fully fund the sports that are in existence before adding another sports program.</p>		August 1, 07
--	--	--	--------------

The above Corrective Action Plan will be implemented to bring the institution into compliance within the time frame indicated in the Plan.

\_\_\_\_\_  
Signature of the Athletic Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Review Completion Date

\_\_\_\_\_  
Signature of the Title IX Coordinator and/or  
Title IX Committee Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
Review Completion Date

2. Indicate one of three tests by which they demonstrate compliance with Title IX.

The University has demonstrated compliance with Title IX by showing a history of expanding opportunities for female students. In 1998, the University added a women's softball program creating opportunities for 18-20 additional female students. In 2004-2005 in the programs sixth year, we offered the NCAA maximum of 12 scholarships for the softball student-athletes. In 2003, the University added a women's swimming and diving program creating opportunities in South Florida for 20 plus female students. In the 2005-2006 academic year, 13 of the NCAA 14 allowable equivalencies will be offered to female swimming and diving students. For the 2004-2005 academic year, an additional 25 scholarships were allocated to the women's basketball, women's soccer, volleyball, track, tennis, golf and softball programs. For the 2005-2006 year, all of the women's programs will be funded to the NCAA maximum for scholarships, except for women's track (13 of 18) and women's swimming (13 of 14). These two programs will reach their full funding in the 2006-2007 academic year. FIU has demonstrated a consistent practice of offering additional participation opportunities for women by adding sports that have a regional following and by providing additional scholarships for women throughout the existing sport programs. A survey will be conducted within the next three months to assess if we are meeting the interests of the females within the University and surrounding area.



3. Each updated Plan will include assessments of gender equity in sports based on the test identified and will provide an assessment of the university's compliance with Title IX. A comparison will be made of men's and women's programs at each sports level. (See Appendix 3 – Corrective Action Plan for Non-Compliance Components in Athletics)

### Compliance Verification Form

1. Sports and levels of competition effectively accommodate the interests and abilities of members of both sexes. *[Section 1000.05(3)(d)(1), F.S.; Rule 6A-19.004(2), FAC; Title IX: 106.41(c)(1)]*

☒

IN COMPLIANCE

☐

NOT IN COMPLIANCE

2. Equipment and supplies are provided equitably to female and male teams.  
*[Section 1000.05(3)(d)(2), F.S.; Rule 6A-19.004(4), FAC; Title IX: 106.41(c)(2)]*

☒

IN COMPLIANCE

☐

NOT IN COMPLIANCE

3. Scheduling of games and practice times provide for equal opportunities.  
*[Section 1000.05(3)(d)(3), F.S.; Rule 6A-19.004(5), FAC; Title IX: 106.41(c)(3)]*

☒

IN COMPLIANCE

☐

NOT IN COMPLIANCE

4. Travel and Per Diem allowances are provided for athletes in an equitable manner.  
*[Section 1000.05(3)(d)(4); Rule 6A-19.004(6), FAC; Title IX: 106(c)(4)]*

☒

IN COMPLIANCE

☐

NOT IN COMPLIANCE

5. Opportunities to receive coaching are provided in an equitable manner.  
*[Section 1000.05(3)(d)(5), F.S.; Rule 6A-19.004(7), FAC; Title IX: 106.41(c)(5)]*

☒

IN COMPLIANCE

☐

NOT IN COMPLIANCE

6. Locker rooms, practice facilities and competitive facilities are of comparable quality for male and female teams. *[Section 1000.05(3)(d)(7), F.S.; Rule 6A-19.004(8), FAC; Title IX: 106.41(c)(7)]*

☐

IN COMPLIANCE

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NOT IN COMPLIANCE

7. Medical and training facilities and services, including insurance, are provided in an equitable manner. *[Section 1000.05(3)(d)(8), F.S.; Rule 6A-19.004(9), FAC; Title IX: 106.41(c)(8)]*

☒

IN COMPLIANCE

☐

NOT IN COMPLIANCE

8. Publicity and promotion of male and female teams supports equal opportunity.  
[Section 1000.05(3)(d)(10), F.S.; Rule 6A-19.004(10), FAC; Title IX: 106.41(c)(10)]

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IN COMPLIANCE

☐

NOT IN COMPLIANCE

9. Support services are equitable for male and female teams.  
[Rule 6A-19.004(11), FAC; Title IX: 106.41(a)]

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IN COMPLIANCE

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NOT IN COMPLIANCE

10. Provision of housing, dining facilities and services provide equal opportunity.  
[Section 1000.05(3)(d)(9), F.S.; Rule 6A-19.004(12), FAC; Title IX: 106.41(c)(9)]

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IN COMPLIANCE

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NOT IN COMPLIANCE

11. Recruitment of student athletes is conducted in a manner which provides equal opportunity. [Rule 6A-19.004(13), FAC; Title IX: 106.41 (a)]

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IN COMPLIANCE

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NOT IN COMPLIANCE

12. Recruitment, assignment and compensation of tutors is equitable.  
[Rule 6A-19.004(14), FAC; Title IX: 106.41(c)]

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IN COMPLIANCE

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NOT IN COMPLIANCE

13. Financial aid is awarded to athletes in a manner which provides equal opportunity.  
[Rule 6A-19.005, FAC; Title IX: 106.37(c)]

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IN COMPLIANCE

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NOT IN COMPLIANCE

14. Modes of transportation and travel and per diem allowances are provided in an equitable manner. [Section 1000.05(2), F.S.]

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IN COMPLIANCE

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NOT IN COMPLIANCE

15. Titles and descriptions of extracurricular activities are free of bias.  
[Section 1000.05(3)(d)(1), F.S.; Title IX: 106.9 (b)]

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IN COMPLIANCE

☐

NOT IN COMPLIANCE

16. Equipment and supplies are adequate for the needs and suitable for the services of all extracurricular activities. [Section 1000.05, F.S.]

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IN COMPLIANCE

☐

NOT IN COMPLIANCE

17. Criteria for participation in extracurricular activities are free of bias.  
[Section 1000.05, F.S.]

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IN COMPLIANCE

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NOT IN COMPLIANCE

18. Extracurricular meetings and practices are scheduled at times when all students can participate. [Section 1000.05(3)(c)(3), F.S.]

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IN COMPLIANCE

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NOT IN COMPLIANCE

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Signature of the Athletic Director

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Date

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Review Completion Date

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Signature of the Title IX Coordinator and/or  
Title IX Committee Chair

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Date

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Review Completion Date

**PART VI**  
**UNIVERSITY EMPLOYMENT ACCOUNTABILITY PLAN**

**1.     2003-2004 Progress Update**

**A.     Analyses of personnel Transactions**

Each state university shall maintain an annual equity plan for appropriate representation of women and minorities in senior level administrative positions within tenure track faculty and within faculty-granted tenure.

Table 5, summary report, (Appendix 4) of the 2003-2004 EAP and Table A, detail, (Appendix 6) present goals for identified under representation of females and minorities in senior level A&P, academic administrative and ranked faculty positions for the reporting period. While Table B (Appendix 6) provides specific information regarding hires and promotions for the targeted areas, Table 1 (Appendix 4) provides hiring and promotion activity for all positions in categories covered by the Report.

Even though Florida International University did not meet targeted hiring/promotion goals in specific disciplines, it is important to note that Table 1 (summary) provides a more accurate reflection of overall hiring and promotion of females and minorities throughout the University. The Table shows that overall, a total of 30 Females, 5 African Americans; 11 Hispanics; and 17 Other minorities were hired or promoted during the reporting period. Clearly, the overall figures far exceed the projected hires/promotions.

The following is a recap of hiring and/or promotion activity relative to 2003-2004 Goals Assessment (See Appendix 6, Tables A&B):

## **COLLEGE OF ARTS AND SCIENCES**

### Computer and Information Sciences:

**Goal:** Hire 1 Female Instructor.

**Outcome:** 2 Females were promoted to the rank of Associate Professor, 1 African American was hired as an Assistant Professor, 2 Hispanics were promoted to Associate Professor, and 3 Other Minorities were hired and promoted to the ranks of Assistant and Associate Professors.

### Modern Languages:

**Goal:** Hire 1 Hispanic Instructor.

**Outcome:** Goal was not met.

### English:

**Goal:** Hire 1 African American Associate Professor.

**Outcome:** Goal was not met. However, 1 African American was hired as an Assistant Professor. The candidate did not meet the requirements for the Associate Professor rank.

### Life Sciences:

**Goal:** Hire 1 Female Associate Professor and 1 Hispanic Assistant Professor.

**Outcome:** Goal was not met. However, there is currently a Female faculty member being considered for promotion to Associate Professor. Additionally, 1 Female Assistant Professor was hired.

### Mathematics:

**Goal:** Hire 1 Female Associate Professor.

**Outcome:** Goal was not met.

### Physical Sciences:

**Goal:** Hire 2 Hispanic Associate Professors and 1 Other Minority Associate Professor.

**Outcome:** Goal was partially met. 2 Other Minority candidates were hired or promoted to Associate Professor. In addition, 1 Other Minority was hired at the rank of Assistant Professor.

### Social Sciences:

**Goal:** Hire 1 African American Associate Professor.

**Outcome:** Goal was not met. There were no searches for an Associate Professor and there were no African American Assistant Professors up for promotion.

Visual and Performing Arts:

**Goal:** Hire 1 African American Associate Professor.

**Outcome:** Goal was not met. There were no African Americans in the application pool.

**COLLEGE OF HEALTH AND URBAN AFFAIRS**

Public Affairs:

**Goal:** Hire 1 African American Associate Professor, 1 Female Associate Professor, and 1 Female Full Professor.

**Outcome:** The goal was not met.

**SCHOOL OF ARCHITECTURE**

**Goal:** Hire 1 Other Minority Assistant Professor.

**Outcome:** The goal was not met.

**COLLEGE OF EDUCATION**

**Goal:** Hire 1 Female Assistant and 1 Female Associate Professor, 1 African American Associate Professor, and 1 Other Minority Associate Professor.

**Outcome:** Goal was partially met. Hired 1 Female Associate Professor and promoted 1 Female to Full Professor.

**RACE & GENDER REPRESENTATION IN SELECTED POSITIONS (Appendix 4)**

**Total Senior Level Administrative**

The Senior Level Administrative category includes Administrative and Professional (A&P) employees generally at the Vice President, Associate, and Assistant Vice President levels. According to Table 5, there were a total of 106 Senior Level Administrators in the Fall 2004, of which, 56 (52.8%) were Females. Furthermore, 14 (13.2%) were African Americans and 41 (38.7%) were Hispanics.

**Total Academic Administrative**

The Academic Administrative category includes Directors, Deans, Chairpersons, Librarians, and Executives. These positions are usually held concurrently with faculty rank. According to Table 5, there were a total of 117 Academic Administrators in the Fall 2004, of which, 39 (33.3%) were Females. Also, 8 (6.8%) were African Americans, 14 (12.0%) were Hispanics, and 7 (6.0%) were Other Minorities.

According to Table 1, during 2003-2004, there were 7 positions filled by either new hires or promotions in the Academic Administrative category. Females constituted 42.9% and Other Minorities were 14.3%.

### **Total Ranked Faculty**

According to Table 5, there were a total of 1,652 faculty members in Fall 2004, of which, 528 (32.0%) were Females. Also, 123 (7.4%) were African Americans, 221 (13.4%) were Hispanics, and 204 (12.3%) were Other Minorities.

According to Table 1, during 2003-2004, there were 169 positions filled by either new hires or promotions in the Ranked Faculty category. Females were 33.1%, African Americans were 4.5%, Hispanics were 15.9%, and Other Minorities were 19.7%.

### **B. Tenure Granting Analyses**

1. The equity report shall also include the current rank, race, and gender of faculty eligible for tenure in a category. In addition, each university shall report representation of the pool of **tenure-eligible** faculty at each stage of the transaction process and provide certification that each eligible faculty member was apprised annually of progress toward tenure.

See Appendix 7.

2. Each university shall also report on the dissemination of standards for achieving tenure; racial and gender composition of committees reviewing recommendations at each transaction level; and dissemination of guidelines for equitable distribution of assignments.

Standards for tenure and promotion are stated in the University Tenure and Promotion Manual. University policy requires that faculty be given assignments that provide an equitable opportunity to achieve tenure or promotion. See Appendix 8.

3. Each university should provide information on the tenure nomination and approval processes, including the rank race and gender of faculty eligible for tenure by category; race and gender composition of the tenure nomination committee; and documentation showing that each eligible member was notified of such eligibility.

On an annual basis, all tenure-earning faculty are apprised of progress towards tenure and all faculty receive annual evaluations. See Appendix 9.

## **2. 2004-2005 EAP Update**

### **A. Analyses of Current Staff**

Each university should generate information based on institutional staff records. However, each university should check these counts before conducting any analyses and make necessary adjustments if there are any discrepancies.

Table C (Appendix 6) provides information on all under-represented groups in accordance with the format used for the EAP Standardized Data File (Appendix 5). The Table provides under-representation information for Female, African American, Hispanic, and Other Minority employees in Senior Level Administrative, Academic Administrative, and Ranked Faculty positions. In summary, the table reflects a total under-representation of Females of 112, African Americans of 52, Hispanics of 39, and Other Minorities of 141. The under-utilization number for Other Minority is high due in large part to the fact that Native Americans are included in the category.

### **B. Goals for the 2004-2005 EAP Update**

Each university should establish specific, measurable goals to increase the number of women and/or minorities in the positions which have been identified as under represented in the above staffing analyses.

These goals (2005) should be completed only where under representation of minorities and/or females exists, by each EAP category (Senior-Level Administrative {A&P}; Academic Administrative – Chairperson, Dean, Director, Librarian, and Executive; and Ranked Faculty – Professor, Associate, Assistant, and Instructor positions), by Male, Female, White, African-American, Hispanic, and Other Minorities (includes Asian, Pacific Islanders, American Indians, and Alaskan Natives), based on the race and gender

Each university may utilize goal placement and guidelines of the EEO categories 1 to 3 in their most recent Affirmative Action Plan to generate a summarized table which indicates the specific measurable goals and the gender (See Table 5). However, the category and classification of the summarized table using relevant Affirmative Action Plan components should match the corresponding EAP category and classification in the EAP Update.

Table D (Appendix 6) identifies female and minority under-representation within specific units, as reported in the University's 2004-2005 Affirmative Action Plan. Column I of the EAP Standardized Data File reflects the projected goals of the previous year. Column M and Table 5 reflect the projected goals for 2005.

### **C. Components of the 2004-2005 Plan Update Narrative**

Each university shall include the analysis and assessment of 2003-2004 goal achievement by EAP job groups, race, and females.



For those categories in which prior year goals were not achieved, a narrative explanation and description of specific strategies designed to assist in achieving the diversity goals for females and minorities shall be included.

Monitoring mechanisms to be utilized during the EAP Plan year by the university to help ensure that the institution is making progress toward achieving its diversity goals as articulated in the EAP Update shall be included.

Description of the progress utilized by the university regarding its annual assessment of the EAP Plan is to be included. That description should include the specific measure employed by the president to review and evaluate the EAP Plan for effectiveness in achieving its stated annual equity goals and objectives. Further, the statement should include the procedure utilized by the institution to modify its EAP Plan and strategies, as necessary.

#### **D. The Budgetary Incentive Plan**

The Budgetary Incentive Plan should be developed to support and ensure the achievement of the stated annual equity goals as indicated in the Section 1012.95(5), Florida Statutes. The plan should include how resources will be allocated, for what they will be used, and the amount to be allocated, along with a comparison of the amount allocated last year. Please see more details in the guidelines to the 05 Update.

The Budgetary Incentive Plan, 2004-2005 EAP Update, narrative report, Fall 2003-2004 to staff headcount changes and 2004-2005 goal setting should be included in the Annual Equity Update and submitted to the FBOE through the OEA.

The University has agreed to continue supporting the previous year's successful principles for allocation and use of resources for the Equity Accountability Plan. These are as follows:

- The Academic Affairs budget office has, in past years, set aside, annually, a minimum of three faculty positions to be used as a pool of *Window of Opportunity* lines. Due to budget issues, one African American was hired through this program. It is fully anticipated that this pool will be restored to a minimum of three lines when prior budget cuts are restored.
- Funds to ensure advertising of faculty positions in minority access publications will be centrally managed by the Academic Affairs budget office and allocated to the respective departments based on PVA and PAR approvals.
- Similarly, funds to ensure advertising of executive and administrative positions in minority access publications will be centrally managed by the University budget office and allocated to the respective units based on PVA and PAR approvals. Currently, these required publications are *The Miami Times* and the *El Nuevo Herald*.
- Any funds to support minority/female faculty appointments on *Window of Opportunity* lines will be centrally managed by the Academic Affairs Budget Office.

- Any funds to support the Summer Research Award Program will be centrally managed by the vice president for Research and Graduate Studies, working closely with the Academic Affairs budget office.
- Academic Affairs will continue to support the leadership program for minority and female participants selected for the FIU Educational Enhancement Leadership Grant program each year.

Anticipated allocations, compared to last year's allocations:

<b><u>Estimated Expenditures</u></b>	<b><u>2004-2005</u></b>	<b><u>2005-2006</u></b>
	<b>Actual</b>	<b>Projected</b>
Window of Opportunity Lines	*	*
Faculty Advertising (est.)	\$ 30,000	\$ 30,000
Enhancement Leadership Grant	\$ 10,000	\$ 10,000

\*To be determined as opportunities arise

### **3. Summary Of Results of Presidential Evaluations**

Section 1012.95 (3)(b) Florida Statutes (F.S.), provides as follows:

- (b) The university boards of trustees shall annually evaluate the performance of the university presidents in achieving the annual equity goals and objectives. A summary of the results of such evaluations shall be included as part of the annual equity progress report submitted by the university boards of trustees to the Legislature and the State Board of Education.

Universities will provide in this section a response to this section of law, including the most recent date on which the president was evaluated.

#### **Goals:**

- Meet or exceed the Accountability Performance Goals as presented in the Florida Educational Equity Act Report, Annual Update.
- Implement on-line Performance Evaluation and Applicant Tracking System by June 2004.
- Inaugurate Leadership Academy and introduce Leadership Development and Professional Skills Development Programs.

#### **Outcomes:**

We are reporting on the University Accountability Performance Goals on two levels: (1) targeted areas where under-representation of protected groups was identified and (2) overall recruitment results. Although the University was not altogether successful in recruiting individuals in all the targeted areas, overall, we exceeded the employment equity accountability program goals for protected groups for 2002-2003. (This was the latest available report prior to the evaluation process).

We successfully implemented an Applicant Tracking System in October 2003. It has allowed the Department of Workforce Recruitment to become proactive partners with the university community compared to the older, paper-intensive process. We went "live" with the system in October 2003. The new system has speeded up the application and screening process and has reduced the time needed to fill positions by almost 40%.

We have developed an On-line Performance Evaluation System that will be ready for implementation in January 2005. Development was aided by focus groups and small group presentations.

We successfully launched a Comprehensive Leadership Development Initiative which included the following:

- The Leadership Academy for senior leaders with an initial cohort of 25—principally deans and vice presidents—who attended several sessions during the year;
- The President's Leadership Breakfasts for 125 FIU leaders featuring internationally-known speakers, including Herminia Ibarra of INSEAD and Jim Loehr of LGE Performance Systems; and
- The Leadership Development and Professional Skills Development Program identified leadership topics that were presented in 27 open-enrollment leadership development workshops.

#### **4. Summary of Results of Evaluation of Selected Staff**

The university will provide a summary of the results of the evaluation of department chairpersons, deans, provosts, and vice presidents in achieving employment accountability goals. Also provided are the remedial steps to be taken when staff evaluations yield unsatisfactory progress toward meeting intended goals.

While the *University Equity Accountability Progress Report and Plan Update* outlines the institutional equity goals and progress, the university President, Modesto A. Maidique, maintains that during his tenure equity has always been a priority. The President reports that each vice president is evaluated annually on their individual performance with regard to equity goals. Specifically, each vice president is required to submit an annual summary report of personnel within their respective divisions. A discussion of each new hire, retirees, and the like, is conducted during the evaluation to assess compliance with the University's EAP goals and objectives. The President holds each vice president accountable for maintaining equity goals.

It is the responsibility of the Chief Academic Officer, Provost and Executive Vice President for Academic Affairs to ensure compliance with equity accountability goals for the deans, directors, and department chairpersons. The Provost and Chief Academic Officer evaluate each dean, director and department chairperson with respect to the established equity goals and the outcomes for each academic year. Specifically, the Provost requires that each dean, director, and chairperson follow the established procedures to ensure compliance with the equity goals established for the respective departments, as part of the University's equity plan. The overall goals are reported in the *FIU Equity Accountability Report*.

The 2004-2005 Progress Reports reflect the University's success in hiring and promoting minorities and females despite budgetary constraints. The report indicates that the University President continues to emphasize the importance of cultivating diversity in all areas of the University. Furthermore, the report identified specific strategies implemented by the Provost regarding the attainment of affirmative action goals (in compliance with Section 1012.95, F.S.).

## **5. Certification of Key Processes**

Pursuant to (SECTION 1012.96 (2) (d), FLORIDA STATUTES)

“Each university shall also report on the dissemination of standards for achieving tenure; racial and gender composition of committees reviewing recommendations at each transaction level; and dissemination of guidelines for equitable distribution of assignments”.

a. My university maintains diversity and balance in the gender and ethnic composition of the selection committee for each vacancy that occurs in senior level, academic administrative and ranked faculty positions. The guidelines used for ensuring balanced and diverse membership on selection and review committees are described as follows:

The Office of Equal Opportunity Programs provides areas of goals for each academic search, identifies those areas in which there is under representation of women and ethnic/racial minorities, and provides the orientation and goals for each search and screen committee. Before a departmental search and screen committee is appointed, the respective Dean notifies and reminds the employing department that the search and screen committee must have balanced and diverse membership.

b. My university is in compliance with State Board of Education Rule 6A-14.0411, which sets forth the requirements for receiving tenure. The process used to grant tenure status is described below: (If there are no changes from previous year's Update, please indicate below as well).

The enclosed Tenure and Promotion Manual delineates the Advisory Guidelines, the Policies and Procedures, and Tenure/Promotion file.

Each faculty member on a tenure-earning appointment is reviewed annually by her/his department and results are shared with the Dean and with the faculty member. Faculty are evaluated in terms of their achievements and progress made in the areas of teaching, research/creative activity, and service. Recommendations may be made for improvement in one or more areas.

c. The following describes the process used to annually apprise each eligible faculty member of progress toward attainment of tenure status:

Please see 5.44 TENURE APPRAISAL from the Academic Affairs Policies and Procedures Manual.

In addition, each faculty member on a tenure-earning appointment is reviewed annually by her/his department and the written results are shared with the Dean and with the faculty member. Faculty are evaluated in terms of their achievements and progress made in the areas of teaching, research/creative activity, and service. These annual, written evaluations are to be construed as formative, not summative, evaluations. Recommendations may be made for improvement in one or more areas.

d. My university has developed a budgetary incentive plan to support and ensure attainment of the goals developed pursuant to Section 1012.96 (d), F.S. Summarized below is a description of the incentive plan, including how resources shall be allocated to support the achievement of goals and the implementation of strategies in a timely manner.

The University is committed to providing sufficient financial support to achieve the goals (see Table 5, 2004-05 Equity Accountability Program Update) of its Equity Accountability Program. The Office of the Executive Vice Provost for Academic Administration provides oversight for the budget support.

e. The following describes how funds are used to increase the number of women and racial/ethnic minorities on tenure status:

Both questions related to the University's Window of Opportunity hires. When a department identifies an outstanding female and /or racial/ethnic minority faculty candidate, Academic Affairs splits the costs of the appointment with the department.

Pursuant to Section 1012.96 (2) (d), Florida Statutes I hereby certify that the information provided above is true to the best of my knowledge and that information and data will be available upon request as a demonstration of good faith effort to comply with this section.

\_\_\_\_\_  
President

\_\_\_\_\_  
Date

**Florida International University**  
(Institution)

## **PART VII**

### **E. One Florida Initiative: Selected University Challenges**

1. Provide an update of the programs, services and activities that are a part of the post secondary access initiative at your university. Please indicate the name and information of the contact person.

**Talent Search (6<sup>th</sup> through 8<sup>th</sup> graders) and Talent Search II (9<sup>th</sup> through 11<sup>th</sup> graders):**  
Educational Talent Search is a TRIO program to serve middle and high school students. Dr. Simms and Elena Cruz oversee the program. They serve 600 students during the academic year and summer. It is a federally funded initiative to prepare for college, an awareness and enrichment program. The program is located in BBC and serves North Dade.

Talent Search is in its third year at Florida International University, with an average cost of \$340/student. The approximate number of alumni of the FIU program is 80, with its number significantly increasing every year. Close to 70% of these students went on to pursue postsecondary education, well above the 54% of all low-income students who attempt postsecondary education nationwide and significantly above the 35% matriculation rate for the North Dade target high schools served by the grant.

The following are some highlights of the 2004 FIU Talent Search Annual Performance Report submitted to the U.S. Department of Education:

- 100% of the middle school students stated that being in Talent Search has made them improve their behavior and are more diligent in their academic pursuits.
- 91% of middle school students believe that they will obtain a college degree.
- 87% of middle school students who participated in the regular year stated that their knowledge of educational and career choices has grown since joining Talent Search.
- 93% of high school participants in the regular year components indicated that their study habits and motivation to gain admission to college has increased since being a part of Talent Search.
- 88% of the high school participants believe that they will obtain a college degree.
- 90% of the high school participants indicated that being a part of Talent Search has made them feel better about themselves and gave them a more positive outlook on their future.

**Partners in Progress I (10<sup>th</sup> graders) and Partners in Progress II (11<sup>th</sup> graders):**

Sofia Santiesteban, Director: 305-348-1745

Partners in Progress (PIP I and PIP II) is a pre-college initiative to recruit and retain high school students in FIU and Florida. Funding comes from a partnership with MDCPS and FIU. The program serves 400 students in the summer: 300 in PIP I (SAT prep) and 100 in PIP II (dual enrollment for SAT above 1000 --with the new SAT it will be 1500). Invitational Scholars is PIP III; Lisa Walter-Austin oversees Invitational Scholars.

**Upward Bound Program:**

Sofia Santiesteban, Director: 305-348-1745

Upward Bound is also a TRIO program funded by the USDOE. The contract is to serve 80 students in the academic year and 60 in the residential summer program. The program carries a list of 110 students during the year and selects 60 for the summer. It serves 9th through 12th graders who are low-income and first generation in college and is an enrichment program to prepare students for entry and success in college. The program is housed in UP.

**College Reach Out – “Switch On” (a summer residential program for 9<sup>th</sup> graders):**

Sofia Santiesteban, Director: 305-348-1745

College Reach Out (CROP) is a yearly and summer program. The Program starts in 6th grade and continues through 12th grade. CROP is part of the South Florida Consortium. The grant is submitted in partnership with MDC. FIU serves 250 students and MDC serves 350. FIU concentrates in South Dade; MDC serves North and Central Dade. CROP is funded through Florida DOE. In the summer, several programs are sponsored: CROP Summer Middle School, SWITCH-ON Residential, CROP Summer B (Math & Science nonresidential). These programs take place in UP.

**Center of Excellence (COE) is a foundation program (Florida Education Fund) to promote excellence among minorities of African American descent.**

Sofia Santiesteban, Director: 305-348-1745

Keriann Boxhill, Co-Director 305-348-2436

Each year, 20 students are inducted to the National Achievers Society in the Spring and 20 in the Fall. We start with 4th through 12th grade. In the Summer, we have COE Summer Middle School North in BBC and COE Middle School South in UP, COE Math and Science North in BBC. In addition, we conduct a Black History Brain Bowl before the beginning of Spring in consort with MDCPS. Usually we have 35 to 40 teams representing middle and high schools. Each team has seven participants. The winners represent the South Florida COE in Tampa and compete for the State championship. FIU participates and attends the State Summit in Tampa.

**Gear-Up Program:**

Robert Vos, Director of Biscayne Bay Program: 305-348-6742

Gustavo Roig, Director of Homestead Programs: 305-348-3700

GEAR UP is a federally funded initiative. FIU has two programs: one on the Biscayne Bay Campus and one in Homestead. The programs serve students from middle school through high school. Both programs in FIU have summer components.

### **Biscayne Bay Program**

The Greater Miami Urban Pact in the College of Education sponsors two GEAR UP programs at the Biscayne Bay Campus. *GEAR UP EDISON* is in its third year with the cohort of students in the ninth grade at Miami Edison Senior High School. The *GEAR UP EXPRESS* program is in its sixth year with its students in the eleventh grade at Miami Central Senior High School. (While GEAR UP is a five year program, *GEAR UP EXPRESS* was awarded a sixth year of funding last year.) Our task is to assist the schools in preparing and encouraging the students for post secondary education. The stated charge of the programs are "to accelerate the academic achievement of cohorts of middle and secondary school at-risk students so that increasing numbers will graduate from high school, enroll and succeed in college." Students in both programs are engaged in similar activities that include tutoring – before, during, and after school, a Saturday Academy, a Summer Academy, job site visits, mentoring, local and statewide college tours, financial aid counseling, healthy lifestyles counseling, college fairs, health fairs, PSAT and SAT and/or FCAT preparation activities, as well as a host of speakers and other enrichment activities designed to keep them in school. Additionally parents are advised about college-going as well as financial aid opportunities for their child. Special interest workshops are held periodically for parents. GEAR UP also provides professional development funds for school staff that might not otherwise be possible.

### **Homestead Program**

During this last year, the program has been witness to many great achievements by the target group of students, both collectively and individually. The overall grade point averages of the students have shown statistically significant improvements. The scores obtained on the Florida Comprehensive Aptitude Test (FCAT), a statewide, standardized test for measuring academic improvement, have consistently improved since the first year. In fact, ASPIRA South Charter Middle School, initially graded as an ‘F’ school has improved to the point where this year’s FCAT results (due out in late May) are expected to show the school has moved up to a ‘B’. At Homestead Middle School, the school has achieved a high ‘C’ grading, up from a low ‘D’ initially. At South Dade Senior High School, the same results are expected this year: a ‘C’, up from a ‘D’ initially. At the time of this report, partial results from the 2005 FCAT tests show that all grade levels at all three schools have shown moderate to significant improvement on Writing scores (only writing scores for 8<sup>th</sup> and 10<sup>th</sup> grades are available).

### **Enlace Program:**

Gustavo Roig, Director: 305-348-3700

Enlace is a Kellogg Foundation initiative. The program also sponsors a Summer program in Engineering. Its mission is to increase the representation of Hispanics in the university pipeline by providing programs and services to increase student achievement in the Miami coral Park Feeder Pattern schools. Sample programs include:



**Math Tutoring:** University students tutor K-12 students in mathematics at ENLACE Miami schools. Contact the ENLACE Miami Office for more information (305) 348-3714.

**Reading Tutoring:** University students who are trained by the America Reads program help K-12 students with reading comprehension at ENLACE Miami schools.

**Science Tutoring:** University students help K-12 students understand science concepts at ENLACE Miami schools.

**Research Experience:** Florida International University professors from different subject areas mentor, work with, and provide exposure to research labs to high school students in the 11th and 12th grades who are interested in pursuing a professional career in their fields. This service is offered at FIU's University Park Campus.

**Dual Enrollment:** 11th and 12th grade students who qualify, may enroll in College Credit Courses offered at their high school or at FIU for free, therefore, allowing them to receive college credit while they attend high school.

**Aspira's Parents for Educational Excellence (APEX) Parent Training:** Training program for parents of ENLACE students. This program provides parents with the tools to become more involved in their child's education as well as their own personal development. Contact Miriam Ortiz, Aspira of Florida, for more information, (305) 576-1512 Ext. 21.

**Families Learning at School and Home (FLASH) Parent Training:** A parent training program provided by FIU's College of Education to teach parents how to improve their English language and literacy skills, increase their involvement in their child's academic and personal lives. Contact Dr. Delia Garcia for more information (305) 348-3598.

**K-Camp Summer Enrichment Program:** Students in the 5th through 8th grades may attend a summer enrichment program at FIU. The goal of this program is to prepare students for the university experience. Contact the ENLACE Miami Office for more information (305) 348-3714.

2. For strategies identified in the 05 Update, describe indicators that would show the effectiveness of the programs in improving access to higher education. Describe the effectiveness of the alliances in creating opportunities for high school students to attend higher education institutions?

Indicators demonstrate that FIU's highest enrollment is among minority populations with highest retention and graduation rates among Hispanic and African American students, both with higher rates than White, non-Hispanic and Asian students. Indicators also show improvements in minority male retention and graduation rates. Directors of the program meet in roundtable discussions to share results and enhance collaborations.

Our community benefits from the economic empowerment as more local students attend and graduate from college due to the continuity of our services. FIU establishes positive relationships with our local community. Through TRIO programs and other pre-college efforts, FIU can effectively engage the community and is better positioned to serve low income students. Talent Search, for example, has provided upward mobility for low-income students for forty years, and those students who have fully engaged in GEAR UP activities are doing better in school, have identified post-secondary goals, do better on high stakes tests, have better attendance and less referrals.

3. What are the future plans that would improve the effectiveness of the alliances?

Despite potential funding challenges for some of these programs, plans are ambitious for continued success. For example, the GEAR UP Homestead program is working to establish sustainability and institutionalization of many of the activities that have been provided by the grant. Our legacy is to identify existing organizations or avenues that can provide the services necessary to continue to deliver significant academic preparation for the target group of students and schools. These local or regional providers will serve as substitutes to the federally funded activities provided by our GEAR UP program. Our report lists the areas where major activities of the GEAR UP Homestead program are already marked for substitution by these local providers. Overall, the target group of students and schools continue to improve in a variety of areas. Standardized test scores and grade point averages continue to rise, along with attendance rates. Levels of motivation, enthusiasm, and aspiration have also increased.

## **APPENDICES**

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

Rule 6C8-1.009: Non-Discrimination Policy and Discrimination Complaint Procedures

(1) General Statement

(a) Florida International University affirms its commitment to ensure that each member of the University community shall be permitted to work or study in an environment free from any form of illegal discrimination including race, color, religion, age, disability, sex, sexual orientation, national origin, marital status, and veteran status. The University recognizes its obligation to work towards a community in which diversity is valued and opportunity is equalized. This rule establishes procedures for an applicant or a member of the University community to file a complaint of alleged discrimination or harassment.

(b) It shall be a violation of this rule for any officer, employee or agent to discriminate against or harass, as hereinafter defined, any other officer, employee, student, agent, or applicant. Discrimination and harassment are forms of conduct which shall result in disciplinary or other action as provided by the rules of the University (see Rules 6C8-4.006, and 6C8-4.019, Florida Administrative Code).

(2) Definitions

(a) For the purpose of this rule, discrimination or harassment is defined as treating any member of the University community differently than others are treated based upon race, color, religion, age, disability, sex, sexual orientation, national origin, marital status and/or veteran status.

(b) Conduct which falls into the definition of discrimination includes, but is not limited to:

1. Disparity of treatment in recruitment, hiring, training, promotion, transfer, reassignment, termination, salary and other economic benefits, and all other terms and conditions of employment on the basis of membership in one of the listed groups.
2. Disparity of treatment in educational programs and related support services on the basis of membership in one of the listed groups.
3. Limitation in access to housing, or to participation in athletic, social, cultural or other activities of the University because of race, color, religion, age, sexual orientation, disability, national origin, marital status and/or veteran status.
4. Discrimination of the foregoing types on the basis of sex, unless based on bona fide requirements or distinctions, in housing, restrooms, athletics and other such areas.
5. Retaliation for filing complaints or protesting practices which are prohibited under this rule.

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(c) Conduct which falls into the definition of harassment includes, but is not limited to, harassment based on race, color, religion, age, disability, gender, sexual orientation, national origin, marital status or veteran status. (For harassment on the basis of sex, see 6C8- 1.010.) Within the content context of

this rule, harassment is defined as conduct which unreasonably interferes with an employee's, student's or applicant's status or performance by creating an intimidating, hostile, or offensive working or educational environment. It includes offensive or demeaning language or treatment of an individual, where such language or treatment is based typically on prejudicial stereotypes of a group to which an individual may belong. It includes, but is not limited to, objectionable epithets, threatened or actual physical harm or abuse, or other intimidating or insulting conduct directed against the individual.

(d) Scope of prohibitions: Activities covered under this rule include, but are not limited to, all educational, athletic, cultural and social activities occurring on a campus of or sponsored by Florida International University, housing supplied by the University, and employment practices between the University and its employees, including Other Personnel Services (AOPS@) employees.

(e) When referred to in this rule, days means calendar days unless otherwise noted.

### (3) Procedures for Reporting Violations and Conducting Investigations and Complaints.

(a) Administration and Consultation. The Office of Equal Opportunity Programs shall administer the policies and procedures outlined in this rule. The Office of Equal Opportunity

Programs shall answer inquiries regarding the procedures contained in this rule and may provide informal advice regarding issues of discrimination. In cases where the potential complainant chooses not to file a formal complaint, action will be taken to inform the alleged offender of the concerns, suggesting that the individual monitor and modify (if necessary) his/her behavior.

#### (b) Complaints.

1. A complaint must be made in writing to the Office of Equal Opportunity Programs. The complaint shall contain the name of the complainant and state the nature of the act(s) complained of, including such details as the name of the alleged offender and the date(s) or approximate date(s) on which the offending act(s) occurred, the name(s) of any witnesses, and the desired resolution(s).

2. A complaint must be filed within one hundred (100) days of the alleged act(s) of discrimination, or in the case of a student complaint against a faculty member, within ten (10) University business days of the beginning of class of the following semester.

3. The Office of Equal Opportunity Programs shall investigate the complaint. This investigation may include, but shall not be limited to, interviewing the person complained about regarding the allegations, interview of other persons who may have information relevant to the allegations, preparation of witness statements for all persons interviewed, and review of any relevant

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documents. Upon completion of the investigation, a report shall be prepared which includes a summary of the complaint, a description of the investigation, the findings, and recommendations.

(c) Conciliation. The Office of Equal Opportunity Programs may attempt conciliation during the course of an investigation of a complaint. If conciliation is not achieved, then the Office of Equal Opportunity Programs shall continue to investigate the complaint, and shall issue a written finding concerning probable cause within a maximum of one hundred (100) days. If conciliation of the complaint was achieved between the parties in cooperation with the Office of Equal Opportunity Programs, and the alleged offender fails to abide by the agreement or retaliates against the complainant, the complainant or supervisor should notify the Office of Equal Opportunity Programs. The Vice President for Student Affairs and Human Resources or a designee may then

require the complaint to proceed as if conciliation had not been reached.

(d) Findings. The report of the Office of Equal Opportunity Programs shall be made known to the Vice President for Student Affairs and Human Resources or designee, the complainant, the alleged offender, the immediate supervisor of the alleged offender, and the appropriate vice president.

(e) Review.

1. Either party may seek review of the finding of the Office of Equal Opportunity Programs to the Vice President for Student Affairs and Human Resources or a designee by filing a request for a review within twenty (20) days of receipt of the Office of Equal Opportunity Programs finding. It shall specify the basis of the appeal. The appeal shall be based on one or more of the following: relevant evidence was not reviewed and/or new evidence is available; or, the factual evidence was insufficient to support the findings.

2. The request shall be in writing, and shall set forth the issues to be considered in the appeal. Copies of the appeal shall be provided to the opposing party and to the Director, Equal Opportunity Programs.

3. The opposing party and the Director, Equal Opportunity Programs, may file a response to the appeal to the Vice President for Student Affairs and Human Resources or designee within twenty (20) days of receipt of the appeal.

4. The Vice President for Student Affairs and Human Resources or designee shall issue a written finding no more than twenty (20) days after the receipt of the appeal, or of a response to the appeal, whichever is later.

(f) Resolution. Upon final acceptance by the Vice President for Student Affairs and Human Resources or designee of a finding on the complaint, the immediate supervisor of the alleged offender may provide a reasonable resolution to the complaint (e.g., that a student be allowed to change sections, that the employee report to a different supervisor) and may also recommend or take disciplinary action against the alleged offender; the proposed resolution shall be approved by the Office of Equal Opportunity Programs. Disciplinary action shall be taken in accordance

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with the rules and regulations affecting the class of employee and the terms of any applicable collective bargaining agreement.

(g) Prohibition of Retaliation. No University employee shall retaliate against a complainant. Any attempt to penalize a student, employee or agent for initiating a complaint through any form of retaliation shall be treated as a separate allegation of discrimination.

Specific Authority 1001.74(4), FS. Law Implemented 1000.05, 1001.74(10), (19), 1006.60, 1012.92 FS.  
History--New 7-6-97, Amended 11-3-02, \_\_\_\_\_

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### **Same-Sex Domestic Partnership Health Insurance Stipend**

**Purpose:**

To provide financial assistance to FIU employees in same-sex domestic partnerships, to obtain affordable health insurance coverage for a same-sex domestic partner.

**Policy:**

FIU employees who meet the participation requirements set out in the policy will be eligible for a health insurance stipend to assist in defraying the cost of health insurance for a same-sex domestic partner. The annual stipend amount will be the difference between the University's annual contribution for a 1.00 FTE employee for employee-only coverage at the cost level selected by the employee, and the University contribution for family coverage at the same cost level. The stipend amount will be adjusted whenever changes are made in the employee's coverage selection or in the amount of the University contribution to the FIU health insurance, to reflect such changes. The stipend will be paid to participating eligible FIU employees on a quarterly basis.

**Eligibility:**

For the purposes of this policy, a domestic partner is an individual of the same sex who shares a committed and mutually-dependent relationship with the University employee. In order to be eligible for the health benefit stipend, the employee must have individual coverage with the University and both the employee and domestic partner must attest that:

1. they are of the same sex, and for this reason are unable to. marry each other under Florida Law,
2. they are at least eighteen (18) years of age, and have the mental capacity to consent to a contract,
3. they are unmarried and unrelated by blood,
4. they have resided together for at least the prior six (6) months.
5. they are jointly responsible for each other's financial obligations, including household and living expenses and medical expenses,
6. the non-employee domestic partner is not employed or is not eligible for health benefits through his or her employer,
7. they have completed the Declaration of Domestic Partnership Certification,
8. medical coverage is in effect for the domestic partner and coverage shall be maintained during any period for which the same-sex domestic partner health insurance stipend is sought, and

9. the employee is covered under FIU's health insurance plan with individual coverage.

**Required Documentation:**



The employee must submit documentation (such as an employer-provided handbook, benefits booklet or notification) showing that the partner's employer does not provide health insurance coverage or that the partner is not eligible for such coverage, or that the partner is not presently employed. In addition, proof of domestic partner medical coverage must be sent to FIU's Department of Benefits Administration on a semi-annual basis.

Additionally, at least **THREE (3)** of the following documents must be submitted to support the domestic partner relationship:

- \$ Joint ownership of real property in the prior 6-month period
- \$ Mutual designation as attorney in durable power of attorney documents
- \$ Joint ownership of personal property or assets, such as automobiles or stock
- \$ Designation of health care surrogate
- \$ Joint bank account for at least the prior 6-month period
- \$ Legal documentation demonstrating joint adoption or legal guardianship of any dependents, whether children or adults
- \$ Joint loan
- \$ Joint credit card for at least the prior 6-month period
- \$ Joint lease
- \$ Designation of Beneficiary (Life insurance)
- \$ Designation of Beneficiary (Retirement Plan)
- \$ Designation of Beneficiary (Will)

#### **Confidentiality:**

At Florida International University, all benefit elections are treated with the highest degree of confidentiality and sensitivity. Information about employee election or participation in the same-sex domestic partner health insurance stipend will be subject to and maintained according to the same strict internal processes and protocols for all confidential employee information. Internal and external access to employee benefit data, including information relating to participation in this policy, is limited to only those individuals directly responsible for managing data, budget, and entering employee elections, and such data is shared only on a need-to-know basis.

#### **Tax implications:**

The amount of the cash stipend will be taxable to the employee and subject to FICA and income tax withholding only. This amount will not count towards retirement, life insurance or any other benefits.

#### **Enrollment and Participation Procedures:**

An employee who wishes to participate in the same-sex domestic partnership health insurance stipend must (1) complete the Declaration of Same-Sex Domestic Partnership Certification form found on the Division of Human Resources' website, and (2) submit the completed Certification form, the attestations of the employee and domestic partner

and the required documentation in a personal/confidential envelope to the Benefits Department in care of the Director of Benefits.

Upon receipt of the necessary form, documentation and attestations, the application will be reviewed. If approved, the Division of Human Resources will consider the partnership registered as of the date on the Certification form and will notify the employee in writing in a personal/confidential envelope.

Once participation and eligibility is approved, documentation showing continued health insurance coverage for the domestic partner must be submitted to the Benefits Department on an annual basis. FIU may terminate the health insurance stipend if the domestic partner does not provide proof of continued medical coverage.

### **Termination of Participation:**

An employee receiving the health insurance stipend shall notify the Benefits Department, in writing, immediately upon the termination of the domestic partnership for which participation has been approved, by completing the Declaration of Termination of Same-Sex Domestic Partnership Certification form and forwarding it to the Benefits Department within thirty (30) days of its termination. The employee must then wait one year from the date of the notice before obtaining eligibility for same-sex domestic partner stipend, except if (1) the employee is registering the same domestic partnership within thirty (30) days of submitting notice of termination of that domestic partnership, or (2) the employee's former domestic partnership was dissolved through the death of the domestic partner.

An employee who makes false statements about satisfying the eligibility criteria or fails to notify the Division of Human Resources' Benefits Department of a change in status will be subject to disciplinary action up to and including dismissal.

**Florida International University**  
**Division of Human Resources**

**Severe Weather/Emergency Closing**

**Purpose:**

To provide guidelines for employees in the event of severe weather or emergency closing of the University.

**Policy:**

Although the University will make every effort to remain open on scheduled workdays, there may be instances where conditions make it impossible to do so. These include, but are not limited to, severe weather, declared state of emergency, utility disruptions, natural disasters and terrorist actions. In all cases, employee safety will be the primary consideration.

Recognizing that employees with disabilities may require additional time to prepare for and respond to challenges presented by inclement weather conditions such as hurricanes, a voluntary participation program was created for early notification of inclement weather conditions.

During periods of inclement weather conditions, staff in the Department of Equal Opportunity Programs will contact individuals on the registry to advise them of the situation. Therefore, if special arrangements need to be made, advance warning is provided to those employees.

During periods of severe inclement weather, public emergency or other crisis, the President or a designated executive officer of the University may issue an announcement of campus status as appropriate to the situation on the university telephone system (305-348-HELP [4357]), UNIVMAIL, or other appropriate media. In general, such a campus status announcement will inform the general public, as well as university students and employees that the university campuses or a specific designated portion of the university is closed for a specific time period.

- § Such announcement may specify that classes are canceled until or after a specified time, or for the entire day.
- § Such announcements may specify that all events or programs, including both university and non-university events held in university facilities, are canceled.
- § Such announcements may specify that certain university offices and facilities are closed except the following essential offices that never close under any circumstances:
  - o University Police
  - o Office of Residence Life/Housing Units
  - o Utility Plants
  - o Emergency Maintenance Operations
  - o Any research unit where the integrity of the research must be preserved
- o Service units that routinely operate on a seven day per week, twenty-four hour per day service schedule
- o Other essential employees previously identified by each respective Vice President

Compensating employees for time away from the University due to severe weather or an emergency closing will be determined at the time of the event and will be conveyed via UNIVMAIL,

**Program Analysis - Annual Equity Report  
2004-05**

**Appendix 2**

**University:** Florida International University  
**Part III**

**A. Entering Graduate Students Enrollment Rates**

	Black	Hispanic	White	Other Minority	Total	Gap B-W	Gap H-W	Gap OM-W	Male	Female
Fall 03	240.0	645.0	460.0	187.0	1532.0	-220.0	185.0	-273.0	642	889
Fall 04	307.0	763.0	504.0	241.0	1815.0	-197.0	259.0	-263.0	783	1032
Change	67.0	118.0	44.0	54.0	283.0	23.0	74.0	10.0	141.0	143.0
% increase	27.9%	18.3%	9.6%	28.9%	18.5%	-10.5%	40.0%	-3.7%	22.0%	16.1%

\*Other Minority Includes International Students, Asian/Pacific Islander and American Indian/Alaskan Natives

**B. Graduate Enrollment Rates**

	Black	Hispanic	White	Other Minority	Total	Gap B-W	Gap H-W	Gap OM-W	Male	Female
Fall 03	571.0	1909.0	1391.0	188.0	4937.0	-820.0	518.0	-1203.0	2076	2861
Fall 04	600.0	1885.0	1343.0	189.0	5074.0	-743.0	542.0	-1154.0	2223	2851
Change	29.0	-24.0	-48.0	1.0	137.0	77.0	24.0	49.0	147.0	-10.0
% increase	5.1%	-1.3%	-3.5%	0.5%	2.8%	-9.4%	4.6%	-4.1%	7.1%	-0.3%

**C. Graduate Completion Rates**

	Black	Hispanic	White	Other Minority	Total	Gap B-W	Gap H-W	Gap OM-W	Male	Female
2002-03	188.0	748.0	437.0	47.0	1830.0	-249.0	311.0	-390.0	810	1020
2003-24	218.0	743.0	494.0	68.0	1939.0	-276.0	249.0	-426.0	832	1147
Change	30.0	-5.0	57.0	21.0	109.0	-27.0	-62.0	-36.0	22.0	127.0
% increase	16.0%	-0.7%	13.0%	44.7%	6.0%	10.8%	-19.9%	9.2%	2.7%	12.5%

**A. Undergraduate Students Enrollment Rates (FTICs)**

	Black	Hispanic	White	Other Minority	Total	Gap B-W	Gap H-W	Gap OM-W	Male	Female
Fall 03	155.0	885.0	345.0	83.0	1519.0	-190.0	540.0	-262.0	744	775
Fall 04	175.0	1151.0	381.0	80.0	1878.0	-206.0	770.0	-301.0	924	954
Change	20.0	266.0	36.0	-3.0	359.0	-16.0	230.0	-39.0	180.0	179.0
% increase	12.9%	30.1%	10.4%	-3.6%	23.6%	8.4%	42.6%	14.9%	24.2%	23.1%

**B. Undergraduate Students Retention Rates**

	Black	Hispanic	White	Other Minority	Total	Gap B-W	Gap H-W	Gap OM-W	Male	Female
FTIC Fall 03	158.0	936.0	357.0	88.0	1590.0	-199.0	579.0	-269.0	764	826
Sophomore F	130.0	802.0	272.0	75.0	1319.0	-142.0	530.0	-197.0	610	709
Change	-28.0	-134.0	-85.0	-13.0	-271.0	57.0	-49.0	72.0	-154.0	-117.0
% increase	-17.7%	-14.3%	-23.8%	-14.8%	-17.0%	-28.6%	-8.5%	-26.8%	-20.2%	-14.2%

**C. Undergraduate Students Graduation Rates**

	Black	Hispanic	White	Other Minority	Total	Gap B-W	Gap H-W	Gap OM-W	Male	Female
2002-03	589.0	2460.0	838.0	173.0	4593.0	-249.0	1622.0	-665.0	1816	2777
2003-04	636.0	2547.0	909.0	185.0	4800.0	-273.0	1638.0	-724.0	1851	2949
Change	47.0	87.0	71.0	12.0	207.0	-24.0	16.0	-59.0	35.0	172.0
% increase	8.0%	3.5%	8.5%	6.9%	4.5%	9.6%	1.0%	8.9%	1.9%	6.2%

## PART V ISSUES IN ATHLETICS

### Corrective Action Plan for Non-Compliance Components in Athletics

(1) Gender Equity in Athletics Component	(2) Planned Actions To Address Deficiencies Found in Athletics	(3) Responsible Person(s) and Contact Information	(4) Time Lines
Equipment and practice facilities for swimming and diving program	<p>During a team meeting, it was indicated that student-athletes did not receive practice suits, towels and sandals. These items have been purchased for next year out of this year's budget and will be on hand for the beginning of the 2005-06 school year.</p> <p>It was reported during exit interviews that during winter holiday that meals and travel were not manageable due to lack of resting places at the Biscayne Bay campus. Next year, funds will be added to the administrative budget to cover either dorm rooms on the BBC campus or hotel rooms for the entire holiday training period as well as a catered meal between the morning and afternoon practice. Cost is yet to be determined.</p> <p>The delay in the construction of the new Recreation Center on the Biscayne Bay campus has left the program without locker room space for the 2 Saturday practices and the 3-4 competition meets (this accounts for a total of 16 sessions). This problem will be alleviated once the new center is built.</p>	<p>Mr. Rick Mello, Director of Athletics</p> <p>Ms. Julie Berg, Associate Director of Athletics</p> <p>Dr. Steve Fain, Faculty Athletic Representative</p>	August 2005
			December 2006

	The diving well was not heated this year. There was money allocated for the well – see attached e-mail – but the funds were expended by the BCC staff to meet other needs. The heater will be installed by the start of the 2005 Fall Semester.		August 2005
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The above Corrective Action Plan will be implemented to bring the institution into compliance within the time frame indicated in the Plan. If already completed, indicate completion date.

\_\_\_\_\_  
Signature of the Athletic Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Review Completion Date

\_\_\_\_\_  
Signature of the Title IX Coordinator and/or  
Title IX Committee Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
Review Completion Date



**TABLE 1**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) PROGRESS REPORT, 2004-2005**  
**PERSONNEL TRANSACTIONS\***  
**BY RACE AND GENDER**

**University**      Florida International University

<b>Position Category</b>	<b>Male</b>		<b>Female</b>		<b>White</b>		<b>African American</b>		<b>Hispanic</b>		<b>Other(1)</b>		<b>Grand Total</b>
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	
<b>Senior Level Admin.</b>	6	54.5%	5	45.5%	8	72.7%	0	0.0%	3	27.3%	0	0.0%	11
<b>Academic Admin.</b>													
Chairperson	1	50.0%	1	50.0%	2	100.0%	0	0.0%	0	0.0%	0	0.0%	2
Dean	1	100.0%	0	0.0%	1	100.0%	0	0.0%	0	0.0%	0	0.0%	1
Director	1	50.0%	1	50.0%	1	50.0%	0	0.0%	0	0.0%	1	50.0%	2
Librarian	0	0.0%	1	100.0%	1	100.0%	0	0.0%	0	0.0%	0	0.0%	1
Executive	1	100.0%	0	0.0%	1	100.0%	0	0.0%	0	0.0%	0	0.0%	1
Total	4	57.1%	3	42.9%	6	85.7%	0	0.0%	0	0.0%	1	14.3%	7
<b>Ranked Faculty</b>													
Full Professor	32	84.2%	6	15.8%	26	68.4%	0	0.0%	2	5.3%	10	26.3%	38
Associate Professor	25	52.1%	23	47.9%	22	45.8%	4	8.3%	12	25.0%	10	20.8%	48
Assistant Professor	54	71.1%	22	28.9%	46	60.5%	6	7.9%	4	5.3%	20	26.3%	76
Instructor	2	28.6%	5	71.4%	3	42.9%	0	0.0%	2	28.6%	2	28.6%	7
Total	113	66.9%	56	33.1%	97	57.4%	10	5.9%	20	11.8%	42	24.9%	169
<b>Grand Total</b>	<b>123</b>	<b>65.8%</b>	<b>64</b>	<b>34.2%</b>	<b>111</b>	<b>59.4%</b>	<b>10</b>	<b>5.3%</b>	<b>23</b>	<b>12.3%</b>	<b>43</b>	<b>23.0%</b>	<b>187</b>

\* Personnel transactions include new hires and promotions into one of the above position categories.

Note: The percentage representation by race and by gender is calculated based on the total transactions in each EAP category.

(1) Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

SOURCE: Academic Year 2004-05 personnel transactions, as reported by the university.

**TABLE 2a**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2004-2005**  
**RACE GENDER REPRESENTATION IN SENIOR LEVEL ADMINISTRATIVE POSITIONS**  
**COMPARISON OF FALL 2003 AND FALL 2004**

**University** Florida International University

Senior Level Admin.	Male	Female	White	African American	Hispanic	Other*
FALL 2003	42.7%	57.3%	52.4%	13.6%	34.0%	0.0%
FALL 2004	47.2%	52.8%	48.1%	13.2%	38.7%	0.0%
CHANGE FROM 2003 TO 2004	4.5%	-4.5%	-4.3%	-0.4%	4.7%	0.0%

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

Note: Due to rounding, race and gender percentages may not sum to zero.

**TABLE 2b**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2004-2005**  
**RACE GENDER REPRESENTATION IN ACADEMIC ADMINISTRATIVE POSITIONS**  
**COMPARISON OF FALL 2003 AND FALL 2004**

**University** Florida International University

<b>Academic Administration</b>	<b>Male</b>	<b>Female</b>	<b>White</b>	<b>African American</b>	<b>Hispanic</b>	<b>Other*</b>
<b>Chairperson</b>						
Fall 2003	73.7%	26.3%	71.1%	10.5%	7.9%	10.5%
Fall 2004	75.7%	24.3%	78.4%	2.7%	8.1%	10.8%
Change from 2003 to 2004	2.0%	-2.0%	7.3%	-7.8%	0.2%	0.3%
<b>Dean</b>						
Fall 2003	72.7%	27.3%	72.7%	9.1%	9.1%	9.1%
Fall 2004	70.0%	30.0%	70.0%	10.0%	10.0%	10.0%
Change from 2003 to 2004	-2.7%	2.7%	-2.7%	0.9%	0.9%	0.9%
<b>Director</b>						
Fall 2003	62.7%	37.3%	72.5%	7.8%	15.7%	3.9%
Fall 2004	62.0%	38.0%	76.0%	8.0%	14.0%	2.0%
Change from 2003 to 2004	-0.7%	0.7%	3.5%	0.2%	-1.7%	-1.9%
<b>Librarian</b>						
Fall 2003	25.0%	75.0%	62.5%	12.5%	12.5%	12.5%
Fall 2004	33.3%	66.7%	66.7%	11.1%	11.1%	11.1%
Change from 2003 to 2004	8.3%	-8.3%	4.2%	-1.4%	-1.4%	-1.4%
<b>Executive</b>						
Fall 2003	80.0%	20.0%	70.0%	10.0%	20.0%	0.0%
Fall 2004	81.8%	18.2%	72.7%	9.1%	18.2%	0.0%
Change from 2003 to 2004	1.8%	-1.8%	2.7%	-0.9%	-1.8%	0.0%
<b>Total</b>						
Fall 2003	66.1%	33.9%	71.2%	9.3%	12.7%	6.8%
Fall 2004	66.7%	33.3%	75.2%	6.8%	12.0%	6.0%
Change from 2003 to 2004	0.6%	-0.6%	4.0%	-2.5%	-0.7%	-0.8%

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

NOTE: Due to rounding, race and gender percentages may not sum to zero.

**TABLE 2c**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2004-2005**  
**RACE GENDER REPRESENTATION IN RANKED FACULTY POSITIONS**  
**COMPARISON OF FALL 2004 AND FALL 2005**

<b>University</b>		<b>Florida International University</b>				
<b>Ranked Faculty</b>	<b>Male</b>	<b>Female</b>	<b>White</b>	<b>African American</b>	<b>Hispanic</b>	<b>Other*</b>
<b>Full Professor</b>						
Fall 2003	79.6%	20.4%	72.1%	4.2%	14.3%	9.4%
Fall 2004	80.0%	21.3%	71.0%	4.3%	14.7%	10.0%
Change from 2003 to 2004	0.5%	0.9%	-1.1%	0.1%	0.4%	0.5%
<b>Associate Professor</b>						
Fall 2003	64.4%	35.6%	65.3%	7.7%	13.2%	13.8%
Fall 2004	64.7%	34.6%	66.0%	8.0%	13.3%	12.7%
Change from 2003 to 2004	0.3%	-1.0%	0.7%	0.2%	0.2%	-1.1%
<b>Assistant Professor</b>						
Fall 2003	60.2%	39.8%	60.5%	8.3%	14.0%	17.2%
Fall 2004	60.9%	39.1%	58.5%	11.5%	9.7%	20.3%
Change from 2003 to 2004	0.7%	-0.7%	-2.0%	3.2%	-4.3%	3.1%
<b>Instructor</b>						
Fall 2003	54.4%	45.6%	67.8%	7.8%	18.9%	5.6%
Fall 2004	47.0%	41.6%	73.5%	7.2%	16.9%	2.4%
Change from 2003 to 2004	-7.5%	-4.0%	5.7%	-0.5%	-2.0%	-3.1%
<b>Total</b>						
Fall 2003	67.3%	32.7%	66.8%	6.8%	14.3%	12.2%
Fall 2004	67.1%	32.0%	66.8%	7.4%	13.4%	12.3%
Change from 2003 to 2004	-0.2%	-0.8%	0.0%	0.7%	-0.9%	0.2%

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

NOTE: Due to rounding, race and gender percentages may not sum to zero.

**TABLE 3a**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2004-2005**  
**FALL 2004 HEADCOUNT OF EMPLOYEES**  
**BY RACE AND GENDER**

**University**      Florida International University

<b>Position Category</b>	<b>Male</b>		<b>Female</b>		<b>White</b>		<b>African American</b>		<b>Hispanic</b>		<b>Other*</b>		<b>Grand</b>
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>	<b>Total</b>
<b>Senior Level Admin.</b>	50	47.2%	56	52.8%	51	48.1%	14	13.2%	41	38.7%	0	0.0%	106
<b>Academic Admin.</b>													
Chairperson	28	75.7%	9	24.3%	29	78.4%	1	2.7%	3	8.1%	4	10.8%	37
Dean	7	70.0%	3	30.0%	7	70.0%	1	10.0%	1	10.0%	1	10.0%	10
Director	31	62.0%	19	38.0%	38	76.0%	4	8.0%	7	14.0%	1	2.0%	50
Librarian	3	33.3%	6	66.7%	6	66.7%	1	11.1%	1	11.1%	1	11.1%	9
Executive	9	81.8%	2	18.2%	8	72.7%	1	9.1%	2	18.2%	0	0.0%	11
Total	78	66.7%	39	33.3%	88	75.2%	8	6.8%	14	12.0%	7	6.0%	117
<b>Ranked Faculty</b>													
Full Professor	425	80.0%	113	21.3%	377	71.0%	23	4.3%	78	14.7%	53	10.0%	531
Associate Professor	398	64.7%	213	34.6%	406	66.0%	49	8.0%	82	13.3%	78	12.7%	615
Assistant Professor	207	60.9%	133	39.1%	199	58.5%	39	11.5%	33	9.7%	69	20.3%	340
Instructor	78	47.0%	69	41.6%	122	73.5%	12	7.2%	28	16.9%	4	2.4%	166
Total	1108	67.1%	528	32.0%	1104	66.8%	123	7.4%	221	13.4%	204	12.3%	1652
<b>Grand Total</b>	1236	65.9%	623	33.2%	1243	66.3%	145	7.7%	276	14.7%	211	11.3%	1875

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

NOTE: Due to rounding, race and gender percentages may not sum to zero.

**TABLE 3b**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2003-2004**  
**FALL 2003**  
**HEADCOUNT OF EMPLOYEES**  
**BY RACE AND GENDER**

**University** Florida International University

Position	Male		Female		White		African American		Hispanic		Other*		Grand
Category	#	%	#	%	#	%	#	%	#	%	#	%	Total
<b>Senior Level Admin.</b>	44	42.7%	59	57.3%	54	52.4%	14	13.6%	35	34.0%	0	0.0%	103
<b>Academic Admin.</b>													
Chairperson	28	73.7%	10	26.3%	27	71.1%	4	10.5%	3	7.9%	4	10.5%	38
Dean	8	72.7%	3	27.3%	8	72.7%	1	9.1%	1	9.1%	1	9.1%	11
Director	32	62.7%	19	37.3%	37	72.5%	4	7.8%	8	15.7%	2	3.9%	51
Librarian	2	25.0%	6	75.0%	5	62.5%	1	12.5%	1	12.5%	1	12.5%	8
Executive	8	80.0%	2	20.0%	7	70.0%	1	10.0%	2	20.0%	0	0.0%	10
Total	78	66.1%	40	33.9%	84	71.2%	11	9.3%	15	12.7%	8	6.8%	118
<b>Ranked Faculty</b>													
Full Professor	413	79.6%	106	20.4%	374	72.1%	22	4.2%	74	14.3%	49	9.4%	519
Associate Professor	416	64.4%	230	35.6%	422	65.3%	50	7.7%	85	13.2%	89	13.8%	646
Assistant Professor	189	60.2%	125	39.8%	190	60.5%	26	8.3%	44	14.0%	54	17.2%	314
Instructor	98	54.4%	82	45.6%	122	67.8%	14	7.8%	34	18.9%	10	5.6%	180
Total	1116	67.3%	543	32.7%	1108	66.8%	112	6.8%	237	14.3%	202	12.2%	1659
Grand Total	1238	65.9%	642	34.1%	1246	66.3%	137	7.3%	287	15.3%	210	11.2%	1880

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

NOTE: Due to rounding, race and gender percentages may not sum to zero.

**TABLE 4**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2004-2005**  
**HEADCOUNT OF EMPLOYEES IN EAP DEFINED POSITION CATEGORIES**  
**BY RACE AND GENDER**  
**PERCENTAGE POINT DIFFERENCE FROM FALL 2003 TO FALL 2004**

**University**      Florida International University

	Male	Female	White	African American	Hispanic	Other*
Position Category	%	%	%	%	%	%
<b>Senior Level Admin.</b>	4.5%	-4.5%	-4.3%	-0.4%	4.7%	0.0%
<b>Academic Admin.</b>						
Chairperson	2.0%	-2.0%	7.3%	-7.8%	0.2%	0.3%
Dean	-2.7%	2.7%	-2.7%	0.9%	0.9%	0.9%
Director	-0.7%	0.7%	3.5%	0.2%	-1.7%	-1.9%
Librarian	8.3%	-8.3%	4.2%	-1.4%	-1.4%	-1.4%
Executive	1.8%	-1.8%	2.7%	-0.9%	-1.8%	0.0%
Total	0.6%	-0.6%	4.0%	-2.5%	-0.7%	-0.8%
<b>Ranked Faculty</b>						
Full Professor	0.5%	0.9%	-1.1%	0.1%	0.4%	0.5%
Associate Professor	0.3%	-1.0%	0.7%	0.2%	0.2%	-1.1%
Assistant Professor	0.7%	-0.7%	-2.0%	3.2%	-4.3%	3.1%
Instructor	-7.5%	-4.0%	5.7%	-0.5%	-2.0%	-3.1%
Total	-0.2%	-0.8%	0.0%	0.7%	-0.9%	0.2%
Grand Total	0.1%	-0.9%	0.0%	0.4%	-0.5%	0.1%

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.

NOTE: Due to rounding, race and gender percentages may not sum to zero.

SOURCE:

**TABLE 5**  
**STATE UNIVERSITY SYSTEM OF FLORIDA (SUS)**  
**EQUITY ACCOUNTABILITY PROGRAM (EAP) UPDATE, 2004-2005**  
**FALL 2004 HEADCOUNT OF EMPLOYEES AND 2005 GOALS ESTABLISHED**  
**BY RACE AND GENDER**

**University**      Florida International University

	Female			African American			Hispanic			Other*			Grand Total
<b>EAP</b>	Fall 2004	Under	2005	Fall 2004	Under	2005	Fall 2004	Under	2005	Fall 2004	Under	2005	Fall 2004
<b>Position Category</b>	Headcount	rep	Goals	Headcount	rep	Goals	Headcount	rep	Goals	Headcount	rep	Goals	Headcount
<b>Senior Level Admin.</b>	56	0	0	14	0	0	41	0	0	0	-2	0	106
<b>Academic Admin.</b>													
Chairperson	9	-7	0	1	1	0	3	-5	0	4	1	0	37
Dean	3	-1	0	1	0	0	1	-1	0	1	2	0	10
Director	19	-3	0	4	-1	1	7	-4	0	1	3	0	50
Librarian	6	0	0	1	0	0	1	-1	0	1	1	0	9
Executive	2	1	0	1	1	0	2	0	0	0	2	0	11
Total	39	-10	0	8	1	1	14	-11	0	7	9	0	117
<b>Ranked Faculty</b>													
Full Professor	113	51	1	23	18	0	78	11	0	53	32	0	531
Associate Professor	213	33	2	49	11	0	82	7	0	78	35	0	615
Assistant Professor	133	21	7	39	8	4	33	10	2	69	34	4	340
Instructor	69	6	2	12	13	0	28	11	0	4	31	1	166
Total	528	111	12	123	50	4	221	39	2	204	132	5	1652
<b>Grand Total</b>	623	101	12	145	51	5	276	28	2	211	139	5	1875

\* Includes Asians, Pacific Islanders, American Indians, and Alaskan Natives.



2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
Florida International University														
	1	99	1	09	OM		1			0.02		2	-2	-2
	1	99	1	09	B	14			14	0.1		11	3	0
A & P	1	99	1	09	H	35		3	41	0.23		24	17	0
	1	99	1	09	W	54		8	51	0		0	51	0
	1	99	1	09	M	44		6	50	0		0	50	0
	1	99	1	09	F	59		5	56	0.45		48	8	0
	2	99	2	09	OM	2		1	1	0.014		1	0	0
	2	99	2	09	B	4			4	0.096	1	5	-1	-1
	2	99	2	09	H	8	1		7	0.217		11	-4	-4
Directors	2	99	2	09	W	37		1	38	0		0	38	0
	2	99	2	09	M	32		1	31	0		0	31	0
	2	99	2	09	F	19	1	1	19	0.433		22	-3	-3
	2	99	3	09	OM	1			1	0.031		0	1	0
Deans	2	99	3	09	B	1			1	0.078		1	0	0
	2	99	3	09	H	1			1	0.236		2	-1	-1
	2	99	3	09	W	8		1	7	0		0	7	0
	2	99	3	09	M	8		1	7	0		0	7	0
	2	99	3	09	F	3	1		3	0.372		4	-1	-1
	2	99	4	09	OM	4			4	0.015		1	3	0
	2	99	4	09	B	4			1	0.096		4	-3	-3
Chairs	2	99	4	09	H	3	1		3	0.216		8	-5	-5
	2	99	4	09	W	27		2	29	0		0	29	0
	2	99	4	09	M	28		1	28	0		0	28	0
	2	99	4	09	F	10		1	9	0.433		16	-7	-7
	2	99	5	09	OM	1			1	0.071		1	0	0
	2	99	5	09	B	1			1	0.09		1	0	0
Librarians	2	99	5	09	H	1			1	0.207		2	-1	-1
	2	99	5	09	W	5		1	6	0		0	6	0
	2	99	5	09	M	2			3	0		0	3	0
	2	99	5	09	F	6		1	6	0.31		3	3	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	2	99	6	09	OM					0.023		0	0	0
	2	99	6	09	B	1			1	0.11		1	0	0
	2	99	6	09	H	2			2	0.17		2	0	0
Executives	2	99	6	09	W	7		1	8	0		0	8	0
	2	99	6	09	M	8		1	9	0		0	9	0
	2	99	6	09	F	2	1		2	0.36		4	-2	-2
	3	00	9	01	OM	25		5	27	0		0	27	0
	3	00	9	01	B	11			11	0		0	11	0
Prof	3	00	9	01	H	37		1	37	0		0	37	0
	3	00	9	01	W	189		13	189	0		0	189	0
	3	00	9	01	M	209		16	211	0		0	211	0
	3	00	9	01	F	53		3	53	0		0	53	0
	3	00	9	02	OM	45		5	39	0		0	39	0
	3	00	9	02	B	25		2	23	0		0	23	0
Assoc Prof	3	00	9	02	H	44		6	42	0		0	42	0
	3	00	9	02	W	214		13	205	0		0	205	0
	3	00	9	02	M	210		13	200	0		0	200	0
	3	00	9	02	F	118		13	109	0		0	109	0
	3	00	9	03	OM	27		10	35	0		0	35	0
	3	00	9	03	B	14		3	21	0		0	21	0
	3	00	9	03	H	24		3	19	0		0	19	0
Asst Prof	3	00	9	03	W	100		23	105	0		0	105	0
	3	00	9	03	M	98		28	107	0		0	107	0
	3	00	9	03	F	67		11	73	0		0	73	0
	3	00	9	04	OM	5		2	2	0		0	2	0
	3	00	9	04	B	7			6	0		0	6	0
Instructor	3	00	9	04	H	17		2	14	0		0	14	0
	3	00	9	04	W	63		1	61	0		0	61	0
	3	00	9	04	M	50		1	45	0		0	45	0
	3	00	9	04	F	42		4	38	0		0	38	0
	3	03	9	01	OM					0		0	0	0
Natural	3	03	9	01	B					0		0	0	0
Resources	3	03	9	01	H					0		0	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
(Environ.	3	03	9	01	W	1		1	2	0		0	2	0
Studies)	3	03	9	01	M	1		1	2	0		0	2	0
	3	03	9	01	F					0		0	0	0
	3	03	9	02	OM	2		2	3	0		0	3	0
	3	03	9	02	B					0		0	0	0
	3	03	9	02	H					0		0	0	0
	3	03	9	02	W	3			3	0		0	3	0
	3	03	9	02	M	5		2	5	0		0	5	0
	3	03	9	02	F					0		0	0	0
	3	03	9	03	OM			2		0		0	0	0
	3	03	9	03	B				1	0		0	1	0
	3	03	9	03	H					0		0	0	0
	3	03	9	03	W	1				0		0	0	0
	3	03	9	03	M	1		2	1	0		0	1	0
	3	03	9	03	F					0		0	0	0
	3	03	9	04	OM					0		0	0	0
	3	03	9	04	B					0		0	0	0
	3	03	9	04	H					0		0	0	0
	3	03	9	04	W	1			1	0		0	1	0
	3	03	9	04	M	1			1	0		0	1	0
	3	03	9	04	F					0		0	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	04	9	01	OM					0		0	0	0
Architecture	3	04	9	01	B					0		0	0	0
	3	04	9	01	H	1			1	0		0	1	0
	3	04	9	01	W	1			1	0		0	1	0
	3	04	9	01	M	2			2	0		0	2	0
	3	04	9	01	F					0		0	0	0
	3	04	9	02	OM					0.15		1	-1	-1
	3	04	9	02	B	1			1	0.078		1	0	0
	3	04	9	02	H	3		1	3	0.302		2	1	0
	3	04	9	02	W	2			3	0		0	3	0
	3	04	9	02	M	5			6	0		0	6	0
	3	04	9	02	F	1		1	1	0.222		2	-1	-1
	3	04	9	03	OM		1			0.35		1	-1	-1
	3	04	9	03	B					0.019		0	0	0
	3	04	9	03	H	1			1	0.046		0	1	0
	3	04	9	03	W	2			3	0		0	3	0
	3	04	9	03	M	2			2	0		0	2	0
	3	04	9	03	F	1			2	0.071		0	2	0
	3	09	9	01	OM					0		0	0	0
Journalism	3	09	9	01	B					0		0	0	0
	3	09	9	01	H					0		0	0	0
	3	09	9	01	W	4			4	0		0	4	0
	3	09	9	01	M	2			2	0		0	2	0
	3	09	9	01	F	2			2	0		0	2	0
	3	09	9	02	OM					0.13		0	0	0
	3	09	9	02	B	2				0.006		0	0	0
	3	09	9	02	H	2			1	0.33		1	0	0
	3	09	9	02	W	2			1	0		0	1	0
	3	09	9	02	M	2			1	0		0	1	0
	3	09	9	02	F	4			1	0.32		1	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	09	9	03	OM					0.004		0	0	0
	3	09	9	03	B	1		1	1	0.07		0	1	0
	3	09	9	03	H					0.048		0	0	0
	3	09	9	03	W	1				0		0	0	0
	3	09	9	03	M					0		0	0	0
	3	09	9	03	F	2		1	1	0.37		0	1	0
	3	09	9	04	OM					0.004		0	0	0
	3	09	9	04	B					0.07		0	0	0
	3	09	9	04	H					0.048		0	0	0
	3	09	9	04	W	1				0		0	0	0
	3	09	9	04	M	1				0		0	0	0
	3	09	9	04	F					0.37		0	0	0
	3	11	9	01	OM	2		2	4	0		0	4	0
Comp Sci	3	11	9	01	B					0		0	0	0
	3	11	9	01	H	1			1	0		0	1	0
	3	11	9	01	W	8		1	7	0		0	7	0
	3	11	9	01	M	8		3	9	0		0	9	0
	3	11	9	01	F	3			3	0		0	3	0
	3	11	9	02	OM	5			2	0.051		0	2	0
	3	11	9	02	B					0.14		1	-1	-1
	3	11	9	02	H	1		2		0.098		1	-1	-1
	3	11	9	02	W	4			4	0		0	4	0
	3	11	9	02	M	9			6	0		0	6	0
	3	11	9	02	F	1		2		0.14		1	-1	-1
	3	11	9	03	OM	3		1	4	0.038	1	0	4	0
	3	11	9	03	B	1		1	2	0.019		0	2	0
	3	11	9	03	H					0.03		0	0	0
	3	11	9	03	W				2	0		0	2	0
	3	11	9	03	M	3		2	7	0		0	7	0
	3	11	9	03	F	1			1	0.13		1	0	0
	3	11	9	04	OM	1			1	0.02	1			
	3	11	9	04	B	2			2	0.09				
	3	11	9	04	H					0.039				
	3	11	9	04	W	5			5	0				

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	11	9	04	M	6			6	0				
	3	11	9	04	F	2			2	0.37				
	3	13	9	01	OM	1			1	0		0	1	0
Education	3	13	9	01	B	6			6	0		0	6	0
	3	13	9	01	H					0		0	0	0
	3	13	9	01	W	13		1	15	0		0	15	0
	3	13	9	01	M	15			16	0		0	16	0
	3	13	9	01	F	5		1	6	0		0	6	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	13	9	02	OM	2	1		2	0.18		5	-3	-3
	3	13	9	02	B	4	1		5	0.2		6	-1	-1
	3	13	9	02	H	5			4	0.14		4	0	0
	3	13	9	02	W	22		1	17	0		0	17	0
	3	13	9	02	M	13			12	0		0	12	0
	3	13	9	02	F	20	1	1	16	0.75		21	-5	-5
	3	13	9	03	OM					0.05		1	-1	-1
	3	13	9	03	B	1			1	0.078	1	1	0	0
	3	13	9	03	H	3			2	0.052		1	1	0
	3	13	9	03	W	11		2	8	0		0	8	0
	3	13	9	03	M	9		2	7	0		0	7	0
	3	13	9	03	F	6	1		4	0.59		6	-2	-2
	3	13	9	04	OM					0.05		0	0	0
	3	13	9	04	B					0.078	1	0	0	0
	3	13	9	04	H	1			1	0.052		0	1	0
	3	13	9	04	W	4			3	0		0	3	0
	3	13	9	04	M	3			2	0		0	2	0
	3	13	9	04	F	2			2	0.59		2	0	0
	3	14	9	01	OM	7			5	0		0	5	0
	3	14	9	01	B					0		0	0	0
Engineering	3	14	9	01	H	3			3	0		0	3	0
	3	14	9	01	W	11		2	12	0		0	12	0
	3	14	9	01	M	21		2	20	0		0	20	0
	3	14	9	01	F					0		0	0	0
	3	14	9	02	OM	12			11	0.25		7	4	0
	3	14	9	02	B	3			2	0.15		4	-2	-2
	3	14	9	02	H	3			3	0.06		2	1	0
	3	14	9	02	W	10			10	0		0	10	0
	3	14	9	02	M	24			23	0		0	23	0
	3	14	9	02	F	4			3	0.03	1	1	2	0
	3	14	9	03	OM	6		1	10	0.35	2	6	4	0
	3	14	9	03	B	1			1	0.019		0	1	0
	3	14	9	03	H	5			3	0.051		1	2	0
	3	14	9	03	W	5		1	4	0		0	16	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	14	9	03	M	16		2	16	0		0	16	0
	3	14	9	03	F	1			2	0.081	2	1	1	0
	3	14	9	04	OM					0.35	2	1	-1	-1
	3	14	9	04	B					0.019		0	0	0
	3	14	9	04	H	2			2	0.051		0	2	0
	3	14	9	04	W	2				0		0	1	0
	3	14	9	04	M	3			1	0		0	1	0
	3	14	9	04	F	1			1	0.081	2	0	1	0



2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	16	9	01	OM					0		0	0	0
Foreign Lang	3	16	9	01	B					0		0	0	0
Linguistics	3	16	9	01	H	3			3	0		0	3	0
	3	16	9	01	W	3			3	0		0	3	0
	3	16	9	01	M	2			2	0		0	2	0
	3	16	9	01	F	4			4	0		0	4	0
	3	16	9	02	OM					0		0	0	0
	3	16	9	02	B	1			4	0.006		0	4	0
	3	16	9	02	H	5		2	4	0.64		4	0	0
	3	16	9	02	W	2			2	0		0	2	0
	3	16	9	02	M	6		1	5	0		0	5	0
	3	16	9	02	F	2		1	2	0.32		2	0	0
	3	16	9	03	OM					0.048		0	0	0
	3	16	9	03	B					0.027		0	0	0
	3	16	9	03	H				1	0.07		0	1	0
	3	16	9	03	W					0		0	0	0
	3	16	9	03	M					0		0	0	0
	3	16	9	03	F				1	0.451		0	1	0
	3	16	9	04	OM	1			1	0.018		0	1	0
	3	16	9	04	B					0.025		0	0	0
	3	16	9	04	H	3			2	0.113		1	1	0
	3	16	9	04	W			1	2	0		0	2	0
	3	16	9	04	M	1			2	0		0	2	0
	3	16	9	04	F	3		1	3	0.591		3	0	0
	3	19	9	01	OM					0		0	0	0
Family &	3	19	9	01	B					0		0	0	0
Consumer S	3	19	9	01	H					0		0	0	0
(Dietetics)	3	19	9	01	W	3				0		0	0	0
	3	19	9	01	M					0		0	0	0
	3	19	9	01	F	3	1			0		0	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	19	9	02	OM					0.002		0	0	0
	3	19	9	02	B	2				0.241		0	0	0
	3	19	9	02	H	1				0.013		0	0	0
	3	19	9	02	W	4				0		0	0	0
	3	19	9	02	M					0		0	0	0
	3	19	9	02	F	7				0.951		0	0	0
	3	19	9	03	OM					0.02		0	0	0
	3	19	9	03	B					0.097		0	0	0
	3	19	9	03	H					0.031		0	0	0
	3	19	9	03	W					0		0	0	0
	3	19	9	03	M					0		0	0	0
	3	19	9	03	F					0.68		0	0	0
	3	22	9	01	OM					0		0	0	0
Law	3	22	9	01	B					0		0	0	0
	3	22	9	01	H	2			2	0		0	2	0
	3	22	9	01	W	6			8	0		0	8	0
	3	22	9	01	M	6			8	0		0	8	0
	3	22	9	01	F	2			2	0		0	2	0
	3	22	9	02	OM					0		0	0	0
	3	22	9	02	B	1	1	1	1	0		0	1	0
	3	22	9	02	H					0		0	0	0
	3	22	9	02	W	2		1	2	0		0	2	0
	3	22	9	02	M	2		1	2	0		0	2	0
	3	22	9	02	F	1		1	1	0		0	1	0
	3	22	9	03	OM	1			1	0		0	1	0
	3	22	9	03	B				2	0		0	2	0
	3	22	9	03	H	1			2	0		0	2	0
	3	22	9	03	W	1		1	2	0		0	2	0
	3	22	9	03	M	1		1	4	0		0	4	0
	3	22	9	03	F	2			3	0		0	3	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	23	9	01	OM					0		0	0	0
English	3	23	9	01	B	1			1	0		0	1	0
	3	23	9	01	H					0		0	0	0
	3	23	9	01	W	10			11	0		0	11	0
	3	23	9	01	M	9			9	0		0	9	0
	3	23	9	01	F	2			3	0		0	3	0
	3	23	9	02	OM	1			1	0.002		0	1	0
	3	23	9	02	B	1	1		1	0.35		5	-4	-4
	3	23	9	02	H	1			1	0.013		0	1	0
	3	23	9	02	W	13			12	0		0	12	0
	3	23	9	02	M	5			5	0		0	5	0
	3	23	9	02	F	11			10	0.6		9	1	0
	3	23	9	03	OM					0.054		0	0	0
	3	23	9	03	B	2		1	2	0.031		0	2	0
	3	23	9	03	H					0.055	1	0	0	0
	3	23	9	03	W	4			5	0		0	5	0
	3	23	9	03	M	1			1	0		0	1	0
	3	23	9	03	F	5		1	6	0.445		3	3	0
	3	23	9	04	OM	1				0.054		0	0	0
	3	23	9	04	B					0.031		0	0	0
	3	23	9	04	H					0.055	1	0	0	0
	3	23	9	04	W	8			8	0		0	8	0
	3	23	9	04	M	5			5	0		0	5	0
	3	23	9	04	F	4			3	0.445		4	-1	-1
	3	25	9	01	OM							0	0	0
Library	3	25	9	01	B							0	0	0
	3	25	9	01	H							0	0	0
	3	25	9	01	W							0	0	0
	3	25	9	01	M							0	0	0
	3	25	9	01	F							0	0	0
	3	25	9	02	OM							0	0	0
	3	25	9	02	B							0	0	0
	3	25	9	02	H							0	0	0
	3	25	9	02	W							0	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	25	9	02	M							0	0	0
	3	25	9	02	F							0	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	25	9	03	OM							0	0	0
	3	25	9	03	B							0	0	0
	3	25	9	03	H							0	0	0
	3	25	9	03	W							0	0	0
	3	25	9	03	M							0	0	0
	3	25	9	03	F							0	0	0
	3	26	9	01	OM	2			2	0		0	2	0
Biological Sc	3	26	9	01	B					0		0	0	0
	3	26	9	01	H					0		0	0	0
	3	26	9	01	W	11		1	12	0		0	12	0
	3	26	9	01	M	10		1	11	0		0	11	0
	3	26	9	01	F	3			3	0		0	3	0
	3	26	9	02	OM	2			2	0.003		0	2	0
	3	26	9	02	B	1			1	0.006		0	1	0
	3	26	9	02	H	1			2	0.013		0	2	0
	3	26	9	02	W	9			7	0		0	7	0
	3	26	9	02	M	10			9	0		0	9	0
	3	26	9	02	F	3	1		3	0.38	1	5	-2	-2
	3	26	9	03	OM	2		1	2	0.165		2	0	0
	3	26	9	03	B					0.028		0	0	0
	3	26	9	03	H	1	1		2	0.046		0	2	0
	3	26	9	03	W	6		2	6	0		0	6	0
	3	26	9	03	M	6		2	7	0		0	7	0
	3	26	9	03	F	3		1	3	0.337		3	0	0
	3	26	9	04	OM					0.165		0	0	0
	3	26	9	04	B					0.028		0	0	0
	3	26	9	04	H					0.046		0	0	0
	3	26	9	04	W	3			3	0		0	3	0
	3	26	9	04	M	2			2	0		0	2	0
	3	26	9	04	F	1			1	0.337		1	0	0
	3	27	9	01	OM	3		1	3	0		0	3	0
Math &	3	27	9	01	B				1	0		0	1	0
Statistics	3	27	9	01	H	1			1	0		0	1	0
	3	27	9	01	W	3			3	0		0	3	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	27	9	01	M	7		1	8	0		0	8	0
	3	27	9	01	F					0		0	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	27	9	02	OM	5			4	0.31		6	-2	-2
	3	27	9	02	B	2		1	1	0.078		1	0	0
	3	27	9	02	H	2			1	0.085		2	-1	-1
	3	27	9	02	W	12			13	0		0	13	0
	3	27	9	02	M	19		1	17	0		0	17	0
	3	27	9	02	F	2	1		2	0.24		5	-3	-3
	3	27	9	03	OM	1			3	0.003		0	3	0
	3	27	9	03	B	1			1	0.007		0	1	0
	3	27	9	03	H					0.02		0	0	0
	3	27	9	03	W	3			3	0		0	3	0
	3	27	9	03	M	4			5	0		0	5	0
	3	27	9	03	F	1			2	0.216	1	2	0	0
	3	27	9	04	OM					0.047	1	1	-1	-1
	3	27	9	04	B					0.039		0	0	0
	3	27	9	04	H	3			3	0.039		0	3	0
	3	27	9	04	W	7			8	0		0	8	0
	3	27	9	04	M	3			4	0		0	4	0
	3	27	9	04	F	7			7	0.338		4	3	0
	3	38	9	01	OM	1			1	0		0	1	0
Philosophy &	3	38	9	01	B					0		0	0	0
Religion	3	38	9	01	H					0		0	0	0
	3	38	9	01	W	9		1	9	0		0	9	0
	3	38	9	01	M	9		1	9	0		0	9	0
	3	38	9	01	F	1			1	0		0	1	0
	3	38	9	02	OM					0.001		0	0	0
	3	38	9	02	B					0.194		1	-1	-1
	3	38	9	02	H	1		1	1	0.013		0	1	0
	3	38	9	02	W	4			4	0		0	4	0
	3	38	9	02	M	3		1	4	0		0	4	0
	3	38	9	02	F	2			1	0.385		2	-1	-1

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	38	9	03	OM					0.033	1	0	0	0
	3	38	9	03	B					0.027		0	0	0
	3	38	9	03	H					0.055		0	0	0
	3	38	9	03	W	3		2	3	0		0	3	0
	3	38	9	03	M	3		2	2	0		0	2	0
	3	38	9	03	F				1	0.431	1	1	0	0
	3	40	9	01	OM	1			1	0		0	1	0
Physical	3	40	9	01	B					0		0	0	0
Sciences	3	40	9	01	H	3			3	0		0	3	0
	3	40	9	01	W	18		1	20	0		0	20	0
	3	40	9	01	M	21		1	23	0		0	23	0
	3	40	9	01	F	1			1	0		0	1	0
	3	40	9	02	OM	3	1	2	4	0.175		4	0	0
	3	40	9	02	B					0.05		1	-1	-1
	3	40	9	02	H	1	2		3	0.269		6	-3	-3
	3	40	9	02	W	17		2	17	0		0	17	0
	3	40	9	02	M	18		3	20	0		0	20	0
	3	40	9	02	F	3		1	4	0.092		2	2	0
	3	40	9	03	OM	5		1	4	0.244		3	1	0
	3	40	9	03	B					0.021	1	0	0	0
	3	40	9	03	H	2				0.045		1	-1	-1
	3	40	9	03	W	11		5	9	0		0	9	0
	3	40	9	03	M	14		4	10	0		0	10	0
	3	40	9	03	F	4		2	3	0.25	1	3	0	0
	3	40	9	04	OM					0.244		0	0	0
	3	40	9	04	B					0.021	1	0	0	0
	3	40	9	04	H	1			1	0.045		0	1	0
	3	40	9	04	W					0		0	0	0
	3	40	9	04	M					0		0	0	0
	3	40	9	04	F	1			1	0.25	1	0	1	0
	3	42	9	01	OM					0		0	0	0
Psychology	3	42	9	01	B					0		0	0	0
	3	42	9	01	H					0		0	0	0



2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	42	9	01	W	12		1	12	0		0	12	0
	3	42	9	01	M	6		1	6	0		0	6	0
	3	42	9	01	F	6			6	0		0	6	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	42	9	02	OM	2			2	0.13		2	0	0
	3	42	9	02	B	1	1		1	0.06		1	0	0
	3	42	9	02	H	2			4	0.15		2	2	0
	3	42	9	02	W	7			7	0		0	7	0
	3	42	9	02	M	10			9	0		0	9	0
	3	42	9	02	F	2			5	0.28		4	1	0
	3	42	9	03	OM					0.019		0	0	0
	3	42	9	03	B					0.041		0	0	0
	3	42	9	03	H	1		1		0.044		0	0	0
	3	42	9	03	W	5		2	4	0		0	4	0
	3	42	9	03	M	2		2	3	0		0	3	0
	3	42	9	03	F	4		1	1	0.537		2	-1	-1
	3	42	9	04	OM					0.019		0	0	0
	3	42	9	04	B					0.041		0	0	0
	3	42	9	04	H					0.044		0	0	0
	3	42	9	04	W				3	0		0	3	0
	3	42	9	04	M				2	0		0	2	0
	3	42	9	04	F				1	0.537		2	-1	-1
	3	43	9	01	OM					0		0	0	0
Security &	3	43	9	01	B					0		0	0	0
Protective S	3	43	9	01	H	1			1	0		0	1	0
(Criminal Jus	3	43	9	01	W					0		0	0	0
& Forensic S	3	43	9	01	M	1			1	0		0	1	0
	3	43	9	01	F					0		0	0	0
	3	43	9	02	OM	1			1	0.1		1	0	0
	3	43	9	02	B					0.006		0	0	0
	3	43	9	02	H	2			2	0.013		0	2	0
	3	43	9	02	W	3			3	0		0	3	0
	3	43	9	02	M	3			3	0		0	3	0
	3	43	9	02	F	3			3	0.33		2	1	0
	3	43	9	03	OM				1	0.021		0	1	0
	3	43	9	03	B					0.006		0	0	0
	3	43	9	03	H					0.05		0	0	0
	3	43	9	03	W	1		1	2	0		0	2	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	43	9	03	M	1			3	0		0	3	0
	3	43	9	03	F			1		0.02	1	0	0	0
	3	43	9	04	OM					0.021		0	0	0
	3	43	9	04	B					0.006		0	0	0
	3	43	9	04	H					0.05		0	0	0
	3	43	9	04	W	1			2	0		0	2	0
	3	43	9	04	M	1			1	0		0	1	0
	3	43	9	04	F				1	0.02	1	0	1	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	44	9	01	OM					0		0	0	0
Public Adm	3	44	9	01	B					0		0	0	0
Social Serv	3	44	9	01	H	1			1	0		0	1	0
(Public Adm	3	44	9	01	W	8		1	7	0		0	7	0
& Social Wrk	3	44	9	01	M	8		1	7	0		0	7	0
	3	44	9	01	F	1			1	0		0	1	0
	3	44	9	02	OM	1			1	0.001		0	1	0
	3	44	9	02	B	1	1		1	0.48		7	-6	-6
	3	44	9	02	H	2			2	0.013		0	2	0
	3	44	9	02	W	8			10	0		0	10	0
	3	44	9	02	M	8			10	0		0	10	0
	3	44	9	02	F	4	1		4	0.479		7	-3	-3
	3	44	9	03	OM				1	0.02		0	1	0
	3	44	9	03	B				1	0.091	1	0	1	0
	3	44	9	03	H	1			1	0.062		0	1	0
	3	44	9	03	W	2			2	0		0	2	0
	3	44	9	03	M	2			3	0		0	3	0
	3	44	9	03	F	1	1		2	0.434	1	2	0	0
	3	44	9	04	OM					0.02		0	0	0
	3	44	9	04	B	1			1	0.091	1	0	1	0
	3	44	9	04	H					0.062		0	0	0
	3	44	9	04	W	1		1	2	0		0	2	0
	3	44	9	04	M	1		1	2	0		0	2	0
	3	44	9	04	F	1			1	0.434	1	1	0	0
	3	45	9	01	OM					0		0	0	0
Social Sci	3	45	9	01	B	2			1	0		0	1	0
	3	45	9	01	H	11		1	10	0		0	10	0
	3	45	9	01	W	24		2	15	0		0	15	0
	3	45	9	01	M	32		3	21	0		0	21	0
	3	45	9	01	F	5			5	0		0	5	0
	3	45	9	02	OM	2			1	0.002		0	1	0
	3	45	9	02	B	1	1		1	0.08		2	-1	-1
	3	45	9	02	H	3			1	0.052		2	-1	-1
	3	45	9	02	W	34		2	27	0		0	27	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	45	9	02	M	27		1	21	0		0	21	0
	3	45	9	02	F	13		1	9	0.32		10	-1	-1

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	45	9	03	OM	1		1	2	0.001		0	2	0
	3	45	9	03	B	1				0.006	1	0	0	0
	3	45	9	03	H	3			1	0.02	1	0	1	0
	3	45	9	03	W	18		3	16	0		0	16	0
	3	45	9	03	M	11		3	10	0		0	10	0
	3	45	9	03	F	12		1	9	0.02		0	9	0
	3	45	9	04	OM	1				0.001		0	0	0
	3	45	9	04	B					0.006	1	0	0	0
	3	45	9	04	H					0.02	1	0	0	0
	3	45	9	04	W	1			1	0		0	1	0
	3	45	9	04	M	2			1	0		0	1	0
	3	45	9	04	F					0.02		0	0	0
	3	50	9	01	OM					0		0	0	0
Studio/Fine	3	50	9	01	B					0		0	0	0
Art	3	50	9	01	H	5			5	0		0	5	0
	3	50	9	01	W	10		1	11	0		0	11	0
	3	50	9	01	M	12			12	0		0	12	0
	3	50	9	01	F	3		1	4	0		0	4	0
	3	50	9	02	OM					0.002		0	0	0
	3	50	9	02	B		1		1	0.063		1	0	0
	3	50	9	02	H	4			3	0.248		5	-2	-2
	3	50	9	02	W	16		2	16	0		0	16	0
	3	50	9	02	M	10		1	10	0		0	10	0
	3	50	9	02	F	10		1	10	0.4		8	2	0
	3	50	9	03	OM	1		1		0.053		1	-1	-1
	3	50	9	03	B	1			1	0.027		0	1	0
	3	50	9	03	H					0.06		1	-1	-1
	3	50	9	03	W	6			10	0		0	10	0
	3	50	9	03	M	5			7	0		0	7	0
	3	50	9	03	F	3		1	4	0.451		5	-1	-1
	3	50	9	04	OM	1				0.02		0	0	0
	3	50	9	04	B	1				0.04		0	0	0
	3	50	9	04	H	2			1	0.049		0	1	0
	3	50	9	04	W	9			7	0		0	7	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	50	9	04	M	7			4	0		0	4	0
	3	50	9	04	F	6			4	0.48		4	0	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	51	9	01	OM	3			4	0		0	4	0
Health	3	51	9	01	B	1			1	0		0	1	0
professions	3	51	9	01	H					0		0	0	0
	3	51	9	01	W	7			7	0		0	7	0
	3	51	9	01	M	3			4	0		0	4	0
	3	51	9	01	F	8			8	0		0	8	0
	3	51	9	02	OM	1				0.05		1	-1	-1
	3	51	9	02	B	3	1		5	0.26		6	-1	-1
	3	51	9	02	H	2			2	0.05		1	1	0
	3	51	9	02	W	10		1	15	0		0	15	0
	3	51	9	02	M	4			4	0		0	4	0
	3	51	9	02	F	12		1	18	0.59		13	5	0
	3	51	9	03	OM	3		1	3	0.034		0	3	0
	3	51	9	03	B				1	0.036		0	1	0
	3	51	9	03	H	1			1	0.026		0	1	0
	3	51	9	03	W	4			6	0		0	6	0
	3	51	9	03	M	2		1	3	0		0	3	0
	3	51	9	03	F	6			8	0.462		5	3	0
	3	51	9	04	OM					0.038		0	0	0
	3	51	9	04	B					0.063		0	0	0
	3	51	9	04	H					0.049		0	0	0
	3	51	9	04	W	4			4	0		0	4	0
	3	51	9	04	M					0		0	0	0
	3	51	9	04	F	4			4	0.63		3	1	0



2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	52	9	01	OM	4		2	5	0		0	5	0
Business	3	52	9	01	B	1			1	0		0	1	0
	3	52	9	01	H	5			5	0		0	5	0
	3	52	9	01	W	23			23	0		0	30	0
	3	52	9	01	M	29		1	30	0		0	30	0
	3	52	9	01	F	4		1	4	0	1	0	4	0
	3	52	9	02	OM	5	1	1	5	0.315		9	-4	-4
	3	52	9	02	B	1			1	0.045		1	0	0
	3	52	9	02	H				1	0.052		2	-1	-1
	3	52	9	02	W	24			23	0		0	23	0
	3	52	9	02	M	23		1	23	0		0	23	0
	3	52	9	02	F	7			7	0.163		5	2	0
	3	52	9	03	OM	4		1	3	0.044		0	3	0
	3	52	9	03	B	3			2	0.031		0	2	0
	3	52	9	03	H	1				0.027		0	0	0
	3	52	9	03	W	6		4	5	0		0	5	0
	3	52	9	03	M	8		3	6	0		0	6	0
	3	52	9	03	F	6		2	4	0.211		2	2	0
	3	52	9	04	OM					0.033		0	0	0
	3	52	9	04	B	3			3	0.049		0	3	0
	3	52	9	04	H	5			4	0.036		0	4	0
	3	52	9	04	W	12			12	0		0	12	0
	3	52	9	04	M	12				0		0	0	0
	3	52	9	04	F	8				0.24	1	0	0	0
	3	54	9	01	OM					0		0	0	0
History	3	54	9	01	B				1	0		0	#REF!	#REF!
	3	54	9	01	H				5	0		0	1	0
	3	54	9	01	W				6	0		0	5	0
	3	54	9	01	M				12	0		0	6	0
	3	54	9	01	F				7	0		0	7	0

2		Tenure/	Admin					Activity		2003-04				
2	EAP	Employ	Code	Faculty	Race/	Fall 2003	2004	(Hires/ Promotions)	Fall 2004	Availabil ity	2005	Expected	Over/Unde r	Under_rep
Univ	Category	CIP	Category	Rank	Gender	Head count	Goals	During 2003-04	Head count	Percent	Goals			
A	B	C	D	E	F	G	I	J	K	L	M			
	3	54	9	02	OM					0.002		0	0	0
	3	54	9	02	B					0.08		1	-1	-1
	3	54	9	02	H				2	0.052		0	2	0
	3	54	9	02	W				5	0		0	5	0
	3	54	9	02	M				3	0		0	3	0
	3	54	9	02	F				4	0.32		2	2	0
	3	54	9	03	OM					0.001		0	0	0
	3	54	9	03	B				2	0.006		0	2	0
	3	54	9	03	H					0.02		0	0	0
	3	54	9	03	W				4	0		0	4	0
	3	54	9	03	M				3	0		0	3	0
	3	54	9	03	F				3	0.02		0	3	0
											37			

**TABLE A**  
**2003-2004 EAP HIRING AND PROMOTION GOALS FOR 2004-2005**

<b>Position Category</b>	<b>Rank</b>	<b><i>Female</i></b>	<b><i>African American</i></b>	<b><i>Hispanic</i></b>	<b><i>Other Minority</i></b>
A & P					1
Directors		1		1	
Deans		1			
Chairpersons				1	
Executives		1			
Architecture					
	Assistant				1
Communications					
	Instructor	1			
Computer & Info. Science					
	Instructor	1			
Education					
	Associate	1	1		1
	Assistant	1			
Modern Languages					
	Instructor			1	
Home Economics					
	Assistant	1			
English (Letters)					
	Associate		1		
Life Sciences					
	Associate	1			
	Assistant			1	
Mathematics					
	Associate	1			
Physical Sciences					
	Associate			2	1
Psychology					
	Associate		1		
Public Affairs					
	Associate	1	1		
	Assistant	1			
Social Sciences					
	Associate		1		
Visual & Performing Arts					
	Associate		1		
Hospitality					
	Associate				1
<b>EAP 2003-2004 Hiring &amp; Promotion Projections</b>		<b>12</b>	<b>6</b>	<b>6</b>	<b>5</b>

**TABLE B**  
**2003-2004 EAP GOAL ACHIEVEMENT (ACTUAL HIRES AND PROMOTIONS)**

<b>Position Category</b>	<b>Rank</b>	<b>Female</b>	<b>African American</b>	<b>Hispanic</b>	<b>Other Minority</b>
A & P		5		3	
Directors		Goal - 1			1
Deans					
Chairpersons		1			
Librarians					
Executives					
Architecture					
	Associate	1		1	
Business					
	Professor	1			2
	Associate				1
	Assistant	2			1
Communications					
	Assistant	1	1		
Computer & Info. Science					
	Professor				2
	Associate	2		2	
	Assistant		1		1
Education					
	Professor	1			
	Associate	1			
Engineering					
	Associate				1
Modern Languages					
	Associate	1		2	
Health Sciences					
	Associate	1			
	Assistant				1
English (Letters)					
	Assitant	1	1		
Life Sciences					
	Assistant	1			1
Mathematics					
	Professor				1
	Associate		1		
Philosophy & Religion					
	Associate			1	
Physical Sciences					
	Associate	1			Goal - 2
	Assistant	2			1
Psychology					
	Assistant	1		1	
Social Sciences					
	Professor			1	

**TABLE B**  
**2003-2004 EAP GOAL ACHIEVEMENT (ACTUAL HIRES AND PROMOTIONS)**

<b>Position Category</b>	<b>Rank</b>	<i><b>Female</b></i>	<i><b>African American</b></i>	<i><b>Hispanic</b></i>	<i><b>Other Minority</b></i>
	Associate	1			
	Assistant	1			1
Visual & Performing Arts					
	Professor	1			
	Associate	1			
	Assistant	1			1
Law					
	Associate	1	1		
<b>EAP 2003-2004 Hiring &amp; Promotion Projections</b>		<b>29</b>	<b>5</b>	<b>11</b>	<b>15</b>

**TABLE C**  
**EAP 2004-2005 UNDERUTILIZATION**  
**(80% Rule)**

<b>Position Category</b>	<b>Rank</b>	<b>Female</b>	<b>African American</b>	<b>Hispanic</b>	<b>Other Minority</b>
A & P					
Directors					
Deans					
Chairpersons					
Librarians					
Executives					
Architecture					
	Associate		1		2
	Assistant	1	1		2
Business					
	Professor	8	1		1
	Associate	2	1		1
	Assistant	1		1	1
	Instructor				2
Communications					
	Professor	2	1	1	2
	Associate		1		2
	Assistant				2
	Instructor				
Computer & Info. Science					
	Professor	2	1	1	1
	Associate	3	1	1	1
	Assistant	3		1	1
	Instructor	2		1	1
Education					
	Professor	3		1	1
	Associate				3
	Assistant		1		1
	Instructor		1	1	2
Engineering					
	Professor	6	1		1
	Associate	6			1
	Assistant	4			1
	Instructor		1		1
Engineering Related					
	Associate	1	1		2
	Assistant	2	1	1	1
Modern Languages					
	Professor		1		2
	Associate	1			2
	Assistant				2
	Instructor		1		1
Allied Health					
	Associate				2

**TABLE C**  
**EAP 2004-2005 UNDERUTILIZATION**  
**(80% Rule)**

<b>Position Category</b>	<b>Rank</b>	<b>Female</b>	<b>African American</b>	<b>Hispanic</b>	<b>Other Minority</b>
	Assistant		1		2
Health Sciences					
	Professor		1	1	1
	Associate				1
	Assistant				1
	Instructor			1	2
Home Economics					
	Professor		1	1	2
	Associate			1	2
	Assistant	1	1		2
	Instructor		1	1	2
English (Letters)					
	Professor	3	1	1	2
	Associate			1	1
	Assistant			1	2
	Instructor	1	1	1	2
Life Sciences					
	Professor	2	1	1	1
	Associate	2			1
	Assistant	2	1		1
	Instructor	1	1	1	
Mathematics					
	Professor	2		1	1
	Associate	6			1
	Assistant	1		1	1
	Instructor				2
Philosophy & Religion					
	Professor	3	1	1	1
	Associate	1	1		2
	Assistant	1	1	1	2
	Instructor	1	1	1	2
Physical Sciences					
	Professor	7	1		2
	Associate	7	2		1
	Assistant	2		1	1
	Instructor		1		2
Psychology					
	Professor		1	1	2
	Associate	1		1	1
	Assistant			1	2
	Instructor		1	1	2
Public Affairs					
	Professor	1	1		1
	Associate				1

**TABLE C**  
**EAP 2004-2005 UNDERUTILIZATION**  
**(80% Rule)**

<b>Position Category</b>	<b>Rank</b>	<b><i>Female</i></b>	<b><i>African American</i></b>	<b><i>Hispanic</i></b>	<b><i>Other Minority</i></b>
	Assistant	2	1		1
	Instructor			1	2
Social Sciences					
	Professor	5	1		3
	Associate	1	1	2	1
	Assistant			1	1
	Instructor		1		2
Visual & Performing Arts					
	Professor	4	1		2
	Associate				3
	Assistant				3
	Instructor		1		2
Law					
	Professor	1	1		2
	Associate	1		1	2
	Assistant				1
	Instructor				
Hospitality					
	Professor	2	1		2
	Associate		1		1
	Assistant	1		1	2
	Instructor	1	1	1	2
<b>EAP 2004-2005 Hiring &amp; Promotion Projections</b>		<b>110</b>	<b>47</b>	<b>37</b>	<b>126</b>



**TABLE D**  
**GOALS FOR 2004-2005 UPDATE**

<b>Position Category</b>	<b>Rank</b>	<b>Female</b>	<b>African American</b>	<b>Hispanic</b>	<b>Other Minority</b>
A & P					
Directors			1		
Deans					
Chairpersons					
Librarians					
Executives					
Business					
	Professor	1			
	Instructor	1			
Computer & Info. Science					
	Assistant				1
Education					
	Assistant		1		
Engineering					
	Associate	1			
	Assistant	1			2
Engineering Related					
	Assistant	1			
English (Letters)					
	Assistant			1	
Life Sciences					
	Associate	1			
Mathematics					
	Assistant	1			
	Instructor				1
Philosophy & Religion					
	Assistant	1			
Physical Sciences					
	Assistant	1	1		1
Protective Sciences					
	Assistant	1			
Public Affairs					
	Assistant	1			
Social Sciences					
	Assistant			1	
	Instructor		1		
Visual & Performing Arts					
	Assistant		1		
Hospitality					
	Instructor	1			
<b>EAP 2004-2005 Hiring &amp; Promotion Projections</b>		<b>12</b>	<b>5</b>	<b>2</b>	<b>5</b>



# FIU

FLORIDA  
INTERNATIONAL  
UNIVERSITY

*Life, Knowledge, and Opportunity*

Office of the Executive Vice Provost

## MEMORANDUM

July 30, 2005

TO: Academic Deans

FROM: Arthur W. Herriott, Executive Vice Provost  
Academic Budget & Personnel Office

SUBJECT: 2004-2005 TENURE CANDIDATES



According to Academic Affairs' records, the individuals on the attached list are required to apply for tenure in the upcoming 2004-2005 academic year. If your respective college/school does not appear on the attached list, it means that no eligible candidates for your unit appeared on our computer-generated tenure report.

Please review and confirm the accuracy of the attached spreadsheet, make any necessary changes, initial it, and return the original spreadsheet to Lori Heermance **by Friday, August 13, 2004.**

Should you have any questions or require assistance, please do not hesitate to contact Lori Heermance at Ext. 2168 or by e-mail at [heermance@fiu.edu](mailto:heermance@fiu.edu).

AWH/leh

c: M. Rosenberg  
L. Heermance  
M. Beers

## 2004 Eligible Tenure Candidate Confirmation List

Prepared by Lori E. Heermance

Prepared by Lori E. Heermance Revised: August 12, 2004									
	CURRENT	POS.			ETHNICITY	TENURE	TENURE APPL.		
NAME	TITLE	NO.	UNIT	DEPARTMENT	GENDER	CIP CODE	SUBMISSION DATE	COMMENTS AND/OR CHANGES	INITIALS
Alfredo Andia	Asst.	33108-0	ARC		H/M	040201	(FALL) 2004-2005		
Adam Drisin		44995-0	ARC		W/M	040201	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>	
Ram Aditya	Assoc.	45131-0	A&S	Psychology	A/M	420701	(FALL) 2004-2005		
William Anderson, Jr.	Asst.	42529-2	A&S	Earth Sciences	W/M	400601	(FALL) 2004-2005		
Astrid Arraras	Asst.	42088-0	A&S	Political Science	H/F	451001	(FALL) 2004-2005		
Kathy Dambach	Prof.	44319-0	A&S	Art & Art History	W/F	500701	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>	
Denise Duhamel	Asst.	45474-0	A&S	English	W/F	230101	(FALL) 2004-2005		
Lidia Kos	Asst.	36115-0	A&S	Biology	W/F	260101	(FALL) 2004-2005		
Felix Martin	Asst.	42526-0	A&S	Int. Rel.	H/M	450901	(FALL) 2004-2005		
Bruce McCord	Assoc.	73173-0	A&S	Chemistry	W/M	400501	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>	
Peter Thompson	Assoc.	32120-0	A&S	Economics	W/M	450601	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>	
Nasar U. Ahmed	Assoc.	37425-0	CHUA	Public Health	A/M	512203	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>	
Alfredo Ardila	Assoc.	43025-0	CHUA	Comm.Science	H/M	510203	(FALL) 2004-2005		
Deodutta Roy	Prof.	33151-0	CHUA	Public Health	A/M		(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>	
Alacaci, Cengiz	Asst.	45495-0	ED	C&I	W/M	131311	(FALL) 2004-2005		
Bliss, Leonard	Prof.	42114-0	ED	EPS	W/M	130603	(FALL) 2004-2005		
Dwyer, Eric	Asst.	44116-0	ED	C&I	W/M	131306	(FALL) 2004-2005		
Jinlin Zhao	Assoc.	44381-0	HM		A/M	520901	(FALL) 2004-2005		
Amaury Caballero	Asst.	44656-0	ENG	Const. Mgmt.	H/M	151001	(FALL) 2004-2005		
Eric Crumpler	Asst.	43825-0	ENG	Biomedical	B/M	140501	(FALL) 2004-2005		
Anthony McGordon	Asst.	42060-0	ENG	Biomedical	W/M	140501	(FALL) 2004-2005		
Amir Mirmiran	<b>Professor</b>	?	ENG	Civil & Envr.	W/M	140801	(FALL) 2004-2005	<b>*Nov. 04 Special (TACOE)</b>	
Diana Rincon	Asst.	45466-0	ENG	Mech. & Materials	H/F	141901	(FALL) 2004-2005		
Mathew Mirow	Assoc.	33353-0	LAW		W/M	220101	(FALL) 2004-2005		

## Prepared by Lori E. Heermance

	SOCIAL	CURRENT	POS.			ETHNICITY	TENURE	TENURE APPL.	
NAME	SEC. #	TITLE	NO.	UNIT	DEPARTMENT	GENDER	CIP CODE	SUBMISSION DATE	COMMENTS AND/OR CHANGES
Alfredo Andia	567-87-5741	Asst.	33108-0	ARC		H/M	040201	(FALL) 2004-2005	
Adam Drisin	157-58-2783	Assoc.	44995-0	ARC		W/M	040201	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Sharon Brant	517-70-1552	Asst.	45661-0	A&S	Art & Art History	W/F	420701	(FALL) 2004-2005	(Rescinded 1 yr. prior credit-due up now)
Kathy Dambach	296-36-8424	Prof.	44319-0	A&S	Art & Art History	W/F	500701	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Tedi Draghici	368-13-6164	Asst.	42507-0	A&S	Mathematics	W/M	270101	(FALL) 2004-2005	
Denise Duhamel	038-42-0272	Asst.	45474-0	A&S	English	W/F	230101	(FALL) 2004-2005	
Liliana Goldin	132-64-0184	Prof.	44703-0	A&S	Soc./Anthrop.	H/F	451101	(FALL) 2004-2005	<b>*Nov. 04 Special (TACOE)</b>
James Jaccard	545-84-5420	Prof.	45796-0	A&S	Psychology	W/M	420701	(FALL) 2004-2005	<b>*Nov. 04 Special (TACOE)</b>
Lidia Kos	334-74-0380	Asst.	36115-0	A&S	Biology	W/F	260101	(FALL) 2004-2005	
Kalai Mathee-Narasimha	415-49-2041	Asst.	43778-0	A&S	Biology	A/F	260101	(FALL) 2004-2005	
Bruce McCord	410-27-5943	Assoc.	73173-0	A&S	Chemistry	W/M	400501	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Misak Sargsian	192-74-1034	Asst.	42100-0	A&S	Physics	W/M	400801	(FALL) 2004-2005	
Peter Thompson	589-98-5723	Assoc.	32120-0	A&S	Economics	W/M	450601	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Xiaotang Wang		Assoc.	44699-0	A&S	Chemistry	A/M	400501	(FALL) 2004-2005	<b>*Nov. 04 Special (TACOE)</b>
O'Neil Hennig, Cherie J.	522-58-7332	Prof.	?	BU	Accounting	W/F		(FALL) 2004-2005	<b>Special (TACOE) June 2005</b>
Nasar U. Ahmed	013-68-4826	Assoc.	37425-0	CHUA	Public Health	A/M	512203	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Alfredo Ardila	591-68-1740	Assoc.	43025-0	CHUA	Comm.Science	H/M	510203	(FALL) 2004-2005	
Deodutta Roy	467-71-9416	Prof.	33151-0	CHUA	Public Health	A/M		(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Alacaci, Cengiz	345-82-9654	Asst.	45495-0	ED	C&I	W/M	131311	(FALL) 2004-2005	
Bliss, Leonard	081-36-1479	Prof.	42114-0	ED	EPS	W/M	130603	(FALL) 2004-2005	
Dwyer, Eric	529-27-2633	Asst.	44116-0	ED	C&I	W/M	131306	(FALL) 2004-2005	
Witt, Joseph	512-52-0654	Prof.		ED	EPS	W/M	421701	(FALL) 2004-2005**	<b>**May. 05 Special (TACOE)</b>
Richard Linn	190-58-1468	Assoc.	45325-0	ENG	Industrial	A/M	142901	(FALL) 2004-2005	<b>Resigned effective: 05/11/2006.</b>
Anthony McGordon	279-64-6486	Asst.	42060-0	ENG	Biomedical	W/M	140501	(FALL) 2004-2005	
Amir Mirmiran	219-06-2654	Prof.	33588-0	ENG	Civil & Env.	W/M	140801	(FALL) 2004-2005*	<b>*Nov. 04 Special (TACOE)</b>
Jinlin Zhao	164-68-2190	Assoc.	44381-0	HM		A/M	520901	(FALL) 2004-2005	
Matthew Mirow	262-71-5120	Assoc.	33353-0	LAW		W/M	220101	(FALL) 2004-2005	
<b>Updated: 05/16/05</b>									
<b>TACOE = Tenure as a Condition of Employment.</b>									

Tenure Review Committees	
1	2
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					<b>2004 - 2005</b>						
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[illegible][illegible]

NOTE: E=number of faculty eligible to serve on tenure review committee.

S=number of faculty who served on tenure review committee.								
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## Tenure Review Committees

					<b>2004 - 2005</b>							
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## Tenure Review Committees

					<b>2004 - 2005</b>							
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[illegible][illegible]

Tenure Review Committees													
2004 - 2005													
Florida International University													
Type of Committee		American Indian or Alaskan Native		Asian or Pacific Islander		Black, not Hispanic		Hispanic		White, not Hispanic		Total	
		Males	Females	Males	Females	Males	Females	Males	Females	Males	Females	Males	Females
University	E												
	S												
College Comm	E			1						3	3	4	3
	S			1						3	3	4	3
Art & Art Ht	E							3	1	6	5	9	6
	S							3	1	6	5	9	6
Biology	E			2			1	2		15	5	19	6
	S			2			1	2		15	5	19	6
Chemistry	E			1				4		12	1	17	1
	S			1				4		12	1	17	1
Comp Sci	E			6						9	1	15	1
	S			6						9	1	15	1
Earth Sci	E			1		1		1		5	2	8	2
	S			1		1		1		5	2	8	2
Economics	E							2	1	6	2	8	3
	S							2	1	6	2	8	3
English	E				1		2		1	14	9	14	13
	S				1		2		1	14	9	14	13
Environ St	E			2						5		7	
	S			2						5		7	
History	E							2	1	7	4	9	5
	S							2	1	7	4	9	5
Intern Rel	E			1				2		10	2	13	2
	S			1				2		10	2	13	2
Mathematics	E			3		2		2		11	1	18	1
	S			3		2		2		11	1	18	1
Mod Lang	E					1		4	4	2	3	7	7
	S					1		4	4	2	3	7	7
Music	E					1		3		7	1	11	1
	S					1		3		7	1	11	1
Philosophy	E			1						6	1	7	1
	S			1						6	1	7	1
Physics	E			3						14	2	17	2
	S			3						14	2	17	2



Tenure Review Committees													
2004 - 2005													
Florida International University													
Type of Committee		American Indian or Alaskan Native		Asian or Pacific Islander		Black, not Hispanic		Hispanic		White, not Hispanic		Total	
		Males	Females	Males	Females	Males	Females	Males	Females	Males	Females	Males	Females
Political Sc	E					1		2		8	2	11	2
	S					1		2		8	2	11	2
Psychology	E			1		1		1		9	8	12	8
	S			1		1		1		9	8	12	8
Relig St	E							1		5	2	6	2
	S							1		5	2	6	2
Socio/Ant	E					1		2	2	9	5	12	7
	S					1		2	2	9	5	12	7
Statistics	E			3	1			1		2		6	1
	S			3	1			1		2		6	1
The/Dan	E							1		3	4	4	4
	S							1		3	4	4	4

## Tenure Review Committees

					<b>2004 - 2005</b>						
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[illegible][illegible]

NOTE: E=number of faculty eligible to serve on tenure review committee.

S=number of faculty who served on tenure review committee.								
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<p style="text-align: center;"><b>Florida International University</b>  <b>2004 - 2005</b>  <b>FACULTY NOMINATIONS FOR TENURE</b></p>					
<p style="text-align: center;"><b>ARCHITECTURE</b></p>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic	1	1			1
White, not Hispanic					
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

	<b>Florida International University</b>				
	<b>2004 - 2005 Tenure Nominations</b>				
<b>NAME</b>	<b>GENDER</b>	<b>ETHNICITY</b>	<b>PROPOSED RANK</b>	<b>DEPARTMENT</b>	<b>TENURE CIP CODE</b>
<b>SCHOOL OF ARCHITECTURE</b>					
Alfredo Andia	M	H	Associate Professor		040201
<b>COLLEGE ARTS &amp; SCIENCES</b>					
Sharon Brant	F	W	Associate Professor	Art & Art History	500703
Tedi Draghici	M	W	Associate Professor	Mathematics	270101
Denise Duhamel	F	W	Associate Professor	English	420701
Lidia Kos	F	W	Associate Professor	Biology	260101
Kalai Mathee-Narasimha	F	A	Associate Professor	Biology	260101
Misak Sargsian	M	W	Associate Professor	Physics	400801
<b>COLLEGE OF EDUCATION</b>					
Cengiz Alacaci	M	W	Associate Professor	Curriculum & Instr.	131311
Leonard Bliss	M	W	Tenure Only	Educ. Psych. Studies	130306
Eric Dwyer	M	W	Associate Professor	Curriculum & Instr.	131306
<b>COLLEGE OF ENGINEERING</b>					
Anthony McGoron	M	W	Associate Professor	Biomedical	140501
<b>COLLEGE OF HEALTH &amp; URBAN AFFRS.</b>					
Alfredo Ardila	M	H	Professor	Comm. Science	510203
<b>SCHOOL OF HOSP. &amp; TOURISM MGMT.</b>					
Jinlin Zhao	M	A	Tenure Only		520901
<b>COLLEGE OF LAW</b>					
Matthew Mirow	M	W	Tenure Only		220101

<div> <div>Florida International University</div> <div>2004 - 2005</div> <div>FACULTY NOMINATIONS FOR TENURE</div> </div>					
ART & ART HISTORY					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic					
Total Male					
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Female	1	1			1
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<b>Florida International University</b>					
<b>2004 - 2005</b>					
<b>FACULTY NOMINATIONS FOR TENURE</b>					
<b>BIOLOGICAL SCIENCES</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic					
Total Male					
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander	1	1			1
Black, not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Female	2	2			2
<b>GRAND TOTAL</b>	<b>2</b>	<b>2</b>			<b>2</b>
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				<b>Prepared by:</b>
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				<b>Lori E. Heermance</b>
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				<b>Academic Affairs</b>
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				<b>348-2378</b>

Florida International University					
2004 - 2005					
FACULTY NOMINATIONS FOR TENURE					
ENGLISH					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic					
Total Male					
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Female	1	1			1
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<b>Florida International University</b>					
<b>2004 - 2005</b>					
<b>FACULTY NOMINATIONS FOR TENURE</b>					
<b>MATHEMATICS</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				<b>Prepared by:</b>
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378



<p style="text-align: center;"><b>Florida International University</b>  <b>2004 - 2005</b>  <b>FACULTY NOMINATIONS FOR TENURE</b></p>					
<b>PHYSICS</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				<b>Prepared by:</b>
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<b>Florida International University</b>					
<b>2004 - 2005</b>					
<b>FACULTY NOMINATIONS FOR TENURE</b>					
<b>CURRICULUM &amp; INSTRUCTION</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic	2	2			2
Total Male	2	2			2
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	2	2			2
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<b>Florida International University</b>					
<b>2004 - 2005</b>					
<b>FACULTY NOMINATIONS FOR TENURE</b>					
<b>EDUCATIONAL &amp; PSYCHOLOGICAL STUDIES</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<p style="text-align: center;"><b>Florida International University</b>  <b>2004 - 2005</b>  <b>FACULTY NOMINATIONS FOR TENURE</b></p>					
<p style="text-align: center;"><b>BIOMEDICAL ENGINEERING</b></p>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic					
White, not Hispanic	1	1			1
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<b>Florida International University</b>					
<b>2004 - 2005</b>					
<b>FACULTY NOMINATIONS FOR TENURE</b>					
<b>HOSPITALITY &amp; TOURISM MANAGEMENT</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander	1	1			1
Black, Not Hispanic					
Hispanic					
White, not Hispanic					
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				<b>Prepared by:</b>
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

<b>Florida International University</b>					
<b>2004 - 2005</b>					
<b>FACULTY NOMINATIONS FOR TENURE</b>					
<b>COMMUNICATION SCIENCES &amp; DISORDERS</b>					
Sex, Race/Ethnicity	Eligible	Applied	Withdrawn	Denied	Nominated
<b>MALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, Not Hispanic					
Hispanic	1	1			1
White, not Hispanic					
Total Male	1	1			1
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian or Pacific Islander					
Black, not Hispanic					
Hispanic					
White, not Hispanic					
Total Female					
<b>GRAND TOTAL</b>	1	1			1
<b>ELIGIBLE FOR RECOMMENDATION=</b>	Faculty who currently have no more than six years of credit toward tenure.				
<b>APPLIED=</b>	Faculty whose names have been submitted for tenure review.				Prepared by:
<b>WITHDRAWN=</b>	Faculty who withdrew from tenure consideration after applying for review.				Lori E. Heermance
<b>DENIED=</b>	Faculty for whom tenure was denied during the review process.				Academic Affairs
<b>NOMINATED=</b>	Faculty for whom tenure is being recommended by the University.				348-2378

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: APPROVAL OF CONSULTING CONTRACT WITH A.T. KEARNEY**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the Board of Trustees approve a consultant to conduct the 2004-2005 evaluation of the University president and

FURTHER RESOLVED that A.T. Kearney conduct the President’s Evaluation for 2004-2005 academic year, at a cost of \$10,000 and,

FURTHER RESOLVED that A.T. Kearney be engaged to conduct interviews with each Board member on the President’s performance for the 2004-2005 fiscal year using the eight item survey approved by the Board at its 7 March 2005 meeting, and

FURTHER RESOLVED that A.T. Kearney prepare a report of the aggregate findings and submit it to the Administration and Compensation Committee Chair for consideration as part of the President’s evaluation.

**BACKGROUND INFORMATION:**

At its 7 March 2005 meeting, the Board of Trustees approved a process for evaluation of the President’s performance for the 2004-2005 academic year. The process includes the selection of an outside consultant to conduct the evaluation. The recommendation is to once again use John Mestepey of A.T. Kearney for evaluation of the President’s performance for the 2004-2005 academic year.

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**EXHIBITS/SUPPORTING DOCUMENTS:**                      ■    NONE

**FACILITATOR/PRESENTER:**                                      ■    NONE

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: EXTENSION OF UNIVERSITY PRESIDENT’S CONTRACT**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS the Florida international University Board of Trustees (the “Board”) approved a three year contract (the “Contract”) with University President Modesto A. Maidique; and

WHEREAS the Contract, as amended, expires on 1 August 2005; and

WHEREAS the President recommended no changes to the Contract be considered until Collective Bargaining is settled;

THEREFORE BE IT RESOLVED that the Contract, as amended, between the Board and University President Modesto A. Maidique shall be extended under the current provisions for a period of not less than six (6) months and not more than twelve (12) months beginning in August 2005, and

FURTHER RESOLVED that during the extension, the Board shall enter into negotiations for a new contract with the University President.

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**EXHIBITS/SUPPORTING DOCUMENTS:** ■ NONE

**FACILITATOR/PRESENTER:** ■ NONE



**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: TENURE NOMINATIONS**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS each board of trustees is authorized to establish the personnel program for all employees of the university including tenure,

WHEREAS the University President is recommending the granting of Tenure for fourteen (14) nominees as listed in Exhibit “D”,

THEREFORE BE IT RESOLVED that the Florida International University Board of Trustees approves the granting of Tenure to the seventeen individuals listed in Exhibit “D” based on the recommendations of the University President.

**BACKGROUND INFORMATION:**

**STATUTORY AUTHORITY:**

**Florida Statutes 1001.74, “Powers and duties of university boards of trustees,”**  
states in part,

**(19)(a)** Each board of trustees shall establish the personnel program for all employees of the university, including the president, pursuant to the provisions of chapter 1012 and, in accordance with rules and guidelines of the State Board of Education, including: compensation and other conditions of employment, recruitment and selection, non-reappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary

actions, complaints, appeals and grievance procedures, and separation and termination from employment.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “D” – TENURE NOMINEES
- ATTACHMENT 1 – TENURE NOMINEES’ BIOS
- ATTACHMENT 2 – TENURE PROCESS

**FACILITATOR/PRESENTER:**

- NONE

**Exhibit “D”**

**The Florida Internacional University  
2004-2005 Tenure Nominations**

NAME	GENDER	ETHNICITY	PROPOSED RANK	DEPARTMENT	TENURE CIP CODE
<b>SCHOOL OF ARCHITECTURE</b>					
Alfredo Andia	M	H	Associate Professor		040201
<b>COLLEGE ARTS &amp; SCIENCES</b>					
Sharon Brant	F	W	Associate Professor	Art & Art History	500703
Tedi Draghici	M	W	Associate Professor	Mathematics	270101
Denise Duhamel	F	W	Associate Professor	English	420701
Lidia Kos	F	W	Associate Professor	Biology	260101
Kalai Mathee-Narasimha	F	A	Associate Professor	Biology	260101
Misak Sargsian	M	W	Associate Professor	Physics	400801
<b>COLLEGE OF EDUCATION</b>					
Cengiz Alacaci	M	W	Associate Professor	Curriculum & Instr.	131311
Leonard Bliss	M	W	Tenure Only	Educ. Psych. Studies	130306
Eric Dwyer	M	W	Associate Professor	Curriculum & Instr.	131306
<b>COLLEGE OF ENGINEERING</b>					
Anthony McGoron	M	W	Associate Professor	Biomedical	140501
<b>COLLEGE OF HEALTH &amp; URBAN AFFRS.</b>					
Alfredo Ardila	M	H	Professor	Comm. Science	510203
<b>SCHOOL OF HOSP. &amp; TOURISM MGMT.</b>					
Jinlin Zhao	M	A	Tenure Only		520901
<b>COLLEGE OF LAW</b>					
Matthew Mirow	M	W	Tenure Only		220101

## Attachment 1

### THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES

2004-2005

#### Tenure & Promotion Recommendations Biographies

##### Architecture

*T/P from Assistant to Associate*

**Dr. Alfredo Andia** holds a Ph.D. in architecture from the University of California at Berkeley, a M.A. in design studies from Harvard University, and a B.A. from the Universidad Católica de Valparaíso in Chile. He has taught at University of Cincinnati, University of California at Berkeley, and he has been a visiting professor in Italy and Chile. Dr. Andia combines his interest and expertise in architectural design and digital technologies. He has worked as a project design architect in projects such as the headquarter for Kyushu Electric Power Co., Kumamoto, Japan; Oncomedica Office Building, Peru; Mall Feria del Pacífico in Lima, Peru; Urban Design Plan for 2000-2100 in Kyoto, Japan; and Urban Design proposals for small towns in Italy and Ohio. He has consulted internationally in digital technology in design for companies such as Taisei Corporation, one of the largest construction companies in the world, and architectural firms such as Anshen and Allen, Anderson De Bartolo, Pan, and SMP, California. Dr. Andia coordinates the Internet Studio Network, an online academic community that brings together studios at several schools of architecture together. He has spoken widely on the impacts of digital technologies in design at Biennales of Architecture and at conferences such as SIGGRAPH, American Collegiate Schools of Architecture, Networked Realities in Japan, IMCL. Professor Andia has attained noteworthy distinction with over 40 peer reviewed articles and papers presented through prestigious international journals and organizations. Furthermore, he has been invited to 59 lectures all over the world.

##### Arts and Sciences

*T/P from Assistant to Associate*

**Professor Sharon Brant** graduated from the University of Wyoming with an MFA in painting, installation, and printmaking. She teaches painting and drawing at all levels, visual thinking, and three-dimensional design. Ms. Brant has contributed tremendously to the Arts at Biscayne Bay, especially how she revitalized the Art studio, and its activities at the campus. She has secured exhibition spaces for the students and other artists in the community. The diversity of her output includes paintings, books, prints, fabrics installations, sculptures, performances, and landscape interventions. Ms. Brant participates in all oral student reviews and critiques, and is currently on three MFA committees. In addition, she constantly updates the contemporary collection of the slide library at BBC.

*T/P from Assistant to Associate*

**Dr. Tedi Draghici** has produced an excellent body of work in Differential Geometry, having his work published in some of the best research journals such as *Matematische Annalen*, *Annals of Global Analysis*, and *Differential Geometry and its Applications*. He is one of the leading experts in Riemannian Symplectic Geometry and has been acclaimed internationally as such. Dr. Draghici attended the University of Bucharest where he obtained his B.S. and M.S. in mathematics. He later graduated from Michigan State University with a Ph.D. in mathematics. It is significant to note that he is a co-beneficiary of a *National Science Foundation* grant because only a small amount of NSF funding is set aside for research mathematics. For the past three years, Dr. Draghici has been the coach of the team representing FIU in the National Putnam Mathematics Competition and has been the organizer of the FIU Match Club since 2003.

*T/P from Assistant to Associate*

**Professor Denise Duhamel** holds an M.F.A. in poetry from Sarah Lawrence College. She was a visiting professor at FIU during the Fall of 1999 and later joined FIU in 2000 as an assistant professor. She often serves as a judge in national poetry competitions. Her national and international reputation is evident not only in her publications but also in the competitive scholarships and awards she has received. These include the National Endowment for the Arts Fellowships in Poetry in 2001, which is granted to fewer than 3% of its applicants. Ms. Duhamel is often lauded as one of the most admired and talked-about poets of her generation. Her work is widely published in journals and anthologies of contemporary work. Since 2000, she has published more than 60 poems in magazines, and a total of 284 since 1984. Ms. Duhamel's work includes published poems and prose in international literary magazines, in anthologies and textbooks in the US and abroad, as well as fiction pieces in magazines. She has written seven poetry books and has another one expected to be released in April 2005.

*T/P from Assistant to Associate*

**Dr. Lidia Kos** joined in FIU in 1998 as Assistant Professor in the Department of Biological Sciences. She has done high-quality research despite having to build research support from scratch, as well as revitalized undergraduate teaching in embryology, development, and cell biology. The quality of her research is evident in publications appearing in *Nature Genetics*, *The Proceedings of the National Academy of Sciences*, as well as *Development*, among others. Since 1992, Dr. Kos has been cited 553 times. She has been very active in the field of pigment cell research, and is an influential presence in the international field studying the regulation of mammalian pigmentation.

*T/P from Assistant to Associate*

**Dr. Kalai Mathee-Narasimha** attended the University of Malaya in Kuala Lumpur, Malaysia, where she graduated with a B.Sc. in Genetics and later with a M.Sc. in Microbial Genetics. She attended the University of Tennessee Medical School and graduated with a Ph.D. in Microbiology and Immunology. She is an acknowledged international expert in bacterial pathogenicity with particular emphasis on *Pseudomonas aeruginosa*, the most

common cause of morbidity and mortality in cystic fibrosis patients. Her studies include biofilm analysis and the molecular mechanism of antibiotic resistance. She has been successful in attracting funding to support her work, including \$750K from the National Institutes of Health and the Cystic Fibrosis Foundation. In addition, she has facilitated almost \$2M in extramural grants as co-PI working in collaboration with other faculty at FIU. Dr. Mathee’s work has appeared in some of the best specialty journals in the field, including *Gene*, *Virology*, *Microbiology*, and the *Annual Review of Microbiology*. Furthermore, Dr. Mathee has been exploring diverse areas such as bioinformatics and “ecoinformatic” tools in studies of microbial diversity at the ribosomal level.

*T/P from Assistant to Associate*

**Dr. Misak Sargsian** holds a Ph.D. in Physics from the Yerevan Institute in Armenia, and he works in the field of high-energy nuclear physics. His expertise centers around hadronic physics, which studies that part of the microscopic structure of matter which is generated by the strong interactions, i.e., atomic nuclei and their constituents, the nucleons, and the constituents of the latter, quarks and gluons. Dr. Sargsian has developed several important methods for treating scattering problems, and his help is highly sought after by experimentalists in these areas. He has published 27 articles in major refereed journals and has presented in 43 conferences. Dr. Sargsian’s principal funding comes from the Department of Energy, but has also received grants from the United States-Israel Binational Science Foundation, from the Jefferson Laboratory, and has held a Humboldt grant. He was selected as a reviewer of a grant proposal for the Department of Energy and as a referee for all of the most important journals in his area, such as the *Physical Review Journal* and the *Nuclear Physics Journal*. Dr. Sargsian is regarded as a very productive theorist, who is at the forefront of his field, who provides experimentalists with quantitative models to understand experimental results.

## Education

*T/P from Assistant to Associate*

**Dr. Cengiz Alacaci** joined FIU’s College of Education in 1999 as Assistant Professor of Mathematics Education. He received his doctoral degree in mathematics education from the University of Pittsburgh, after working as a post-doctoral research associate at the Learning Research and Development Center (LRDC) of the University of Pittsburgh for a year. He has established a line of research focusing on statistical understanding and applications, and the study and improvement of mathematics education among pre-service and in-service teachers. Dr. Alacaci’s record of publications includes having published three book chapters, seven refereed articles, six papers in proceedings, and three technical reports/monographs. In addition, he has served in leadership capacities nationally in the American Educational Research Association Special Interest Groups: Mathematics Education and International Studies. He has also served as a reviewer for the Journal of Education research, and the Journal for Research in Mathematics Education.

*Tenure only*

**Dr. Leonard Bliss** holds a B.S. in Science Education (Biology) and a M.S. in Secondary Science Education, both from the State University of New York. He later graduated from Syracuse University with a Ph.D. in Educational Research and Evaluation. Dr. Bliss has published three articles since his arrival at FIU in 1999, and has published two book chapters—one is The Study of Behavior Inventory, and the other deals with the assessment process. The Study of Behavior Inventory (SBI) is reported to be in use at more than 400 colleges and universities. He has also published two monographs and presented 12 papers at professional meetings. While at FIU, he has devoted time and effort to develop a Spanish version of the SBI, as well as a high school student version. Dr. Bliss is currently writing a book on data analysis, expected to be published by the end of 2004-2005 school year.

*T/P from Assistant to Associate*

**Dr. Eric Dwyer** joined the College of Education in 1998, serving as a visiting instructor during his first two years. He holds a B.A. in Spanish from Utah State University, and an M.A. and Ph.D. in Foreign Language Education from the University of Texas at Austin. In 2000, he was promoted to assistant professor and has established an impressive record in teaching, scholarship, and service. In 2004, he received the University Excellence in Teaching Award. Dr. Dwyer has achieved an impressive amount of research and scholarship activities in TESOL and Foreign Language Education. During his 6-year term at FIU, he has given 29 presentations and is currently directing a two-year \$160,000 grant on Science Academic Vocabulary for English Language Learners. His research projects include a look into the language facing English language learners as they work through mainstream courses and making that language accessible to them. In the last six years, Dr. Dwyer has six publications, one article in press, and one book chapter in preparation. In addition, his service to the University, college, and department is also significant.

## **Engineering**

*T/P from Assistant to Associate*

**Dr. Anthony McGoron** attended Wright State University where he graduated with a BSE and MSE in Biomedical Engineering. He later obtained his PhD in Biomedical Engineering from Louisiana Tech University. Prior to joining FIU in 1999, he worked at the University of Cincinnati in radiology, nuclear medicine, and medical physics. He has been an essential contributor to the development of FIU's undergraduate and graduate programs in Biomedical Engineering, as well as the development of its research programs. Dr. McGoron's research focuses on drug transport, nuclear imaging, neurological sciences and engineering, as well as bio/nano-technology. At FIU, he has received funding from the American Heart Association, National Institutes of Health and several biotech companies, and has built successful partnerships with the companies in South Florida.

## Health and Urban Affairs

*T/P from Associate to Full*

**Dr. Alfredo Ardila** graduated from Moscow State University with a Ph.D. in Neuropsychology. The quality and quantity of his publications (in both English and Spanish) attest to his contributions in the field, having written 22 books, 231 articles in refereed journals, 45 book chapters, and developed three assessment batteries. Dr. Ardila's work has been cited at least 1,282 times according to the Social Science Citation Index. He has been instrumental in research in the language and cognitive functions of bilingual populations. Dr. Ardila is known as a pioneer in the field of aphasia (an impairment of the ability to use or comprehend words, usually acquired as a result of a stroke or other brain injury) with Spanish speakers. In addition, Dr. Ardila is a member of the Editorial Board of seven journals. His research interests include brain organization of language; aphasias, alexias and agaphias; acalculias; analysis of neuropsychological syndromes; normal and abnormal aging; organization of cognition; bilingualism; socio-cultural factors in cognition, and neuropsychological assessment instruments.

## Hospitality Management

*Tenure only*

**Dr. Jinlin Zhao** graduated with a B.A. in English from the Beijing Second Foreign Language Institute. He later attended Indiana University of Pennsylvania with the graduated with a M.A. in Political Science, obtaining his Ph.D. in Hospitality and Tourism Management from Virginia Polytechnic Institute and State University. He is an outstanding contributor of research to many publications represented in a wide variety of high quality refereed journals, with 10 articles, six in Premier and two in High Quality journals; two books, a book chapter, several papers with presentations, and an instructor's manual. Prior to joining FIU, he taught courses at Western Carolina University and Beijing Second Foreign Language Institute. Since 2002, he participates as a Board Member for the Journal of Human Resources in Hospitality and Tourism, and continues as a Member of the Board of Directors for the Chinese Medicine Institute in Miami.

## Law

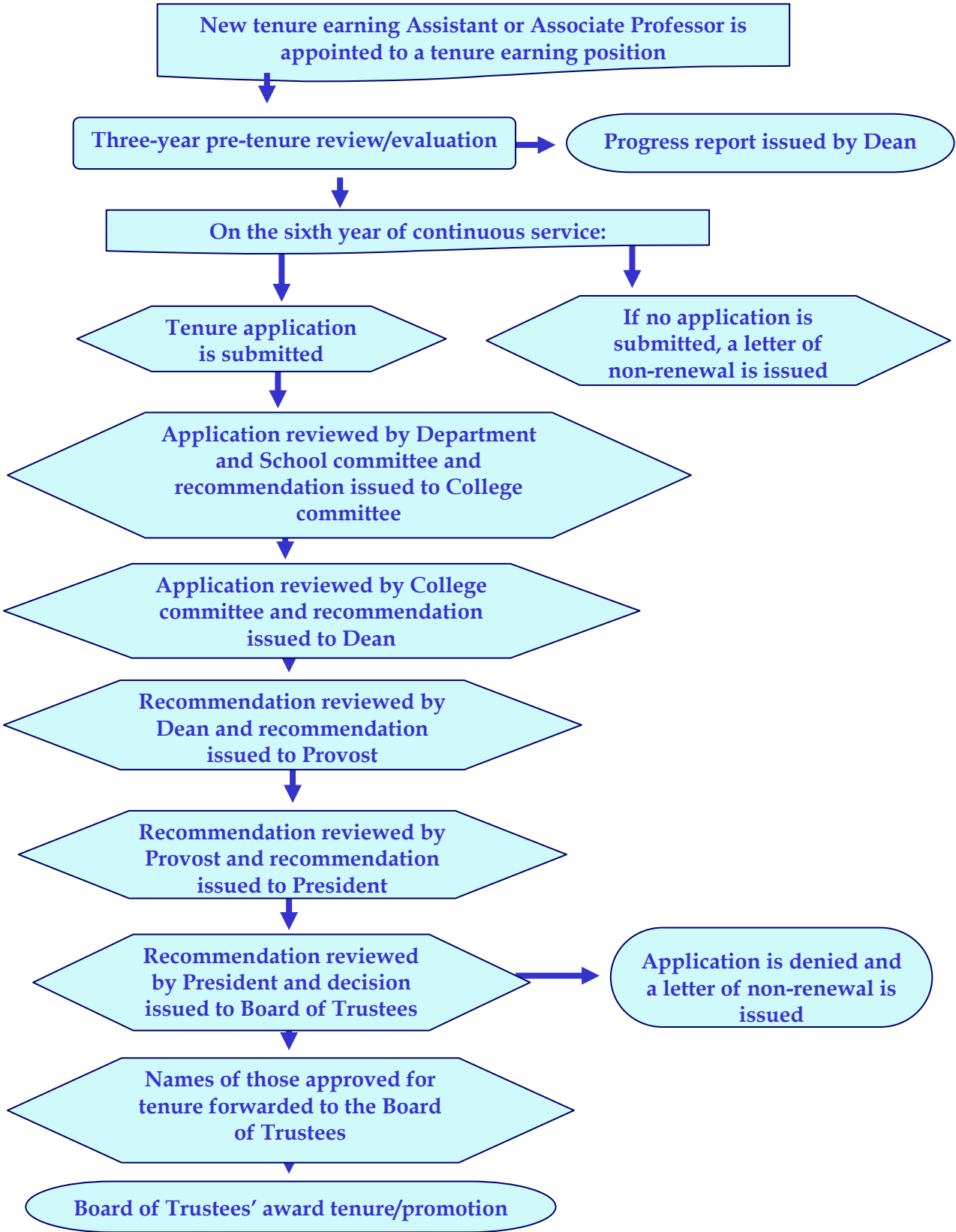
*Tenure only*

**Dr. Matthew Mirow** received his B.A. in Philosophy and Religion from Boston University and later attended Cornell University where he graduated with a J.D. He holds a Ph.D. in law from Cambridge University in England and a second Ph.D. from Leiden University in the Netherlands. An award-winning teacher and member of the Florida Bar, Professor Mirow has taught law in the United States, England, and Colombia. He teaches in the areas of Property Law, Trusts and Estates, Latin American Law, Comparative Law, International Law, and Legal History. Professor Mirow has held a Golieb Fellowship at New York University School of Law and has served as a General Reporter to the Société Jean Bodin. Holding Diplomas in Spanish from Cambridge University and the Spanish Ministry of



Education and Science, he is an affiliated faculty member of the Latin American and Caribbean Center at FIU. His scholarly publications include *Latin American Law: A History of Private Law and Institutions in Spanish America* (University of Texas Press, 2004), and over 20 book chapters and law review articles. Professor Mirow serves as a book review editor for the *American Journal of Legal History*.

# Tenure and Promotion Process



actions, complaints, appeals and grievance procedures, and separation and termination from employment.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “E” – TENURE AS A  
CONDITION OF EMPLOYMENT  
NOMINEES
- ATTACHMENT 3 – TENURE NOMINEES’  
BIOS

**FACILITATOR/PRESENTER:**

- NONE

**Exhibit “E”**

**The Florida Internacional University  
2004-2005 Tenure Nominations**

<b>NAME</b>	<b>GENDER</b>	<b>ETHNICITY</b>	<b>PROPOSED RANK</b>	<b>DEPARTMENT</b>	<b>TENURE CIP CODE</b>
<b>COLLEGE OF BUSINESS ADMINISTRATION</b>					
Cherie J. O'Neil Hennig	F	W	Tenure Only (TACOE)	Accounting	520301
<b>COLLEGE OF EDUCATION</b>					
Joseph C. Witt	M	W	Tenure Only (TACOE)	Educ. Psych. Studies	421701
<b>COLLEGE OF ENGINEERING</b>					
Fernando R. Miralles-Wilhelm	M	H	Associate Professor	Civil & Environmental	141401

### Attachment 3

## THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES

2004-2005

### Tenure as a Condition of Employment Nominations Biographies

#### Business

##### *Tenure as a Condition of Employment*

Prior to joining FIU, **Dr. Cherie O'Neil-Hennig** was Chair of the Department of Accounting and later Professor of Accounting at Colorado State University. She is a graduate of the University of Colorado, where she earned her B.S., M.B.A., and Ph.D. in Accounting. As a consultant with ACDI-VOCA from 1999 through 2001, she has received grants for projects relating to the implementation of International Accounting Standards in Russia and in other countries of the former Soviet Union. Dr. O'Neil has taught at Saratov State Agricultural University in Saratov, Russia, where she held training sessions on International Accounting Standards and cost accounting applications in agricultural enterprises. She has also been a consultant on adopting Western Accounting practices in Russia, the Baltic Republics, and the Republic of Georgia. Professor O'Neil has published numerous tax articles and AICPA continuing professional education courses, has been a contributing author on numerous tax texts, and is co-editor of TaxPoint, the first interactive CD-rom tax text. She has also conducted research for the Internal Revenue Service, Statistics of Income Division in Washington, D.C. and the District Office of Research and Analysis in Jacksonville, Florida. Dr. O'Neil is a Certified Public Accountant in Colorado.

#### Education

##### *Tenure as a Condition of Employment*

**Dr. Joseph Witt** graduated from Arizona State University with a Ph.D. in School Psychology. Since 1987, he worked at Louisiana State University, where he was professor and director of the School Psychology Program. He is a Fellow of the American Psychological Association, and member of the National Association of School Psychologists as well as the Louisiana Association of School Psychologists. Dr. Witt has been recognized as Distinguished Professor by LSU Alumni Association, Distinguished Lecturer by the University of Cincinnati, and Noted Scholar by the University of British Columbia. Furthermore, in 1986, he was honored by Division 16 of the American Psychological Association with the Lightner Witmer Award for Research. Dr. Witt's record reflects continuous scholarly productivity, having been associated with 15 published books and having published over 70 articles. Currently, he has eight articles and five book chapters in press, as well as five reviews in Mental Measurements Yearbook. Over the past four years, he has obtained approximately \$900,000 in external funding.

## Engineering

### *Tenure as a Condition of Employment*

**Dr. Fernando R. Miralles-Wilhelm** received his B.S. in Mechanical Engineering from the Universidad Simón Bolívar in Caracas, Venezuela. He later attended the University of California, Irvine, and MIT, where he graduated with a M.S. in Engineering and a Ph.D. in Environmental Engineering, respectively. Dr. Miralles-Wilhelm is a licensed engineer in Venezuela as well as in Massachusetts and Florida. He has taught undergraduate and graduate courses in hydrology, fluid mechanics, flow through porous media, groundwater modeling, ecohydrology, environmental engineering, and architecture and the environment. His research interests lie in the area of analytical, statistical, and computational modeling of hydrologic flow, as well as contaminant fate and transport at watershed/ecosystem scale with applications to global climate, hydrogeology, biogeochemistry, and ecology. Dr. Miralles-Wilhelm has published twelve papers in leading archival journals and has presented at national and international conferences. In addition, he has served as principal investigator for research grants exceeding \$2.5 MM and as a co-principal investigator on projects over \$2.3 MM.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: PERFORMANCE MEASURES**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, the Florida Board of Governors (“the BOG”) adopted a series of University accountability measures in January 2005, and

WHEREAS, Florida International University was asked to recommend targets for academic years 2006-2007 and 2012-2013 for measures in four areas: graduation rates, minority baccalaureate degree production, licensure pass rates, and world-class research programs,

THEREFORE, BE IT RESOLVED, that the Florida International University Board of Trustees approves the performance targets presented by the administration in each of the four measurement areas as requested by the BOG and attached to this Resolution as Exhibit “F,” and

FURTHER RESOLVED, that upon approval of the performance targets, the University President shall file the plan with the Board of Governors.

**BACKGROUND INFORMATION:**

The Board of Governors (BOG) adopted a series of University accountability measures in January, 2005. Seven measures were designed with the intent to support the BOG strategic planning effort. These measures are shown in Appendix A. They included graduation rates, degrees granted by level, targeted degrees granted by level, minority baccalaureate degree production, licensure pass rates, academic learning compacts, and world-class academic and research programs. The potential relationship of performance on the seven measures to state funding is not yet clear.

On May 3, 2005, the Board of Governors requested that Florida International University determine targets for both 2006-07 and 2012-13 for measures in four areas, including graduation rates, minority baccalaureate degree production, licensure pass rates, and world-class research programs. The response is due to the BOG on May 23, 2005.

### **Targets**

Proposed targets have been developed for the BOT’s discussion and review. Appendix B contains six years of historical data and the 2006-07 and 2012-13 targets for each measurement area. Generally, targets were selected based on past performance, organizational and other changes being implemented, and the expert judgment of leaders in the area charged with performance.

On May 23<sup>rd</sup>, the BOG was provided a response meeting their deadline that is clearly labeled as “Pending approval from the Florida International University Board of Trustees.”

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#### **EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “F” – PERFORMANCE MEASURES REPORT, APPENDIX B

#### **FACILITATOR/PRESENTER:**

- NONE



## EXHIBIT "F"

BOG PERFORMANCE MEASURES - TARGETS May 2005

APPENDIX B: Florida International University ( PENDING APPROVAL OF FIU'S BOARD OF											
Measure One: Graduation Rates											
				Cohort by Entering Year (Full-time students)							
Four-Year for FTIC	Performance Index	Peer Average	US Average (1997-2001)	1995-1999 Cohort	1996-2000 Cohort	1997-2001 Cohort	1998-2002 Cohort	1999-2003 Cohort	2000-2004 Cohort	2003-2007 Target	2009-2013 Target
	18%	16%	34%	15%	17%	18%	19%	21%	19%	20%	25%
Six-Year for FTIC	Performance Index	Peer Average	US average (1997-2003)	1993-1999 Cohort	1994-2000 Cohort	1995-2001 Cohort	1996-2002 Cohort	1997-2003 Cohort	1998-2004 Cohort	2001-2007 Target	2007-2013 Target
	45%	40%	56%	47%	43%	45%	44%	47%	47%	48%	55%
AA-Transfer Two-Year	Performance Index	Peer Average	US Average	1997-1999 Cohort	1998-2000 Cohort	1999-2001 Cohort	2000-2002 Cohort	2001-2003 Cohort	2002-2004 Cohort	2005-2007 Target	2011-2013 Target
	33%			30%	28%	34%	39%	36%	34%	35%	40%
AA-Transfer Four-Year	Performance Index	Peer Average	US Average	1995-1999 Cohort	1996-2000 Cohort	1997-2001 Cohort	1998-2002 Cohort	1999-2003 Cohort	2000-2004 Cohort	2003-2007 Target	2009-2013 Target
	72%			74%	72%	72%	70%	73%	78%	78%	82%
Measure Two: Degrees Awarded (To be based on degree/enrollment plans)											
Measure Three: Baccalaureate Degree Production in Targeted Areas (To be based on degree/enrollment plans)											

## EXHIBIT "F"

BOG PERFORMANCE MEASURES - TARGETS May 2005

APPENDIX B: Florida International University ( PENDING APPROVAL OF FIU'S BOARD OF											
Measure Four: Minority Baccalaureate Production											
<u>Baccalaureate Degrees</u>	Performance Index	Peer Average	US Average	1998-1999	1999-2000	2000-2001	2001-2002	2002-2003	2003-2004	2006-2007 Target	2012-2013 Target
Total Under-Represented Minority	66%			65%	66%	66%	69%	67%	67%	67%	70%
Black, Non-Hispanic	14%			14%	14%	14%	13%	13%	13%	13%	15%
Hispanic	52%			51%	52%	52%	55%	54%	53%	54%	55%
Measure Five: Licensure Pass Rate											
Law (Bar Examination)	Performance Index	Florida Average (2003-2004)	US Average	1998-1999	1999-2000	2000-2001	2001-2002	2002-2003	2003-2004	06-07 Target	2012 Target
		79%								75%	80%
Nursing (NCLEX)	Performance Index	Florida Average (2003-2004)	US Average (2003-2004)	2002-2003	2003-2004					06-07 Target	2012 Target
	85%	83%	87%	81%	89%					92%	95%
Teacher Certification	Performance Index	Florida Average	US Average	1999-2000	2000-2001	2001-2002	2002-2003			06-07 Target	2012 Target
	93%			95%	93%	90%	93%			100%	100%
Measure Six: Academic Learning Compacts (To be determined)											

## EXHIBIT "F"

BOG PERFORMANCE MEASURES - TARGETS May 2005

APPENDIX B: Florida International University ( PENDING APPROVAL OF FIU'S BOARD OF											
Measure Seven: World-class Academic and Research Programs											
Patents per 1,000 full-time tenure and tenure-earning faculty	Performance Index	Peer Average	US Average	FY 1999-2000	FY 2001-2002	FY 2002-2003				FY 2006-2007 Target	FY 2012-2013 Target
	1	17			2	0				9	15
Research Expenditures	Performance Index	Peer Average	US Average (FY 2001-2002)	FY 1997-1998	FY 1999-2000	FY 2001-2002	FY 2002-2003	FY 2003-2004		FY 2006-2007 Target	FY 2012-2013 Target
Total Academic R&D Expenditures per full-time, tenure and tenure-earning faculty (in thousands)	\$ 51	\$ 65	\$ 131	\$ 29	\$ 51	\$ 74				\$125	\$191
Federally Financed R&D Expenditures per full-time tenure and tenure-earning faculty (in thousands)	\$ 34	\$ 33	\$ 70	\$ 23	\$ 30	\$ 50				\$78	\$147
<u>Data used in calculations</u>											
Total Academic R&D (Actual Dollars)				\$17,880	\$20,296	\$47,654					
Total Academic R&D (Deflated Dollars)				\$18,534	\$20,296	\$45,848					
Federally Financed R&D Expenditures (Actual Dollars)				\$14,243	\$34,649	\$32,057					
Federally Financed R&D Expenditures (Deflated Dollars)				\$14,764	\$34,649	\$30,842					
<b>Faculty</b>				Fall 1997	Fall 1999	Fall 2001					
Full-time, Tenure and Tenure-earning				642	682	619					

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: TENURE AS CONDITION OF EMPLOYMENT NOMINATIONS**

---

**PROPOSED COMMITTEE ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS each board of trustees is authorized to establish the personnel program for all employees of the university including tenure,

WHEREAS the University President is recommending the granting of Tenure as a Condition of Employment for three (3) nominees listed in Exhibits “E”,

THEREFORE BE IT RESOLVED that the Florida International University Board of Trustees approves the granting of Tenure to the three individuals listed in Exhibit “E” based on the recommendations of the University President.

**BACKGROUND INFORMATION:**

**STATUTORY AUTHORITY:**

**Florida Statutes 1001.74, “Powers and duties of university boards of trustees,”**  
states in part,

**(19)(a)** Each board of trustees shall establish the personnel program for all employees of the university, including the president, pursuant to the provisions of chapter 1012 and, in accordance with rules and guidelines of the State Board of Education, including: compensation and other conditions of employment, recruitment and selection, non-reappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: UNIVERSITY PERSONNEL RULES – RULE REPEAL**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all University employees;

WHEREAS, the University has decided to repeal Personnel Rule 6C8-4.018 because it is redundant;

THEREFORE, BE IT RESOLVED THAT, the Board approves the proposed repeal of Rule 6C8-4.018.

BE IT FURTHER RESOLVED THAT, the Board delegates authority to the University President to consider any comments to the Rule Repeal received by the University in writing or at a public hearing to be held after the Board's action, and to file the Rule Repeal for adoption.

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule Repeal as a result of comments received in writing or at the public hearing on the Rule Repeal.

**BACKGROUND INFORMATION**

**A. Legal Authority**

**Section 1001.74, Florida Statutes (2004), Powers and Duties of university boards of trustees, provides in relevant part:**

(4) Each board of trustees may adopt rules pursuant to ss. 120.536(1) and 120.54 to implement the provisions of law conferring duties upon it. . .

**Resolution of the Florida Board of Governors, dated 7 January 2003. Resolution delegating and delineating powers of local boards of trustees, provides in pertinent part:**

19. Each board of trustees shall establish the personnel program for all employees of the university, including the president, pursuant to the provisions of chapter 1012 and, in accordance with rules and guidelines of the Board of Governors, including: compensation and other conditions of employment, recruitment and selection, nonreappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary actions, complaints, appeals and grievance procedures, and separation and termination from employment. No rule of the Board of Governors shall be considered to in any way contravene the responsibility of each of the university board of trustees to act as the sole public employer with regard to all public employees of its universities for the purposes of collective bargaining in accordance with chapter 447, Florida Statutes.

**B. Explanation for Proposed Committee Action:**

The Board of Trustees has the authority to adopt new rules, amend existing rules, and repeal existing rules that are obsolete, redundant, or unnecessary. Current University Personnel Rule 6C8-4.018, Termination of Employment of Administrative and Professional (A&P) Staff is redundant because all matters under this Rule are covered by Rule 6C8-4.025, Separation from Employment for Non-Bargaining Unit Employees.

If the Board approves the Proposed Rule Repeal, the University will take the following steps which are required by state law:

1. Publish a notice regarding the Rule Repeal in a newspaper of general circulation;
2. Conduct a public hearing (if a hearing is requested) approximately twenty-one (21) days after publication of the notice. The purpose of the hearing is to receive comments by students, staff, faculty, and other persons affected by the Rule Repeal; and
3. Consider any requests for changes received either in writing or at the hearing, and determine whether to proceed with the rule repeal as published.

Given that the Board will not meet again until 19 September 2005, it is further recommended in order to complete the rule adoption process without delay, that the Board delegate to the President

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**EXHIBITS/SUPPORTING DOCUMENTS:**                      ■ NONE

**FACILITATOR/PRESENTER:**                                      ■ NONE

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.018 Termination of Employment of Employees.**

(1) For purposes of this Rule, an "employee" means an employee who was in the Administrative and Professional (A&P) pay classification prior to July 1, 2005.

(2) Termination of Employment Without Cause.

(a) Employees may be terminated without cause at any time by giving written notice to the employee as follows:

Employees with ten or more consecutive years of full-time service at the University as of July 1, 2005, a minimum notification period based upon one month per year, or part thereof, of full-time employment, plus one month, up to a maximum of six months notification, prior to terminating the employment relationship.

(3) The decision to terminate employment shall be approved by the Vice President for Human Resources or his or her designee.

(4) Upon notice of termination, the University shall decide at its sole option, whether to:

(a) Allow the employee to continue to work at the University during the notification period in the same position or in a different position,

(b) Place the employee on leave with pay during the notification period,

(c) Pay the amount due to the employee in salary during the notification period as a lump sum payment and cease employment of the employee immediately, or

(d) Take a course of action that is a combination of any of the above.

(5) Resignation by Employees. Employees will give two weeks written notice of resignation. A resignation may not be rescinded by the employee without concurrence of the University.

*Specific Authority 1001.74(4), (19) FS. Law Implemented 1001.74(19) FS. History-New 4-30-81, Formerly 6C8-4.18, Amended 8-7-96, 8-22-04, \_\_\_\_\_.*



**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: PERSONNEL POLICIES FOR NON-BARGAINING PERSONNEL**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all university employees;

WHEREAS, the University has developed personnel policies for all non-bargaining unit personnel (Exhibit “G”);

THEREFORE BE IT RESOLVED, that the Board of Trustees adopts the personnel policies attached hereto as Exhibit “G” as amended;

BE IT FURTHER RESOLVED, that the policies attached hereto in Exhibit “G” as amended shall be effective 1 July 2005, solely for non-bargaining unit personnel;

BE IT FURTHER RESOLVED, that the University Administration take all actions necessary to give effect to this Resolution.

**BACKGROUND INFORMATION**

**LEGAL AUTHORITY:**

**Resolution of the Florida Board of Governors, dated January 7, 2003. Resolution delegating and delineating powers of local boards of trustees,** provides in pertinent part:

19. Each board of trustees shall establish the personnel program for all employees of the university, including the president, pursuant to the provisions of chapter 1012 and, in accordance with rules and guidelines of the Board of Governors, including: compensation and other conditions of employment, recruitment and selection, nonreappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning

opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary actions, complaints, appeals and grievance procedures, and separation and termination from employment. No rule of the Board of Governors shall be considered to in any way contravene the responsibility of each of the university board of trustees to act as the sole public employer with regard to all public employees of its universities for the purposes of collective bargaining in accordance with chapter 447, Florida Statutes.

BE IT RESOLVED that it is the intent of the Board of Governors that the university boards of trustees shall be the sole public employers with respect to all public employees of the respective state universities as provided in s. 447.203(2) and (10), F.S. for the purpose of collective bargaining, and no rule previously adopted by the Board of Governors shall contravene this intent or shall be in conflict with the boards of trustees adoption of rules in furtherance of their responsibilities as public employers.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “G” – PERSONNEL POLICIES  
FOR NON-BARGAINING PERSONNEL

**FACILITATOR/PRESENTER:**

- NONE

**Florida International University  
Division of Human Resources**

**Access to Official Personnel Records**

**Purpose:**

To establish what constitutes the University's official personnel records and provide means for individuals to inspect such records.

**Policy:**

The only official personnel records are maintained in the Division of Human Resources.

When any personnel decisions are made, other than for faculty tenure and promotion, the only documents which may be used are those contained in the official personnel file. There will be separate files solely for tenure and promotion which will be kept by the departments or colleges.

Generally, University personnel records are public records and under the Sunshine Law are open for public inspection.

All requests for employee information, including both, current or former employees, must be submitted in writing to the Division of Human Resources for production.

Copies of the records may be furnished upon request, at a cost of \$0.15 per page.

Employees' social security numbers are not public records. An individual's social security number must be removed from any record inspected or released in response to a public records request.

Personal information of law enforcement personnel and their immediate family members are not considered public records and are exempt from the General State Policy on Public Records under Section 119.07, F.S.

**Florida International University  
Division of Human Resources**

**Advertising**

**Purpose:**

To create a systematic and consistent process by which we notify the internal/external community of the job opportunities available within the University.

**Policy:**

All employment advertisement shall be centrally coordinated through the Division of Human Resources (DHR)

Hiring departments must advertise in various media (i.e. JobsLink, newspapers, trade journals, industry circulars, electronic media, etc.) depending on the level of the position.

Hiring departments can elect to advertise non-required positions in the various media provided they have the budget.

Advertising can be done locally and/or nationally depending on the level of the position.

DHR provides guidance and recommendations to the hiring department to ensure consistency and compliance in advertising.

**Florida International University**  
**Division of Human Resources**

**Alternative Work Site (Flex Place)**

**Purpose:**

To administer the use of alternative work sites consistent with the University's efforts toward work/life balance.

**Policy:**

To be considered for an alternative work site option, employees should complete six months of employment in the department instituting the arrangement, except when an alternative work site has been agreed upon as a condition of employment and referenced on the offer letter.

Not all employees, supervisors, or job responsibilities are suited to alternative work site options. Human Resources is the ultimate authority in approving alternative work site options and shall use discretion in determining if the job responsibilities or the employee are suited to such an arrangement before approving participation.

Supervisors must monitor performance to ensure quantity and quality of work performed does not decrease while at the alternative work site. Failure to fulfill normal work requirements may result in the termination of the alternative work site option.

Both the supervisor and employee must sign an Alternative Work Site Option Form that will clarify the conditions of the arrangement.

For non-exempt employees, any hours beyond the normal work schedule must be authorized in advance by the employee's supervisor.

Employees who are unable to work due to illness must use sick leave and must report their absence to their supervisor.

Alternative work site options shall not be used as a substitute for dependent or child care. Employees who participate in alternative work site options are expected to make dependent and child care arrangements during the period they will be working at home.

The pre-approved alternative work site agreement may be terminated based on business necessity.

**Florida International University  
Division of Human Resources**

**Bereavement Leave**

**Purpose:**

To administer a Bereavement Leave Policy which provides uniform guidelines to grant paid time off to employees for absences related to the death of immediate family members.

**Definition:**

**Immediate Family** – defined as spouse, children (including foster or stepchildren), parents (including stepparents), brother and sister (including stepbrother and stepsister), grandparents, and grandchildren of both the employee and the spouse.

**Policy:**

An employee shall be granted three (3) days of leave with pay for a death in the immediate family

## **Approval of Perquisites**

### **Purpose:**

To establish a policy relating to the approval of Perquisites for University employees.

### **Definition:**

“Perquisites” means those things, use of, or services which carry a monetary value for which the employee benefits.

### **Policy:**

Perquisites may be furnished to University employees in those specific instances where Human Resources determines that the furnishing of such is in the best interest of the University, and/or is justified by the requirement of the position.

Perquisites may be considered as part of the employee's total compensation; therefore, the kind and value of Perquisites shall be as uniform and practical in similar situations. The value of Perquisites shall not be used to compute the employee's rate of pay. There may be federal income tax consequences of such Perquisites in accordance with the Internal Revenue Code.

This policy does not apply to those benefits which are by law required to be bargained in good faith.

**Florida International University  
Division of Human Resources**

**Anonymous Complaints**

**Purpose:**

To establish a policy on the handling of anonymous complaints.

**Definition:**

**Complaint** - A complaint is an expression of dissatisfaction or concern related to a workplace situation. It does not apply to discrimination or sexual harassment as other processes are available to address such issues (See Sexual Harassment Rule #6C8-1.010).

**Policy:**

The University attempts to deal openly, fairly and effectively with any comment or complaint of an individual, service provided, or any of its processes, and to offer an appropriate remedy to anyone who is adversely affected.

The University understands that there may be cases when an individual might want to report their concerns anonymously or with confidentiality. To the extent possible, the University will keep reports confidential. If the individual does not identify himself or herself, however, the University might not be able to respond appropriately to the individual's concern. Further, there may come a time when the University cannot proceed with the investigation without obtaining additional information from the reporting person or others. Therefore, persistent anonymous complaints will be systematically addressed to determine if the complaint(s) should be investigated.



## **Animals in the Workplace**

### **Purpose:**

To provide guidelines for the presence of animals in the workplace.

### **Policy:**

The workplace is intended to be devoted to the efficient and effective environment conducive to the education and related services to students, parents and members of the community. The presence of animals not devoted to accomplishing these objectives is disruptive, non-hygienic, and potentially unsafe, and can prove to be a distraction to the work and lifestyles of faculty, staff, students and visitors. In addition, members of the University community may have allergies to or simply be afraid of animals.

The presence of animals in the work place may pose a safety concern putting the University at a risk of potential liability. Therefore, animals are not allowed in the work place. The sole exceptions to this policy are dogs being used by law enforcement personnel, animals being used for research purposes, or serving as guides or aides to their owners, such as seeing-eye dogs. If the animal is being used as an ADA accommodation, the Office of Equal Opportunity Programs must be notified in writing.

## **Business-Related Travel**

### **Purpose:**

To compensate non-exempt employees traveling on University business.

### **Policy:**

Travel is clearly work time, and is therefore compensable, when it cuts across the employee's workday. The employee is simply substituting travel for other duties. The time is not only hours worked on regular working days during normal working hours but also during the corresponding hours on nonworking days. Thus, if an employee regularly works from 8:30 a.m. to 5:00 p.m. from Monday through Friday the travel time during these days/hours is considered work time as well as during any other days.

Time worked is always compensable, regardless of whether work is performed at the work site, while traveling on University business, or if it takes place within or outside of normal work hours.

A lunch period during which an employee is relieved of all his assigned duties is not compensable.

If an employee is required to attend a business-related function, the employee must be compensated.

If an employee requests a specific itinerary that is different from the University-recommended itinerary, only the estimated travel time associated with the University's recommended itinerary will be eligible for compensation.

An employee is only compensated during administrative work hours from the time travel begins, to the time travel ends. Any portion of the employee's normal work hours that the employee spends away from the work site that is not within travel time is not compensated. If travel time ends during the employee's normal work hours, the employee must take leave or return to work, unless prior arrangements have been made, such as flexible work hours.

**Florida International University  
Division of Human Resources**

**Confidentiality Agreements**

**Purpose:**

To prohibit the unauthorized exchange of confidential information between the employee and any other party who does not have the right to receive the information.

**Policy:**

Any written or oral statement containing confidential, personal information related to business, financial or medical transactions, including name, birth date, address, telephone number, social security number, personal photograph, amounts paid or charged on University charge cards is to be safeguarded.

It is the legal and ethical responsibility of all Florida International University faculty, staff employees, students, and volunteers to preserve and protect the privacy, confidentiality and security of all confidential information, written or verbal, acquired during their course of work at Florida International University. Use of confidential information for any personal gain, or offer of such information to any individuals or publications to the detriment of Florida International University during or subsequent to employment is forbidden.

Willful violation or unauthorized activities compromising the Confidentiality Agreement made between the employee and employer (Florida International University) will constitute cause for disciplinary action up to and including termination of employment.

## **Compulsory Leave**

### **Purpose:**

To establish a policy on granting compulsory leave to employees.

### **Definition:**

Compulsory leave is defined as approved leave with or without pay, or a combination of such leave, not to exceed the duration of the illness/injury or one year, whichever is less.

### **Policy:**

When an employee is unable to perform assigned duties due to illness/injury, the President or designee may require the employee member to submit to a medical examination by a mutually acceptable health care provider paid by the university. Upon a signed release by the employee, the results of the medical examination, certifying in detail the employee's condition, shall be released solely to the President or designee and any other entity identified by the employee on the release. If the medical examination confirms that the employee is unable to perform assigned duties, the President or designee shall place the employee on compulsory leave.

## **Compressed Work Schedule**

### **Purpose:**

To promote alternative work schedules for employees consistent with the University's efforts toward work/life balance.

### **Policy:**

A compressed workweek is one in which employees work their assigned number of hours but in fewer than 5 days in one week or fewer than 10 days in one pay period. Compressed work schedules will be granted in situations where job and business-related needs can continue to be met even under a compressed schedule.

All full-time employees must work a 40-hour week (or 80-hours each pay period).

Eligible employees must obtain permission from their respective supervisor and final approval from Human Resources.

Operational requirements must be met.

Service to the customer must be maintained or improved.

Costs to the university will not be increased.

Each office or operation must be covered during normal or core business hours;

Compressed work schedules must not diminish the ability of the department to assign responsibility and accountability to individual employees for the provision of services and performance of their duties.

Compressed workweek schedules must be set (not varying from pay period to pay period), but may be any of the following for a two week pay period:

- Four ten-hour days each week, with a work day off each week
- Four nine-hour days and one four-hour work day off each week (one afternoon or morning off each week)

When a paid holiday falls on an employee's regularly scheduled day off, the following may occur:

- the employee will be granted another day off during that pay period; paid leave is allocated by the hour and not the day;
- the employee may have the option of reverting back to the regular schedule during that pay period in which the holiday falls

All requests must be in writing.

Exempt employees, by definition, will continue to receive the same salary from week to week regardless of the schedule worked.

The pre-approved compressed work schedule agreement may be terminated at any time based on business necessity.

## **Children in the Workplace**

### **Purpose:**

To provide guidelines for the presence of children in the work place for other than official University activities involving children.

### **Policy:**

Employees with dependent children are expected to make regular arrangements for proper care of their children while at work.

The University must consider issues of safety, confidentiality, disruption of operations, disruption of services, disruption to other employees, and legal liability as well as sudden emergencies, posed by the presence of children in the work place. Therefore, University employees are prohibited from bringing children on campus during working hours.

Supervisors may grant permission for a temporary, unforeseen emergency, but no parent can have a child in the workplace without the supervisor's permission or use the workplace as an alternative to childcare or for any other purpose.

If bringing a child to work with the employee is unavoidable, the employee must obtain permission from his/her supervisor to have the child accompany the employee while working. Factors the supervisor will consider are the age of the child, how long the child needs to be present, the work environment in the employee's area, and any possible disruption to the employee's and co-worker's work. When authorized, the accompanying adult must supervise the child at all times.

Supervisors may direct an employee to remove a child from the workplace. No child may be left unaccompanied by an adult in the work place, and any employee who brings a child to the work place and leaves him or her unattended in an office, room, hall, lounge, restroom, lunch area or elsewhere will be subject to discipline, up to and including dismissal.

No minor may be allowed in an area that is potentially hazardous (i.e., where hazardous equipment, human derived materials, radioactive materials, etc., are located); such prohibited areas include workshops and laboratories, areas where chemicals are stored, and plant rooms.

Children exhibiting symptoms of potentially contagious illnesses should not be brought to the workplace.

Institutional computers are University property and vital equipment, intended for use only by employees and in the course and scope of assigned duties. Computers are not to be used as a toy or entertainment for visiting children.

The University does not accept any liability for injuries to children who are on campus in violation of this policy.

**Florida International University**  
**Division of Human Resources**

**Catastrophic Pool**

**Purpose:**

To establish guidelines for the purpose of allowing the donation of sick leave hours from one employee to another in catastrophic circumstances that affects the employee or the employee's immediate family members. For the purpose of this policy, catastrophic is defined as any major illness or injury that does not allow the employee to return to work for an extended period of time as documented by a physician.

**Definition:**

**Immediate Family** - Spouse, child(ren) (including foster and stepchildren), parents (including stepparents), and grandparents.

**Policy:**

Hours may be donated from one employee to another employee who has exhausted their leave balances including sick, vacation, and compensatory time.

Hours may be donated in increments of eight (8) and must not exceed 80 hours in 36-month period. The donating employees' remaining balance cannot fall below 80 hours. The total maximum amount of hours that an employee can receive is 480 in a 12-month period.

Leave time used will be counted towards the Family Medical Leave Act (FMLA) entitlement.



## **Call-Back Pay**

**Purpose:**

To provide compensation to non-exempt employees who are called back to work to perform emergency and/or needed work assignments based on operational needs during off-duty hours.

**Policy:**

Regular and Interim non-exempt employees are entitled to call back pay when an employee is called back to the work location outside their regularly scheduled hours.

The employee shall be credited with the greater of the actual time worked, including time to and from the employee's home to the assigned work location, or two hours.

Call back pay will be considered worked time and will be recorded as such on the time record of the employee.

When an employee is called back to work, the call back pay will be paid at the employee's regular rate of pay or at his/her overtime rate for any time over 40 hours in a work week.

Employees will not receive on-call pay for time worked.

## **Conflict of Interest**

### **Purpose:**

The University is required by the Florida Statutes and the University Code of Conduct to ensure that its employees follow a code of conduct which avoids any conflict of interest, or appearance of conflict of interest, between the performance of the employee's public duties and any outside personal interests.

### **Definitions:**

**Outside activity** - shall mean any private practice, private consulting, additional employment, teaching or research, or other activity, whether compensated or uncompensated, which is not part of the employee's assigned duties and for which the University provides no compensation.

**Conflict of interest** - shall mean any conflict between the private interests of the employee and the public interests of the University, the Board of Governors, or the State of Florida, or any activity which interferes with the performance of the employee's professional or institutional responsibilities or obligations.

### **Policy:**

Conflicts of interests, including those arising from University or outside activities are prohibited. Employees are responsible for resolving such conflicts of interest, working in conjunction with their supervisors and other University officials.

Any University employee considering outside activity/interest is required to complete the Report of Outside Activity Form prior to engaging in such activity and may not engage in such activity until the outside activity has been approved.

The Report of Outside Activity Form must be completed on an annual basis and/or when an outside activity begins or substantially changes, or has not been previously reported. Faculty employees must make this report each year even if they are not engaged in an outside activity.

The reporting provisions shall not apply to activities performed wholly during a period in which the faculty employee has no appointment with the University.

Employment at other educational institutions of higher education is generally defined as a conflict of interest. Therefore, barring special circumstances as outlined below, full-time faculty employees and administrators should not commit themselves to compensated employment at other colleges, universities

or serve in any capacity on the Board of Trustees of any other colleges or universities.

Special circumstances for permitting employment at another educational institution may include:

- emergency need at another institution caused by accident or illness;
- summer teaching, if not appointed at FIU;
- a vocational instruction;
- unpaid leave of absence;
- acceptance into a faculty/administrator development program;
- approved faculty/administrator exchange with another institution;
- programs approved as part of an inter-institutional agreement;
- sabbatical leave when such employment is part of the approved sabbatical proposal;
- instruction of a course which is not offered at FIU and in a program that does not exist at FIU.

**Florida International University**  
**Division of Human Resources**

**Dress Code**

**Purpose:**

To establish standards of professional attire within the workplace.

**Policy:**

The Division of Human Resources (DHR) sets guidelines on attire within the workplace.

DHR reserves the right to identify incidents where employees are inappropriately dressed and take appropriate disciplinary action.

**Professional Attire**

Professional attire shall be worn year-round, with the exception of Business Casual Summers and Business Casual Fridays.

Professional attire includes the following:

- Division/Department-specific uniforms
- Business Suits
- Dress Slacks
- Button-down shirts
- Hosiery
- Closed-toe shoes

**Business Casual Attire**

During the summer months, employees are permitted to dress in business casual attire Monday-Friday. During the remainder of the year, employees are permitted to dress in business casual attire on Fridays.

Business casual attire includes:

- Jeans (Fridays only)
- FIU shirts
- Dockers
- Department-purchased shirts

## **Non-Professional Attire**

Excluded from both professional attire and business casual attire are:

- T-shirts
- Sweatshirts
- Sneakers
- Open-toe shoes/sandals
- Thong sandals
- Halter tops
- Leggings & sweat pants
- Tube-tops

## **Disciplinary Actions**

### **Purpose:**

To establish a policy and provide guidelines for the application of disciplinary actions for University employees.

### **Definitions:**

**Severe Disciplinary Actions** – defined as suspensions, involuntary demotions and involuntary terminations.

**Suspension** - occurs when an employee is taken off duty for a day or more without pay.

**Involuntary Demotion** - occurs when an employee is involuntarily subjected to a reduction in pay and higher functioning duties are permanently removed resulting in a lower level position.

**Involuntary Termination** - occurs when an employee is permanently separated from University employment.

### **Policy:**

A Pre-Disciplinary Review (PDR) must be conducted in conjunction with Human Resources before severe disciplinary action is imposed. The PDR shall provide the review for severe disciplinary actions recommended by supervisors.

Human Resources will ensure that all pertinent information is obtained so that employee behavior which necessitates disciplinary action shall be determined by the employee's supervisor in consultation and with the approval of the Assistant Vice President for Human Resources or his/her designee, or the Provost or his/her designee, in the case of a faculty member.

The University reserves the right to impose discipline at any level, including immediate termination.

**Florida International University**  
**Division of Human Resources**

**Direct Deposit**

**Purpose:**

To outline and enforce a mandated process for the disbursement of compensation.

**Policy:**

As a condition of employment, all employees are required to authorize their paychecks to be electronically submitted to their financial institutions.

Failure to comply with this requirement will result in termination of employment.

**Florida International University  
Division of Human Resources**

**Death of an Employee**

**Purpose:**

To administer a uniform policy for reporting the death of an employee.

**Policy:**

Dean, Directors and/or Department Heads must report the death of an employee to the Division of Human Resources as soon as possible, after receiving notice.



## **Dual Employment and Compensation**

### **Purpose:**

To administer the approval of additional University employment and compensation.

### **Policy:**

All employees may be approved for secondary employment which constitutes dual employment provided such employment does not interfere with the regular work of the employee, does not result in any conflict of interest between the two activities, and is determined as being in the best interest of the University.

Approval must be requested and granted by Human Resources prior to commencement of the secondary employment.

The University is considered “the employer”, whether the secondary duties are performed for the primary department, or for another department at the University. Consequently, such employment may not be disassociated from the primary employment, and all hours worked in a workweek in such jobs must be aggregated together for non-exempt employees to determine if overtime over forty hours is due.

### **Applies to Faculty Employees:**

Available extra compensation appointments within the University shall be offered equitably and as appropriate to qualified nine or twelve-month faculty. Only employees holding established positions are eligible for extra compensation.

Approval for extra compensation must be secured from the employee’s supervisor, prior to contracting for services, including instructional and non-instructional activities. Normally, nine-month faculty employees may not receive extra compensation for more than one three (3)-credit course per term, and may not teach off-campus credit courses for extra compensation for more than two (2) semesters during the fiscal year.

For twelve-month administrative employees who have been approved for extra compensation conducted during normal working hours, the individual must use accrued vacation leave for these hours.

Activities for which extra compensation are authorized may include:

- Off campus credit courses;
- Sponsored credit institutes and fee for service programs;
- Credit courses that are not designated as part of the employee's in-load assignment;
- Distance learning credit course design and/or instruction;
- Study travel credit courses;
- Dual enrollment courses;
- Technical assistance such as that offered through Teacher Education Centers;
- Scheduled non-credit activities such as conferences, symposia, institutes, workshops or short courses;
- Consultative services which are part of sponsored research or training grant/contract;
- Other educational sites over 1.0 FTE;
- Externally funded training programs;

### **Educational Incentive Awards**

**Purpose:**

To encourage professional development and reward employees who acquire a degree, a professional license and/or professional certification from an accredited institution or professional organization.

**Policy:**

Exempt and non-exempt employees may be granted an Educational Incentive Award upon submission of a program of study, degree and/or certification being pursued.

Course of study should be relevant to the position and/or departmental needs. Participation by the employee should be pre-approved by the Department Head.

Upon completion of program/degree/certification, employee submits written confirmation of the completed coursework/license/certification to supervisor.

The Educational Incentive Award is paid as a Bonus upon submission of proof of completion as follows:

Associate Degree	\$ 500
Baccalaureate Degree	\$ 1000
Master's Degree	\$1,500
Doctorate Degree/Juris Doctor	\$2,000
Apprenticeship	\$ 500
Journeyman	\$ 750
Professional Registration or License	\$1,000
Professional Certification	\$ 500

**Florida International University  
Division of Human Resources**

**Employment Offers**

**Purpose:**

To provide new employees with information regarding the terms and conditions of employment at the University and to ensure consistent personnel records indicating their acceptance.

**Policy:**

All offers of employment will be centrally administered by the Division of Human Resources.

The signed, original Offer of Employment becomes a permanent part of the employee's personnel file.

**Applies To Faculty Employees:**

A faculty employee's professional obligations in teaching, research/ scholarship/creative activity, and service, are comprised of both scheduled and non-scheduled activities. Upon initial appointment, a faculty member shall be issued a letter of offer detailing specific terms and conditions of employment and his/her assignment of responsibilities. The professional obligation undertaken shall ordinarily be broader than the twelve (12) contact hours of instruction or equivalent research and service required by the Legislature. However, no appointment shall create any right, interest, or expectancy in any other appointment beyond its specific terms, except as noted in the provisions governing tenure, and layoff.

Each faculty member shall be given assignments that provide equitable opportunities, in relation to other faculty members in the same department/unit, to meet the required criteria for promotion, tenure, and merit salary increases.

**Florida International University**  
**Division of Human Resources**

**Exit Reviews**

**Purpose:**

To administer a program to collect data regarding working conditions and other qualitative information from exiting employees as well as to ensure retrieval of University assets when an employee separates from employment.

**Policy:**

All employees separating from the University are required to comply with the Exit Review Program which includes the:

- Exit Review Questionnaire, and
- Separation Clearance Form

All outstanding debts of departing employees, including the face value of any University asset not returned upon separation, will be deducted from final funds due to the employee, upon giving the employee written notification of the amount to be deducted and the reason thereof. If the final salary and accrued leave, if any, are not sufficient to satisfy the amount owed, any outstanding balance will be placed in Accounts Receivable with the Controller's Office.

**Florida International University**  
**Division of Human Resources**

**Flexible Work Schedule (Flextime)**

**Purpose:**

To administer the use of a flexible work schedule consistent with the University's efforts toward work/life balance.

**Policy:**

Flexible work hours may be instituted both to assist employees in their personal planning and to maintain productivity.

Flextime may occur up to two hours before and two hours after the employee's regular schedule.

Flexible schedules must be recommended by the supervisor, planned in accordance with the work functions and service objectives of the department and the University operations, and approved by Human Resources.

The supervisor must establish a core period of time when all employees are in attendance.

The pre-approved flexible work schedule agreement may be terminated at any time based on business necessity.

## **Firearms and Dangerous Weapons**

### **Purpose:**

To establish a policy that prohibits the possession, storage, use or manufacturing of dangerous articles which pose a threat to the safety of persons or property.

### **Policy:**

The provisions of this policy are applicable to all employees, students, and any other individuals visiting or conducting business at the University. The only exceptions to this policy are as follows:

- Law enforcement officers who are in uniform.
- University law enforcement personnel.
- Faculty in the performance of instructional or research responsibilities, only with written approval from the Provost and previous notification to the University's Chief of Police.

All persons, except for those exempted above, are prohibited from possession, storage, manufacturing, or use of a dangerous implement, including but not limited to, firearms, destructive devices, explosives, slingshots, weapons, tear gas guns, electric weapons or devices and fireworks, on any property owned, used or under the control of Florida International University.

For purposes of this policy, the University's campuses and dormitories are not considered to be private residences, homes or places of business but rather property owned by FIU; therefore, individuals licensed to carry firearms are not exempted from the provisions of this policy on those premises.

Any violation of this policy will result in immediate termination of employment.

**Florida International University  
Division of Human Resources**

**Fast and Impartial Resolution (FAIR) Process**

**Purpose:**

To establish and maintain a process which provides for the equitable resolution of complaints, misunderstandings, and issues for University employees.

**Definition:**

**Complaint** - A complaint is an expression of dissatisfaction or concern related to a workplace situation. It does not apply to discrimination or sexual harassment as other processes are available to address such issues.

**Policy:**

The University encourages open communication between employees and their supervisors to address concerns. While most differences can be worked out amicably between the employee and his/her supervisor, it is important to have a process by which employees can seek to resolve what they consider to be unfair or inequitable application of University policies and procedures.

Employees must meet with their supervisors to discuss and resolve issues that they believe have adversely affected their employment. Human Resources must be consulted to ensure that no violation of applicable University regulation, policy or process has occurred.



## **FMLA, Parental, and Medical Leave**

### **Purpose:**

To administer the federally-mandated Family and Medical Leave Act (FMLA) in accordance with University guidelines.

### **Policy:**

#### **Family Medical Leave Act** (Applies to all Employees)

The Family and Medical Leave Act of 1993 (FMLA) grants up to 12 work weeks of leave within a 12-month period for certain family and medical reasons. The leave may be paid, unpaid, or a combination of both.

To qualify, an employee must use FMLA for the following reasons:

- The birth of a child and in order to care for that child;
- The placement of a child for adoption or foster care, and to care for the newly placed child;
- To care for a spouse, child, or parent – but not a parent-in-law with a serious health condition; or
- The serious health condition of the employee.

To be eligible for FMLA leave, an employee must:

- Have worked for the employer at least 12 months; and
- Have worked at least 1,250 hours during the 12 months prior to the start of the FMLA leave.

The University will grant the 12-week period under FMLA to eligible employees for the four reasons stated above and additional leave not to exceed a total of 6 months for the following three reasons:

- The birth of a child and in order to care for that child (parental leave);
- The placement of a child for adoption or foster care, and to care for the newly placed child (parental leave); or
- The serious health condition of the employee (medical leave).

An employee who takes leave under this policy, will be able to return to the same position or a position with equivalent status, pay, benefits and other employment conditions.

#### **Parental Leave** (Excludes Temporary and Student Workers)

While an employee is on parental leave, the University will continue paying the matching portion of the employee's health and basic State life insurance premiums up to six months during the leave period.

If the employee has accrued or earned paid leave, the employee must use paid leave first and take the remainder of the leave period as unpaid leave. A combination of accrued vacation and sick leave must be used. Leave may also be used intermittently or under certain circumstances may use the leave to reduce the workweek or workday, resulting in a reduced work schedule.

Parental leave of absence requests shall be in writing, when possible, with at least 30 days notice. If it is not possible to give 30 days notice, the employee must give as much notice as is practicable. The request must indicate the period of leave to be granted and the date the employee will return to work.

For parental leave, documentation must be provided by the employee's doctor or spouse's doctor of the expected due date. Parental leave may begin no more than two weeks prior to the delivery date.

An employee who takes leave under this policy, will be able to return to the same position or a position with equivalent status, pay, benefits and other employment conditions.

#### **Medical Leave** (Excludes Temporary and Student Workers)

While an employee is on medical leave, the University will continue paying the matching portion of the employee's health and basic State life insurance premiums up to six months during the leave period.

If the employee has accrued or earned paid leave, the employee must use paid leave first and take the remainder of the leave period as unpaid leave. A combination of accrued vacation and sick leave may be used. Leave may also be used intermittently or under certain circumstances may use the leave to reduce the workweek or workday, resulting in a reduced work schedule.

Medical leave of absence requests shall be in writing, when possible, with at least 30 days notice. If it is not possible to give 30 days notice, the employee must give as much notice as is practicable. A doctor's note must accompany the request indicating reason and period of absence.

An employee who takes leave under this policy, will be able to return to the same position or a position with equivalent status, pay, benefits and other employment conditions.

**Florida International University  
Division of Human Resources**

**Internal Recruitment, Promotions, Demotions & Transfers**

**Purpose:**

To allow hiring departments to provide employees with internal career-pathing opportunities.

**Policy:**

Internal recruitment will be utilized to support career mobility of qualified existing employees, consistent with equal employment and affirmative action objectives. If a suitable candidate is not found internally, the department will recruit outside FIU to obtain the best, qualified candidate for the position.

Decisions regarding the career mobility of employees will be based on job-related factors such as their ability to meet the minimum requirements of the position, perform the essential functions of the position, past performance in their current position and the level of experience within the current position.

Internal recruitment will be utilized to support career advancement of qualified internal candidates, so long as it is consistent with equal employment and affirmative action objectives.

The following career-pathing opportunities encompass the methods by which employees may move from one position to another:

**Promotion**

The upward mobility of an employee from one position to another position having a greater degree of responsibility and a higher salary range maximum.

A promotion can be within the same division/department or from one division/department to another.

An employee being promoted will have his/her salary set in accordance with FIU's Compensation Manual.

**Demotion**

The downward mobility of an employee from one position to another position with a lesser degree of responsibility and a lower salary range maximum.

A demotion can be voluntary or involuntary within the same division/department or from one division/department to another.

An employee being demoted will have his/her salary adjusted in accordance with FIU's Compensation Manual.

### **Transfer**

The lateral movement of an employee from a position in one class, to a different position within the same class or in a different class, having the same degree of responsibility and the same salary range maximum.

A transfer can be voluntary or involuntary.

An employee being transferred usually maintains their current salary.

### **Applies to Sworn Law Enforcement Employees:**

An employee who has attained permanent status, or who anticipates attaining permanent status on or before June 30, may apply to take a promotional test by submitting a certified law enforcement application no later than the first business day after January 1<sup>st</sup> of each calendar year to the Division of Human Resources.

All applications for promotion will be reviewed to establish the employee's eligibility to take the promotional exam. Eligibility will be determined based on the employee's education and experience in relation to the minimum requirements established for each law enforcement classification.

Those employees who have been determined eligible to take a promotional exam will receive a copy of the "Notice of Promotional Test", issued to the University by the Test Administrator of the law enforcement promotional test.

An employee who takes a promotional test, which are provided in numerical score order, the University will establish its promotional classification. Each promotion list is established by listing the employees in rank order based solely on the numerical passing test scores received by the employees. The promotion list will be effective July 1<sup>st</sup> of each calendar year and eligible employees will be retained on the promotion list for a period of one year.

When filling a promotional vacancy, the Director of Public Safety shall:

- 1) select the candidate from the promotional list with the highest test score; or

- 2) select from among the three candidates with the highest test scores based on job-related factors.

In the event the Director of Public Safety chooses the second option above, he/she may, in his/her sole discretion, conduct oral interviews of the eligible candidates and/or seek recommendations for appointment from section commanders.

Employees that do not receive or accept a promotion will retain their position on a promotion list.

### **Applies to Faculty Employees:**

#### **Promotion**

In order to be considered for promotion, a faculty employee shall meet the minimum qualifications for initial appointment to the proposed rank and successful performance at the level of the qualifications corresponding to that rank. In addition, promotion shall be justified by the faculty employee's increased skills in the performance of duties, increased knowledge in the field or specialty, and increased recognition of the faculty member as an authority in his/her field. Satisfactory teaching performance at the level corresponding to the higher faculty ranks is an indispensable condition for promotion. Satisfactory performance in research and service at the level corresponding to the higher rank is necessary.

Beginning with the second year of employment, a faculty member may request in writing an appraisal regarding his/her progress toward promotion. The promotion appraisal shall be included as a separate component of the annual evaluation and is intended to provide assistance and counseling to candidates in order to qualify for promotion. The promotion appraisals are not binding upon the University.

Promotion decisions shall be a result of meritorious performance and shall be based upon established criteria and procedures. The University shall make available the criteria for promotion on line.

The Provost or designee shall award promotion and notify the faculty member in writing of the decision.

## **Information Technology Security**

### **Purpose:**

To provide guidelines for information technology security

### **Policy:**

As part of Florida International University's mission, <http://www.fiu.edu/~instires/mission.html>, we strive to keep our resources safe and secure. In order to fulfill the mission of teaching, research and public service, the University is committed to providing a secure computing and networking environment that assures the integrity, availability, and confidentiality of information and information resources.

### **Protecting FIU's resources is a critical part of its mission.**

If you have any concerns about using or protecting information or Information Technology Resources to which you have access or control, you should contact the IT Security Office, [Security@fiu.edu](mailto:Security@fiu.edu).

### **General Responsibility**

Each member of the University community is responsible for adhering to all federal, state and local laws and FIU rules, regulations and policies, as the same may be amended from time to time, pertaining to the security and protection of electronic information resources that he/she uses, and/or over which he/she has access or control.

Resources to be protected include networks, computers, software, and data. The physical and logical integrity of these resources must be protected against threats such as unauthorized intrusions, malicious misuse, or inadvertent compromise. Contractors and participants in any activities outsourced to non-FIU entities must comply with the same security requirements.

### **Enforcement**

Persons who fail to adhere to this Policy may be subject to penalties as provided by law and/ or disciplinary action, including dismissal or expulsion. Violations will be handled through the University disciplinary policies applicable to employees and students. The University may also refer suspected violations of applicable law to appropriate law enforcement agencies.

Unauthorized or fraudulent use of University computing or telecommunications resources can also result in felony prosecution as provided for in the Federal and State of Florida Statutes.

### **Compliance**

I have read and I understand the above FIU General IT Security Policy and will adhere to all applicable laws, rules, regulations and policies pertaining to the security and protection of the University's electronic information resources.

Laws, Rules and Regulations  
Impacting the Use of Florida International University  
Information Technology Resources  
And Addressing Privacy and Security Requirements

This is a representative list of the federal and State of Florida laws, rules and regulations that Florida International University, its faculty, staff and students must follow in their use of the University's information technology resources. This list is not comprehensive, but is intended to assist the reader to develop a basic understanding of the legal framework applicable to the activities of FIU, its faculty, staff and students in the information technology environment.

**Federal Laws:**

Child Pornography Prevention Act of 1996, 18 U.S.C. §§ 2251 *et seq.*

Copyright Laws, 17 U.S.C. §§ 101 *et seq.*

Credit Card Fraud, 18 U.S.C. § 1029

Criminal Infringement of a Copyright, 18 U.S.C. § 2319

Digital Millennium Copyright Act, 17 U.S.C. §§ 1201 *et seq.*

Economic Espionage Act of 1996, 18 U.S.C. §§ 1831-39

Electronic Communications Privacy Act, 18 U.S.C. §§ 2510-22 ("The Wiretap Act")

Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g; 34 CFR Part 99 ("FERPA" also known as the "Buckley Amendment")

Fraud and related activity in connection with computers, 18 U.S.C. § 1030 *et seq.*

Health Insurance Portability and Accountability Act, Administrative Simplification Provisions, 42 U.S.C. § 1320d, *et seq.* ("HIPAA")

HIPAA Privacy Rule, 45 C.F.R. Part 160; 45 C.F.R. Part 164, Subparts A and E

HIPAA Security Rule, 45 C.F.R. Part 164, Subpart C

Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (HR 2002)

Unlawful Access to Stored Communications, 18 U.S.C. §§ 2701 *et seq.*

USA PATRIOT Act of 2001, Pub. L. No. 107-56, 115 Stat. 272

**Florida Laws:**

Computer Crimes Act, Fla. Stat. §§ 815.01 *et seq.*, §§ 775.082-084

Computer Pornography and Child Exploitation Prevention Act of 1986, Fla. Stat. §§ 847.0135 *et seq.*

**Helpful Links:**

Official Web site for the U.S. Patent and Trademark Office,  
[www.uspto.gov/main/trademarks.htm](http://www.uspto.gov/main/trademarks.htm)

Official Web site for the U.S. Copyright Office, [www.copyright.gov/](http://www.copyright.gov/)

**Information on the Fair Use Doctrine:**

U.S. Copyright Office, Circular 21, Reproduction of Copyrighted Works by Educators and Librarians, [www.copyright.gov/circs/circ21.pdf](http://www.copyright.gov/circs/circ21.pdf)

[www.copyright.gov/help/faq/faq-fairuse.html](http://www.copyright.gov/help/faq/faq-fairuse.html)

[www.copyright.gov/fls/fl102.html](http://www.copyright.gov/fls/fl102.html)

Official Web site for the U.S. Department of Health and Human Services, Office of Civil Rights, on HIPAA, [www.hhs.gov/ocr/hipaa/](http://www.hhs.gov/ocr/hipaa/)

Official Web site for the U.S. Department of Education, [www.ed.gov/](http://www.ed.gov/)

**Information on FERPA:**

[www.ed.gov/policy/gen/guid/fpco/ferpa/](http://www.ed.gov/policy/gen/guid/fpco/ferpa/)

**FIU IT Policies**

FIU Code of Computing Practice  
<http://uts.fiu.edu/index.cfm?action=code>

FIUnet Acceptable Use Policy  
<http://uts.fiu.edu/index.cfm?action=acceptpolicy>

FIU Academic Affairs Policies & Procedures Manual  
<http://www.fiu.edu/provost/polman/sec11web.html#11.00>

IT Security Policies  
[Security.fiu.edu](http://Security.fiu.edu)

**Confirmation**

Please enter your Panther ID and Password for confirmation that you have read and understood the FIU Information Technology Security Policy. Failure to do so may result in the loss of access to FIU Information Technology Resources.

Panther ID \_\_\_\_\_

Password \_\_\_\_\_



**Florida International University  
Division of Human Resources**

**I-9 Requirements**

**Purpose:**

To enforce the federal requirements for certification of employment eligibility within the United States.

**Policy:**

All employees must complete an I-9 (Employment Eligibility Verification) form within the first three days of employment.

An employer found to have recruited or employed an unauthorized alien for employment in the United States, shall be subject to pay a civil fine. An employer can be fined not less than \$275 and not more than \$2,200, for each unauthorized alien for the first offense. An employer can be fined from \$2,200 and \$5,500 per unauthorized alien for a second offense, and between \$3,300 and \$11,000 for each third or subsequent offense.

**Florida International University  
Division of Human Resources**

**Holidays**

**Purpose:**

To establish holidays observed by the University.

**Policy:**

The University observes eleven (11) paid holidays a year that allow the University to close offices and discontinue operations that will not affect the academic calendar or those services necessary to the University community and to the public.

The approved Holidays are:

- New Year's Day
- Martin Luther King, Jr. Day
- Memorial Day
- Independence Day
- Labor Day
- Veteran's Day
- Thanksgiving Day
- Friday after Thanksgiving
- Christmas Day
- Two Winter Break Days

Holidays falling on Saturday are observed the preceding Friday. Holidays falling on Sunday are observed on the following Monday.

Any employee who is in non-pay status for the entire day before a holiday shall not be eligible to receive payment for the holiday.

Workloads, emergency conditions, or certain critical staff may be required to work on a holiday.

The University President will designate two days towards a Winter Break between the end of the fall semester and the beginning of the spring semester of each year. The two days will be designated based on University needs and schedules. Eligible employees who are required to work during the Winter Break will be granted the same number of days as those of the approved Winter Break to be taken before June 30<sup>th</sup> of that fiscal year.

## **Inventions and Patents**

### **General Comments**

Central to the mission of Florida International University is the promotion of teaching and research that enhances public service, leads to the discovery of new knowledge and fosters creativity and innovation. Inventions and marketable forms of intellectual property may result from research conducted by personnel and students at the University. It is generally in the best interest of the University and the public to ensure that such intellectual property be appropriately developed. This policy sets forth the circumstances and procedures under which inventions are to be disclosed to the University, and the procedures that the University will employ to review and process such inventions. This policy is promulgated pursuant to Florida Statute Section 1004.23 and the Bayh-Dole Amendments Public Law 96-517 entitled "The Patent and Trademark Amendments Act of 1980."

### **Definitions:**

The following terms shall have the following meaning as relates to this Policy:

**Assignment** - is a written contract that transfers title to and interest in an invention patent, or patent application.

**Independent Efforts** - refers to Inventions made using no University Support and made outside the field or discipline in which the employee is employed by the University.

**Invention** - shall have the meaning assigned by the U.S. Patent and Trademark Office; i.e., any art or process (way of doing or making things), machine, manufacture, design, or composition of matter, or any new and useful improvement thereof, or any variety of plant, which is or may be patentable under the patent laws of the United States. (37 CFR 501.3(d)). See <http://www.uspto.gov/main/glossary/index.html#i>. "Invention" includes both patentable and non-patentable innovations, including software with commercial value. An invention is deemed to be "made" when it is conceived or first actually reduced to practice.

**Inventor** - means a person who contributes to the conception of an invention. (A project supervisor is not entitled to inventor status simply because of his/her supervisory role; an inventive contribution is the singular criterion. The determination of who has made an inventive contribution may be difficult when several researchers and students have been involved in a project. If there is doubt concerning a person's inventor status, it is best to grant tentative inventor status at the time of disclosure and such status will be clarified if and when a patent application is filed. The term "Inventor" or "Inventors" herein shall be

deemed to each refer to the singular or plural, as appropriate, or interchangeably.)

**License** - refers to an agreement granting another party the right to make, use and/or sell a patented invention without the transfer of title to the patent.

**Royalty** - Payment to the owner of an invention for use of that invention, frequently in the form of a stated percentage of sales.

**Royalty-free** - A license wherein the licensee is not required to pay royalties to the owner of an invention under specified conditions.

**University Support** - includes any use of University funds, personnel, facilities, confidential information, trade secrets, equipment, materials, or technological information, and includes such support provided by other public or private organizations when it is arranged, administered or controlled by the University.

### **Applicability of this Policy**

This policy applies to all faculty and staff at Florida International University. This policy also applies to FIU students who are FIU employees, students working on a sponsored project, and students who have used University resources in arriving at the Invention (other than for lecture-based coursework).

### **University Ownership**

As a condition of the University's provision of employment, services, facilities, equipment or materials to the Inventor, the University acquires and retains title to all Inventions made within the scope of University employment or research, or created with University Support or made in the field or discipline in which the Inventor is employed by the University.

### **Independent Efforts**

All Inventions made with Independent Efforts are the property of the Inventor, who has the right to determine the disposition of such Inventions and revenue derived from such Inventions except for the following. The University will not require assignment of interests for any Invention made with Independent Efforts unless (a) the Invention is related (i) directly to the business of the University, or (ii) the University's actual or demonstrably anticipated research or development, or (b) the invention results from any work performed by the employee for the University. Nonetheless, the Inventor and the Vice President for Research (or designee) may agree that the patent for such Invention be pursued by the University and the proceeds shared between the University and the Inventor.

### **Inventions Arising from Sponsored Research**

Inventions resulting from research funded wholly or in part by an outside sponsor are subject to this policy as modified by the provisions of the research agreement covering such work with the sponsor. Employees engaged in sponsored research are bound by the provisions of the agreement(s) between the University and the sponsor.

Title to any inventions conceived or first reduced to practice in the course of research supported by Federal agencies, industry, or other sponsors generally vest in the University.

Industry supported research is valued by the University when it embraces a proper balance between the University's educational mission and industry's quest for the development of commercial products, processes, and services. In research agreements with private or industry sponsors, the University normally may agree to grant the industry or private sponsor an option to obtain a license to inventions conceived or developed as a result of the sponsored project, the terms of which are subject to mutual agreement between the University and the private or industry sponsor when an Invention is disclosed. However, in rare cases, there may be justification for deviating from this policy and for granting a private or industry sponsor a right greater than an option to inventions developed as a result of the sponsored research. Examples of such rare cases are if the University's involvement in a privately sponsored project is such that no invention will result (such as a project where the University's involvement is testing of the sponsor's already-existing equipment with no modifications or additions to such equipment) or the private sponsor may possess a dominant patent position in a certain technology area such that an invention will not result and any patent the University might seek would be of little or no value. For these or other reasons, an exception to the University title policy may be approved by the Vice President for Research when to do so will not contravene the general principles of this policy, protect the equities involved, and satisfy the requirements of the parties.

## **Laboratory Notebooks**

Inventors are cautioned to maintain accurate, timely and witnessed laboratory notebooks, as they are helpful in preparing an invention disclosure (described below) and may be crucial for the resolution of a dispute as to who first conceived or created an invention. It is an expectation that all faculty and staff engaged in original research and inquiry create and maintain contemporaneous accurate records which are witnessed and dated in a routine and systematic manner according to their respective disciplines. These documents should be kept in a manner that allows verification by audit of the timing and content of the information contained therein.

## **Required Disclosure and Assignment**

Inventors shall fully, completely and promptly disclose to the Office of the Vice President of Research all Inventions which the Inventor develops or discovers:

- while an employee of the University; or
- within the employee's field or discipline;

- related directly to the business of the University, or
- related to the University's actual or demonstrably anticipated research or development; or
- resulting from any work performed by the employee for the University; or
- by using University Support; or
- while working on a University supported research project.

The form to be used for invention disclosures is available at [www.dsrt.fiu.edu](http://www.dsrt.fiu.edu). The Inventors shall cooperate with the Office of the Vice President for Research during the invention review and analysis process, and the patent application and commercialization process, if applicable. A complete disclosure is essential for accurate technical evaluation of the Invention, assessment of its commercial feasibility, and determination of its patentability. Moreover, it may be used in preparing a patent application, if it is determined that patent protection will be pursued. Additionally, where dated and witnessed laboratory notebooks are not available, the disclosure serves as proof of the Invention's conception and may help to determine, in any controversy, who first conceived or made the Invention.

If an Inventor is unsure whether an Invention would be University-owned (i.e., an invention arising out of Independent Efforts), the Inventor should nonetheless disclose the Invention to the Office of the Vice President for Research, providing all relevant facts necessary to make the determination of whether the invention is university-owned or not. The Office of the Vice President for Research shall advise the Inventor as promptly as possible whether it appears that the Invention should be regarded as University-owned.

Upon the University's request, the Inventor(s) shall assign his/her/their right in a University-owned Invention to the University, to a third party designee such as an invention management agency designated by the University, or to the sponsor if required by an agreement governing the research. Inventors shall execute documents of assignment and do everything reasonably required to assist the assignee(s) in obtaining, protecting, and maintaining patent or other proprietary rights. At no time, shall the Inventor(s) commit any act which would tend to reduce or defeat the University's interest in the Invention. The Inventor(s) shall take all necessary and reasonable steps to protect the University's interest in the Invention.

## **Outside Activity and Invention Rights and Obligations**

Employees consulting or having other involvement with entities outside the University (including having an ownership interest in a commercial entity) may be of benefit to the employee, the outside entity, the University and the general public. However, such involvements include the potential for conflicts of interest, for the inhibition of the free exchange of information, and for interference with the employee's primary allegiance to the University. Although a University employee may, in accordance with applicable University policies, engage in outside activity, including consulting, requirements that a University employee waive his/her or the University's rights to Inventions which may arise during the course of such

outside activity must be approved in accordance with the University's policy on Conflict of Interest found in this Guide. Invention (and other) clauses in consulting agreements must be consistent with the policy of the University and with University commitments under sponsored research agreements.

## **University Evaluation and Disposition of Disclosed Invention**

After receipt of a complete invention disclosure form, the Office of the Vice President for Research shall conduct an invention evaluation process of the technical, legal and marketing strengths and weaknesses of the Invention under the full protection of confidentiality agreements. This may be done in consultation with the Inventor(s), the FIU General Counsel's Office, outside counsel, prospective licensees, third party evaluators or consultants and/or the appointment of such a committee as advisable to assist in the review of the invention disclosure and to advise on, and recommend, the manner of disposition of the Invention. At the conclusion of such evaluation, the Vice President for Research shall make a determination about the disposition of the Invention. The Vice President for Research or designee shall inform the Inventor of the University's decision regarding the University's interest in the Invention and the disposition of the same.

The University, at the discretion of the Vice President for Research, may dispose of an Invention in the following ways:

- the University may pursue patenting and commercialization of the Invention. The University shall have the sole discretion and right as to all matters concerning the legal protection and commercialization of the Invention including, but not limited to, where and when a patent application shall be filed, what attorney shall be used for the same and negotiating and entering into or modifying option, licensing or other agreements covering the manufacture, use and/or sale of University-owned Inventions;
- if the University utilized third party evaluators or consultants to review the Invention disclosure, and a third party evaluator or consultant exercised an option to seek commercialization of the Invention on a royalty-sharing basis, the University shall, as required by an agreement with the third party evaluator or consultant, work with the third party evaluator or consultant on the commercialization of the Invention and share in the royalties derived therefrom with that third party evaluator or consultant;
- if the sponsored research agreement for the project from which the Invention emanated offered the sponsor an option to obtain a license or other rights in an Invention, the University will use its good offices in an effort to obtain the sponsor's decision regarding the exercise of such rights within the time specified in the sponsored research agreement or if no time is specified, within a reasonable time;
- the University may determine that it does not wish to pursue patenting or commercialization of the Invention and may license the Invention to the Inventor, but shall retain the right to 10% of any revenues received by inventor, in whatever form, from commercialization of the Invention. Where

the Invention was sponsored by the federal government, the license to the Inventor shall be subject to the rights of the federal government.

- the formation of a commercial enterprise to pursue patenting and/or commercialization of the Invention such as a “start-up” company described below;
- notwithstanding the manner of disposition of the Invention by the University, the Invention shall at all times be available royalty-free for use by the University and the State of Florida;
- such other disposition as may be agreed to among the University and the Inventor(s).

### **Effect of Non-Confidential Invention Disclosures on Patent Protection**

Invention disclosures to the Office of the Vice President for Research are made on a confidential basis. As a public institution, the University should undertake sponsored research only when the results can be freely published. However, public disclosure of patentable material may invalidate some patent options depending on the timing of those disclosures. A public disclosure may result from the publication of a journal article, the placement of a graduate student thesis in the library, a presentation at a conference, or the release of technical information to a person not bound by a nondisclosure/confidentiality agreement. The public disclosure of an invention prior to filing a patent application may bar obtaining a valid patent. In the U.S. a patent application must be filed within **one year** of a public disclosure. Additionally, most foreign patent rights will be forfeited upon public disclosure of the invention if a patent application was not previously filed. The best procedure is to file a patent application with the U.S. Patent Office **before** public disclosure takes place. The University understands the Inventors' desire for public disclosure of their work and does not wish to impede that dissemination. The University's review of invention disclosures will be done as expeditiously as possible. In order that such review may be done prior to public disclosure, Inventors are cautioned to file the invention disclosure with sufficient lead time prior to anticipated public disclosure so as to allow the University sufficient time to properly process the application prior to that disclosure. Once disclosure is timely made, the Office of the Vice President for Research will work as diligently as possible so that faculty may continue with scholarly publication.

There are some reasonable procedures that can address the tension between the desire for public disclosure and preserving patent rights. For example, a thesis that has been catalogued and made accessible by the library may constitute a public disclosure. In order to gain time for patent consideration, the Inventor or Vice President for Research may petition the Dean of the Graduate School to temporarily withhold library access until patent considerations are evaluated.

Another example is that the University normally will not agree to sponsored research agreements that contain limits on the University researchers' right to publication. However, where patent protection issues are involved, the University may agree that publication may be deferred for a reasonable time during which the University and the sponsor can review the feasibility of patent coverage or



other protection on an invention described in the publication. The University may also agree that, when publication of research involving proprietary data is contemplated by University researchers, the researchers may provide the sponsor with an advance copy of the manuscript prior to publication to allow the sponsor an opportunity to identify any inadvertent disclosure of proprietary or confidential data.

## **License Revenue Allocation**

The University and the Inventor are entitled to income from licensed Inventions; the University on the basis of employment, facilities and other support for the Inventor and the cost of intellectual property administration; and the inventor on the basis of creative activity, documenting the invention, and assisting, as necessary, with patent protection process and commercialization.

Before any revenues may be distributed by the University with other parties, the University must recover all costs it incurred in the evaluation, protection, licensing and administration of the Invention, as well as retaining amounts necessary to recover reasonably anticipated costs (as further described below) relating to the Invention (the "Invention Costs").

Invention Costs include administrative and legal expenses incurred by the University associated with:

- Evaluating the technical, legal or patenting aspects of the Invention;
- Obtaining and maintaining patent or other legal protection for an Invention;
- Negotiating, managing, and enforcing assignments, waivers, licenses, and other contracts associated with the Invention;
- Funding additional development of the Invention provided by the Office of the Vice President for Research.

Invention Costs also include the University's expenses associated with a given transfer, including, but not limited to, travel, market research, management and liquidation of an equity interest in a start-up company, if applicable.

Colleges, departments, and other units will occasionally direct discretionary funds toward the further development of specific technologies. These expenditures, if specifically documented by the College, department or unit, may be treated as Invention Costs and may be reimbursed. All such reimbursements shall be subject to approval by the Vice President for Research. They may be made only after recovery of all Invention Costs incurred by the Office of the Vice President for Research.

For purposes of determining the licensing income due to any party, the "total gross revenue" is defined as the total cash consideration (including, but not limited to royalties, equity, licensing fees or revenue received from liquidation of equity position in start-up company) received by the University pursuant to a contract pertaining to a particular Invention. "Licensee-paid cost recoveries" are costs incurred by the University and paid by a licensee. "Adjusted gross revenue"

is the total gross revenue less licensee-paid cost recoveries. The Office of the Vice President for Research shall retain licensee-paid cost recoveries.

The Office of the Vice President for Research shall deduct amounts necessary to cover incurred and reasonably anticipated Invention Costs. "Net license revenue" is total gross revenue less the incurred and anticipated Invention Costs retained by the Office of the Vice President for Research. Net license revenue will be distributed only after the University recovers all Invention Costs. Net license revenue will be distributed as follows: 40% to the Inventor(s) and 40% to the University and 20% to the Inventor's academic unit. The 40% retained by the University shall be used for research purposes.

The University shall make distributions annually. No adjustments of prior distributions will be made.

If there are multiple Inventors, the percentage allocable to inventors shall be divided equally among all inventors. For example, if there are 2 inventors, each inventor shall receive 20% of the net license revenues. An Inventor may prospectively waive the receipt of a portion or all of his/her share of revenue received by the University under a license. The following conditions apply:

- The Inventor, at the time of the waiver, may designate his or her laboratory or research program, department, or other University unit as the recipient of the waived amount. The waived funds will be regarded as regular University funds subject to all of the usual and customary legal and administrative requirements of the University.
- To ensure that the use of the funds is consistent with the broad mission of the University, or to avoid financial imbalances or hardships within or among University units, the Office of the Provost, in consultation with the Vice President for Research, dean or deans of the involved units, must approve a plan for the designation of funds submitted by the Inventor, and, thereafter, may review the use of the funds at any time. It is expected that the waiver plan will be approved only with the concurrence of the dean of the receiving unit.
- The waiver must be irrevocable during the period proscribed by the Inventor and executed prior to the end of the fiscal year in which the revenue is generated.
- Funds directed to the Inventor's research laboratory or program may only be used to support research and educational expenses associated with the Inventor's research laboratory or program. The funds must be deposited in a designated account of the Inventor's laboratory for use only for research. Such research expenses must be made conforming to the same rules applicable to direct costs on federally sponsored research grants. Only such direct costs that are customary, allowable and appropriate in supported or organized research may be made from those accounts.

## **Equity in Start-Up Companies**

The University may determine that the best course of action with reference to an Invention disposition is to take an equity position in a company that will pursue the patent protection and/or commercialization of the Invention. This equity position may be maintained by the University or by the FIU Research Foundation, Inc. and reference to "University" in this section shall also be deemed to refer to FIU Research Foundation, Inc. Ownership of such equity interests shall be at the sole discretion of the University and in accordance with all applicable securities laws, with University policies and procedures and with other applicable laws and regulations. The University shall have the sole and exclusive authority to manage such equity interest including, without limitation, to make all decisions pertaining to liquidations, sales, distributions, and early distributions, including their timing, manner, and method. Any agreement entered into by the University for equity shall have provisions for obligatory liquidation of the University's equity interest.

One example of this type of situation is where the University receives equity in a start-up or developing business venture as part of a licensing agreement with that start-up for an Invention. Another example might occur when an employee of the University utilizes the expertise and/or technology he or she has developed in the course of University employment and assists a business venture in the commercialization of the Invention. (A "start-up" or developing business venture includes corporations, partnerships, or other commercial enterprises.) Such a commercial association with the University and its employees adds both value and credibility to the new business venture.

There may be situations in which both the University and its employees separately own equity interests in a business venture. In such circumstances, the employee's equity interest is considered to be independent of the University's equity interest and is not held, managed, disposed of, or distributed by the University. The Inventor's equity interest may render the employee ineligible to receive a distribution of a portion of the University-owned equity interest or the proceeds from sale of such (as further described below).

## **Release of University Interest in Inventions**

At any stage of applying for a patent, or in the commercialization process of an Invention, if the University has not otherwise assigned to a third party the right to pursue the same, the Vice President for Research may elect to withdraw from further involvement in the patent protection or commercialization of the Invention. At the request of the Inventor in such case, and upon terms mutually agreed upon between the Inventor(s) and the University, the University shall transfer its rights in the Invention to the Inventor(s). In such cases, the Inventor will indemnify and hold harmless the University for any actions, claims or damages resulting from the Invention. If outside funds supported the project leading to the Invention, this transfer is subject to any provisions of the sponsoring agreement. In addition, the transfer shall not affect the right of the University or the State of Florida to royalty-free use of the Invention, nor shall such transfer be granted until all pre-existing commitments to the federal sponsoring agency with regard to the Invention are fulfilled.

## **Administration of Policy**

The President has designated the Vice President for Research as the officer of the University to administer, apply and interpret the provisions of this policy. The Office of the Vice President for Research, shall coordinate the efforts regarding the evaluation and pursuit of legal protection and commercialization of Inventions.

The University and/or the FIU Research Foundation, Inc., as appropriate, shall have the sole authority to determine whether, and if so, the manner in which Inventions shall be commercialized, including but not limited to, negotiating all contracts related to commercialization of the Inventions, such negotiation to be conducted by the Office of the Vice President for Research and the FIU General Counsel's Office.

## **Living Wage Salary Adjustment**

**Purpose:**

To establish a procedure for the implementation and adjustment of minimum salaries for non-exempt employees to the living wage salary level, as determined by the U.S. Department of Health and Human services.

**Policy:**

This policy requires the University to pay all non-exempt classified employees wages that are above the federal minimum wage level.

The living wage minimum is determined by the federal poverty guidelines established by the U.S. Department of Health and Human Services and is updated on a yearly basis.

The Division of Human Resources will monitor any changes to the living wage and will adjust salaries annually to meet the established threshold.

## **Leave Pending Investigation**

### **Purpose:**

To establish a policy on granting leave pending an investigation.

### **Definition:**

**Leave pending investigation** - approved leave with pay, with no reduction of personal accrued leave.

### **Policy:**

When the President or designee has reason to believe that the presence of an employee on university property presents a threat to the health or safety of the employee or anyone in the university community, or represents a threat of substantial disruption or interference with the normal operations of the university community, the President or designee may place the employee on paid or unpaid leave pending investigation of the occurrence. The President or designee may also direct that the employee be removed from university property until the investigation is completed.

## **Learning Opportunities**

**Purpose:**

To establish a learning culture in which all employees are encouraged to develop their professional skills and enhance their performance, both in their current position and for future University career opportunities.

**Policy:**

All employees shall participate in a minimum of twenty (20) hours of professional development per calendar year. This development occurs during regularly scheduled work time, and must be approved by the Dean, Director, or Department Head.

All employees are expected to have a Learning Goal established in their annual performance discussion with their immediate supervisor.

Professional development can take the form of attendance in in-house learning programs provided by the Division of Human Resources – Department of Organization Development and Learning, participation in external workshops and conferences, or other department-specific training.

Included in the expected 20 hours of professional development are any programs that may be required by the University, such as the New Employee Experience, Sexual Harassment Awareness & Prevention, Performance Development Process (PDP), Supervisory Excellence, and others. Attendance in programs for professional certifications, licensures, etc will also count towards the 20 hours of professional development.

**Florida International University**  
**Division of Human Resources**

**Leadworker Pay**

**Purpose:**

To establish a policy for non-exempt employees who serve as lead workers.

**Policy:**

A non-exempt employee may be designated as Leadworker provided that:

- The employee occupies one of at least three positions in the same class and in the same work unit.
- The employee is assigned limited coordinative duties in addition to the normal duties associated with the position.
- The leadworker designation cannot be used to create an intermediate level of supervision.
- The employee works in a geographically separate location from the main work unit.
- A five percent (5%) pay adjustment will be provided for the Leadworker assignment.



**Florida International University  
Division of Human Resources**

**Layoffs**

**Purpose:**

To administer the layoff process of University employees.

**Policy:**

Employees may be laid off due to adverse financial circumstances; reallocation of resources; reorganization of administrative structures, reorganization of degree or curriculum offerings or requirements; reorganization of academic structures, programs, or functions; curtailment or abolishment of one or more programs or essential functions; or shortage of work.

The affected layoff unit may be identified at an organizational level such as campus, division, college/unit, school, department/unit, area, program, or position as determined by the Assistant Vice President for Human Resources or his designee.

In the event of a reduction in force, FIU will consider a number of relevant factors in determining selections for layoff, the public interest being of prime importance. Factors to be considered include:

1. Training, experience and position, including certifications.
2. Employee's overall performance/disciplinary record.
3. Seniority.

As between two employees, if one and two above are relatively equal, then seniority shall prevail

Laid off employees shall have recall rights only to positions within the layoff unit. Recall of laid off employees will be in accordance with departmental needs and relevant experience required for specific positions that will best contribute to the mission and purpose of the University and the department.

Recall rights are limited to the one (1) year period following the layoff. During this period, no new employees will be hired by the layoff unit until all laid off employees are offered recall. Any employee offered recall at his/her last known address must contact the Division of Human Resources and agree to return to work, within 21 calendar days, or forfeit all recall rights.

**Applies to Faculty:**

No tenured faculty employee shall be laid off if there are non-tenured faculty employees in the layoff unit. Layoff selection among tenured faculty or among non-tenured faculty will be determined by those faculty employees who, in the judgment of the University will best contribute to the mission and purpose of the institution, the academic needs of the program, and an analysis of the qualifications of the faculty members needed to conduct the program. Provided the remaining faculty employees are qualified to teach the remaining courses, without jeopardizing accreditation standards, the selection of faculty employees to be laid off will be determined based on the following factors:

- the faculty employees' length of continuous University service;
- performance evaluation by students, peers, and supervisors;
- the faculty employee's academic training;
- professional reputation;
- teaching effectiveness;
- research record or quality of the creative activity in which the faculty employee may be engaged;
- service to the profession, community, and public.

Faculty will be provided a notice period of 14 days in a layoff situation. Where circumstances permit, a faculty member should be provided at least one semester's notice.

## **Jury Duty and Court Appearances**

### **Purpose:**

To administer a policy regarding jury duty and subpoena for court appearances.

### **Policy:**

An employee summoned as a member of a jury panel, shall be granted leave with pay and any jury or witness fees shall be retained by the employee. Leave granted hereunder shall not affect the employee's vacation or sick leave balance.

An employee subpoenaed to represent the University shall have such duty considered a part of the employee's job assignment. The employee shall be paid travel expenses and incidentals. The employee shall give the University any fees received.

An employee is not paid for time off work because they were subpoenaed to appear in court for criminal or civil cases being heard in connection with the employee's personal matters, including but not limited to, appearing in traffic court, divorce proceedings, custody hearings, appearing as directed with a juvenile, etc. or service as a paid expert witness. The time off may be charged to accrued compensatory time (if applicable), vacation leave, or may be taken as leave without pay.

### **Applies to Law Enforcement Personnel:**

If a sworn law enforcement employee is subpoenaed to appear as a witness in a job-related court case, not during the employee's regularly assigned shift, the employee shall have the option to either accept the witness fee or be granted a minimum of 2½ hours which shall be counted as hours worked. FIU reserves the right to change said employee's schedule in order to minimize or eliminate any overtime costs associated with the court appearance.

**Florida International University  
Division of Human Resources**

**Loyalty Oath**

**Purpose:**

To administer a procedure for obtaining a signed Loyalty Oath from every University employee.

**Policy:**

Every employee of the University, as a condition of employment, shall execute a proper oath of loyalty as required by State law.

**Applies to Law Enforcement Personnel:**

All employees appointed to sworn positions shall take and subscribe to the following "Canon of Law Enforcement Ethics":

"As a Law Enforcement Officer, my fundamental duty is to serve mankind; to safeguard lives and property; to protect the innocent against deception, the weak against oppression or intimidation and the peaceful against violence or disorder; and to respect the Constitutional right of all men to liberty, equality and justice."

## **Operating Hours, Rest, and Meal Periods**

### **Purpose:**

To define rest and meal periods within the University's standard working hours of 8:00 am to 5:00 pm.

### **Policy:**

#### **Rest Period Breaks:**

- The University supports rest periods even though it is not required by the Fair Labor Standards Act (FLSA).
- A rest period of 15 minutes in the middle of each four-hour work period is considered compensable time. Rest periods may not be used (1) to offset late arrival or early departure from work, (2) to extend the meal period, or (3) to accumulate paid time off from one day to the next.
- Rest period breaks that are longer than 30 minutes are not compensable.
- Smoke breaks are in lieu of, and not in addition to, an employee's normal rest period break.

#### **Meal Periods:**

- A meal period lasting 30 minutes or longer is not considered compensable time, according to the FLSA. A meal period of less than 30 minutes and approved by the respective supervisor is considered time worked, and therefore, compensable.
- If work is being performed and the employee is not relieved of his/her duties during a meal period, then the time would be considered compensable.
- An employee must be released of all their duties and responsibilities during the meal period.

**Florida International University  
Division of Human Resources**

**Operational Excellence/Service Award (OE/SA)**

**Purpose:**

To encourage excellence in performance and recognize exceptional individual performance.

**Policy:**

The OESA is recommended for employees who have demonstrated continuous outstanding performance, have made a significant contribution to the department's mission or strategic plan and/or have provided consistent support to the department's objectives.

The OESA Process will be monitored and approved by the Division of Human Resources. The OESA amount will be added to the employee's base salary.

## **On-Call Pay**

**Purpose:**

To provide compensation to non-exempt employees who maintain their availability during off-duty hours to come back to work to perform emergency and/or necessary work assignments based on operational needs.

**Policy:**

Regular and Interim non-exempt employees are entitled to on-call pay.

Exempt employees and all law enforcement personnel will not be eligible to receive on call pay.

In order to receive on-call pay, an employee must be instructed in writing to be available for work outside the regular work schedule, be at a fixed location, and be ready to be back at the work station when needed.

Employees will be compensated by payment of \$1.00 per hour for each whole hour that the employee is required to be on-call.

Carrying an electronic signaling device during off-regular work hours does not automatically qualify an employee to receive on-call pay.

On-call pay is not compensable for purposes of computing overtime.

### NOTE ON TERMINOLOGY

As used in these policies, the term “employee” refers to all non-bargaining unit faculty and all non-bargaining unit employees. The term “faculty” refers to all non-bargaining unit faculty.

Words used in the plural shall include the singular and use of the singular shall include the plural, where such meanings would be appropriate.



**Florida International University**  
**Division of Human Resources**

**New Employee Experience**

**Purpose:**

To welcome new employees to the University and to acclimate them to our mission, vision, values, policies and procedures.

**Policy:**

All non-faculty employees are required to attend New Employee Experience on their first day of employment, which is a Monday. Faculty members are to attend on the first available session following their first day of employment.

## **Nepotism**

### **Purpose:**

To ensure that no preferential treatment will be afforded to individuals based on relationships that may place undue or inappropriate influence on terms and conditions of employment.

### **Definition:**

For the purpose of this policy, “relationship” is defined as individuals related by blood, marriage, adoption [e.g. father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother or half-sister, Florida Statute Section 112.3135(1)(d)]; a person a public employee intends to marry, or with whom the public employee intends to form a household, or any other natural person having the same legal residence as the public employee, Florida Statute Section 112.312, Code of Ethics; domestic partnership, dating, or other personal relationship in which objectivity might be impaired. “Line of authority” is defined as authority extending vertically through one or more organizational levels of supervision or management.

### **Policy:**

Relationship to another individual employed by the University shall not constitute a bar to hiring, promotion or reappointment, provided, that no employee shall be under the direct or indirect supervision or control of a related individual. The University retains the right to refuse to appoint a person to a position in the same department, division or facility, whereby his/her relationship to another employee can create an adverse impact on supervision, safety, security, morale, or involves a potential conflict of interest.

Individuals should not be employed in a department or unit, which will result in a subordinate-supervisor relationship between such individuals and any related individual as defined above through any “line of authority”.

Related individuals, as defined by this policy, may not be supervised or work in the same division, department, or unit without prior approval from the Assistant Vice President of Human Resources and the Vice President in charge of Human Resources.

**Florida International University  
Division of Human Resources**

**Moving Expenses**

**Purpose:**

To certify employment eligibility for moving expenses of new hires.

**Policy:**

Hiring departments may cover moving expenses of new hires if such payment is clearly in the best interest of the University.

Division of Human Resources will certify request upon determination of employment eligibility of the prospective employee.

Payment of moving expenses shall ordinarily be limited to the cost of packing and shipping of household goods not to exceed 15,000 pounds, and reasonable expenses incurred for moving an automobile.

When household goods are shipped via a rental vehicle, the approved payment will be limited to the insuring of the vehicle.

The University will not authorize payment for cleaning of any residence in connection with the move, the unpacking of household goods, or payment of expenses associated with the personal move of the employee or family members.

## **Military Leave**

### **Purpose:**

To establish a policy that defines the leave specifications for Military Leave

### **Policy:**

An employee, except an employee in a temporary position, who is drafted, volunteers for active military service, or who is ordered to active duty shall be eligible for military leave.

An employee shall receive their full pay in addition to their military pay for the first thirty (30) days of active duty. After the initial 30 days, the law allows those on active duty to receive the necessary pay to fill any gap between their military and civilian pay and continue their existing benefits. Leave payment of this type shall be made only upon military authority that thirty (30) days of military service have been completed.

Upon Separation from the military service, the employee shall be eligible to return to the former position held or a different position in the same class in the same geographic location provided the employee is honorably discharged.

## **Overtime Pay and Compensatory Time**

**Purpose:**

To establish a policy for overtime pay and compensatory time for non-exempt employees.

**Policy:**

Non-exempt employees are entitled to overtime pay at one and one-half times their hourly rate for all hours actually worked in excess of 40 hours in a work week.

The overtime rate calculation is based on the regular rate of pay, which includes the hourly pay and all additives.

All overtime hours must be authorized by the immediate supervisor prior to working.

Compensatory time may be earned by non-exempt employees in lieu of overtime pay for all hours actually worked in excess of 40 hours.

Compensatory time is credited at the rate of one and one-half times the number of hours in excess of 40 hours worked in a workweek.

Non-exempt employees must use accrued compensatory time within thirty (30) days of its accrual, provided that to do so would not unduly disrupt the operations of the University.

Special compensatory time may be earned on an hour-for-hour basis by an employee occupying a non-exempt position when:

- the employee observed a holiday and worked 40 hours the week during which the holiday occurred;
- the holiday falls on the employee's regularly scheduled day off;
- the employee is required to work the holiday;
- the employee is required to perform essential duties during an emergency closing for the hours worked during the closing.

Exempt employees are not entitled to compensatory time or overtime pay for hours worked in excess of 40 hours per week.

When an employee is changed from a non-exempt to an exempt position, all accrued compensatory time will be paid before the change takes place.

When an employee is transferred to a new department, all accrued compensatory time may either be paid or transferred, at the discretion of both departments involved in the transfer.

Any employee with accrued compensatory hours on record with Human Resources on the effective date of this policy (effective date to be determined at a future date) is excluded from having to use or be paid the accrued hours within the 30 day period.

## **Professional Development Leave**

### **Purpose:**

To provide exempt employees and faculty members (who are not eligible for Sabbatical Leaves) with leave opportunities to advance job-related skills and knowledge.

### **Policy:**

Professional Development Leave is granted to increase an exempt employee's value to the University as well as to the employee's position and/or professional expertise. These opportunities should include enhanced opportunities for professional renewal, educational travel, study, field observations, research, writing or professional development. This leave is in part to be granted to allow the employee to further his/her education.

Employees must have been employed by the University for at least six (6) years of full-time continuous service and must meet the following criteria:

- The employee's work performance is superior.
- The University deems that there are acceptable resources and adequate coverage available during the employee's absence. Eligible employees may be asked to time their professional development leave in accordance with program needs and the ability of the department to finance the leave.
- The employee provides a detailed description and documentation of the professional development opportunity as well as a report once the leave is completed
- Professional development leave could be at half pay for a full academic year or at full pay for one semester.
- The employee must guarantee that at the end of the leave, he/she will return to employment at the University for at least one (1) year following the leave. An employee who does not return to the University shall reimburse the University for the salary received during the professional development leave.
- If the employee receives outside income as a result of the professional development experience, he/she must report such income to the University. University compensation will normally be reduced by the amount necessary to bring the total income for that period to a level comparable with the employee's normal position.
- Once the time period for the professional development leave is agreed upon in writing, it cannot be extended. If it is shortened, prior notice to the supervisor is required.
- The employee and supervisor agree to and understand that the position will remain open and available when the employee returns.

Both the University and the employee will contribute to retirement, social security, insurance programs and other employee benefits during the leave. Eligible employees will continue to accrue sick leave and vacation leave on a full-time basis during the professional development leave.

### **Applies to Faculty Members**

Provided funds are available, professional development leave shall be made available to faculty members who meet the following specific requirements and who are not eligible for sabbatical leaves. Such leaves are granted to increase an employee's value to the University through enhanced opportunities for travel, formal education, research, writing or other experience of professional value.

- All employees with three or more years of service, except those who are serving in tenure-earning or tenured positions, shall be eligible for professional development leaves if the contract or grant they are compensated through allows for such leaves.
- Application for professional development leave shall contain:
  - an appropriate outline of the project or work to be accomplished during the leave with specification to the academic semester
  - an indication of why the applicant believes the project or work to be undertaken will improve his/her professional contribution to the Department or function of which the applicant is a part
  - a letter of endorsement from the applicant's supervisor supporting the request, and noting the expected benefits to the unit of the leave.
- The University shall select applicants based on the following:
  - The Provost and Vice President of Academic Affairs will form a committee that will evaluate and rank order the applications. The committee shall be appointed by the Provost.
  - The committee will develop its ranking based on the specific criteria that completion of the project would improve the productivity of the Department or function of which the employee is a part.
- No more than one (1) employee in a Department/unit need be granted leave at the same time.
- The employee must return to the University for at least one (1) academic year following the leave, unless other arrangements were made in writing before the leave was taken.
- An employee who does not return to the University for the time stated shall reimburse the University for the salary or other funds received during the leave.
- Employees will not be eligible for a second leave until they complete three additional years of continuous service.



## **Pre-Employment Requirements**

**Purpose:** To ensure that the University conducts thorough investigations of prospective employees.

**Policy:**

### **Background Checks**

- All prospective employees may be subject to background checks upon an offer of employment. Employment is contingent upon the satisfactory results of the investigation.
- Checks will include federal, state, and local criminal background. Those positions that require operation of a motor vehicle will include a driver's license check.
- The Division of Human Resources (DHR) reviews the reports and makes decisions regarding suitability for employment based on findings and the particular job.

### **Fingerprinting**

- All prospective employees may be subject to fingerprinting upon an offer of employment, depending on the offered position.
- The DHR conducts fingerprinting checks through the Federal Department of Law Enforcement (FDLE) for all positions in Law Enforcement, Child Care and those with responsibility for handling cash, or working in the Residence Halls.
- The DHR reviews reports and makes decisions regarding suitability for employment based on findings and the particular job.

### **Reference Checks**

- Hiring departments must conduct reference checks on all prospective employees to establish suitability for employment using the guidelines established by the DHR.
- The DHR reviews the written findings and makes decisions regarding suitability for employment based on information obtained and the particular job.

### **Language Proficiency**

- All faculty employees with teaching assignments must be proficient in speaking English

### **Drug Testing**

- All prospective employees may be subject to a urine drug test upon an offer of employment, depending on the offered position.
- Successful completion of a urine drug test is a condition of employment with Florida International University's Public Safety Department.

## **Political Participation**

### **Purpose**

To establish and administer a policy to guarantee employees the right of political participation during regular work hours.

### **Policy:**

An employee who wishes to take time off from work, with the approval of the immediate supervisor, to participate in political activities, must charge the time in one of the following ways:

- Accrued compensatory
- Accrued vacation
- Time off without pay

## **Political Activity**

### **Purpose:**

To ensure that employees participating in Political Activities do not interfere with employee's normal duties and University's operations.

### **Policy:**

Employees may seek election to and hold public office upon notification to the President or his designee.

Prior to seeking election to and holding such public office, the employee must establish that there is no conflict of interest between this activity and the responsibility of the individual to the University.

Where an employee elects to run for and hold public office and such action is deemed by the President to interfere with the full discharge of the employee's regular duties, the employee must obtain a leave of absence or submit a resignation.

Candidates for public office should not use the services of any public official or employee during working hours in the furtherance of their campaigns and must follow all appropriate Florida Elections Statutes as provided for in F.S. Chapter 97-107.

## **Personal Leave of Absence without Pay**

### **Purpose:**

To establish a policy that defines eligibility, duration and return from leave requirements for granting a Leave of Absence without Pay (LOA).

### **Policy:**

An employee may be granted a LOA, for up to three months for personal reasons subject to approval by the department head. The request for the LOA must be in writing and should be examined carefully by the department head to determine whether the interest of the employee and the University would best be served by granting this leave.

All accrued vacation leave must be used before a LOA without Pay may be approved.

An employee does not accrue leave during the LOA. An employee shall not receive pay for holidays that fall within the period of the LOA.

Employees on a LOA are eligible for benefits pursuant to limitations of the program.

Upon completion of an approved LOA without pay, the employee is to be returned to the position formerly occupied, or to a position with equivalent status, pay, benefits and other employment conditions. Failure to return to work on the scheduled date will constitute job abandonment.

**(GET FACULTY LANGUAGE FROM KEN JOHNSON)**

**Florida International University  
Division of Human Resources**

**Permanent Status For  
Certified Law Enforcement Personnel**

**Purpose:** To define permanent status for employees in a certified law enforcement personnel class.

**Policy:** Certified law enforcement personnel earn “permanent status” in a class, after successfully completing the probationary period for that class. Permanent status provides the employee with the right to appeal any severe disciplinary action while serving in the class. The exclusive procedure for appeals of severe disciplinary action shall be the procedures of Chapter 120, Florida Statutes.

The standard probationary period for all certified law enforcement personnel shall be twelve (12) months from either the date of hire or date of certification as a State of Florida Law Enforcement Officer, whichever is later, for new law enforcement personnel. The standard probationary period shall be twelve (12) months from the date of promotion for newly promoted certified law enforcement personnel.

Prior to the expiration of the probationary period, the Director of Public Safety will make a decision regarding retention of the certified law enforcement employee in a permanent status position. The failure of a certified law enforcement employee to pass or complete probation shall not be appealable to any authority; however, an employee who fails to pass a promotional probation period will be returned to their prior position.

## **Performance Development Process**

### **Purpose:**

To establish a Performance Development Process, (PDP), aligned with organizational objectives that provide consistent criteria for enhancing and assessing employee performance on an annual basis.

### **Policy:**

PDP provides individual employees with an opportunity for the development of their potential, continued learning and career development.

In preparing the Performance Discussion Document, the supervisor/manager may solicit feedback on the employee's performance from a variety of sources: peers/colleagues, direct reports, students and other constituents.

This is a year-round process which shall culminate in the annual Performance Discussion. Supervisors will be evaluated on whether the Performance Development Process was conducted annually for their subordinates.

Both supervisors and employees must attend mandatory training on the Performance Development Process.

### **Applies to Faculty Employees:**

Each department/unit shall develop and maintain procedures by which to evaluate faculty employees according to the following criteria:

- Demonstrates teaching effectiveness, i.e., presenting knowledge, information and ideas via lectures discussions, assignment and recitation, demonstration, laboratory exercise, practical experience and direct consultation.
- Contributes to the discovery of new knowledge, development of new educational techniques, and other forms of creative activity.
- Engages in public service that extends professional or discipline-related contributions to the community.
- Participates in the governance process of the University through significant service on committees, beyond the expected participation in regular departmental or college meetings.
- Participates in other assigned University duties, such as attending commencement ceremonies, councils and senates.

- Contributes to development of the University or community enterprise by identifying, developing and bringing vision to life, with an end result of creating a new venture.
- Demonstrates proficiency in spoken English.

In addition, each faculty employee shall be annually evaluated using FIU's Values and Core Competencies. The following are the Values and Core Competencies applicable to faculty employees:

## **FIU VALUES**

### **Diversity & Respect**

- Displays empathy and tolerates diverse viewpoints
- Shows respect and sensitivity for cultural differences
- Educates others on the value of diversity
- Promotes a harassment-free environment

### **Honesty & Integrity**

- Exhibits ethical and moral behavior in everyday business conduct
- Earns trust of others by disclosing information and admitting mistakes
- Recognizes and resolves ethical questions
- Ensures University ethics are widely understood
- Encourages open discussion of ethical issues
- Creates an environment that rewards ethical behavior
- Inspires the trust of others
- Works ethically and with integrity
- Upholds University values

### **Knowledge Excellence**

- Recognizes and acts on opportunities
- Measures self against standards of excellence
- Changes approach or method to best fit situations
- Keeps abreast of developments of profession
- Meets challenges with resourcefulness
- Keeps abreast of developments of profession

### **Operational Excellence**

- Measures key outcomes
- Fosters quality focus in others
- Improves processes, products, and services
- Understands implications of decisions
- Aligns work with strategic goals

### **Service Excellence**

- Builds rapport
- Ask questions to discover needs
- Presents solutions that meet service objectives



- Manages difficult and emotional service situations
- Solicits feedback to improve service

## **CORE COMPETENCIES**

### **Communication Skills**

- Expresses ideas and thoughts orally
- Expresses ideas and thoughts in written form
- Exhibits good listening and comprehension
- Keeps others adequately informed
- Selects and uses appropriate communication methods

### **Critical Thinking Skills**

- Displays original thinking and creativity
- Incorporates analysis in making decisions
- Exhibits sound and accurate judgment
- Identifies problems in a timely manner
- Resolves problems in early stages
- Makes timely decisions

### **Efficiency Management**

- Works within approved budget
- Promotes conservation of University resources
- Develops and implements cost saving measures
- Uses time efficiently
- Prioritizes and plans work activities

### **Leadership Skills**

- Exhibits confidence in self and others
- Inspires respect and trust
- Reacts well under pressure
- Shows courage to take action
- Creates a motivating environment for others to perform well
- Prepares for and supports change initiatives

### **Personal Effectiveness Skills**

- Takes responsibility for own actions
- Undertakes self-development activities
- Exhibits tact and consideration
- Uses authority appropriately to accomplish goals
- Pursues and wins support for ideas
- Understands FIU structure, culture, and dynamics
- Adapts to change in the work environment
- Understands FIU structure, culture, and dynamics

### **Team Skills**

- Fosters team cooperation

- Defines team roles and responsibilities
- Supports group problem solving
- Ensures progress towards goals
- Acknowledges team accomplishments
- Puts success of team above own interests
- Balances team and individual responsibilities
- Establishes collaborative relationships to achieve objectives

### **Observation and Visitation:**

The faculty employee, if assigned teaching duties, shall be notified at least two (2) weeks in advance of the date, time and place of any direct classroom observation or visitation made in connection with the faculty employee's annual evaluation.

### **Additional Faculty Employee Evaluations:**

**Sustained Performance Evaluations.** Tenured faculty members shall receive a sustained performance evaluation once every five (5) years following the award of tenure or their most recent promotion. The purpose of this evaluation is to document sustained performance during the previous five (5) years of assigned duties to evaluate continued professional growth and development. Where performance falls below acceptable standards, the faculty will be given appropriate counseling and an opportunity for improvement. Failure to achieve such improvement shall result in appropriate disciplinary action, up to and including termination.

**Third-Year Review.** Faculty on tenure-earning status shall be evaluated during their third year of employment, in accordance with review procedures developed by each college and approved by the Provost. Following the third-year review, a faculty will either be offered further assignments or receive notice of termination.

Each unit/college will develop procedures for the third-year review process that will provide a recommendation to the dean as to whether the faculty will be offered continued employment or will be given a notice of termination.

The third-year review will take into consideration the faculty's assignment; all information provided in the evaluation file; as well as an appraisal regarding the faculty's realistic chances to be awarded tenure.

## **Project-Based Pay**

### **Purpose:**

To establish guidelines for rewarding employees for the successful completion of a special project or assignment.

### **Policy:**

Project-based pay is a lump sum amount payable upon the successful completion of a special project or assignment of significance that is in addition to the employee's regularly assigned duties.

The amount of the project-based pay may not exceed \$5,000 or 10 percent of the employee's salary, whichever is greater. Decision about the amount of the lump sum payment should be dependent upon the nature and complexity of the project. Recommendation for the amount is to be requested by the respective department with approval by Human Resources.

These types of payments for non-exempt employees must be included as part of the employee's regular pay when calculating overtime pay.

**Florida International University  
Division of Human Resources**

**Special Duty Pay**

**Purpose:**

To establish guidelines to compensate law enforcement personnel for special duty pay.

**Policy:**

Law enforcement personnel are entitled to special duty pay when an employee works an event for which the Department is reimbursed at a premium rate of pay. When such event is outside the employee's regularly scheduled week, and a holiday(s) occurs or the employee uses sick leave in that workweek, such employee will receive time and half pay for working that event.

The hours for which special duty pay is received shall not be counted as hours worked for the purpose of calculating overtime for that week.

An employee reporting to a special duty event shall be guaranteed two (2) hours of special pay if an event is cancelled or concluded prior to the end of the two hour period. An employee who fails to adhere to the Department's procedures for determining the status of the event prior to reporting for such duty, will lose eligibility for the guaranteed two hours.

If after the employee reports to work, the event is cancelled or concluded prior to the end of the guaranteed two (2) hours, management may assign other law enforcement duties during the guaranteed two hour period.

## **Solicitation, Distribution, and Posting**

### **Purpose:**

To provide means for individuals to conduct activities on campus without undue interruption of normal University business.

### **Policy:**

With the exception of university sponsored campaigns, or other periodic university sponsored activities, solicitations, and/or distribution by employees of printed matter, or solicitations in any manner including e-mail, for funds, products, services, memberships, or for any other reason on university property is not permitted, except in non-work areas during the non-work time of all involved. Work time does not include meal periods, authorized rest breaks or any period when employees are properly not engaged in the performance of their work tasks.

The distribution of any literature or other written material within work or customer areas is prohibited. Non-employees are prohibited from soliciting or distributing literature on university premises.

The posting of materials on approved official bulletin boards are permitted with approval from the Division of Human Resources.

Solicitors, including students, University personnel, and the general public, shall be prohibited from entering the grounds or buildings of the University for the purpose of transacting business with students or other University personnel, unless they have been issued a permit for this purpose by the Vice President of Administration or the appropriate official of the Student Center.

Violations of this policy should be reported to the Division of Human Resources.

**Florida International University  
Division of Human Resources**

**Sick Leave Pool**

**Purpose:**

To allow eligible regular employees to donate sick and vacation leave hours to the Sick Leave Pool. A participating member, upon depletion of the employees' sick, vacation and compensatory leave credits and after approval of the Sick Leave Pool Committee, may draw hours from the Pool for their personal major illness, accident or injury.

**Policy:**

Participation in the Pool shall be voluntary on the part of eligible employees.

Eligibility in the Pool is extended to employees after completion of six months of employment with the University, provided that a minimum of forty (40) hours of sick and/or vacation leave has been accrued by full-time employees, or twenty (20) hours by part-time employees.

Full-time employees contribute eight (8) hours of leave and part-time employees contribute four (4) hours of leave to the Pool. Such hours will be deducted from the employee's sick and/or vacation leave account.

Participating employees may terminate their membership in the Pool at any time by notifying the Administrator.

Participating employees who retire, terminate, or are terminated from the University will be terminated from the Pool.

To maintain the Pool with sufficient hours and maintain membership status all full-time members will, on an annual basis, donate four (4) hours leave, and part-time employees will donate two (2) hours leave.

When the total credits available in the Pool amount to four hundred eighty (480) hours or less, the Pool shall be considered depleted. Upon depletion, the Pool members will be notified that eight (8) hours for full-time employees and/or four (4) hours for part-time employees of leave credits will be deducted from their accounts unless they inform the Sick Leave Pool Administrator of their intention to withdraw membership from the pool.

The inability of a participating employee to contribute to the Pool at the time the Pool is depleted shall not exclude the employee from continued membership in the Pool.

Any sick leave contributed to the Pool by a participating employee shall be forfeited upon the employee's cancellation of membership, retirement, or termination from University employment.

Participating employees may not apply any conditions or restrictions on any leave hours they contribute to the Pool. Participation in the Pool does not guarantee hours may be withdrawn from the Pool.

Leave hours from the Pool shall be granted only for the employee's personal illness, injury, accident, or exposure to a contagious disease. Personal illness shall include disabilities which are the result of or contributed to by medical conditions (including those complications related to pregnancy or childbirth), surgery and recovery.

Participating employees must have depleted all their accrued leave credits before leave credits from the Pool will be granted.

A participating full-time (1.0 FTE) employee may withdraw a maximum of 480 hours from the Pool during any twelve (12) month period. Part-time employees may withdraw a maximum of 240 hours from the Pool during any twelve (12) month period.

Sick leave hours withdrawn from the Pool by a participating employee are not required to be replaced. Hours granted by the Pool but not used by the employee will be returned to the Pool.

## **Sick Leave**

### **Purpose:**

To administer the accrual and appropriate use of sick leave.

### **Definition:**

**Illness/Injury** - any physical or mental impairment of health, including such an impairment proximately resulting from pregnancy, which does not allow an employee to fully and properly perform the duties of the employee's position. When an employee's illness/injury may be covered by the American with Disabilities Act, the provisions of Public Law 101-336 shall apply.

**Employee's Immediate Family** – defined as spouse, children (including foster or stepchildren), parents (including stepparents), brother and sister (including stepbrother and stepsister), grandparents, and grandchildren.

### **Policy:**

An employee shall accrue sick leave in accordance with the table contained in this policy.

An employee may carry over sick leave hours from year to year. Sick leave will not be paid out upon separation. Any employee with a minimum of 10 years of service at the University on July 1, 2005, will be grandfathered under the previous sick leave policy for purposes of receiving payment for accumulated sick leave hours upon separation of employment from the University. Only sick leave hours accumulated prior to the above stated effective date will be paid out, in accordance with the established maximum amounts as indicated on the previous policy.

Use of sick leave shall not be authorized prior to the time it is earned and credited to the employee and shall only be used with the approval of the immediate supervisor.

The use of sick leave shall be authorized for the following:

- Illness or injury of the employee or a member of the immediate family.
- Medical, dental or other recognized practitioner appointment of the employee or a member of the employee's immediate family.
- When, through exposure to a contagious disease, the presence of the employee at the job would jeopardize the health of others.
- Personal illness shall include disability caused or contributed to by pregnancy, miscarriage, abortion, childbirth, and recovery thereafter.



During leave of absence with pay, an employee shall continue to earn sick leave credits.

When possible, employees are expected to schedule planned medical appointments in a manner that minimizes disruption of the workflow.

Employees must use sick leave for its intended purpose. Supervisors will monitor employee use of sick leave for patterns of abuse. Abuse of paid sick leave will result in disciplinary action up to and including dismissal.

Upon return from sick leave due to illness or injury, an employee may be required to submit a Fitness for Duty form to establish whether the employee is fully recovered and capable of returning to his/her duties.

**FLORIDA INTERNATIONAL UNIVERSITY**

**SICK LEAVE ACCRUAL**

<b>Length of Service</b>	<b>Hours Accrual Per Pay Period</b>
Full-time employees	4 Hours
Part-time employees	Accrue sick leave at a rate directly proportionate to the percent of time employed (FTE).

### **Shift Differential Pay**

**Purpose:**

To set criteria for payment of premium shift differential for employees who work shifts other than the regular day shift to meet the needs of the University.

**Policy:**

Employees are eligible to be paid a shift differential salary additive for the entire shift when assigned to work an evening or a night shift as follows:

Evening:      A differential of 3% is paid for shifts where the majority of the hours fall after 6:00 P.M.

Night:         A differential of 6% is paid for shifts where the majority of the hours fall after midnight.

The shift differential additive is included in the calculation of an employee's regular rate of pay for purposes of computing overtime pay.

## **Severe Weather/Emergency Closing**

### **Purpose:**

To provide guidelines for employees in the event of severe weather or emergency closing of the University.

### **Policy:**

Although the University will make every effort to remain open on scheduled workdays, there may be instances where conditions make it impossible to do so. These include, but are not limited to, severe weather, declared state of emergency, utility disruptions, natural disasters and terrorist actions. In all cases, employee safety will be the primary consideration.

Recognizing that employees with disabilities may require additional time to prepare for and respond to challenges presented by inclement weather conditions such as hurricanes, a voluntary participation program was created for early notification of inclement weather conditions.

During periods of inclement weather conditions, staff in the Department of Equal Opportunity Programs will contact individuals on the registry to advise them of the situation. Therefore, if special arrangements need to be made, advance warning is provided to those employees.

During periods of severe inclement weather, public emergency or other crisis, the President or a designated executive officer of the University may issue an announcement of campus status as appropriate to the situation on the university telephone system (305-348-HELP [4357]), UNIVMAIL, or other appropriate media. In general, such a campus status announcement will inform the general public, as well as university students and employees, that the university campuses or a specific designated portion of the university is closed for a specific time period.

- Such announcement may specify that classes are canceled until or after a specified time, or for the entire day.
- Such announcements may specify that all events or programs, including both university and non-university events held in university facilities, are canceled.
- Such announcements may specify that certain university offices and facilities are closed except the following essential offices that never close under any circumstances:
  - University Police
  - Office of Residence Life/Housing Units
  - Utility Plants
  - Emergency Maintenance Operations
  - Any research unit where the integrity of the research must be preserved

- Service units that routinely operate on a seven day per week, twenty-four hour per day service schedule
- Other essential employees previously identified by each respective Vice President

Compensating employees for time away from the University due to severe weather or an emergency closing will be determined at the time of the event and will be conveyed via UNIVMAIL.

## Separations of Employment

### Purpose:

To administer a uniform process for employee separations.

### Definition:

**Employee** - For purposes of this policy, “employee” means all University employees except law enforcement personnel employed by the University Public Safety Department (not including the Director of Public Safety) who have passed their probationary period, registered nurses and nurse practitioners employed by University Health Services (not including the Clinic Directors) who have passed their probationary period, and tenured faculty.

### Policy:

University employees are considered “at will”. Employment at will is presumed to be voluntary and indefinite for both the employee and the University. The employee-employer relationship may be terminated at any time with or without cause.

Separations from University employment may include the following:

**Termination** - Occurs when an employee is permanently separated from University employment with or without cause. Termination may be preceded by corrective action. Unsatisfactory performance or misconduct may warrant immediate dismissal.

**Nonreappointment** - termination of a non-tenured faculty member without cause.

**Resignation** - Occurs when an employee initiates a termination by notifying the immediate supervisor of his/her intention to resign.

**Job Abandonment** - Occurs when an employee is absent without approved leave for three (3) or more consecutive scheduled workdays. Such action represents an abandonment of position, and the employee will be automatically terminated. If the employee's absence is for reasons beyond the control of the employee and the employee notifies the University as soon as practicable, the University will review the circumstances surrounding the absence on an individual basis to determine if it is to be considered abandonment of position.

**Layoffs** - For terminations of employment due to layoff of a non-bargaining unit employee please refer to the "Layoffs" Policy.

**Notice for Non-Bargaining Unit Employees:**

Employees will be given a notice period of 14 days if the separation from employment is due to layoff.

If the separation from employment is due to termination without cause, the employee shall be given a notice period of four (4) weeks after one year of employment, plus two (2) weeks for every year thereafter, up to a maximum of twelve (12) weeks.

The notice period for terminations of employment without cause for employees who were in the Administrative and Professional (A&P) pay classification prior to July 1, 2005 and had a minimum of 10 consecutive years of full-time employment with the University as of June 30, 2005, will be in accordance with Rule 6C8-4.018

Terminations based on discriminatory reasons are prohibited.

Employees will give two weeks written notice of resignation. A resignation may not be rescinded by the employee without concurrence by the University.

**Applies to Non-Tenured Faculty:**

Non-Tenured faculty members, except those described in (a), (b) and (c) below are entitled to the following written notice of nonreappointment.

- If the faculty member has less than three (3) years of continuous University service, a notice period of one semester;
- If the faculty member has three (3) or more years of continuous University service, a notice period of two semesters.

The notice provisions do not provide rights to:

- a. Summer appointments;
- b. Faculty members who are funded from contracts, grants and/or sponsored research funds as they are governed by the terms and conditions of employment of their contract or grant; or
- c. Faculty members who are appointed as visitors or who are appointed to multi-year appointments.

**Applies to Tenured Faculty Employees:**

A tenured faculty employee may be terminated for just cause. Just cause is defined as incompetence or misconduct. Such faculty employee shall be given written notice at least six (6) months in advance of the effective date of such termination, except that in cases where the Provost or his/her

representative determines that a faculty employee's actions adversely affect the functioning of the University or jeopardizes the safety or welfare of any employee, or student, the Provost or his/her representative may give less than six (6) months notice.

**Applies to all Employees and Non-Tenured Faculty**

Upon notice of termination or nonreappointment without cause, the University shall decide at its sole option, whether to:

- Allow the employee to continue to work at the University during the notification period in the same position or in a different position;
- Place the employee on leave with pay during the notification period
- Pay the amount due to the employee in salary during the notification period as a lump sum payment and cease employment of the employee immediately; or
- Take a course of action that is a combination of any of the above.



## **Same-Sex Domestic Partnership Health Insurance Stipend**

### **Purpose:**

To provide financial assistance to FIU employees in same-sex domestic partnerships, to obtain affordable health insurance coverage for a same-sex domestic partner.

### **Policy:**

FIU employees who meet the participation requirements set out in the policy will be eligible for a health insurance stipend to assist in defraying the cost of health insurance for a same-sex domestic partner. The annual stipend amount will be the difference between the University's annual contribution for a 1.00 FTE employee for employee-only coverage at the cost level selected by the employee, and the University contribution for family coverage at the same cost level. The stipend amount will be adjusted whenever changes are made in the employee's coverage selection or in the amount of the University contribution to the FIU health insurance, to reflect such changes. The stipend will be paid to participating eligible FIU employees on a quarterly basis.

### **Eligibility:**

For the purposes of this policy, a domestic partner is an individual of the same sex who shares a committed and mutually-dependent relationship with the University employee. In order to be eligible for the health benefit stipend, the employee must have individual coverage with the University and both the employee and domestic partner must attest that:

1. they are of the same sex, and for this reason are unable to marry each other under Florida Law,
2. they are at least eighteen (18) years of age, and have the mental capacity to consent to a contract,
3. they are unmarried and unrelated by blood,
4. they have resided together for at least the prior six (6) months.
5. they are jointly responsible for each other's financial obligations, including household and living expenses and medical expenses,
6. the non-employee domestic partner is not employed or is not eligible for health benefits through his or her employer,
7. they have completed the Declaration of Domestic Partnership Certification,
8. medical coverage is in effect for the domestic partner and coverage shall be maintained during any period for which the same-sex domestic partner health insurance stipend is sought, and

9. the employee is covered under FIU's health insurance plan with individual coverage.

### **Required Documentation:**

The employee must submit documentation (such as an employer-provided handbook, benefits booklet or notification) showing that the partner's employer does not provide health insurance coverage or that the partner is not eligible for such coverage, or that the partner is not presently employed. In addition, proof of domestic partner medical coverage must be sent to FIU's Department of Benefits Administration on a semi-annual basis.

Additionally, at least **THREE (3)** of the following documents must be submitted to support the domestic partner relationship:

- Joint ownership of real property in the prior 6-month period
- Mutual designation as attorney in durable power of attorney documents
- Joint ownership of personal property or assets, such as automobiles or stock
- Designation of health care surrogate
- Joint bank account for at least the prior 6-month period
- Legal documentation demonstrating joint adoption or legal guardianship of any dependents, whether children or adults
- Joint loan
- Joint credit card for at least the prior 6-month period
- Joint lease
- Designation of Beneficiary (Life Insurance)
- Designation of Beneficiary (Retirement Plan)
- Designation of Beneficiary (Will)

### **Confidentiality:**

At Florida International University, all benefit elections are treated with the highest degree of confidentiality and sensitivity. Information about employee election or participation in the same-sex domestic partner health insurance stipend will be subject to and maintained according to the same strict internal processes and protocols for all confidential employee information. Internal and external access to employee benefit data, including information relating to participation in this policy, is limited to only those individuals directly responsible for managing data, budget, and entering employee elections, and such data is shared only on a need-to-know basis.

### **Tax Implications:**

The amount of the cash stipend will be taxable to the employee and subject to FICA and income tax withholding only. This amount will not count towards retirement, life insurance or any other benefits.

## **Enrollment and Participation Procedures:**

An employee who wishes to participate in the same-sex domestic partnership health insurance stipend must (1) complete the Declaration of Same-Sex Domestic Partnership Certification form found on the Division of Human Resources' website, and (2) submit the completed Certification form, the attestations of the employee and domestic partner and the required documentation in a personal/confidential envelope to the Benefits Department in care of the Director of Benefits.

Upon receipt of the necessary form, documentation and attestations, the application will be reviewed. If approved, the Division of Human Resources will consider the partnership registered as of the date on the Certification form and will notify the employee in writing in a personal/confidential envelope.

Once participation and eligibility is approved, documentation showing continued health insurance coverage for the domestic partner must be submitted to the Benefits Department on an annual basis. FIU may terminate the health insurance stipend if the domestic partner does not provide proof of continued medical coverage.

## **Termination of Participation:**

An employee receiving the health insurance stipend shall notify the Benefits Department, in writing, immediately upon the termination of the domestic partnership for which participation has been approved, by completing the Declaration of Termination of Same-Sex Domestic Partnership Certification form and forwarding it to the Benefits Department within thirty (30) days of its termination. The employee must then wait one year from the date of the notice before obtaining eligibility for same-sex domestic partner stipend, except if (1) the employee is registering the same domestic partnership within thirty (30) days of submitting notice of termination of that domestic partnership, or (2) the employee's former domestic partnership was dissolved through the death of the domestic partner.

An employee who makes false statements about satisfying the eligibility criteria or fails to notify the Division of Human Resources' Benefits Department of a change in status will be subject to disciplinary action up to and including dismissal.

## **Sabbatical Leave**

### **Purpose:**

To promote and support the development of tenured faculty research.

### **Policy:**

Sabbaticals are granted to increase a tenured faculty value to the University through opportunities for research, writing, professional renewal, further education or other experiences of professional value. The University will award, on a yearly basis, sabbaticals in accordance with this policy.

### **Types of Sabbaticals:**

- **Competitive Sabbaticals** - Each year, the University shall make available at least one (1) sabbatical, either at full-pay for one (1) semester or at three-fourths pay for one (1) academic year, for each forty (40) tenured faculty.
- **Non-Competitive Sabbaticals** - The University shall make available to each tenured faculty whose application meets the policy requirements noted above and whose application has been recommended in accordance with the established procedures, a sabbatical for two (2) semesters (i.e., one (1) academic year) at half-pay.

### **Eligibility Criteria:**

- Full-time tenured employees with at least six (6) years of full-time, continuous service with FIU shall be eligible to apply for sabbatical leave.
- A faculty member who is compensated through a contract or grant may receive a sabbatical leave only if the contract or grant allows a sabbatical and the employee meets all other eligibility requirements.
- Eligible faculty members shall be notified annually regarding eligibility requirements and application deadlines.

### **Application and Selection:**

- Applications for sabbaticals shall be submitted in accordance with University procedures.
- Each application shall include a two-page statement describing the program and activities to be followed while on sabbatical; the expected increase in value of the employee to the University, the college and the employee's academic discipline; specific results anticipated from the leave; any anticipated supplementary income; and a statement that the

applicant agrees to comply with the conditions of the sabbatical program as outlined in this policy.

- A University committee shall be elected by and from the tenured faculty. The committee shall include representatives from the various colleges and schools.
- The committee will follow established procedures and make a recommendation to the Provost.

#### **Terms of Sabbatical Program:**

- The employee must return to the University for at least one (1) academic year following participation in the program. If the employee fails to return to the University for at least one academic year following participation in the program, salary received during his/her participation in the sabbatical must be repaid to the University.
- Within thirty (30) days after returning from a sabbatical, the employee must provide a brief written report to the Provost that identifies the outcome of the sabbatical.
- Faculty members who have received a competitive sabbatical shall be eligible for another sabbatical after six (6) years of continuous service at FIU following the year of the previous sabbatical. Faculty members who have received a non-competitive sabbatical, shall be eligible for another sabbatical after ten (10) years of continuous service at FIU following the year of the previous sabbatical.
- University contributions normally made to retirement and social security programs shall be continued during the sabbatical leave on a basis proportional to the salary received.
- University contributions normally made to employee insurance programs and any other employee benefit programs shall be continued during the sabbatical.
- Eligible employees shall continue to accrue vacation and sick leave on a full-time basis during the sabbatical leave.
- While on leave, an employee shall be permitted to receive funds for travel and living expenses, and other sabbatical-related expenses, from sources other than the University such as fellowships, grants-in-aid, and contracts and grants, to assist in accomplishing the purposes of the sabbatical.
- Employment unrelated to the purpose of the sabbatical leave is governed by the Conflict of Interest policy.

**Florida International University  
Division of Human Resources**

**Spot Awards**

**Purpose:**

To set criteria for recognizing and rewarding all employees for exceptional performance.

**Policy:**

Spot awards are immediate recognition to reward employees for exceptional performance beyond the prescribed expectation of the employee's job.

Spot awards are given after the event has been completed, usually without pre-determined goals or set performance levels. They may be awarded at any time.

Spot awards provide positive feedback, foster continued improvement, and reinforce good observable performance.

Spot awards may be:

- A lump sum dollar amount not to exceed a maximum of \$500 in a 12-month period.
- Non-cash (University merchandise, lunch tickets, game tickets, etc.)
- Certificates, plaques, etc.

Spot Awards are recommended at the department level and approved by Human Resources.

**Florida International University**  
**Division of Human Resources**

**Veterans' Preference**

**Purpose:**

To provide preference in appointment, employment, and retention in the recruitment and selection process for non-exempt positions, to applicants who request and qualify for veteran's preference.

**Policy:**

Veteran's Preference must be requested during the application process.

Minimum requirements for the position must be met prior to being considered.

Hiring departments must interview applicants claiming veteran's preference provided that the applicant has not previously exercised their veterans' preference status.

## **Variable Compensation Plan**

### **Purpose:**

To establish guidelines to reward exempt and non-exempt employees based on a Variable Compensation Plan.

### **Policy:**

A lump sum payment as part of a Variable Compensation Plan pre-approved for individual departments places a strong value on employee's contribution, ability to impact performance, departmental objectives and revenues generated.

The department dean or director must develop specific targets to be achieved, goals, pre-established criteria and payout schedule prior to the establishment of the Variable Compensation Plan. The Variable Compensation Plan must be approved by the Division Vice President or Provost and by Human Resources.

Payments for non-exempt employees must be included as part of the employee's regular pay when calculating overtime pay.



## **Vacation Leave**

### **Purpose:**

To administer a uniform procedure of accruing and utilizing vacation leave.

### **Definitions:**

**Seniority** – continuous service in a job classification. This definition applies to Law Enforcement Personnel, is only for the purpose of this policy, and does not apply to layoffs.

### **Policy:**

Effective July 1, 2005, employees shall accrue vacation leave in accordance with the table included in this policy.

Vacation leave earned during any pay period shall be credited to the employee on the last day of that pay period. During leaves of absence with pay, an employee shall continue to earn vacation leave credits.

An employee may carry over vacation leave from year to year up to the maximum amount reflected in the table. An employee cannot be paid for or accrue vacation leave in excess of the maximum vacation accrual rate.

Vacation leave must be approved by the supervisor prior to the employee taking the time off from work. The University's operational needs shall be the basis for approving leave.

Vacation leave should be used to schedule sufficient time off for relaxation to promote good physical mental health; however, earned vacation leave may be used for any other purpose.

Regular part-time employees shall earn vacation leave in proportion to the hours paid during the pay period.

Once vacation leave has started, illness or injury that occurs during this time may not be transferred to sick leave unless the employee is hospitalized. Medical certification must be provided to support the leave transfer.

After one (1) year of continuous employment, an employee who separates from the University shall be paid for all unused vacation leave not to exceed the maximum accrual amount.

**For Law Enforcement Personnel:**

Vacations and regular days off shall be scheduled based on business necessity, seniority and employee preference, in this priority order.

In implementing this provision, nothing shall preclude the University from making reasonable accommodations for extraordinary leave requests or ensuring the fair distribution of leave during holidays.

**FLORIDA INTERNATIONAL UNIVERSITY  
VACATION ACCRUAL SCHEDULE**

**Non-Exempt Personnel**

<b>Length of Service</b>	<b>Hours Accrued Per Pay Period</b>	<b>Maximum Accrual and Payout Hours</b>
Less than 5 years	5 Hours	
More than 5 years but less than 10 years	6 Hours	
More than 10 years	7 Hours	
		250

**Exempt Personnel**

<b>Length of Service</b>	<b>Hours Accrued Per Pay Period</b>	<b>Maximum Accrual and Payout Hours</b>
N/A	7	352

## **Tuition Waiver Program**

### **Purpose:**

To facilitate eligible employees an opportunity to enhance their education by attending classes at the University with the intent of receiving a college degree or attend classes that are related to their job assignment. Also, in the event that an employee does not enroll for 6 credits hours in a given semester, to allow a member(s) of the employee's immediate family the opportunity to enhance their education by attending classes at the University with the intent of receiving an undergraduate degree.

### **Policy:**

Full time employees who have completed six months of continuous service in an established position at the University are eligible to participate in the Tuition Waiver Program.

Eligible employees, employees' spouse, or employees' dependent children under the age of twenty five (25) may enroll for up to a combined maximum of six (6) credit hours of FIU on-campus instruction each semester without payment of the registration fee. Only in-state tuition is covered.

Employees must be admitted as a degree seeking undergraduate students, or admitted by a graduate program. If approved by their supervisor, the employee may enroll as a special student and take courses that are specifically related to their job assignment.

The employee may register in regular lecture and laboratory courses excluding courses in the College of Law, Executive Cohort programs, undergraduate limited access programs, thesis, directed individual study, directed research courses, internships, distance learning, CAPS Professional Development offerings (continuing education courses), or other one to one instructional courses.

The program will cover up to six (6) credit hours per semester for employees admitted to doctoral programs to pay for dissertation courses (7980 – 7989). A maximum of thirty (30) credits will be covered.

Special laboratory or other required student fees must be paid by the individual.

Employees attending classes with the intent of attaining an undergraduate or graduate degree must receive a grade of not less than a "B" for courses taken; a lower grade will result in the employee being charged for the course(s). For

employees taking more than six (6) credit hours, the “B” grade eligibility will be applied to any six (6) hours receiving a minimum of a “B” grade.

Employees are to discuss with their supervisor their intent to take classes and should schedule classes during off-duty hours whenever possible. When a desired class cannot be scheduled during off-duty hours, the supervisor may adjust the employee's work schedule, or allow the employee to use annual leave, accumulated compensatory time, or leave without pay based on the department's business necessity. The same rule applies if the employee is attending classes for Professional Development that are related to their job assignment.

In the event that the eligible employee does not enroll for six (6) credit hours in a given semester, the employee's eligible family members may enroll for the credit hours not being used by the employee, not to exceed a combined total of six (6) credit hours in-state tuition each semester for employee and family members.

Eligible family members must be admitted to FIU as degree seeking undergraduate student(s). A verification letter from the Registrar's Office must be provided at the time of application for the Tuition Waiver Program.

Family members may register in regular lecture and laboratory courses needed to attain their undergraduate degree. This will exclude courses in the College of Law, Executive Cohort programs, undergraduate limited access programs, directed individual study, directed research courses, internships, distance learning, CAPS Professional Development offerings (continuing education courses), or other one to one instructional courses.

Special laboratory or other required students fees must be paid by the individual.

Family members must receive a grade of not less than a “B” for courses taken; a lower grade will result in the employee being charged for the course(s). For family members taking more than six (6) credit hours, the “B” grade eligibility will be applied to any six (6) hours receiving a minimum of a “B” grade for the individual family member.

Employees will be responsible for paying tuition for any courses dropped by the employee or the employee's family member after the official Drop/Add period during the first week of classes.

Eligibility will be established by the Division of Human Resources.

## **Temporary or Permanent Lateral Reassignments**

### **Purpose:**

To provide a means for management to address operational needs.

### **Definition:**

A lateral reassignment is defined as a lateral move from one job to another in the same or similar classification having the same degree of responsibility and the same salary range, regardless of campus location and shift. Voluntary lateral reassignments may provide employees with opportunities to develop and diversify their skills, obtain a location or position that they prefer and meet other needs.

### **Policy:**

Management has the right to determine the allocation of staffing resources based on operational needs through the use of temporary and permanent change in lateral reassignments. Whenever possible, an employee will be given a fourteen (14) calendar days notice, unless in the case of unforeseen circumstances, prior to the effect of the change in assignment.

## Works and Copyrightable Materials

### Purpose:

To encourage, facilitate, promote, and reward the development and dissemination of original scholarship and research, effective pedagogy, creative endeavors, and copyrightable works.

### Definitions:

For the purposes of Intellectual Property as they apply to Works the following definitions shall apply:

**Work** - shall include any copyrightable material, such as printed material, computer software or databases, audio and visual material, circuit diagrams, architectural and engineering drawings, lectures musical or dramatic compositions, choreographic works, and pictorial or graphic works.

**Creator** - shall mean a member of University personnel who creates a work or invention.

**Traditional Works of Scholarship** - shall mean University-Supported Works such as theses, dissertations, books, articles, plays, poems, musical compositions, and similar works of scholarship or artistic endeavors; to the extent these Works disseminate the results of academic research, scholarship, or creative endeavor.

**Regular Instructional Works** - shall mean University-supported works developed without the use of appreciable University Support and used solely for the purpose of assisting or enhancing a faculty member's instructional assignment.

**University Support** - shall include the use of University funds, personnel, facilities, equipment, materials, or technological information and includes such support provided by other public or private organizations when it is arranged, administered, or controlled by the University. In determining whether University Support is appreciable, factors such as the following shall be considered:

- whether the creation of the Work involved the use of special services, equipment, facilities, or technological information that go beyond what is traditionally provided to faculty members generally in the preparation of course materials;
- whether the Work in question was created as a specific requirement of employment, as an assigned instructional duty, or as a Work for Hire.

**Independent Efforts** - with regard to a Work means that the ideas for the Work came from the Creator, the Work was not made with the use of University Support.

## **Policy:**

The University recognizes and acknowledges its responsibility to protect and administer, under applicable state and federal law, the intellectual property rights as such rights apply to the Faculty and the University itself. At the same time, the University acknowledges that, as a public institution, it has a responsibility to ensure that intellectual property created at the University is appropriately developed to obtain maximum public benefit.

## **Disclosure of Works**

University Personnel are required to disclose promptly, pursuant to the disclosure procedures as set forth in section xxx, all University-Supported Works, excluding Regular Instructional Works and Traditional Works of Scholarship, as defined in section xxx.

If, after a full disclosure of a Work and review in accordance with section xxx, of this policy, a Work is determined to be a University-Supported Work that is neither a Traditional Work of Scholarship nor a Regular Instructional Work, the Provost or representative may, on behalf of the University:

- elect to acquire title to the work by assignment (i.e., the Creator assigns the rights to the University). The development and marketing of the Work is at the discretion of the University. Generally, the University seeks to develop and market the Work and may elect to seek copyright or other legal protection. The University will be responsible for the development and negotiation of licensing agreements in order that the Work is managed in a way that serves the public interest. In rare cases, the University may elect to license the Work to the Creator for a minimal royalty; or
- decide the Work disclosure is premature or incomplete, in which case, the creator will be asked to resubmit the Work disclosure when additional information is obtained; or
- elect to waive the University's rights to the Work, thus allowing the Creator to protect the Work as he or she may wish. If outside funds supported the work leading to the Work, this waiver is subject to any provisions in the sponsoring agreement. In cases in which the University has waived its interest and the Work was supported by federal funding, any waiver must be to the supporting federal agency, rather than to the Creator(s). In addition, no waiver shall be granted until any pre-existing commitments to sponsoring agencies with regard to Works are cleared. In general, the University will not waive its rights to Works of Creators who are full-time employees or appointees of the University.



In cases where the University elects to waive its rights to a Work, the Creator will indemnify and hold harmless the University for any tort claims or criminal charges resulting from the nature or use of the Work.

If a Creator assumes “ownership of any University-Supported Work, the University and the State of Florida will retain for informational or educational purposes a limited, royalty-free right to the use of the Work and to all copyright rights in the Work, excluding the copyright right to make modifications.

If the University asserts rights to any University-Supported Work, upon request, the Creator will be granted, only for informational or educational purposes a limited, royalty-free right to the use of the Work and to all copyright rights in the Work, excluding the copyright right to make modifications. Furthermore, while the Creator is a University Personnel, the University will consult with, and first offer to the Creator the right to make modifications in the Work should the modified Work be intended for use within the University. Should the University allow anyone other than the Creator to make modifications in the Work then, upon request of the Creator, the University will make all reasonable efforts to remove from the Work any attribution to the Creator

Separate written agreements may be made between the Provost/representative and the Creator regarding any Work. For example, to protect the integrity of the Work, certain artistic rights, especially the right to make modifications, might be retained by the Creator. Conversely, to assure effective commercialization of a Work,, certain rights that the Creator reserves may be relinquished prior to licensing the Work to a commercial developer. Prior to the creation of a Work, especially when appreciable University Support may be used in its creation, the Creator may seek an agreement with the Provost to establish or clarify certain ownership rights.

### **Distribution of Net Income from Works**

Distribution of Net Income from Works will be made in accordance with the Inventions and Patents Policy as specified within the policy under section License Revenue Allocation.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: UNIVERSITY PERSONNEL RULES – PROPOSED RULES**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all University employees;

WHEREAS, the University has developed two new Personnel Rules attached hereto as Exhibits “B” and “C” which reflect the new personnel program for non-bargaining unit employees of the University, specifically,

- Exhibit “B” - 6C8-4.025 Separations from Employment for Non-Bargaining Unit Employees
- Exhibit “C” - 6C8-4.030 Disciplinary Actions for Non-Bargaining Unit Employees and Certified Law Enforcement Personnel

WHEREAS, the two new Personnel Rules will not apply to bargaining unit personnel who are currently in collective bargaining negotiations with the Board,

THEREFORE, BE IT RESOLVED THAT, the Board approves the above-referenced proposed University Personnel Rules, as amended.

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

## **BACKGROUND INFORMATION**

### **A. Legal Authority**

**Resolution of the Florida Board of Governors, dated 7 January 2003. Resolution delegating and delineating powers of local boards of trustees,** provides in pertinent part:

19. Each board of trustees shall establish the personnel program for all employees of the university, including the president, pursuant to the provisions of chapter 1012 and, in accordance with rules and guidelines of the Board of Governors, including: compensation and other conditions of employment, recruitment and selection, nonreappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary actions, complaints, appeals and grievance procedures, and separation and termination from employment. No rule of the Board of Governors shall be considered to in any way contravene the responsibility of each of the university board of trustees to act as the sole public employer with regard to all public employees of its universities for the purposes of collective bargaining in accordance with chapter 447, Florida Statutes.

### **B. Explanation for Proposed Committee Action:**

The Human Resources division of the University has developed new personnel policies for non-bargaining unit personnel. These policies are simultaneously before the Board for adoption so that they may be implemented only as to non-bargaining unit personnel effective 1 July 2005. Two of the policies contain terms and conditions of employment which the Administration recommends should be placed in a University Rule, specifically, Separations from Employment and Disciplinary Actions.

The new University Rules are as follows:

- **6C8-4.025 Separations from Employment for Non-Bargaining Unit Employees**

- provides that non-bargaining employees of the university are at will except for tenured faculty, certain law enforcement personnel, and certain nurses working in Student Health Clinics
- defines separation of employment as including, terminations with or without cause, nonreappointment, resignation, job abandonment, and layoff
- provides a notice period for termination without cause (30 days) and layoffs (14 days) for non-faculty employees
- provides a notice period for nonreappointment for non-tenured faculty of up to two semesters depending on length of service
- provides several options for the University during the notice periods for termination without cause and nonreappointment, such as continuing to employ the employee, giving the employee leave without pay, or paying a lump sum and ceasing employment immediately
- provides that non-bargaining tenured faculty may separate from employment due to resignation, job abandonment, layoff, and termination for just cause
- provides a notice period of six months for termination of tenured faculty for just cause and an exception

- **6C8-4.030 Disciplinary Actions**

- provides for review by Human Resources of any supervisor's recommendation for severe disciplinary actions
- provides for approval by Human Resources (in the case of non-faculty) or the Provost (in the case of faculty) of any severe disciplinary action before it is imposed

- clarifies that the pre-disciplinary review protections are in addition to other protections that tenured faculty, law enforcement personnel and tenure-earning faculty (when terminated or suspended for cause) may have under law, University Rule, or policy
- defines severe disciplinary actions as suspensions, involuntary demotions, and involuntary terminations.
- clarifies that the Rule does not apply to bargaining unit faculty and bargaining unit employees (except for police) because those faculty and employees are currently in collective bargaining.

If the Board approves the Rule amendments, the University will take the following steps which are required by state law:

1. Publish a notice regarding the Rule in a newspaper of general circulation;
2. Conduct a public hearing (if a hearing is requested) on the Rule approximately twenty-one (21) days after publication of the notice. The purpose of the hearing is to receive comments by students, staff, faculty, and other persons affected by the Rule; and
3. Consider any requests for changes received either in writing or at the hearing, and determine whether to amend the rule or proceed with the rule as published.

Given that the Board will not meet again until 19 September 2005, it is further recommended in order to complete the rule adoption process without delay, that the Board delegate to the President authority to consider requests for changes and to file the rule for adoption with or without further amendments based on his determination and that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- PROPOSED RULE  
EXHIBIT “B”- 6C8-4.025  
EXHIBIT “C”- 6C8-4.030
- ATTACHMENT “4” - NOTICE OF RULE  
DEVELOPMENT – NEW RULES

**FACILITATOR/PRESENTER:**

- NONE

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.025 Separation from Employment for Non-Bargaining Unit Employees**  
(1) Policy.

University employees are considered "at will." Employment at will is presumed to be voluntary and indefinite for both the employee and the University. The employee-employer relationship may be terminated at any time with or without cause. Terminations based on discriminatory reasons are prohibited. Any separation of employment shall be in consultation and with the approval of the Vice President for Human Resources or his/her designee, or the Provost or his/her designee in the case of the non-bargaining unit faculty member.

(2) Definitions.

(a) Employee – For purposes of this Rule, "employee" means all University employees except certified law enforcement personnel (not including the Director of Public Safety) employed by the University Police Department who have passed their probationary period, registered nurses and nurse practitioners employed by University Health Services (not including any Director for University Health Services) who have passed their probationary period, and tenured faculty.

(b) Separations of Employment – Includes termination, resignation, job abandonment, and layoff.

(c) Termination -- Occurs when an employee is permanently separated from University employment with or without cause. Termination may be preceded by corrective action. Unsatisfactory performance or misconduct may warrant immediate dismissal.

(d) Nonreappointment – termination of a non-bargaining non-tenured unit faculty member without cause.

(e) Resignation - Occurs when an employee initiates a termination by notifying the immediate supervisor of his/her intention to resign.

(f) Job Abandonment - Occurs when an employee is absent without approved leave for three (3) or more consecutive scheduled workdays. Such action represents an abandonment of position, and the employee will be automatically terminated. If the employee's absence is for reasons beyond the control of the employee and the employee notifies the University as soon as practicable, the University will

review the circumstances surrounding the absence on an individual basis to determine if it is to be considered abandonment of position.

(g) Layoff - Terminations of employment due to layoff of a non-bargaining unit employee are governed by University policy.

(3) Notice to Employees; Resignation.

(a) Employees will be given a notice period of fourteen (14) days if the separation from employment is due to layoff. If the separation from employment is due to termination without cause, employee shall be given a notice period of four (4) weeks after one year of employment, plus two weeks for every year of employment thereafter up to a maximum of twelve (12) weeks.

(b) Exception. The notice period for termination of employment without cause for employees who were in the Administrative and Professional (A&P) pay classification prior to July 1, 2005 and had a minimum of ten (10) consecutive years of full-time employment with the University as of June 30, 2005, shall be six (6) months notification, prior to terminating their employment relationship. .

(c) Employees will give two weeks written notice of resignation. A resignation may not be rescinded by the employee without concurrence of the University.

(4) Notice for Non-Tenured, Non-Bargaining Unit Faculty.

(a) Faculty members, except those described in sub-paragraph (b) below are entitled to the following written notice of nonreappointment.

1. If the faculty member has less than three (3) years of continuous University service, a notice period of one semester;

2. If the faculty member has three (3) or more years of continuous University service, a notice period of two semesters.

(b) Exception. The notice provisions of this paragraph do not provide rights to:

1. Summer appointments;

2. Faculty members who are funded from contracts, grants and/or sponsored research funds as they are governed by the terms and conditions of employment of their contract or grant; or

3. Faculty members who are appointed as visitors or who are appointed to multi-year appointments.

(5) Upon notice of termination without cause pursuant to paragraph (3) above or notice of nonreappointment pursuant to paragraph (4) above, the University shall decide at its sole option, whether to:

(a) Allow the employee to continue to work at the University during the notification period in the same position or in a different position,

(b) Place the employee on leave with pay during the notification period,

(c) Pay the amount due to the employee in salary during the notification period as a lump sum payment and cease employment of the employee immediately, or

(d) Take a course of action that is a combination of any of the above.

(6) Special Provisions Regarding Separation from Employment for Tenured, Non-Bargaining Unit Faculty

(a) Notwithstanding anything to the contrary in this Rule, separation from employment for tenured faculty include resignation, job abandonment, and layoff as defined in paragraph (2) above, and termination as defined in sub-paragraph (b) below.

(b) For purposes of this paragraph, termination is defined as permanent separation from University employment for just cause.

(c) For purposes of this paragraph, just cause is defined as incompetence or misconduct.

(d) Notice of Termination for Tenured Faculty.

1. Tenured faculty shall be given written notice at least six (6) months in advance of the effective date of such termination.

2. Exception. In cases where the Provost or his/her representative determines that a faculty employee's actions adversely affect the functioning of the University or jeopardize the safety or welfare of any employee, or students, the Provost or his/her representative may give less than six (6) months notice.

(7) A non-bargaining unit faculty member who wishes to resign has the professional obligation, when possible, to provide the University with at least one semester's notice upon resignation. All consideration for tenure and reappointment shall cease. A resignation may not be rescinded by the non-tenured bargaining unit faculty without concurrence of the University.



(8) Applicability. This rule does not apply to bargaining unit faculty and bargaining unit employees.

Specific Authority – 1001.74(4), FS.

Law Implemented – 1001.74 (19), FS.

History – New \_\_\_\_\_

Exhibit "C"  
(6.29.05)

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.030     Disciplinary Actions for Non-Bargaining Unit Employees and  
Certified Law Enforcement Personnel**

Definition: For purposes of this Rule "employee" means all non-bargaining unit faculty, all non-bargaining personnel, and all certified law enforcement personnel in a bargaining unit.

(1) Policy.

(a) A Pre-Disciplinary Review (PDR) must be conducted in conjunction with Human Resources before severe disciplinary action is imposed. The PDR shall provide the review for severe disciplinary actions recommended by supervisors.

(b) Human Resources will ensure that all pertinent information is obtained so that employee behavior which necessitates severe disciplinary action shall be determined by the employee's supervisor in consultation and with the approval of the Vice President for Human Resources or his/her designee, or the Provost or his/her designee in the case of a faculty member.

(c) The University reserves the right to impose discipline at any level, including immediate termination, consistent with University policies and Rules.

(d) The rights and protections provided by this Rule are in addition to any rights and protections provided by applicable law, University rules and policies to non-bargaining unit tenured faculty, and to non-bargaining unit tenure-earning faculty when terminated or suspended for just cause.

(e) The rights and protections provided by this Rule are in addition to any rights and protections provided by applicable law, University rules and policies to certified law enforcement personnel with permanent status. This Rule must be construed consistently with the University Policy on Permanent Status for Certified Law Enforcement Personnel (Policy No. 66).

(2) Definitions.

(a) Severe Disciplinary Actions – defined as suspensions, involuntary demotions and involuntary terminations.

(b) Suspension - occurs when an employee is taken off duty for a day or more without pay.

(c) Involuntary Demotion - occurs when an employee is involuntarily subjected to a reduction in pay and higher functioning duties are permanently removed resulting in a lower level position. Involuntary demotion for tenured non-bargaining unit faculty shall apply only to the administrative duties that may have been assigned to such faculty.

(d) Involuntary Termination - occurs when an employee is permanently separated from University employment.

(3) Applicability. This rule does not apply to bargaining unit faculty and bargaining unit employees except that it does apply to certified law enforcement personnel in a bargaining unit.

Specific Authority – 1001.74(4), FS.

Law Implemented – 1001.74 (19), FS.

History – New \_\_\_\_\_

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**NOTICE OF PROPOSED RULE DEVELOPMENT – PROPOSED RULES**

<u>RULE NOS.:</u>	<u>RULE TITLES:</u>
6C8-4.025	Separation from Employment
6C8-4.030	Disciplinary Action

PURPOSE AND EFFECT:

The purpose and effect of the proposed rules are as follows: Proposed Rule *6C8-4.025* establishes separation from employment policies, including notice periods for termination without cause and layoff, for all non-bargaining unit employees and provides exceptions to the Rule. Proposed Rule *6C8-4.030* establishes the pre-disciplinary policy for severe disciplinary actions.

SUBJECT AREAS TO BE ADDRESSED:

*6C8-4.025*: At-will employment; termination; resignation; job abandonment; layoff; notice period.

*6C8-4.030*: Suspension; involuntary demotion; involuntary termination; pre-disciplinary review.

SPECIFIC AUTHORITY:

6C8-4.025      1001.74(4)

6C8-4.030      1001.74(4)

LAW IMPLEMENTED:

6C8-4.025      1001.74(19)

6C8-4.030      1001.74(19)

IF REQUESTED IN WRITING AND NOT DEEMED UNNECESSARY BY THE AGENCY HEAD, A RULE DEVELOPMENT WORKSHOP WILL BE HELD ON THE TIME, DATE AND PLACE SHOWN BELOW.

TIME AND DATE: 10:00 a.m. on Friday, May 13, 2005.

PLACE: Florida International University, University Park, Graham Center, Room 140.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE DEVELOPMENT IS:  
Eli Deville, Coordinator, Administrative Services, Office of the General Counsel, Florida International University, (305) 348-2103.

THE PRELIMINARY TEXT OF THE PROPOSED RULES IS NOT AVAILABLE.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
ADMINISTRATION AND COMPENSATION COMMITTEE**

**29 JUNE 2005**

**SUBJECT: UNIVERSITY PERSONNEL RULES – RULE AMENDMENTS**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all University employees;

WHEREAS, the University has developed new personnel policies which are simultaneously before the Board for adoption,

WHEREAS, the proposed new personnel policies will apply to all personnel except those who currently are in collective bargaining negotiations with the Board,

WHEREAS, the following University Personnel Rules must be amended in order to reconcile the Rules with the proposed new personnel policies attached hereto as Exhibits “J,” “K,” “L,” and “M”:

- Exhibit “J” - 6C8-4.006 -Career Service Employee Disciplinary Actions
- Exhibit “K” - 6C8-4.014 -Bargaining Unit and Nonbargaining Unit Faculty and Administrative and Professional (A&P) and University Support Personnel System (USPS) Staff Vacancies, Selection, Appointments, Promotions, Internal Promotions, Reassignments, Transfers, and Demotions
- Exhibit “L” - 6C8-4.016 -Nonreappointment and Resignation of Faculty
- Exhibit “M” - 6C8-4.019 -Termination for Cause and Other Disciplinary Actions for Faculty, Administrative and Professional (A&P), and University Support Personnel System (USPS) Staff

THEREFORE, BE IT RESOLVED THAT, the Board approves the amendments to the above-referenced University Personnel Rules;

BE IT FURTHER RESOLVED THAT, the Board delegates authority to the University President to consider any comments to the Rule Repeal received by the University in writing or at a public hearing to be held after the Board's action, and to file the Rule Repeal for adoption.

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

**BACKGROUND INFORMATION:**

**A. Legal Authority:**

**Resolution of the Florida Board of Governors, dated 7 January 2003.**

**Resolution delegating and delineating powers of local boards of trustees,**  
provides in pertinent part:

19. Each board of trustees shall establish the personnel program for all employees of the university, including the president, pursuant to the provisions of chapter 1012 and, in accordance with rules and guidelines of the Board of Governors, including: compensation and other conditions of employment, recruitment and selection, nonreappointment, standards for performance and conduct, evaluation, benefits and hours of work, leave policies, recognition and awards, inventions and works, travel, learning opportunities, exchange programs, academic freedom and responsibility, promotion, assignment, demotion, transfer, tenure and permanent status, ethical obligations and conflicts of interest, restrictive covenants, disciplinary actions, complaints, appeals and grievance procedures, and separation and termination from employment. No rule of the Board of Governors shall be considered to in any way contravene the responsibility of each of the university board of trustees to act as the sole public employer with regard to all public employees of its universities for the purposes of collective bargaining in accordance with chapter 447, Florida Statutes.

## **B. Explanation for Proposed Committee Action:**

The Human Resources division of the University has developed new personnel policies for non-bargaining unit personnel. These policies are simultaneously before the Board for adoption so that they may be implemented only as to non-bargaining unit personnel effective 1 July 2005.

At its 7 March 2005 meeting, the Board adopted many of these personnel policies for certified law enforcement personnel (bargaining unit and non-bargaining unit) as part of the ratification of the Collective Bargaining Agreement between the Board and the Dade County Police Benevolent Association.

In order to reconcile existing University Personnel Rules with the proposed new personnel policies and to otherwise update the Rules, the following amendments to the Rules are before the Board for approval:

- **6C8-4.006 Career Service Employee Disciplinary Actions**
  - amend the Rule since it does not reflect the current University Policy on Disciplinary Actions (Policy 9.18) applicable to bargaining unit University Service Personnel System (USPS) employees
  - amend the Rule so that it applies only to non-faculty, bargaining unit employees since all non-bargaining employees will be governed by the new personnel policies
  - amend the Rule to reflect that law enforcement personnel do not fall within the Rule as a result of the adoption of policies for certified law enforcement personnel on 7 March 2005
- **6C8-4.014 Bargaining Unit and Nonbargaining Unit Faculty and Administrative and Professional (A&P) and University Support Personnel System (USPS) Staff Vacancies, Selection, Appointments, Promotions, Internal Promotions, Reassignments, Transfers, and Demotions**
  - amend the Rules to make them applicable only to employees who are currently in collective bargaining negotiations since all non-bargaining employees will be governed by the new personnel policies
  - amend the Rule to reflect that law enforcement personnel do not fall within the Rule as a result of the adoption of policies for certified law enforcement personnel on 7 March 2005
  - reflect that the new personnel policies will no longer use the terms "A&P" and "USPS" by deleting those terms and replacing with "employee"

- delete obsolete references in the Rule, such as references to the Board of Regents (BOR), BOR rules and BOR Chancellor Memoranda,
  - update the Rule to reflect current practices regarding letters of offer to faculty
- **6C8-4.016 Nonreappointment and Resignation of Faculty**
    - amend the Rule to make them applicable only to faculty who are currently in collective bargaining negotiations since all non-bargaining faculty will be governed by the new personnel policies
  - **6C8-4.019 Termination for Cause and Other Disciplinary Actions for Faculty, Administrative and Professional (A&P), and University Support Personnel System (USPS) Staff**
    - amend the Rules to make them applicable only to employees who are currently in collective bargaining negotiations since all non-bargaining employees will be governed by the new personnel policies
    - amend to reflect that law enforcement personnel do not fall within the Rule as a result of the adoption of policies for certified law enforcement personnel on 7 March 2005
    - reflect that the new personnel policies will no longer use the terms "A&P" and "USPS" by deleting those terms and replacing with "employee"
    - delete obsolete references in the Rule, such as references to Board of Regents (BOR) rules

If the Board approves the Rule amendments, the University will take the following steps which are required by state law:

1. Publish a notice regarding the Rule in a newspaper of general circulation;
2. Conduct a public hearing (if a hearing is requested) on the Rule approximately twenty-one (21) days after publication of the notice. The purpose of the hearing is to receive comments by students, staff, faculty, and other persons affected by the Rule; and
3. Consider any requests for changes received either in writing or at the hearing, and determine whether to amend the rule or proceed with the rule as published.

Given that the Board will not meet again until 19 September 2005, it is further recommended in order to complete the rule adoption process without delay, that the Board delegate to the President authority to consider requests for changes and to file the rule for adoption with or without further amendments based on his



determination and that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- PROPOSED RULES - AMENDMENTS  
EXHIBIT “J”- 6C8-4.006  
EXHIBIT “K”- 6C8-4.014  
EXHIBIT “L”- 6C8-4.016  
EXHIBIT “M”- 6C8-4.019
- ATTACHMENT “5” - NOTICE OF RULE  
DEVELOPMENT – RULE  
AMENDMENTS

**FACILITATOR/PRESENTER:**

- NONE

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.006      Bargaining Unit Employee Disciplinary Actions.**

Definition: For purposes of this Rule "employee" means all bargaining unit employees who are not faculty and who are not certified law enforcement personnel.

(1) The University shall administer a uniform procedure covering disciplinary actions for bargaining unit employees. The following general guidelines, are intended to provide supervisors with procedures to deal with various types of offenses that will ensure a bargaining unit employee's fair, impartial, and uniform treatment in administering disciplinary actions.

(2) On the job offenses or deficiencies, and disciplinary actions for offenses or deficiencies, include but are not limited to, the following:

**GAMBLING:**

First occurrence:      Written reprimand to suspension  
Second occurrence:      Suspension to dismissal

**ABSENCE WITHOUT AUTHORIZED LEAVE:**

First occurrence:      Written reprimand  
Second occurrence:      Suspension  
Third occurrence:      Dismissal

**HORSEPLAY:**

First occurrence:      Written reprimand  
Second occurrence:      Suspension  
Third occurrence:      Dismissal

**SLEEPING ON DUTY:**

First occurrence:      Suspension to dismissal

**EXCESSIVE ABSENTEEISM:**

First occurrence:      Oral reprimand  
Second occurrence:      Written reprimand  
Third occurrence:      Suspension  
Fourth occurrence:      Dismissal

**LOAFING:**

First occurrence:      Oral to written reprimand  
Second occurrence:      Written reprimand to suspension  
Third occurrence:      Suspension to dismissal  
Fourth occurrence:      Dismissal

**FAILURE TO REQUEST SUPERVISOR'S PERMISSION TO LEAVE THE JOB:**

First occurrence: Oral reprimand  
Second occurrence: Written reprimand to suspension  
Third occurrence: Suspension to dismissal  
Fourth occurrence: Dismissal

**UNAUTHORIZED SALES, DISTRIBUTION OF WRITTEN OR PRINTED MATERIAL OF ANY KIND, OR SOLICITATION ON UNIVERSITY PROPERTY:**

First occurrence: Oral to written reprimand  
Second occurrence: Written reprimand to dismissal  
Third occurrence: Dismissal

**MISUSE OR CARELESS OPERATION OF STATE PROPERTY OR EQUIPMENT:**

First occurrence: Written reprimand to suspension  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**EXCESSIVE DEVIATION FROM ESTABLISHED WORK SCHEDULE:**

First occurrence: Oral reprimand  
Second occurrence: Written reprimand  
Third occurrence: Suspension  
Fourth occurrence: Dismissal

**FIGHTING AND/OR AGGRESSIVE BEHAVIOR:**

First occurrence: Suspension to dismissal  
Second occurrence: Dismissal

**INSUBORDINATION:**

First occurrence: Written reprimand to suspension  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**NEGLIGENCE;**

First occurrence: Written reprimand to suspension  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**VIOLATION OF SAFETY PRACTICES:**

First occurrence: Oral reprimand  
Second occurrence: Written reprimand  
Third occurrence: Suspension to dismissal  
Fourth occurrence: Dismissal

**THREATENING, ABUSIVE OR OFFENSIVE LANGUAGE:**

First occurrence: Written reprimand to dismissal  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**THEFT OR STEALING:**

First occurrence: Suspension to dismissal  
Second occurrence: Dismissal

EXHIBIT "J"  
(6.29.05)

**USE AND/OR POSSESSION OF INTOXICANTS OR NON-PRESCRIBED DRUGS:**

First occurrence: Suspension to dismissal  
Second occurrence: Dismissal

**POSSESSION OF UNAUTHORIZED WEAPONS AND/OR FIREARMS  
ON UNIVERSITY PROPERTY:**

First occurrence: Dismissal

**CONDUCT UNBECOMING A PUBLIC EMPLOYEE:**

First occurrence: Written reprimand to suspension  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**CONVICTION OF A MISDEMEANOR OR FELONY:**

First occurrence: Suspension to dismissal  
Second occurrence: Dismissal

**FALSIFICATION OF RECORDS:**

First occurrence: Written reprimand to dismissal  
Second occurrence: Dismissal

**WILLFUL VIOLATION OF A WRITTEN RULE, REGULATION, AND/OR POLICY:**

First occurrence: Written reprimand to dismissal  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**UNFAIR LABOR PRACTICES:**

First occurrence: Written reprimand to suspension  
Second occurrence: Suspension to dismissal  
Third occurrence: Dismissal

**DISCRIMINATION:**

First occurrence: Written reprimand to dismissal  
Second occurrence: Dismissal

**SEXUAL HARASSMENT**

First occurrence: Suspension to dismissal  
Second occurrence: Dismissal

(3) Applicability. This rule does not apply to any faculty, non-bargaining unit employees, and bargaining unit employees who are certified law enforcement personnel.

*Specific Authority 1012.92 FS., 6C-4.001, 6C-5.017, 22A-10.003, F.A.C. Law Implemented 1012.92 FS., 6C-4.001, 6C-5.017, 22A-10.003, F.A.C. History-Formerly 6P-4.06, 10-1-75, Repromulgated 12-23-76, Formerly 6C8-4.06.*

*History-New 4-30-81, Formerly 6C8-4.19, Amended 8-7-96, Amended \_\_\_\_\_.*

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.014 Bargaining Unit Faculty and Bargaining Unit Employees Vacancies, Selection, Appointments, Promotions, Internal Promotions, Reassignments, Transfers, and Demotions.**

Definition: For purposes of this Rule, "Bargaining Unit Employee" means all bargaining unit employees who are not certified law enforcement personnel, or bargaining unit faculty.

(1) Applicability. This rule is supplemented by Article 8 of the Board of Regents/United Faculty of Florida (BOR/UFF) Collective Bargaining Agreement for bargaining unit faculty, BOR/AFSCME Collective Bargaining Agreement for Bargaining Unit employees and by applicable University rules, policies, procedures, and provisions of the University's affirmative action plans including the University search and screen procedures. This rule does not apply to non-bargaining unit employees and bargaining unit employees who are certified law enforcement personnel.

(2) Vacancies. The University seeks to maintain the highest possible standard of fairness and equity in its employment practices. All bargaining unit position vacancies must be announced in the FIU position vacancy listings, unless otherwise exempted by University policy. The University shall give equitable consideration to all applicants in accordance with applicable University policies and procedures for determining eligibility for appointments to bargaining unit positions in faculty and employee categories. Employee career advancement is encouraged by assuring consideration of qualified permanent bargaining unit employees within the University, in accordance with the University's internal promotion policy and appropriate bargaining unit agreement.

(3) Bargaining Unit Faculty Screening and Selection.

(a) The department should first define the nature of the vacant position(s) and what it expects from a prospective colleague selected to fill the vacancy. The department will advertise the position and its general requirements.

(b) The department will use the University's search and screen procedures or personnel policies and procedures as appropriate to the pay plan and level of the position.

(c) The department will assess the eligibility of candidates and reach decisions on their relative merits. The department should also communicate to final candidates information regarding the position, the State University System, and the institution.

(d) If practicable, the candidates reaching the final stages of screening should be invited to the campus for personal interviews with the department and appropriate officials.

(4) Bargaining Unit Faculty Appointments.

(a) If, after receipt of the recommendation of the search and screen committee, if applicable, the chairperson or other appropriate administrator decides to recommend that a candidate be offered a position, the recommendation will be transmitted to the appropriate administrative officer.

(b) The President, or designated representative, may then offer the candidate employment by means of a contract or letter of offer. The letter of offer or contract shall be conditioned on

the return of a duly executed copy by a specific date.

(c) The contract or letter of offer shall indicate whether the appointment is for one year or multiple years.

(d) The contract or letter of offer shall be issued in accordance with the requirements of the BOR/UFF Bargaining Agreement, if applicable, and shall include, but not be limited to, the following elements:

1. Date;
2. Rank and professional classification system title and class code;
3. Department, program, college, or employment unit;
4. Salary and administrative salary supplement when appropriate;
5. Employment period;
6. Special conditions of employment;
7. The duties and responsibilities of the employee;
8. The percent of full-time equivalency;
9. A statement that in the performance of the contract or letter of offer both parties are subject to the Constitution and laws of the State of Florida and the applicable rules and regulations of the University and the Board of Governors;
10. Position number;
11. A statement indicating the tenure earning status during the appointment, including any tenure credit, if applicable;
12. The formula by which an annual contract shall be converted to an academic year contract, if applicable.

(5) Selection and Appointment of Bargaining Unit Employees . Selection and appointment of bargaining unit employees will be in accordance with BOR/AFSCME Bargaining Agreement, and University rules, policies, and procedures.

(6) Bargaining Unit Employees Promotions, Reassignments, Transfers, and Demotions.

(a) Promotions. Promotion of bargaining unit employees will be in accordance with applicable bargaining unit agreements and University policies and procedures.

(b) Internal Promotions. When a department wishes to consider only applicants from within the University for a vacancy, the internal recruitment and promotion policy and procedure may be used. All bargaining unit employee vacancies, may be approved for internal recruitment by the Division of Human Resources upon request from the hiring official and recommendation by the Office of Equal Opportunity Programs. Positions in job groups with identified underutilization (University or department) of minority group members and women may not be recommended for internal posting.

(c) Reassignments and Transfers.

1. Voluntary. Bargaining unit employees may request a voluntary reassignment or transfer to positions within the University by completing and submitting the appropriate form to the Division of Human Resources . The request will be considered for vacancies for which the employee qualifies.

EXHIBIT "K"  
(6.29.05)

2. Involuntary. The University may reassign or transfer bargaining unit employees in accordance with University policies and procedures and applicable collective bargaining agreements.

(d) Demotions. Any bargaining unit employee who has permanent status may be subject to demotion in accordance with University policy and procedures and appropriate collective bargaining agreements, where applicable.

*Specific Authority 1001.74(4), (19) FS. Law Implemented 1001.74(19) FS. History-New 4-30-81, Formerly 6C8-4.14, Amended 8-7-96, Amended \_\_\_\_\_.*

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.016 Nonreappointment and Resignation of Non-Tenured, Bargaining Unit Faculty.**

(1) Nonreappointment. The nonreappointment of non-tenured bargaining unit faculty is subject to the provisions of the Board of Regents/United Faculty of Florida (BOR/UFF) Collective Bargaining Agreement. The President or designated representative may choose not to renew the appointment of a non-tenured faculty member. The decision not to renew a non-tenured faculty member's appointment may not be based on constitutionally impermissible grounds. Notice of nonreappointment or intention not to renew the appointment shall be given in writing in accordance with the provisions of Article 12 of the BOR/UFF Collective Bargaining Agreement. The notice requirements are not applicable to employees holding temporary appointments.

(2) Resignation by Bargaining Unit Faculty. A bargaining unit faculty member who wishes to resign has the professional obligation, when possible, to provide the University with at least one semester's notice. Upon resignation, all consideration for tenure and reappointment shall cease. A resignation may not be rescinded by the non-tenured bargaining unit faculty without concurrence of the University.

*Specific Authority 1001.74(4), (19) FS. Law Implemented 1001.74(19) FS. History-New 4-30-81, Formerly 6C8-4.16, Amended 8-7-96, \_\_\_\_\_.*



**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-4.019 Termination for Cause and Other Disciplinary Actions for Bargaining Unit Faculty, , and Bargaining Unit Employees .**

Definition: For purposes of this Rule, "Bargaining Unit Employee" means all bargaining unit employees who are not certified law enforcement personnel.

(1) Just cause shall be defined as:

- (a) Incompetence; or
- (b) Misconduct.

(2) Termination or Suspension. Bargaining unit faculty, , and Bargaining unit employees may be terminated from employment or suspended with or without pay for just cause. An employee shall be given written notice of termination or suspension specifying the reason(s) and such action shall be in accordance with University policies and procedures, and applicable collective bargaining agreements. Following the issuance of termination or suspension notice, the employee may be reassigned.

(3) Disciplinary action other than termination or suspension, with or without pay, may be imposed for just cause. Written notice of such disciplinary action, specifying the reason(s) therefor, shall be given to the bargaining unit faculty or bargaining unit employee by the President or representative. Any disciplinary action taken pursuant to this section shall thereafter be subject to applicable collective bargaining agreements, and University policies and procedures. Counseling shall not be considered disciplinary action.

(4) Termination or Suspension Pending Hearing. Notwithstanding the provisions of subsection (2) above, when the President or representative has reason to believe that a bargaining unit faculty's or bargaining unit employee's presence on the job would adversely affect the functioning of the University or jeopardize the safety or welfare of any University employee or student, the President or representative may immediately suspend the bargaining unit faculty or bargaining unit employee from the performance of duties, with or without pay, pending an investigation or any requested grievance, arbitration or administrative hearing under University procedures or applicable collective bargaining agreements, and final administrative action pertaining hereto. If a employee suspended without pay under this section ultimately prevails in any grievance arising therefrom, the employee shall be reinstated with back pay.

(5) Applicability. This rule does not apply to non-bargaining unit faculty, non-bargaining unit employees and employees who are certified law enforcement personnel.

*Specific Authority 1001.74(4), (19) FS. Law Implemented 1001.74(19) FS. History-New 4-30-81, Formerly 6C8-4.19, Amended 8-7-96.*

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**NOTICE OF PROPOSED RULE DEVELOPMENT – RULE AMENDMENTS**

<u>RULE NOS.:</u>	<u>RULE TITLES:</u>
6C8-4.006	Career Service Employee Disciplinary Actions
6C8-4.014	Bargaining Unit and Nonbargaining Unit Faculty and Administrative and Professional (A&P) and University Support Personnel System (USPS) Staff Vacancies, Selection, Appointments, Promotions, Internal Promotions, Reassignments, Transfers, and Demotions
6C8-4.016	Nonreappointment and Resignation of Faculty
6C8-4.018	Termination of Employment of Administrative and Professional (A&P) Staff
6C8-4.019	Termination for Cause and Other Disciplinary Actions for Faculty, Administrative and Professional (A&P), and University Support Personnel System (USPS) Staff

PURPOSE AND EFFECT:

The purpose and effect of the proposed rules are as follows: The amendments to Rule *6C8-4.006* update the rule to make it consistent with the current University Policy on disciplinary actions for certain bargaining unit employees. The amendments to Rules *6C8-4.014* and *6C8-4.019* update the rules to make them applicable only to employees who are currently in collective bargaining negotiations, and updates references in the Rule, including replacing the terms “A&P” and “USPS” with the term “employee.” The amendments to Rule *6C8-4.016* update the rule to make it applicable only to faculty who are currently in collective bargaining negotiations. The amendments to Rule *6C8-4.018* changes the notification period provided to A & P employees upon termination of employment without cause and “grandfathers” certain A&P employees into the notice provisions.

SUBJECT AREAS TO BE ADDRESSED:

*6C8-4.006*: Disciplinary actions; offenses. *6C8-4.014*: Vacancies, Selection, Appointments, Promotions, Internal Promotions, Reassignments, Transfers, and Demotions. *6C8-4.016*: Nonreappointment, Resignation. *6C8-4.018*: Termination; notification period upon termination. *6C8-4.019*: Termination for Cause.

SPECIFIC AUTHORITY:

6C8-4.006	1012.92
6C8-4.014	1001.74(4)
6C8-4.016	1001.74(4)
6C8-4.018	1001.74(4)
6C8-4.019	1001.74(4)

LAW IMPLEMENTED:

6C8-4.006	1012.92
6C8-4.014	1001.74(19)
6C8-4.016	1001.74(19)
6C8-4.018	1001.74(19)

**Attachment “5”**

6C8-4.019      1001.74(19)

IF REQUESTED IN WRITING AND NOT DEEMED UNNECESSARY BY THE AGENCY HEAD, A RULE DEVELOPMENT WORKSHOP WILL BE HELD ON THE TIME, DATE AND PLACE SHOWN BELOW.

TIME AND DATE: 10:00 a.m. on Friday, May 13, 2005.

PLACE: Florida International University, University Park, Graham Center, Room 140.

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE DEVELOPMENT IS:  
Eli Deville, Coordinator, Administrative Services, Office of the General Counsel, Florida International University, (305) 348-2103.

THE PRELIMINARY TEXT OF THE PROPOSED RULES IS AVAILABLE AT NO CHARGE FROM THE CONTACT PERSON LISTED ABOVE.

Note:

Notice of Proposed Rule Development – Rule Amendments was published prior to repeal of 6C8-4.018-Termination of Employment of Administrative and Professional (A&P) Staff

THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING

29 JUNE 2005

SUBJECT: BACHELOR OF LANDSCAPE ARCHITECTURE

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PROPOSED BOARD ACTION:

ADOPT THE FOLLOWING RESOLUTION:

RESOLVED that the Florida International University Board of Trustees hereby approves the Bachelor in Landscape Architecture and attached to this Resolution as Exhibit "O", and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

BACKGROUND INFORMATION:

STATUTORY AUTHORITY:

**Florida Statutes 1001.74**, Powers and duties of university boards of trustees, states in part,

- (7) Each board of trustees has responsibility for the establishment and discontinuance of degree programs up to and including the master's degree level; the establishment and discontinuance of course offerings; provision of credit and noncredit educational offerings; location of classes; services provided; and dissemination of information concerning such programs and services. Approval of new programs must be pursuant to criteria established by the State Board of Education.

EXPLANATION OF PROPOSED BOARD ACTION:

The School of Architecture at Florida International University proposes an undergraduate degree, Bachelor of Landscape Architecture. As stated in the 2004 SOA Program Review, *the School has established the need for balance among the programs in the unit. To that end, the future directives of the school are the establishment of an undergraduate landscape architecture program and a master of interior design program.* The proposed program will be a first-professional degree under the standards of the national Landscape Architectural Accreditation Board (LAAB).

**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “O” – REQUEST FOR  
AUTHORIZATION TO IMPLEMENT THE  
BACHELOR OF LANDSCAPE ARCHITECTURE
- ATTACHMENT 7 - CRITERIA FOR EVALUATING  
PROPOSED ACADEMIC PROGRAM, BACHELOR  
OF LANDSCAPE ARCHITECTURE
- ATTACHMENT 8 - FEASIBILITY STUDY,  
BACHELOR OF LANDSCAPE ARCHITECTURE

**FACILITATOR/PRESENTER:**

- DAVID PARKER

## Exhibit “O”

### The Florida International University Board of Trustees June 29, 2005

#### Request for Authorization to Implement the Bachelor of Landscape Architecture

The School of Architecture at Florida International University proposes an undergraduate degree, Bachelor of Landscape Architecture. As stated in the 2004 SOA Program Review, *the School has established the need for balance amongst the programs in the unit. To that end, the future directives of the school are the establishment of **an undergraduate landscape architecture program** and a master of interior design program.* The proposed program will be a first-professional degree under the standards of the national Landscape Architectural Accreditation Board (LAAB).

The 2004 ASLA National Business Indicators Survey reveals that, landscape architecture firms are growing in size, billing rates are increasing dramatically, and the client base for the profession continues to expand, most significantly in the public sector. The 2004-05 Bureau of Labor Statistics, US Department of Labor, and Occupational Outlook Handbook references an increase in employment of landscape architects of 21-35% through the year 2012. Continuation of the Transportation Equity Act for the Twenty-First Century is expected to spur employment for landscape architects within State and local governments. Trends point to increase in contracts out for landscape architects from the U.S. Forest Service and the National Park Service, both Federal Government agencies. The Occupational Outlook Handbook also states that because landscape architects can work on many different types of projects, they have an easier time than other design professionals finding employment when traditional construction slows down.

FIU is uniquely positioned to open this growing field of professional practice to a wide constituency. An undergraduate professional program will make the profession significantly more accessible to a more diverse population than is served by the existing graduate program. Through an accredited undergraduate course of study, students are prepared to enter the professional workforce after four years of higher education and the successful passage of the national licensing examination.

The focus of study for the degree will be tropical and sub-tropical landscapes. Elective course work in allied areas including Environmental Studies, Biological Sciences, Civil and Environmental Engineering, Geology, and Geography and others, will be encouraged.

Budget Costs	Year 1	Year 2	Year 3	Year 4	Year 5
Current E&G (I&R)	\$67,804	\$92,176	\$91,608	\$99,264	\$99,264
New E&G (I&R)					
New C&G (I& )					
Total E&G (I&R)	\$67,804	\$92,176	\$91,608	\$99,264	\$99,264
Total Costs	\$67,804	\$92,176	\$91,608	\$99,264	\$99,264
Projected Enrollment					
Headcount	5	15	37	45	45
FTE	3.75	11.25	28.88	34.13	33.75
Budget – Expected Revenue					
FTE Revenue Generated*	\$26,593	\$79,616	\$211,393	\$249,305	\$238,849
School C&G Generated (New)	\$0	\$0	\$0	\$0	\$0

\* based on FTE projections from instate and 2004 average revenue/FTE (LD=\$5,057/FTE and UD=\$7,582/FTE)

## Attachment 7

### The Florida International University Criteria for Evaluating Proposed Academic Programs Bachelor of Landscape Architecture

Criteria	How Met
Fit with FIU Strategic Plan	<ul style="list-style-type: none"> <li>The program will contribute to the University's strategic environmental and urban objectives.</li> <li>The proposed program is currently part of the State University System Strategic plan.</li> <li>The establishment of an undergraduate program will allow expanded capacity to address landscape issues that impact the quality of life within the State of Florida, particularly within its sub-tropical environment.</li> </ul>
Rationale	<ul style="list-style-type: none"> <li>A continued and increasing demand for landscape architects.</li> <li>The program complements the existing accredited graduate program in landscape architecture and existing undergraduate programs in architecture and interior design.</li> <li>The proposed program responds to the University's mission to offer a program of study that will be readily accessible to a significant segment of the State's population.</li> </ul>
Distinctiveness of Program	<ul style="list-style-type: none"> <li>The proposed undergraduate program in landscape architecture has a unique and distinct emphasis on tropical and sub-tropical landscapes. Currently the proposed program with the existing graduate counterpart will be the only ones to offer this focus in the continental United States.</li> </ul>
Resources	<ul style="list-style-type: none"> <li>The proposed program will be administered within the existing School of Architecture.</li> <li>The computer and shop technology in the School are current and sufficient to fulfill the needs of the proposed program.</li> <li>The current faculty of the Graduate Program in Landscape Architecture have an extensive record of external funding, publications, and participation on a host of local and regional bodies that address environmental quality, historic preservation, and land use.</li> </ul>
Support	<ul style="list-style-type: none"> <li>The first two years of lower division work is administered as an interdisciplinary program within the school taking full advantage of the resources and areas of expertise offered by each, including faculty, staff and facilities.</li> </ul>
Competition	<ul style="list-style-type: none"> <li>The closest program offering an undergraduate program in landscape architecture is 400 miles north of the Miami area and does not offer this program's unique emphasis on tropical and sub-tropical landscapes.</li> </ul>
Pros	<p>The following strengths were identified as apart of the 2004 program review.</p> <ul style="list-style-type: none"> <li>The new program strengthens and balances the school's curriculum.</li> <li>There is a need for more qualified landscape architects in the profession.</li> <li>Curriculum is easy to implement within the school.</li> <li>One replacement faculty position (for a retirement) is currently being advertised with a start date of Fall 2005.</li> <li>The strong accreditation assessment of both graduate programs in architecture and landscape architecture point to the strength of the curriculum and faculty.</li> </ul>
Cons	<p>The following weaknesses were identified as a part of the 2004 program review.</p> <ul style="list-style-type: none"> <li>The School lacks the ability to aggressively seek external funds for development and enhancement activities. A Development Officer and support staff needs to be hired.</li> <li>Financial support is needed to make enrichment opportunities available to greater numbers of students. These opportunities include study abroad, visiting scholars, lectures and exhibitions.</li> </ul>

## Attachment 8

### New Academic Program Feasibility Study

**Program Name:** Bachelor of Landscape Architecture

**Department and College:** School of Architecture

**Proposed Implementation Date:** Fall 2005

#### Abstract

The School of Architecture of Florida International University proposes a program of study leading to the undergraduate degree Bachelor of Landscape Architecture. As stated in Section D. "Future Directions" of the 2004 SOA Program Review, *the School of Architecture has established the need for balance amongst the programs in the unit. To that end the future directives of the school are the establishment of **an undergraduate landscape architecture program** and a master of interior design program.* The school aspires to offer the proposed undergraduate Bachelor of Landscape Architecture program as a first-professional degree in compliance with standards set forth by the national Landscape Architectural Accreditation Board (LAAB).

#### Full Program Description

**1. PROPOSAL:** The School of Architecture of Florida International University proposes a program of study leading to the undergraduate degree Bachelor of Landscape Architecture. As stated in Section D. "Future Directions" of the 2004 SOA Program Review, *the School of Architecture has established the need for balance amongst the programs in the unit. To that end the future directives of the school are the establishment of **an undergraduate landscape architecture program** and a master of interior design program.* The school aspires to offer the proposed undergraduate Bachelor of Landscape Architecture program as a first-professional degree in compliance with standards set forth by the national Landscape Architectural Accreditation Board (LAAB).

**2. NEED:** The program is proposed as a result of the need for qualified landscape architects as indicated by national indicators. The 2004 ASLA National Business Indicators Survey reveals that, *landscape architecture firms are growing in size, billing rates are increasing dramatically, and the client base for the profession continues to expand, most significantly in the public sector.* Results from the survey indicate significant growth in demand for Landscape Architecture Services. The 2004-05 Bureau of Labor Statistics, US Department of Labor, *Occupational Outlook Handbook* references an increase in employment of landscape architects of 21-35% through the year 2012. This indicates a faster than average growth when compared with other professional jobs. Continuation of the Transportation Equity Act for the Twenty-First Century is expected to spur employment for landscape architects within State and local governments. Trends point to increase in contracts out for landscape architects from the U.S. Forest Service and the National Park Service, both Federal Government agencies. The *Occupational Outlook Handbook* also notes, that because landscape architects can work on many different types of projects, they have an easier time than other design professionals finding employment when traditional construction slows down. An urban, public university with a mandate to provide broad accessibility to higher education, Florida International University is uniquely positioned to open this growing field of professional practice to a wide constituency: An undergraduate professional program in Landscape Architecture will render the profession significantly more accessible to a more diverse population than that which is served by the existing graduate program. Through an accredited undergraduate course of study, students are prepared to enter the professional workforce after four years of higher education and the successful passage of the national licensing examination. The existing graduate program in Landscape Architecture, with its research focus, requires entering students to hold a four-year degree in some field of study prior to matriculation.



**3. FOCUS:** The focus of the program is the development of the basic knowledge, skills, and abilities appropriate to the practice of Landscape Architecture, with a special emphasis on tropical and sub-tropical landscapes.

Elective course work within an interdisciplinary context in allied areas including Environmental Studies, Biological Sciences, Civil and Environmental Engineering, Geology, Geography and others, will be encouraged. Directed Electives and Special Topics courses are aimed at providing students with a well-rounded curriculum that facilitates their entry to the profession.

**4. CURRICULAR PROGRAM:** The program will require a total of 128 credit hours, with 67 credits in the Lower Division of the major and 61 credits in the Upper Division of the major. Discipline-specific courses in the Lower Division of the program will be aligned and cross-listed with current undergraduate offerings within the School of Architecture programs in architecture and interior design, maximizing the use of existing resources, facilities, and personnel. Interdisciplinary education is part of the mission and goal of the School of Architecture --and a desired structure in national standards for Undergraduate Education in all disciplines. Selected Upper Division courses will be offered as combined courses with the existing graduate program in landscape architecture. Each combined course will maintain a separate and distinct syllabus, differentiating between descriptive material at its undergraduate level and an analytical and critical focus at the graduate level. This interaction within the structure of the school provides a unique opportunity to strengthen the educational requirements of both the undergraduate and graduate students.

**5. EXISTING FACILITIES:** The studio infrastructure currently available within the Paul L. Cejas School of Architecture Building provides the necessary space to serve this program.

Resources and facilities are currently in place to support the proposed program.

***Enrollment Shift:***

*Three years ago the School began a selective admission process in order to meet the capacity of the new building and to come into compliance with NAAB accrediting criteria that call for the elimination of "hot seats". This required the School to reduce enrollments at the lower division substantially. Fifteen lower division spaces will be moved to the upper division in order to accommodate additional students at that level. Last year 75 students were accepted into the lower division and 75 to the upper. For Fall 2004 this change has shifted the numbers to 60 lower division students and to 90 upper division students. This provides more access to upper division study for the south Florida community. It may also help act as a feeder into our graduate programs. We further anticipate that it will increase the number of graduates from our bachelors programs. (From the 2004 School of Architecture Program Review) This internal re-organization provides the required support for the initiation of the proposed undergraduate program in Landscape Architecture.*

**6. EMPLOYMENT OPPORTUNITIES:** The Bachelor of Landscape Architecture degree will prepare graduates with the necessary knowledge, skills, and abilities to work in a broad range of environments.

Among such opportunities are:

- i. Public sector employment in municipal and regional planning agencies, community development department, and parks and recreation departments
- ii. Federal agencies including the National Park Service; the US Forest Service; the Bureau of Land Management; and the US Army Corps of Engineers
- iii. Non-Governmental Organizations (NGOs) such as The Trust for Public Lands and The Nature Conservancy

- iv. Environmental protection and conservation organizations such as the Sierra Club, the Audubon Society, and the Izak Walton League
- v. Private practice, both in landscape architectural offices and in architectural engineering firms, working on a broad range of projects
- vi. Landscape architects will be increasingly involved in preserving and restoring wetlands and other environmentally sensitive sites. (Bureau of Labor Statistics, Occupational Outlook Handbook 2004-05)
- vii. In addition to work related to new development and construction, landscape architects are expected to be involved in historic preservation, land reclamation and refurbishment of existing sites. (Bureau of Labor Statistics, Occupational Outlook Handbook 2004-05)

Population growth, notably within South Florida, the Caribbean Basin, and in Latin America, is creating increased stress on natural systems and quality of life --notably through poor land use and poor design decisions, two areas in which landscape architecture has exhibited significant expertise. Meeting the challenges associated with this growth demands highly qualified landscape architects who will participate in the development of resorts, parks, housing, commercial and institutional enterprises that respect and preserve the integrity of natural systems and ensure a sustainable environment for the future. This mandate coincides with the university's strategic themes as enumerated in its Millennium Strategic Planning Report.

### **Excess Hours Justification**

As described earlier in this proposal, the new undergraduate program in Landscape Architecture requires a total of 128 credits, the same number as the existing undergraduate Architectural Studies program in the School of Architecture. Discipline specific courses in the Lower Division of the program will be aligned with current undergraduate offerings within the School of Architecture programs in architecture and interior design, taking full advantage of the resources and areas of expertise offered by each.

Elective and Special Topics courses are needed to complement the educational goals of the program. It is expected that the students in the new program will participate in the Study Abroad program with the rest of the undergraduate student body. The elective and or Special Topics courses would be administered to offer and facilitate this involvement. Upper division electives are selected with an advisor to meet degree requirements and program objectives.

In order to administer the program in an effective manner, with measurable success and to meet the professional accreditation standards it is necessary that the curriculum contain all of the proposed courses and directed electives. The Lower Division offers the university's required number of courses and the interdisciplinary curriculum shared with the other two disciplines for a total of 67 credits, 34 school interdisciplinary and 33 University Core. Current requirements prescribe the university core to be taken and do not allow room for substitution with courses in fulfillment of both the core and discipline thus allowing the reduction of the overall number of credits.

The course distribution at the Upper Division needs to satisfy the accreditation requirements in the following areas:

• landscape architecture history and theory	
LAA 3712 History of Landscape Architecture	3 cr.
LAA 5235 Theory of Landscape Architecture	3 cr.
• natural and cultural systems	
Satisfied through Studio Sequence, Directed Electives	6 cr.
• design	
4 Studio Sequence Upper Division	16 cr.
• landscape planning and management at various scales and applications	
LAA 3333 Site Analysis and Design	3 cr.
LAA 3802 Landscape Development	3 cr.
• communication in written, verbal and visual applications	
Studio Design Sequence	
• plants and ecosystems at various scales and situations	
LAA 3602 South Florida Landscapes	3 cr.
• construction materials, methods and technologies	
LAA 3420 Landscape Construction	3 cr.
• professional practice methods, values and ethics	
ARC 4270 Professional Office Practice	3 cr.
• computing applications and other advanced technologies	
LAA 3XXX Computer Applications in Landscape Architecture	3 cr.
LAA 3XXX 3D Computer Rendering	3 cr.
LAA 3XXX GIS Directed Elective	3 cr.
<b>TOTAL</b>	<b>52 cr.</b>

Electives for Study Abroad Option and Special Topics in areas of special interest	9 cr.
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<b>UPPER DIVISION</b>	<b>61 credits</b>
<b>LOWER DIVISION</b>	<b>67 credits</b>
<b>Program Total</b>	<b>128 credits</b>

### Impact on Other Departments / Units

The establishment of the proposed program also complements the existing undergraduate study programs in Interior Design and in Architecture. The Lower Division Core, including aspects of landscape architecture, architecture and interior design, will be offered to students in all the disciplines of the school. This will allow for the interdisciplinary exchange of critical views and ideas and will promote understanding of the diversity and complexities of a global practice. Elective course work within an interdisciplinary context in allied areas including Environmental Studies, Biological Sciences, Civil and Environmental Engineering, Geology, Geography and others will be encouraged. This will strengthen interdisciplinary educational goals for the university.

### Students (Projected Enrollment)

Based on program projections generated at the school it is projected that 5 students will enroll the first year, generating 3.75 FTE. By the Fifth Year, the number of projected students will have risen to 46, generating 34.13 FTEs.

### **Budget**

Resources and facilities are currently in place to support the proposed program.

#### **Enrollment Shift:**

*Three years ago the School began a selective admission process in order to meet the capacity of the new building and to come into compliance with NAAB accrediting criteria that call for the elimination of "hot seats". This required the School to reduce enrollments at the lower division substantially. Fifteen lower division spaces will be moved to the upper division in order to accommodate additional students at that level. Last year 75 students were accepted into the lower division and 75 to the upper. For Fall 2004 this change has shifted the numbers to 60 lower division students and to 90 upper division students. This provides more access to upper division study for the south Florida community. It may also help act as a feeder into our graduate programs. We further anticipate that it will increase the number of graduates from our bachelors programs. (From the 2004 School of Architecture Program Review)* This internal re-organization maintains the number required to support the initiation of the proposed undergraduate program in Landscape Architecture.

### **Institutional Capacity to Deliver the Program**

Current resources are appropriate for the implementation of the proposed program.

### **Courses Titles and Numbers**

#### **ARC 1131 – Design Graphics 1 (3) interdisciplinary**

An introduction to the development of graphic skills for the conception and communication of design ideas. Subject areas emphasize orthographic and presentation skills. (F)

#### **ARC 1301 – Design 1 (4) interdisciplinary**

An introduction to concepts, fundamental design elements and systems of order that inform two and three-dimensional design. (F)

#### **ARC 2701 – History of Design from Antiquity to the Middle Ages (3) interdisciplinary**

Survey of architectural, interior, and landscape design from antiquity to the Middle Ages including western and non-western traditions critical reading and writing course. (F)

#### **ARC 2702 – History of Design from the Renaissance to the XIX Century (3) interdisciplinary**

Survey of architectural, interior, and landscape design from the Renaissance to the XIX century, including western and non-western traditions. Critical reading and writing course. (S)

#### **ARC 1461- Methods & Materials of Design (3) interdisciplinary**

Introduction of materials and methods. In this course properties of materials and performance in a variety of light building, interior and environmental assemblies are explored (F)

#### **ARC 1132 – Design Graphics 2 (3) interdisciplinary**

A continuation of Design Graphics 1 with the exploration of broader graphic tools of conceptual representation. Subject areas emphasize computer graphics and multiple media. Prerequisite: ARC1131.Co-requisite: ARC 1302 (S)

**ARC 1302 – Design 2** (4) interdisciplinary

Introduction to the principles of proportion and scale with an emphasis on the relationship between the body and three-dimensional space, and an emphasis on the design process. Pre-requisite ARC 1301 Co-requisite:ARC1132 (S)

**ARC 2303-Design Studio 3** (4) interdisciplinary

A continuation of design studio 2, site, social, cultural and environmental issues are the generator for design projects with repetitive spatial and programmatic issues. Prerequisites Arc 1301 and ARC 2701(F)

**ARC 2304- Design Studio 4** (4) interdisciplinary

A continuation of design studio 3 structure, material, design details, human factors and interior architecture are explored for small scale infill urban buildings project. Prerequisites: ARC 2303 and ARC1461 (S)

**EVR 3013 – Ecology of South Florida** (3) **EVR 3013L – Ecology of South Florida Lab** (1) University offering

A course for non-science majors, offering an introduction to the ecology of South Florida through lectures and a series of field trips into several unique ecosystems, such as the Everglades, hardwood hammocks, and coastal regions. The course also deals with natural resource conservation, wildlife management, endangered species, and wilderness issues. (F, S, SS)

**LAA 3333 Site Analysis and Design** (3) Introduction to ecological, functional and aesthetic considerations in site analysis ,planning and design, (S)

**LAA 3712 – History of Landscape Architecture** (3) cross-listed

Historical survey of the principal sites and traditions manifested in the evolution of landscape architecture and urban design from antiquity to the present. Prerequisite. Program approval

**LAA 5374 – Introduction to Computer Practices in Landscape Architecture** (3)

Computer application of drafting and design techniques used in landscape architecture. Prerequisite CGS 2060 and Program approval

**LAA 5235 – Theory of Landscape Architecture** (3)

Critical review of the environmental parameters, morphological concepts and ideological principles that generate form and meaning in architecture and landscape architecture. (F)

**LAA 3602 – South Florida Landscapes** (3) cross-listed

Study of the structure, function, and change in the natural cultural landscapes of tropical and subtropical regions. Prerequisite: Program approval.

**LAA 3XXX – Geographic Information Systems** (3) Program Specific

Introduction to GIS applications including vector (ArcInfo and ArcView) and raster (ERDAS) based applications, related to the practice of landscape architecture. (Pre-requisite: LAA 3xx1)

**LAA 3XXX – Landscape Architecture Design 5** (4)

Landform as a design element. Integration of landform design and structure. Small to mid-sized scale projects of limited complexities. Pre-requisite ARC 2304

**LAA 3802 – Landscape Development (3)**

Technical aspects of the design and specification of earthworks, including materials, products, and methods of installation used in landscape development. Pre-requisite: Program approval

**LAA 3XXX – Landscape Architecture Design 6 (4)**

Development of design proposals applying principles and methods in landscape architecture within a tropical and sub-tropical context. Regional mid-sized to large scope projects. Pre-requisite: LAA 3XXX Design 5

**LAA 4XXX – Computer Modeling (3)**

Exploration of computer modeling in landscape architecture. Pre-requisite: Program approval,

**LAA 4XXX – Landscape Architecture Design 7 (4)**

Exploration of form, circulation and spatial contexts for the design of urban sites. Consideration of cultural and natural factors addressing intermediate to large scale complexity. Pre-requisite: LAA 3XXX Design 6

**LAA 4XXX – Landscape Architecture Design 8 (4)**

Exploration of contemporary landscape issues through design projects varying in scale and complexity. Pre-requisite: LAA 4XXX Design 7

**LAA 4XXX– Professional Practice (3) interdisciplinary**

Methods of practice management addressing design issues; client and staff relations; project development, management, and completion; records organization; implementation of appropriate technologies; and issues of diversity and ethics.

The Directed Elective courses, as described under the Program Description section, work within an interdisciplinary context in allied areas. Student advising will provide students the opportunity to explore offerings from Environmental Studies, Biological Sciences, Civil and Environmental Engineering, Geography and Geology Special Topics courses shall be used to develop areas of student special interest within the context of landscape architecture as well as an opportunity to participate in a Study Abroad program.

<b>Lower Division Courses</b>		
<b>FALL – Year One</b>		
ARC1301	Design Studio 1	4 crs
ARC 1131	Design Graphics 1	3 crs
ARC 2701 *	History of Design Antiquity to Mid Ages	3 crs
ENC 1101	Freshman Composition	3 crs
SLS 1501	Freshman Experience	1 crs
<b>TOTAL</b>		<b>14 crs</b>
<b>SPRING – Year One</b>		
ARC 1302	Design Studio 2	4crs
ARC 1132	Design Graphics 2	3crs
ARC 2702	History of Design Re. to 1840	3 crs
ENC 1102	Literary Analysis	3 crs
<b>TOTAL</b>		<b>13 crs</b>
<b>SUMMER-Year One</b>		
MAC 2132 or	Pre-Calculus	3 crs
MAC 2233 or	Calculus for Business	
MAC 1114	Trigonometry	
	Arts Requirement	3 crs
<b>TOTAL</b>		<b>6 crs</b>
<b>YEAR ONE TOTALS</b>		<b>33 crs</b>
<b>FALL – Year Two</b>		
ARC 2303	Design 3	4 crs
EVR 3013	Ecology of South Florida (satisfies Life Sciences)	3 crs
EVR 3013L	Ecology of South Florida (Lab)	1 crs
ARC 1461	Methods & Materials of Design	3 crs
	Humanities w/Writing	3 crs
<b>TOTAL</b>		<b>14 crs</b>
<b>SPRING – Year Two</b>		
ARC 2304	Design 4	4 crs
ARC 2580	Structures & Systems	3 crs
	Physical Science w/Lab	4 crs
<b>TOTAL</b>		<b>11 crs</b>
<b>SUMMER -Year Two</b>		
	Society & Identities	3 crs
	Quantitative Reasoning	3 crs
	Foundations of Social Inquiry	3 crs
<b>TOTAL</b>		<b>9 crs</b>
<b>YEAR TWO TOTALS</b>		<b>34 crs</b>
<b>LOWER DIVISION TOTAL</b>		<b>67crs</b>

<b>Upper Division Courses</b>		
<b>FALL – Year Three</b>		
LAA 3XXX	Design 5	4 crs
LAA 3333	Site Analysis & Design	3 crs
LAA 3XXX cross-listed with LAA 5374	Computer Applications in Landscape Arch. I	3 crs
LAA 3712	History of Landscape Architecture	3 crs
<b>TOTAL</b>		<b>13 crs</b>
<b>SPRING – Year Three</b>		
LAA 3XXX	Design 6	4 crs
LAA 3602	South Florida Landscapes	3 crs
LAA 4XXX	Computer Modeling	3 crs
	Elective	3 crs
<b>TOTAL</b>		<b>13 crs</b>
<b>SUMMER - Year Three</b>		
LAA 3XXX (Directed Elective)	GIS Applications in Landscape Arch.	3 crs
	Directed Elective	3crs
	Special Topics	6 crs
<b>TOTAL</b>		<b>12 crs</b>
<b>YEAR THREE TOTALS</b>		<b>38 crs</b>
<b>FALL – Year Four</b>		
LAA 4XXX	Design 7	4 crs
LAA 5235	Theory of Landscape Architecture	3 crs
	Special Topics	3 crs
LAA 3802	Landscape Development	3 crs
<b>TOTAL</b>		<b>13 crs</b>
<b>SPRING – Year Four</b>		
LAA 4XXX	Design 8	4 crs
LAA 3420	Landscape Construction	3 crs
LAA 4XXX	Professional Office Practice	3 crs
<b>TOTAL</b>		<b>10 crs</b>
<b>YEAR FOUR TOTALS</b>		<b>23 crs</b>
<b>DEGREE TOTALS</b>		<b>128 crs</b>



## **Bachelor of Landscape Architecture ----Faculty Bios**

### **Dean**

#### **Juan Antonio Bueno, BS Eng, MLA, ASLA, PE**

Professor School of Architecture

Juan Antonio Bueno is Dean of the School of Architecture and Professor of Landscape Architecture at Florida International University, where he has also served as Director of the School of Design and as Director of the Graduate Program in Landscape Architecture. He completed his graduate education in landscape architecture at the Graduate School of Design of Harvard University and his undergraduate education in engineering at the University of Miami. He is a registered landscape architect and professional engineer in the State of Florida.

Academically, his research addresses the landscapes of south Florida and tropical America, as well as the theory and history of landscape architecture and urban design. Professionally, his practice involves the planning and design of gardens, patios, plazas, parks, greenways, and communities. He shares his professional practice with his wife, the architect and landscape architect Teresita Falcón, at the Coral Gables firm of Falcón + Bueno.

He is a Distinguished Alumnus of the Landscape Architecture Program at Harvard University. He has won national and international design competitions and has received numerous awards from the American Society of Landscape Architecture for design projects, visionary work, teaching and research, and service and communications. His work has been widely published in the academic and professional literature as well as exhibited in North America, South America, and Europe.

He is a member of the American Society of Landscape Architects and the Council of Educators in Landscape Architecture. He also serves on the Boards of Directors of AIA Miami.

His professional and community service has involved the South Dade Planning Charrette, South Biscayne Bay Charrette, Virginia Key Beach Charrette as well as the Rainforest Exhibit and the Jewels of the Caribbean Exhibit at Fairchild Tropical Botanical Garden.

### **Program Director**

#### **Marta Canavés, MLA, ASLA, IIDA**

Marta Canavés is Director of the Graduate Landscape Architecture Program and an interdisciplinary design professor for the School of Architecture at Florida International University. Her degrees include a Bachelor of Design and a Master in Landscape Architecture. With an academic experience of 20 years she teaches Design Studio at the graduate and undergraduate levels for the disciplines of Architecture, Interior Design and Landscape Architecture, receiving a Faculty Senate Excellence in Teaching Award and the Teaching Incentive Award (TIP) for academic excellence. She has provided curriculum consultancy to the Dade County Public School Board where she developed curriculum and program guidelines for the four interdisciplinary tracks at DASH (Design & Architecture Magnet High School).

As a licensed design professional she maintains a limited design practice specializing in Graphic and Exhibit Design. Her work as designer and curator of museum exhibitions has received peer recognition for design, graphics and photography from AIA Miami, IDG, and the International Interior Design Association, IIDA. As a Landscape Designer her collaborative efforts with Architect Marilys R. Nepomechie have attained national and international recognition recently receiving Faculty Design/Research and Collaborative Practice Awards from the Association of Collegiate Schools of Architecture. The Boston Society of Architects, the Chicago Athenaeum Museum of Architecture and Design, the AIA Miami, AIA Florida/Caribbean and International Biental Miami + Beach have recognized their collaborative work. Current collaborative effort include work as guest curators at the Architecture Biennale Rotterdam, low-cost rural housing in eastern

Kentucky, urban infill and infrastructure for Smoketown/Shelby Park, Kentucky, and infill housing for Little Haiti, Miami, Florida.

Her work has appeared in the Journal of Architectural Education (JAE), Architecture Magazine, Architecture Ireland, Journal of Canadian Architecture, Architecture Boston, Florida/ Caribbean Architect, Landscape Architecture, Competitions, i.d.e.a.s, Casa y Estilo Internacional, The Miami Herald and the IX Bienal Panamericana de Arquitectura de Quito.

**Alfredo Andia, Ph.D., M. Des.**

*Assistant Professor, Architecture*

Dr. Alfredo Andía is an Assistant Professor at Florida International University, Miami. He has also taught in different capacities at U. of Cincinnati, U.C. Berkeley, and has been an invited lecturer to more than 20 universities and research institutes in Argentina, Chile, Denmark, Italy, Japan, South Africa, USA, and Venezuela. Dr. Andía combines his interest and expertise in architectural design, digital technologies and design theories. He has more than 44 papers published on the subject in venues such as Leonardo, Journal of Architecture Education, and conferences such as Siggraph, Sigradi, ACSA, IMCL and Networked Realities Japan. He is the founder and coordinator of the Internet Studio initiative. The "iStudio" has become one of the largest experiences in collaborative design studio education in the world in which eleven schools of architecture in Latin America, South Africa, and the U.S. have participated. The teaching experiences have been featured in significant media pieces in the BBC, Discovery Channel, Government Video Magazine, Archigeo Magazine in Italy, AP and UPI wire, and in other media outlets in Argentina, Chile, and France. His recent architectural work was selected among the finalists for the September 11<sup>th</sup> memorial competition for the city of Huntington, N.Y. and finalist for the bicentennial tower competition for the Municipality of Santiago de Chile. Dr. Andía holds a Master degree from the Graduate School of Design at Harvard University and a Ph.D. from the College of Environmental Design at the University of California, Berkeley.

**Nathaniel Quincy Belcher**

Assistant Dean and Associate Professor School of Architecture

Nathaniel Quincy Belcher is a recipient of grants from the National Endowment of the Arts, the Graham Foundation, and other notable foundations and research entities. He was educated at Virginia Tech and Harvard University and holds both bachelors and masters degrees in architecture. His work has been exhibited and published on many publications including *Sites of Memory* from Princeton Architectural Press and Harlem Worlds: Metropolis as metaphor exhibition/publication through the Studio Museum in New York City. He has worked to establish an independent, research-based program dedicated to the development of critical theoretical ideas and the production/documentation of objects/environments which recognize marginalized influences on architecture and its related disciplines. He has a special interest in influences of modernism on “developing contexts” and visa versa. He is a licensed architect and a licensed interior designer. He maintains his office in Miami, Florida; where he has begun a community development projects involving landscape and housing issues in the Little Haiti neighborhood of Miami City. He is currently an Associate Professor and the Assistant Dean for academic program at the Florida International University School of Architecture.

**Jaime Canavés. FAIA, IIDA**

Associate Professor, Architecture

Jaime Canavés graduated from the University of Florida receiving both a Bachelor and Master of Architecture degrees. He has taught at Florida International University since 1978. He is a fellow of the Honors College and held the position of Associate Dean of the School of Architecture FIU from 1998-2001. He is founder of the first International Design Bienal in the United States, the Bienal Miami + Beach.

Jaime Canavés is a Fellow of the American Institute of Architects and recipient of the Hillard T. Smith Silver Medal from AIA Florida and the Caribbean Region, the Samuel Kruse Silver Medal from AIA Miami and a current nominee of the Gold Medal from AIA Florida. He is Past President of the Florida IIDA chapter, chairman of the national AIA Interiors Subcommittee and currently serves on the AIA Florida Board of Directors.

His teaching has earned professor Canavés several awards including an Education Leadership Award from AIA Miami, two FIU Teaching Incentive Program (TIP) awards and an FIU Faculty Teaching Award. He is a State of Florida licensed Architect and Interior Designer and member of the American Institute of Architects, College of Fellows, Federación de Asociaciones de Arquitectos pan Americanos, Colegio de Arquitectos Cubanos en el Exilio, Phi Kappa Phi Honor Society and the National Scholastic Collegiate Association.

### **Jason Chandler, AIA**

*Assistant Professor, Architecture*

Jason Chandler, A.I.A., teaches courses in architectural design and building technologies. He received his Bachelor of Architecture from Cornell University and his Master of Architecture from Harvard University. He has taught at the School of Architecture at the University of Miami and Harvard University's Graduate School of Design and has been on design juries at several universities. Jason Chandler is a registered architect in the State of Florida and is principal of Chandler and Associates Architecture, P.A. In addition to his firm's commissioned work, he has entered several international design competitions. He received Second Prize in the 81<sup>st</sup> Paris Prize Architectural Design Competition, received an Honorable Mention in the 2001 The Scattered Housing Competition and received First Prize in the 2004 Miami Beach Design Life Competition.

**NOTE:** New hire for Landscape Architecture, replacing a retired faculty member, is expected to begin in the Fall of 2005. A new hire in Digital Technology for the School of Architecture is expected to begin in the Fall of 2005.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: MASTER OF INTERIOR DESIGN**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the Florida International University Board of Trustees hereby approves the Master of Interior Design and attached to this Resolution as Exhibit "P", and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

**BACKGROUND INFORMATION:**

**STATUTORY AUTHORITY:**

**Florida Statutes 1001.74**, Powers and duties of university boards of trustees, states in part,

- (7) Each board of trustees has responsibility for the establishment and discontinuance of degree programs up to and including the master's degree level; the establishment and discontinuance of course offerings; provision of credit and noncredit educational offerings; location of classes; services provided; and dissemination of information concerning such programs and services. Approval of new programs must be pursuant to criteria established by the State Board of Education.

**EXPLANATION OF PROPOSED BOARD ACTION:**

The School of Architecture proposes implementing a *master of interior design* degree in order to serve unfulfilled needs for professionals with advanced knowledge and academic experience within the interior design community. The proposed program is a comprehensive, interdisciplinary, flexible degree program designed to engage students in advanced study in specialized areas of focus regarding public interiors. Data gathered regarding the needs of the interior design profession, the economic context here in South Florida, and analysis of existing strengths at Florida

International University indicates particular interest in producing graduates with advanced knowledge in the following specialized areas of study: Healthcare facility design, Hospitality design, and Workplace design.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “P” – REQUEST FOR AUTHORIZATION TO IMPLEMENT THE MASTER OF INTERIOR DESIGN
- ATTACHMENT 9 - CRITERIA FOR EVALUATING PROPOSED ACADEMIC PROGRAM, MASTER OF INTERIOR DESIGN
- ATTACHMENT 10 - FEASIBILITY STUDY, MASTER OF INTERIOR DESIGN

**FACILITATOR/PRESENTER:**

- DAVID PARKER

## Exhibit “P”

### **The Florida International University Board of Trustees—June 29, 2005 Request for Authorization to Implement the Master of Interior Design**

The School of Architecture proposes implementing a Master of Interior Design degree in order to serve unfulfilled needs for professionals with advanced knowledge and academic experience within the interior design community. Data gathered regarding the needs of the interior design profession, the economic context here in South Florida, and analysis of existing strengths at Florida International University indicate particular interest in producing graduates with advanced knowledge in the following specialized areas of study: Healthcare facility design, Hospitality design, and Workplace design.

The purpose of the proposed Master of Interior Design (MID) program is to develop expert interior designers with strong professional and content background, capable of engaging in evidence-based design, and able to conduct and apply research. The degree program will consist of two options geared to different markets for the graduate study in this field:

- Option 1: Post Professional Track is 36-credit-hour program designed for students who already have an accredited baccalaureate degree in a design field. This is a thesis track and the course of study will assist existing design professionals in developing expertise in specialization areas and learning how to conduct research in their area of focus
- Option 2- Professional Track - this program of study is designed for students who have baccalaureate degrees in fields other than interior design, but who wish to become licensed interior designers. This degree will require students to complete 63 credit hours of coursework and to produce an approved design project with a significant research component and a research report.

The proposed Master of Interior Design degree, will round out the graduate degree offerings within FIU's School of Architecture. Continuing the successful interdisciplinary structure that currently exists within the School, both Master of Interior design program Options will have a core curriculum that shares courses with the Architecture and the Landscape Architecture programs. In addition, students will take core advanced professional graduate courses designed to expand students' knowledge in areas specific to the field of Interior Design. Directed electives in other FIU disciplines and studio course requirements will allow students to customize their study in order to develop knowledge in specialized areas of study.

<b>Budget - Costs</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
Current E & G (I&R)	\$81,634	\$81,634	\$81,634	\$81,634	\$81,634
New E & G (I&R)			\$15,635	\$15,635	\$15,635
<b>Total E &amp; G Cost</b>	\$81,634	\$81,634	\$97,259	\$97,259	\$97,259
<b>C &amp; G Cost</b>					
<b>Total Costs</b>	\$81,634	\$81,634	\$97,259	\$97,259	\$97,259
<b>Projected Enrollment</b>					
Headcount	8	17	19	20	22
FTE	5.6	11.6	13.1	13.9	15
<b>Budget – Expected Revenue</b>					
FTE Revenue Generated <sup>1</sup>	\$67,471.88	\$139,442	\$157,435	\$166,430	\$179,925
School C & G Generated (New)	\$0	\$0	\$0	\$0	\$0

<sup>1</sup> Tuition based on FTE projections from instate (\$190/cr)

## Attachment 9

### Florida International University Criteria for Evaluating Proposed Academic Programs Master of Interior Design

Criteria	How Met
Fit with FIU Strategic Plan	<ul style="list-style-type: none"> <li>Program thrives on location as a Top Urban Public Research University where design and construction industries are flourishing and field research opportunities abound.</li> <li>Program addresses stated goals of Florida International University outlined in the Millennium Strategic Plan on graduate education.</li> </ul>
Rationale	<p>Program Satisfies:</p> <ul style="list-style-type: none"> <li>Shortage of professionals with advanced knowledge and academic experience within the interior design community.</li> <li>Lack of a degree path for individuals interested in interior design but who have baccalaureate degree in other disciplines</li> <li>Rounds out the graduate degree offerings within FIU's School of Architecture.</li> <li>Need for increased enrollment with minimal use of space or faculty resources</li> <li>Lack of any provider for graduate level interior design education to South Florida population</li> </ul>
Distinctiveness of Program	<ul style="list-style-type: none"> <li>Options are tailored to meet the needs of the two distinct clientele for the program</li> <li>Interdisciplinary core prepares students for professional practice in a variety of settings</li> <li>Specialization and interdisciplinary structure will position graduates for successful employment in academics and in profession.</li> <li>Strong professional community partnerships</li> </ul>
Resources	<ul style="list-style-type: none"> <li>Interdisciplinary nature of program affords efficient resource allocation. 80% of faculty already funded.</li> <li>Festival of Trees endowment funds \$100,000 in student scholarships</li> <li>Additional access to research funding through graduate study in areas of specialization</li> </ul>
Support	<ul style="list-style-type: none"> <li>International Interior Design Association – Interior Design professional organization</li> <li>American Society of Interior Designers — Interior Design professional organization - provides scholarships</li> <li>Network of Executive Women in Hospitality – Professional organization in Hospitality provides scholarships</li> <li>Interested students – survey indicates market for grad program</li> <li>Alumni - survey indicates support and market for grad program</li> <li>Advisory Board – indicates support for program</li> </ul>
Competition	<ul style="list-style-type: none"> <li>UF and SFU – neither in Urban Settings. Neither offer options tailored to clientele</li> </ul>
Pros	<ul style="list-style-type: none"> <li>Strengthens graduate research in School of Architecture</li> </ul>



	<ul style="list-style-type: none"><li>• Number of jobs for Masters of interior design increase due to emphasis on evidence based design and specialization within profession</li><li>• Number of Academic jobs available due to shortage of qualified interior designers with master level education.</li><li>• Available funding for research in areas of specialization more available in interdisciplinary settings.</li><li>• So. FL community needs access to graduate level curricula</li></ul>
Cons	<ul style="list-style-type: none"><li>• Unfavorable State budget climate</li></ul>

**The Florida International University  
New Academic Program Feasibility Study  
Master of Interior Design**

**I. Program Description**

The School of Architecture proposes implementing a Master of Interior Design degree in order to serve unfulfilled needs for professionals with advanced knowledge and academic experience within the interior design community. The proposed program is a comprehensive, interdisciplinary, flexible degree program designed to engage students in advanced study in specialized areas of focus regarding public interiors. Data gathered regarding the needs of the interior design profession, the economic context here in South Florida, and analysis of existing strengths at Florida International University indicates particular interest in producing graduates with advanced knowledge in the following specialized areas of study: Healthcare facility design, Hospitality design, and Workplace design.

The purpose of the proposed Master of Interior Design (MID) program is to develop expert interior designers with strong professional and content background, capable of engaging in evidence-based design, and able to conduct and apply research. The degree program will consist of two options geared to different markets for the graduate study in this field:

- Option 1: Post Professional track is designed for students who already have an accredited baccalaureate degree in a design field. This is a thesis track and the course of study will assist existing design professionals develop expertise and learn how to conduct research in their area of focus. It prepares these individuals to enhance their career opportunities through specialization, pursue a career in higher education, or to enter doctoral programs. Research projects will focus on improving our knowledge about interactions between humans and the interior environments. This degree will require the completion of an approved research project and a written thesis describing the project, its intentions, the methods employed, and conclusions about the outcomes.
- Option 2- Professional Track - this program of study is designed for students who have baccalaureate degrees in fields other than interior design, but who wish to become licensed interior designers. The longer of the two options, this track has curricular content that leads to a first professional Masters of Interior Design degree. As such, it is related to the existing undergraduate program, but differs from it. Like the existing undergraduate program, this Option is studio based with the curriculum divided into (a) Professional Foundation courses and (b) Advanced Professional course work. Undergraduate studios are four credit hour courses that meet for 6½ contact hours a week. Graduate studio courses are longer. They are six credit hours courses and meet for 8½ contact hours per week. Accreditation standards limit the amount of students per studio. Undergraduate studios are 15 students per faculty and graduate level studios are limited to 12 students per faculty at the. Whereas the undergraduate program provides a broad overview of the various areas of work within interior design, the graduate Option 2 will focus on augmenting this knowledge base by developing advanced knowledge and design expertise through rigorous study in a specialized area. This degree will require students to complete an approved design project with a significant research component and a research report. Students and faculty will work together to develop a path of inquiry important within each students' area of focus. Students will conduct concentrated and in-depth study in the preparation and in the execution of a fully developed design project. The process of inquiry and the results of the process will be described in a research report that will be reviewed and evaluated by supervising faculty.

The proposed Master of Interior Design degree, will round out the graduate degree offerings within FIU's School of Architecture. The School currently offers Masters of Architecture and Masters of Landscape Architecture degrees. Continuing the successful interdisciplinary structure that currently exists with the graduate programs within the School of Architecture, both tracks of the Master of Interior design program will have a core curriculum that includes courses shared with the Architecture and the Landscape Architecture. Interdisciplinary graduate core courses will develop students' understanding about essential issues that cut across and integrate the design disciplines. In Option 1: Post-Professional track, core research methods courses and theory courses will form the interdisciplinary core. Directed elective course requirements will allow students to customize their study in order to develop knowledge in specialized areas of study, while the research and thesis will be supervised within the Interior Design Program in order to produce scholarship that contributes to the discipline's body of knowledge. In the Option 2; Professional Track, Interdisciplinary Professional Foundation courses are courses shared between Architecture, Landscape Architecture and Interior Design programs. In addition, students will take core Advanced Professional graduate courses designed to expand students' knowledge in areas specific to the field of Interior Design. Directed elective and studio course requirements will allow students to customize their study in order to develop knowledge in specialized areas of study. The process of developing the individualized inquiry will occur in the final studio courses.

## **II. Institutional Mission and Strength**

The proposed program is listed in the 2002-2006 Priorities for FIU New Academic Programs 5 year plan. Strategic planning within the School of Architecture has focused building its graduate programs so that faculty and students participate in, and perform research of the quality of expected within a Research Extensive University. By extension, strategic planning for the interior design program has also focused on earning professional accreditation and on developing interior design graduate education.

Therefore the goals and objectives of the proposed Master of Interior Design program reinforce the stated goals of Florida International University outlined in the Millennium strategic planning report on graduate education. The following list outlines the objectives of the Master of Interior Design degree program:

- Make additions to the existing body of knowledge in the interior design profession through research and creative scholarship.
- Graduate students who possess the ability to synthesize knowledge and to practice in ways that produce new insights that advance the interior design profession
- Teach students to apply their knowledge and critical intellectual abilities ethically and to address issues important to society
- Conduct research and creative scholarship of which the results achieve national and international recognition.
- Solve problems to enhance the professional practice of interior design in areas of specialization. Within these areas of specialization specific problems relating to environment behavior issues, sustainable design, lighting design, and in furniture design can make a big impact.
- Prepare qualified individuals equipped to undertake research and teaching positions at the graduate and the undergraduate levels of interior design programs at higher education institutions
- Prepare individuals for doctoral level research in professional schools at highly ranked Universities.

### **III. Assessment of Need and Demand**

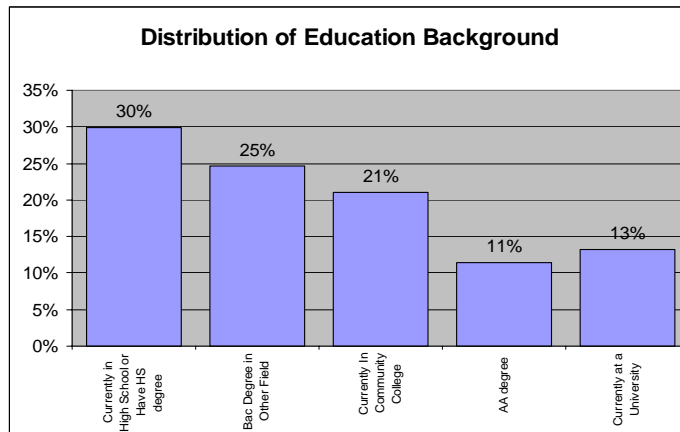
#### National Trends in Interior Design Graduate Education

Literature review revealed two compelling sources indicating need for graduate level education and justifying the initiation of the Master of Interior Design program. A recent article titled: "Interior Design Education in the 21<sup>st</sup> century: an educational transformation." In the Journal of Interior Design (JID) Vol. 30 no 1, 2004, plus, a Chapter titled "Issues and Trends in Interior Design education: in the American Society of Interior Designers (ASID) "The Interior Design Profession: Facts and Figures" 2004, both discuss the need for and increase in Master Level education within the discipline. The Journal of Interior design is the premier academic journal of the interior design discipline and ASID is the largest professional organization with in the field. The JID article identifies the need to increase the use of evidence based design within the profession and outlines the strong links between advanced study and the production of evidence based knowledge. Both articles clearly identify the benefits of Master level education and emphasize that interdisciplinary research and advanced study are essential for increasing professional knowledge base, producing more qualified instructors within interior design discipline, and contributing to the argument for legislation regulating unlicensed practice of interior design.

The ASID article discusses the tendency within higher education to reduce the number of credit hours required to earn a baccalaureate degree from what was typically 132 credit hours to what is now 120 credit hours. This trend along with increased requirements for knowledge acquisition in areas such as sustainability, technology, safety etc. is predicted to impact the accreditation process and the preparation of entry-level designers. The author indicates that this will, in turn, enhance the need for graduate education that addresses the expansion of knowledge required for practice. Both the academic and the professional publications predict that master degrees will eventually become the accredited degree in interior design and that models for the best programs will be interdisciplinary programs sharing course work with Architecture and related design disciplines.

#### CLIENTELE FOR GRADUATE PROGRAMS

In February 2004 the interior design program conducted a questionnaire survey of students interested in studying Interior Design. The Interior Design program received over 116 responses to the questionnaire. Results of the analysis of the data submitted indicate that 25% the responses were from students who already possessed a baccalaureate degree in another field. In addition, 10% of the respondents were currently enrolled at a University. These data suggest that a large number of the people interested in studying interior design are people who already possess or will soon possess a baccalaureate degree. There are no Interior Design Graduate programs in South Florida, therefore, for many of these respondents the only current option for interior design education in South Florida is to pursue another baccalaureate degree.



(fig. 1: Graph of results from the survey of students interested in the interior design program)

People interested in becoming a Licensed Interior Designer must fulfill the following three requirements: 1) graduate from an approved interior design program, 2) have the requisite number of years of experience, and 3) have passed the National Interior Design Qualifications examination (NCIDQ). The proposed Option 2: Professional degree would offer these students the opportunity to earn their professional degree in three years. In addition, the emphasis on advanced study, complemented by the strong professional foundation of this Option, should position these candidates to compete successfully in the job market.

#### COMPETITION FROM OTHER PROGRAMS

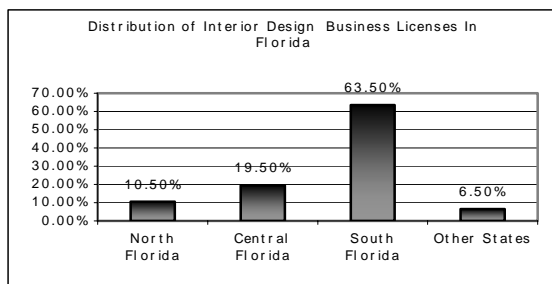
The interior design program conducted a survey of SUS programs and of private institutions to see which of these institutions were currently graduating students who could fulfill the need for advanced interior design knowledge. Analysis revealed two State Universities offering Masters Level Interior Design programs. No private universities provide masters degrees in interior design. Florida State University offers three master level degrees: a Master of Science degree, Master of Science First Professional Degree, and a Master of Fine Arts degree in Interior Design. The University of Florida offers a Master of Interior Design degree.

Florida State University's programs are administratively housed in the School of Visual Arts and Dance and these programs share no interdisciplinary links to other design or building disciplines. The Master of Science First Professional Degree is designed for candidates without an undergraduate degree in interior design. This portfolio track consists of courses that prepare students to enter the profession and enables licensure. Not focused on advanced study or research, this degree consists of a minimum of (59) semester hours of course work in which the candidate must pass a graduate portfolio review in order to qualify for degree candidacy. The Master of Arts and Master of Science degree program is intended for candidates with an undergraduate degree in interior design, architecture, or other approved related field and consists of a minimum of thirty-two (32) semester credit hours. This degree is intended to focus on specialized area of study. Students engage in preparation of a thesis or thesis project program of studies. The Master of Fine Arts degree program consists of a minimum of sixty (60) semester credit hours including six (6) to nine (9) hours of thesis or thesis project. It is intended for individuals who may pursue careers in higher education or those who seek professional career enhancement through extensive specialized research projects and/or theses preparation. In order to maintain close faculty supervision, only a limited number of candidates are accepted into the MFA program. The Master of Fine Arts and the Master of Arts degrees are poorly subscribed and often have no students enrolled. Census data show

that only a small percentage of Florida's interior designers or architects practice in areas within commuting distance of FSU's campus. The results of analysis of distribution of Interior Design licenses and the distribution of Interior design establishments leads us to believe that a larger market for these degrees exists in South Florida than in North Florida. FIU's Master of Science Professional degree program has enrollments of about 9 – 12 students year. Solely requiring a portfolio requirement, this degree option offers less depth, less interdisciplinary study, and less specialized depth than the proposed program at FIU. We believe the enriched curriculum of the proposed Option 2: Professional track and the Option 1: Post Professional track at FIU will compete well with the all the FSU programs.

The University of Florida offers one degree earned through course completion, research project implementation, and thesis preparation and acceptance at graduate school. They also provide a track of leveling courses for post baccalaureate students with degrees in other fields. UF's program is a 36 hour program that culminates in a research thesis. Although UF's Interior Design Department is housed in the College of Design Construction and Planning their master course work does not take advantage of interdisciplinary opportunities. Begun in 2000 this is a relatively new graduate program, with reasonable enrollment and high attrition rates. They offer all core courses within the department and they have suffered from inefficiencies in the distribution of faculty resources between their large undergraduate program and the faculty required to administer the traditional research thesis requirement for all graduate students. We believe that FIU's program planning has positioned us to avoid this scenario, by taking advantage of interdisciplinary curricular efficiencies, and by appropriate planning within the undergraduate program with respect to growth and allocation of resources we are prepared to begin a graduate program that can avoid the high attrition rates at Florida.

These are the only two institutions that offer opportunities for advanced study in interior design even though Florida is the fourth most populous state and has the second highest population of interior design establishments. Both these Masters programs are somewhat successful. However, they are located in North Central Florida in areas with limited number of interior design practitioners. There are no Master Degree programs located within Florida's urban centers, nor any in South Florida. Offering advanced study in this area where there are many licensed professionals actively engaged in designing public, institutional, and commercial interiors, offers real life research opportunities for students. Many of our graduate students can be attracted from the local population of professionals who would not otherwise relocate in order to advance their education.



(Figure 2: Analysis of License distribution. Data source: Board of Architecture and Interior Design)

#### EMPLOYMENT FOR GRADUATES

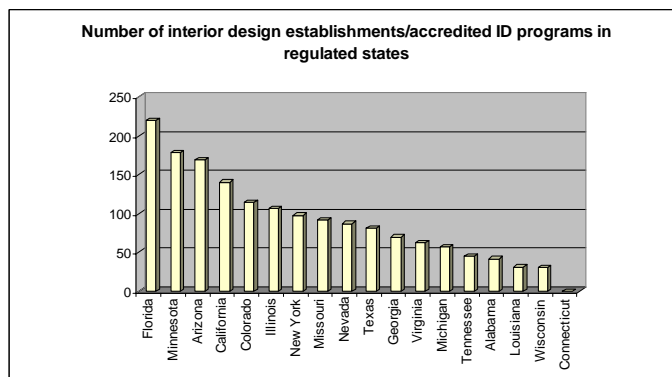
Florida is the most urban state in the South and its population is among the most ethnically diverse in the nation. Miami plays a central role in maintaining this diversity as it serves as a gateway to Latin America and to many parts of Europe. The state's economy is dominated by tourism, construction, agriculture, and is increasingly influenced by international commerce and

technology. Florida International University's School of Architecture, with its programs in architecture, landscape architecture and interior design represents a comprehensive school uniquely positioned to study and produce knowledge that can make significant contributions to Florida's, and

particularly South Florida's, social and physical growth. The enormous amount of construction activity in South Florida, the Caribbean and Latin America offers Florida International University students rich opportunities for participating in significant design projects, in field research, internships, and placement in national and international firms. Students at few other institutions would have such an opportunity to participate in real-world projects and perform interior design research in such a culturally diverse setting.

Over the last ten years, the interior design profession has grown considerably. In 1993 Florida issued 17 interior design licenses. In 2002 it issued 228 interior design licenses bringing the total number of licensed interior designers in the State of Florida to 2,883. Over half of Florida's licensed interior designers are located in South Florida.

The 2002 US department of Labor's Occupational Handbook predicts that the interior design profession will grow slightly faster than the national average (32%) until 2012 because the demand for interior design of private homes, offices, hospitality and other commercial establishments. Health care institutions - particularly those that care for the rapidly growing elderly population - will also spur employment growth of interior designers. This US Census Bureau NAICS data show a 32% increase in the number of interior design establishments, an 89% increase in the number of dollars generated from receipts, 80% increase in the annual payroll and a 66% increase in the paid employees in the interior design field over the five year period. US Census Bureau NAICS data show that Florida has approximately 10% of the nation's interior designers operating within its borders, and that only California exceeds Florida in the number of interior design establishments. However, Florida has fewer accredited educational institutions preparing people to work in these establishments. Among the states that regulate interior design practice, Florida has the lowest number of accredited programs in interior per design establishments. This leads us to conclude that sufficient numbers of interior design establishments are available to hire our graduates within the State of Florida.

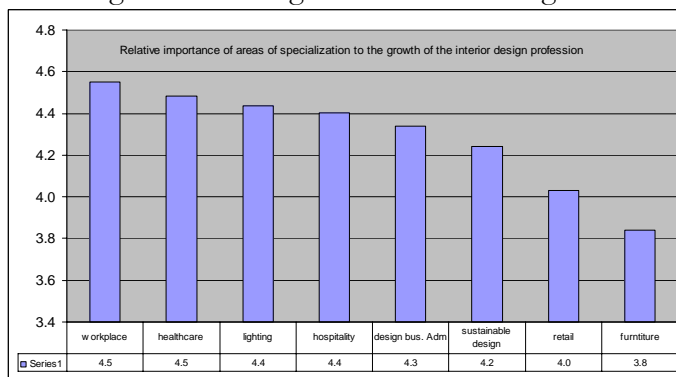


(Figure 4: Comparison of number of Interior design establishments with number of accredited programs. Data source NAICS)

#### SUPPORT FOR THE PROGRAM AMONG THE DESIGN COMMUNITY

The Florida interior design professional community has repeatedly demonstrated its support for the interior design program at Florida International University. Some of these professionals are members of Florida International University's Interior Design Program's Advisory committee. The committee of 12 members is composed of upper administrators from large to middle sized interior

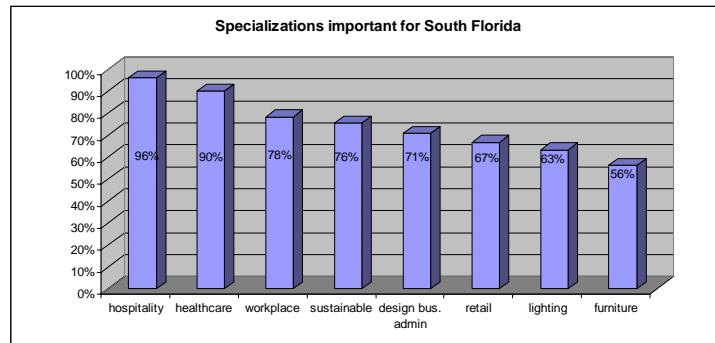
design and architecture firms. They are dedicated, and extremely active on the program's behalf. They provide an essential link that maintains connections between professional practice and interior design education. They review curriculum, and act as a focus group for testing academic proposals. In addition, this committee successfully raises significant funds supporting the Interior Design Program. In Spring 2004, members of this committee served as focus group for discussions of Interior Design Master's degree offerings within the School of Architecture. During the meeting, the group was presented with different graduate program scenarios. The group expressed overwhelming support for the expansion of the interior design degree offerings to the Master's level. The proposed two options were developed with an expressed focus on keeping the course of study as short as possible, keeping the four year undergraduate program intact, and to the developing specialized knowledge rather than generalized knowledge within the curriculum.



(Figure 5: Important specialization. Data source – SOA survey of alumni and professionals.)

The interior design program then developed a survey questionnaire to test the direction established with initial work done with the focus group. The questionnaire was mailed to slightly more than 300 hundred individuals who were either members of the International Interior Design Association (a professional organization for interior designers) or alumni from FIU's interior design undergraduate program. From this survey the program received over 75 responses. The respondent's work experience was fairly evenly distributed between 1-10 years to 20+ years of experience. Mostly (75%) respondents are licensed interior designers, 21% had master's degrees, 76% had baccalaureate degrees. The purposes of the questionnaire were to determine if this population regards advanced study important to the growth of the interior design profession, to ascertain important areas for specialized study, and to determine if the larger population thinks that FIU should offer a Master's Degree program. The results show an overwhelming support for advanced study at FIU with 90% of the respondents indicating that they think FIU should offer a Master's degree in Interior Design. Respondents were asked to rank the different specializations on a 5 point Likert scale ranging from Very Important to Not Important at all. The mean scores from the responses were ranked in order to identify important areas of specialization for the growth of the profession as a whole. The areas of specialization ranked with the highest importance were Workplace, Healthcare, Hospitality, and Lighting design.





(figure 6: Important specializations for South Florida. Data source- SOA survey of alumni and professionals.)

These rankings reflect the results of a national survey published in the American Society of Interior Designer's "Interior Design Profession: Facts and Figures" ASID:2004. The report indicated that Workplace design accounts for 34% of interior design market, Health care accounts for 25%, Retail accounts for 26%, and Hospitality accounts for 15%. This was a national survey and it reflects the percentage of business generated throughout the US. Results of the interior design program survey indicate that almost all (96%) of the respondents think that Hospitality design is important for the growth of the profession in this South Florida. Thus, the interior design program determined that specialization in Hospitality design is more important in South Florida, than retail design. Specialization in Hospitality design was followed by Healthcare and Workplace design. These results coupled confirm our assumption that graduates who have advanced knowledge in these areas will find employment both locally and nationally.

After mailing the survey, the Interior Design Program has received close to 10 phone calls from people who responded to the questionnaire who had further questions about the proposed program. They are interior designers with bachelors degrees interested in FIU's Option 1: Post-Professional track. These informally gathered data lead us to believe there is interest in the community for both Options in the Interior Design Graduate programs.

#### **IV. Curriculum**

The proposed Master of Interior Design (MID) program will provide students with the capacity for proposing and carrying out rigorous inquiries related to the proximate environment. Using the following methodologies, students' inquiries can address the challenges listed above. The following outline provides information about each Option within the Master of Interior Design program.

**OPTION 1: POST PROFESSIONAL TRACK | 36 CREDIT HOURS**

			New IND courses	X listed courses	Elective courses
<b>First year Summer</b>		Credits			
IND 5XXX	Special Topics	3		3	
STA 6166	Statistical Methods in Research I	3			
IND 5XXX	Research Methods	3		3	
<b>First Year Fall</b>					
IND 5XXX	Advanced Design Theories	3		3	
	Directed Elective	3			3
IND 6XXX	Independent study	3		3	
IND 6XXX	Thesis Seminar	3		3	
<b>First Year Spring</b>					
IND 6XXX	Thesis Research	3	3		
	Directed Elective	3			3
	Directed Elective	3			3
IND 6XXX	Thesis	6	6		
<b>Total Number of Credits</b>		<b>36</b>	<b>9</b>	<b>15</b>	<b>9</b>

OPTION 2 - PROFESSIONAL TRACK | 63 CREDIT HOURS

			New IND courses	X listed courses	Elective Courses
Interdisciplinary Professional Foundation	<b>1st Yr Fall</b>	<b>Credit</b>			
	IND 5XXX Formative Studio	6		6	
	IND 5XXX Materials and Methods	3		3	
	IND 5XXX Design Theories	3		3	
	IND 5XXX Computer Applications in Architecture	3		3	
	<b>1st Year Spring</b>				
	IND 5XXX Formative Studio 2	6		6	
	IND 5XXX Structures and Systems 1	3		3	
	BCN 4561 Environmental Controls 1	3			
	<b>1st Year Summer</b>				
Advanced Interior Design Professional Study	IND 5XXX Formative Studio 3	6	6		
	IND 5XXX Interior Design Technology	3	3		
	IND 6XXX Lighting Design	3		3	
	<b>2nd Year Fall</b>				
	IND 6XXX Graduate Design 1	6	6		
	IND 5XXX Adv. Design Theories	3		3	
	IND 6XXX Innovations in Bldg Tech	3		3	
	Directed elective				3
	<b>2nd Year Spring</b>				
	IND 5XXX Professional Office Practice	3		3	
	IND 6XXX Graduate Design 2	6	6		
	Directed Elective	3			3
	<b>Total Number of Credits</b>	<b>63</b>	<b>21</b>	<b>36</b>	<b>6</b>

**V. Excess hours justification – Not applicable.**

**VI. Assessment of impact**

Currently there are two programs potentially impacted by implementation of the Master of Interior Design program: the Architecture graduate program and the Interior Design undergraduate program.

**POSITIVE IMPACTS – INTERIOR DESIGN UNDERGRADUATE PROGRAM**

- Enhance the knowledge and skills of interior design student body with mentoring between the graduate and undergraduate students
- Improve the quality of critical thinking and discourse within the interior design program through exposure to research and contemporary issues in areas of specialization.
- Afford opportunities for undergraduates to participate in community design projects and interdisciplinary research efforts.
- Increase the pool of qualified instructors for the core courses in the undergraduate program.
- Involving undergraduate interior design students in Action Research projects in which the candidates in the proposed program will be involved
- Increase the FTE for the Interior Design Program and for the School of Architecture Graduate program
- Improve the program faculty and students' ability to attract research funding will have positive impact on the undergraduate research efforts.

**NEGATIVE IMPACTS: INTERIOR DESIGN UNDERGRADUATE PROGRAM**

- The shift in faculty resources could present a possible negative impact on the undergraduate program.
- Mitigation: Plan to hire academically qualified Interior Design Faculty with expertise in Health care or Hospitality design could have a positive impact on undergraduate learning.
- Mitigation: Many of the new interior design graduate courses have been scheduled to occur during the summer months when the undergraduate courses are not offered. This will make graduate faculty available in Fall and Spring for undergraduate as well as graduate courses.
- Mitigation: Some course cross listing will occur for Option 2: Professional Track foundation courses. The added investigations required of the graduate students in these courses will enrich the studio experience for the undergraduate students.

**POSITIVE IMPACT ON ARCHITECTURE GRADUATE PROGRAM:**

- Increase enrollment in Formative studios will increase the graduate FTE production in the Architecture program.
- Increase opportunities for interdisciplinary research and for research funding.
- Improved research output reflects positively on all programs within the School of Architecture.

NEGATIVE IMPACT ON ARCHITECTURE GRADUATE PROGRAM:

- Currently few graduate stipends and tuition waivers potentially will be dispersed of among a wider group of graduate students.
- Mitigation: increase in research funding can increase stipends for graduate students.

## VII. Student Projections

### Explanation for Student enrollment projections

Five areas of investigation lead to the rationale for enrollment: (a) focus group interactions with Interior Design Advisory board members, (b) phone surveys of similar programs, (c) questionnaire surveys of alumni and professionals, (d) informal conversations with people interested in our graduate program, and (e) surveys of students interested in our undergraduate program led administrators to informed conclusions about the potential applicants and subsequent enrollment.

Year	Full-time	(x24)	Part-time	(x12)	FTE (SCH/32)
2006	7	168	1	12	5.6
2007	14	336	3	36	11.6
2008	16	384	3	36	13.1
2009	17	408	3	36	13.9
2010	18	432	4	48	15.0

## VIII. Budget

The estimated budget includes one additional faculty to be hired for AY 2008-09 as part of the establishment of the School of Architecture. The program takes advantage of the existing structure within the School of Architecture and few new resources are needed in the A&P and USPS categories to support the program infrastructure. A larger percentage of the new funds will go toward new faculty hire in the third year of implementation. The major change from the first to the fifth year is in terms of redirection of efforts of existing faculty and staff and increased funding from contracts and grants (C&G). The anticipated increase in C&G budget is consistent with the expectations of increased research efforts in areas of specialization particularly for Option 1.

## IX. Institutional Capacity

### Facilities

Library resources are certainly adequate to support the proposed program. The library report for the program review of the School of Architecture (September, 2003) did not find any salient gaps in the collections for Interior Design. The computer and wood shop technology is the School is current and sufficient.

No additional facilities will be required for the initiation of the proposed program. A particular advantage of the Option 1: Post professional track is that it requires little facility resources. This is not the case for the Option 2: Professional Track where space requirements will limit the growth of the enrollment in this program. Accreditation requires that the students have their own studio desk

and that the faculty student ratios with these studios remain below 12:1. Space is currently available to expand the Interior design graduate offering by the 22 students estimated five years enrollment for the proposed program. However enrollment growth beyond the proposed numbers for this Option will be subject to available studio space within the building.

### Resources

For the Option 1: Post professional program, the enrollment growth is limited only by available faculty resources. Data analysis comparing current faculty-to-student ratios with projected ratios of the proposed enrollments for both Options 1 & 2 indicate an additional faculty member will be required to sustain the graduate program. This analysis includes the fact that the School currently has a deficit of four faculty members, who were lost as a result of retirement, etc. The school is in the process of reallocating these resources in order to fulfill the instructional needs of the proposed program. The search for faculty position is slated to begin in the 2005-2006 school year.

## **X. Participating Faculty**

Gisela Lopez-Mata: Associate, Professor, Interior Design. Master of Science, Interior Design, Pratt Institute. Professor Lopez-Mata has conducted research on the behavioral sciences and the psycho-social effects of design, especially on special populations such as the institutionalized and the handicapped.

Janine King: Associate Professor, Interior Design: Master of Interior Architecture, University of Oregon: Professor King is Director of the Interior Design program. Professor King specializes in workplace design and in participatory design strategies for large scale commercial, educational, and institutional projects.

Alfredo Andia: Associate professor, Architecture: PhD Architecture, UC Berkeley. Professor Andia has won awards and competitions for his creative design work. Well known for his work in digital design, professor Andia teaches theory, research methods and design studios and graduate seminars.

Jaime Canaves: Associate professor, Architecture: Master of Architecture University of Florida. Professor Canaves teaching focuses on design studio and materials and methods of construction. Professor Canaves research focuses on the interrelationship between interior design and architecture.

Jason Chandler: Tenure earning Assistant professor, Architecture: Master of Architecture, Harvard University. Chandler has won awards and competitions for his design work. His research focuses on technology and architectural form.

Marilys Nepomechie Associate Professor, Architecture: Master of Architecture, Massachusetts Institute of Technology: Professor Nepomechie teaches design studio, the integration of design and technology, and seminars on modernism in the Americas. Her design, research, and writing focus on the subject of identity and architectural form. Her current research focuses on Mid Century Hotel design.

Gray Read: Tenure earning Assistant Professor, Architecture: PhD Architecture, University of Pennsylvania. An architectural historian, she specializes in History and theory. Her research focuses on the relationship between early modern set design and theories of urban architecture.

Camilo Rosales: Associate Professor, Architecture: Master of Architecture, Harvard University. Professor Rosales specializes in theory and application within the design studio.

Juan Antonio Bueno: Professor, Landscape Architecture: Master of Landscape Architecture: Harvard University: Dean of the School of Architecture. Dean Bueno specializes in history and tropical landscape architecture.

John Stuart: Associate professor, Architecture: Master of Architecture: Columbia University. John Stuart teaches in the upper level undergraduate and graduate studio sequence at FIU. In addition to design studio, he teaches advanced undergraduate and graduate seminars. His research explores the architectural contexts of gender, film, and dynamic media.

**TABLE FOUR A**  
**Costs for Proposed Program - First and Fifth Years**

Instruction & Research	First Year 2006 -2007				Fifth Year - 2010-2011			
	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary
	Current	New			Current	New		
Position (FTE)								
Faculty	0.75	0.00	0.00	0.75	0.75	0.25	0.00	1.00
A&P	0.05	0.00	0.00	0.05	0.05	0.00	0.00	0.05
USPS	0.05	0.00	0.00	0.05	0.05	0.00	0.00	0.05
Total	0.85	0.00	0.00	0.85	0.85	0.25	0.00	1.10
Salary Rate								
Faculty	\$50,398	\$0	\$0	\$50,398	\$50,398	\$12,500	\$0	\$62,898
A&P	\$1,750	\$0	\$0	\$1,750	\$1,750	\$0	\$0	\$1,750
USPS	\$1,959	\$0	\$0	\$1,959	\$1,959	\$0	\$0	\$1,959
Total	\$54,107	\$0	\$0	\$54,107	\$54,107	\$12,500	\$0	\$66,607
I&R								
Salaries & Benefits	\$67,634	\$0	\$0	\$67,634	\$67,634	\$15,625	\$0	\$83,259
OPS Graduate Assistants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personnel Services	\$9,000	\$0	\$0	\$9,000	\$9,000	\$0	\$0	\$9,000
Expenses	\$5,000	\$0	\$0	\$5,000	\$5,000	\$0	\$0	\$5,000
Graduate Assistant Waivers	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Operating Capital Outlay	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Electronic Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Library Resources	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total I & R	\$81,634	\$0	\$0	\$81,634	\$81,634	\$15,625	\$0	\$97,259



## TABLE FOUR B

### Five Year Budget Detail

#### PROJECTED COSTS FOR PROPOSED PROGRAM

Instruction & Research	First Year 2006-2007				Second Year 2007 -2008				Third Year 2009 - 2010				Fourth Year 2010 - 2011				Fifth Year 2011 - 2012			
	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary
	Current	New			Current	New			Current	New			Current	New			Current	New		
Position (FTE)																				
Faculty	0.75			0.75	0.75			0.75	0.75	0.25		1.00	0.75	0.25		1.00	0.75	0.25		1.00
A&P	0.05			0.05	0.05			0.05	0.05			0.05	0.05			0.05	0.05			0.05
USPS	0.05			0.05	0.05			0.05	0.05			0.05	0.05			0.05	0.05			0.05
<b>Total</b>	0.85	n.a.	n.a.	0.85	0.85	n.a.	n.a.	0.85	0.85	0.25	n.a.	1.10	0.85	0.25	n.a.	1.10	0.85	0.25	n.a.	1.10
Salary Rate																				
Faculty	\$50,398			\$50,398	\$50,398			\$50,398	\$50,398	\$12,500		\$62,898	\$50,398	\$12,500		\$62,898	\$50,398	\$12,500		\$62,898
A&P	\$1,750			\$1,750	\$1,750			\$1,750	\$1,750			\$1,750	\$1,750			\$1,750	\$1,750			\$1,750
USPS	\$1,959			\$1,959	\$1,959			\$1,959	\$1,959			\$1,959	\$1,959			\$1,959	\$1,959			\$1,959
<b>Total</b>	\$54,107	n.a.	n.a.	\$54,107	\$54,107	n.a.	n.a.	\$54,107	\$54,107	\$12,500	n.a.	\$66,607	\$54,107	\$12,500	n.a.	\$66,607	\$54,107	\$12,500	n.a.	\$66,607
I&R																				
Salaries & Benefits	\$67,634	\$0	\$0	\$67,634	\$67,634	\$0	\$0	\$67,634	\$67,634	\$15,625	\$0	\$83,259	\$67,634	\$15,625	\$0	\$83,259	\$67,634	\$15,625	\$0	\$83,259
OPS Graduate Assistants				n.a.				n.a.				n.a.				n.a.				n.a.
Other Personnel Services	\$9,000			\$9,000	\$9,000			\$9,000	\$9,000			\$9,000	\$9,000			\$9,000	\$9,000			\$9,000
Expenses	\$5,000			\$5,000	\$5,000			\$5,000	\$5,000			\$5,000	\$5,000			\$5,000	\$5,000			\$5,000
Graduate Assistant Waivers				n.a.				n.a.				n.a.				n.a.				n.a.
Operating Capital Outlay				n.a.				n.a.				n.a.				n.a.				n.a.
Electronic Data Processing				n.a.				n.a.				n.a.				n.a.				n.a.
Library Resources				n.a.				n.a.				n.a.				n.a.				n.a.
Special Categories				n.a.				n.a.				n.a.				n.a.				n.a.
<b>Total I &amp; R</b>	\$81,634	n.a.	n.a.	\$81,634	\$81,634	n.a.	n.a.	\$81,634	\$81,634	\$15,625		\$97,259	\$81,634	\$15,625		\$97,259	\$81,634	\$15,625		\$97,259
Percent from Revenue Sources	100%	n.a.	n.a.	100%	100%	n.a.	n.a.	100%	84%	16%	0%	100%	84%	16%	0%	100%	84%	16%	0%	100%
Average SUS cost per FTE					\$6,752	(\$211 cr hr X 32 Hrs)														
New Program Cost per FTE				\$14,578				\$7,037				\$7,424				\$6,997				\$6,484

Notes: (1) Current General Revenue can increase in succeeding years when greater number of current faculty or greater effort of current faculty are devoted to the new program. Current General Revenue can go down if Contracts and Grants increase sufficiently to supplant some of the initial current revenue devoted to the new graduate program. (2) New General Revenue is always cumulative--i.e., new revenue in year X never becomes current revenue in year X+1. Additional revenue needs in subsequent years add to the New General Revenue total.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: MASTER OF SCIENCE IN INTERNATIONAL REAL ESTATE**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the Florida International University Board of Trustees hereby approves the Master of Science in International Real Estate and attached to this Resolution as Exhibit "Q", and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

**BACKGROUND INFORMATION:**

**STATUTORY AUTHORITY:**

**Florida Statutes 1001.74**, Powers and duties of university boards of trustees, states in part,

- (7) Each board of trustees has responsibility for the establishment and discontinuance of degree programs up to and including the master's degree level; the establishment and discontinuance of course offerings; provision of credit and noncredit educational offerings; location of classes; services provided; and dissemination of information concerning such programs and services. Approval of new programs must be pursuant to criteria established by the State Board of Education.

**EXPLANATION OF PROPOSED BOARD ACTION:**

The Jerome Bain Real Estate Institute in the Department of Finance of the College of Business Administration, seeks to offer a ***master of science in***

*international real estate (MSIRE)*. The program will enhance the graduate curriculum in the business school and build on recent advances at the University. The proposed MSIRE will enable students to prepare for successful careers in a major industry that is undergoing a unique time of growth, development and opportunity.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “Q” – REQUEST FOR AUTHORIZATION TO IMPLEMENT THE MASTER OF SCIENCE IN INTERNATIONAL REAL ESTATE
- ATTACHMENT 11 - CRITERIA FOR EVALUATING PROPOSED ACADEMIC PROGRAM, MASTER OF SCIENCE IN INTERNATIONAL REAL ESTATE
- ATTACHMENT 12 - FEASIBILITY STUDY, MASTER OF SCIENCE IN INTERNATIONAL REAL ESTATE

**FACILITATOR/PRESENTER:**

- DAVID PARKER

## Exhibit “Q”

**Florida International University  
Board of Trustees—June 29, 2005  
Request for Approval to Implement the M.S. in International Real Estate**

The Jerome Bain Real Estate Institute in the Department of Finance seeks to offer a Master of Science in International Real Estate (MSIRE). The program will enhance the graduate curriculum in the business school and build on recent advances at the University.

The proposed MSIRE will enable students to prepare for successful careers in a major industry that is undergoing a unique time of growth, development and opportunity. Students who will complete the MSIRE will have demonstrated proficiency in core finance (9 hours) and a concentrated program of specially designed real estate courses with an international emphasis (15 hours). In addition, students will be allowed to choose 2 electives (6 hours) from a group of approved courses based on career focus, for a total of 10 courses and 30 credit hours.

The curriculum will qualify graduates as true international real estate professionals. Students who receive this degree will be prepared to begin careers in the real estate industry and will be well positioned for long-term career development and advancement. This program will be the only M.S. in real estate with a true international focus, positioning FIU as a premier and unique provider of graduate real estate education.

Clientele for this program will come from graduates of FIU, other SUS universities, non-SUS institutions, foreign students, and real estate practitioners in South Florida and throughout the globe. Current strong demand for real estate courses, surveys of our advisory board, and continual communicated interest in the program provides confidence that we will have 25 students in year 1 growing to at least 50 students in year 5.

<b>Budget—Costs</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>
<b>Current E &amp; G (I &amp; R)</b>	\$118,281	\$118,281	\$118,281	\$118,281	\$118,281
<b>New E &amp; G (I &amp; R)</b>	\$161,875	\$141,875	\$184,375	\$184,375	\$184,375
<b>Total E &amp; G Cost</b>	\$280,156	\$260,156	\$302,656	\$302,656	\$302,656
<b>C&amp; G Cost</b>	0	0	0	0	0
<b>Total Costs</b>	\$280,156	\$260,156	\$302,656	\$302,656	\$302,656
<b>Projected Enrollment</b>					
<b>Head Count</b>	25	31	37	43	50
<b>FTE*</b>	23.44	29.06	34.67	40.31	46.88
<b>Budget—Expected Revenue</b>					
<b>FTE Revenue Generated</b>	\$281,133	\$348,605	\$416,077	\$483,548	\$562,266
<b>College C &amp; G Generated New</b>					

*\*Note: Program will operate as a value-added program and projected revenues outpace costs.*

Attachment 11

**The Florida International University  
Criteria for Evaluating Proposed Academic Programs  
M.S. International Real Estate**

Criteria	How Met
Fit with FIU Strategic Plan	<ul style="list-style-type: none"> <li>• The program is internationally focused</li> <li>• There are numerous publication and grant opportunities</li> <li>• The program has a legitimate chance to be nationally and internationally ranked</li> <li>• Miami has a thriving real estate market and the program will help strengthen ties to the business community</li> <li>• Increased job opportunities for students</li> </ul>
Rationale	<ul style="list-style-type: none"> <li>• The market timing for launching a real estate program is perfect. Manpower surveys suggest that one of the fastest areas of job growth will be in real estate</li> </ul>
Distinctiveness of Program	<ul style="list-style-type: none"> <li>• The only international real estate program in the US</li> <li>• Faculty ranked as top in field – Faculty Director is the Executive Director of the top academic organization and was a former industry executive</li> <li>• Ability to host top academic journal</li> <li>• Strong ties to the business community</li> </ul>
Resources	<ul style="list-style-type: none"> <li>• Qualified faculty across the University to meet teaching needs</li> <li>• Two additional faculty over next 5 years</li> <li>• Value added revenues from program implementation</li> <li>• Jerome Bain Institute resources</li> <li>• Advisory board funding</li> <li>• Naming opportunities</li> </ul>
Support	<ul style="list-style-type: none"> <li>• We have significant support from the business community including CEOs and other top executives</li> <li>• Existing real estate alumni organization</li> <li>• Existing student real estate organization</li> <li>• Advisory board – seeking 20 members at \$5,000 per year</li> <li>• Administrative support from the Institute</li> </ul>
Competition	<ul style="list-style-type: none"> <li>• The main competition in the state will come from the University of Florida, which has a strong real estate faculty and some degree of industry support.</li> <li>• Outside Florida, our other main competitor would be Georgia State University which is a top real estate program in a major southern MSA</li> </ul>
Pros	<ul style="list-style-type: none"> <li>• Reputation gains</li> <li>• Financial gains</li> <li>• Student base growth</li> </ul>
Cons	<ul style="list-style-type: none"> <li>• Requires a new hire</li> <li>• Requires a program director</li> </ul>

## Attachment 12

### **The Florida International University New Academic Program Feasibility Study M.S. International Real Estate**

#### **I. PROGRAM DESCRIPTION**

The Jerome Bain Real Estate Institute in the Department of Finance seeks to offer a Master of Science in International Real Estate (MSIRE). The program will enhance the graduate curriculum in the business school and build on recent advances at the University.

The proposed MSIRE will enable students to prepare for successful careers in a major industry that is undergoing a unique time of growth, development and opportunity. Students who will complete the MSIRE will have demonstrated proficiency in core finance (9 hours) and a concentrated program of specially designed real estate courses with an international emphasis (15 hours). In addition, students will be allowed to choose 2 electives (6 hours) from a group of approved courses based on career focus, for a total of 10 courses and 30 credit hours.

The curriculum will qualify graduates as true international real estate professionals. Students who receive this degree will be prepared to begin careers in the real estate industry and will be well positioned for long-term career development and advancement. This program will be the only M.S. in real estate with a true international focus, positioning FIU as a premiere and unique provider of graduate real estate education.

#### **II. INSTITUTIONAL MISSION**

The program is listed on the new academic program 5-year plan in the College of Business Administration.

The proposed MSIRE will contribute to achieving the goals, direction, and overall mission of the College of Business Administration and FIU. First, the program will be international in focus and will continue the tradition of the business school in providing a strong core education with applicability to an international arena. FIU also seeks to be research oriented at the Carnegie 1 level. Real estate is a relatively new academic discipline, and as such, has numerous publication opportunities. Much of this research can be funded via public and private grants, furthering FIU's efforts in this regard. The business school at FIU is continually striving for moving into the top 25. We believe, based on publications and field stature of existing faculty, that FIU has a legitimate chance to be ranked in the top 10 in real estate in 5 years of program operation.

Finally, FIU has strong existing ties to the real estate industry in the greater Miami-Dade region and the real estate industry as a whole. This program would strengthen the ties and promote strong employment opportunities for students and fundraising opportunities for the Jerome Bain Real Estate Institute, the College of Business Administration and the University.

#### **Relation to other real estate activities**

FIU, via the Jerome Bain Real Estate Institute, already offers an undergraduate program in real estate. In doing so, the institute has put processes in place that will be of great assistance to the new MSIRE. In particular, the Institute is equipped to assist career services in providing valuable internship opportunities in

local real estate firms, aiding students in job placement, creating a mentoring program that matches students with CEOs in Miami real estate firms, and supporting students through the FIU Student Real Estate Association.

#### **Relationship to other programs at FIU**

Real estate is inter-disciplinary, and draws on knowledge across many academic units. This works in multiple ways as students majoring in other subject matters could enhance their education and employment prospects by taking a minor or specialized course work in real estate. Students in the school of Architecture, Construction Management, Law, General Business, Entrepreneurship, and Hospitality Management can all benefit from this proposed program. The first graduate real estate elective was offered in the Fall 2004 semester and students from many of these programs were enrolled in the course.

#### **Planning process and timetable**

In the first stage in the development of real estate programs at FIU and laying the foundation for offering the MSIRE, the Jerome Bain Institute, under Director John Zdanowicz, developed an undergraduate real estate program. Secondly, the Institute undertook a large benchmarking study of the top master's level programs in the country. The programs included the University of California at Berkeley, Cornell University, University of Pennsylvania, Northwestern University, MIT, NYU, Ohio State University, University of Florida, the University of Wisconsin, Columbia University, and UCLA (See the attached appendix on benchmarking). The MSIRE curriculum was based on the core programs of the top schools, with the addition of the international and interdisciplinary focus. Next, in order to launch a successful program, the institute determined the need for a nationally recognized scholar. This fall, Randy I. Anderson was hired as the Ryder Eminent Scholar and charged to lead the development of the MSIRE. Dr. Anderson has been in contact with the top industry leaders in the greater Miami metropolitan area and across the globe to begin to develop a graduate program advisory board that will allow us to continually improve our program, increase linkages to industry, and also serve as a source of funding for our overall real estate activities. Randy Anderson serves as Director of the American Real Estate Society, which has a sister society, the Latin American Real Estate Society. We are currently in the planning stage of being the "home-base" of the society and hosting the first academic meeting in 2005. We are also in the process of becoming co-editors of the Journal of Real Estate Portfolio Management with Johns Hopkins University and Harvard University as soon as January 2006.

### **III. ASSESSMENT OF NEED AND DEMAND**

Students who complete the program will possess all of the skills and knowledge necessary for entry to mid-level positions in this industry, which has grown to represent a significant component of our economy. In fact, real estate accounts for over a tenth of our GDP and almost half of the wealth in the US. The program developed strikes a balance between core finance skills, international business practices, and knowledge that is specific to the industry. This will allow students to have numerous employment opportunities. This unique program will allow the graduates to be well qualified for positions in insurance companies, banks, mortgage brokerage, investment banks, brokerage firms, and REITS (Real Estate Investment Trusts). The students will be prepared for core real estate positions domestically and internationally in valuation, investments, and capital markets. Students will be prepared to perform market analysis and commercial loan analysis, act as acquisition and development officers among various other job classifications in the real estate industry.

This curriculum has been discussed and planned with senior level executives from top real estate firms. These firms include: Lehman Brothers, Vornado Realty Trust, Cushman & Wakefield, Inc., Wells Fargo Home Mortgage, SSR Realty Advisors, Prudential, Marcus & Millichap, and Pyramid Realty Advisors. This curriculum will prepare students for jobs in Miami as well as any other metropolitan area in the United States or abroad. The graduates of this program will work for large investment firms, manage portfolios, work in traditional areas of finance such as commercial banks and insurance companies, become real estate brokers and property managers, and others will become entrepreneurs. From the various companies that have been contacted, who have a need for such a graduate, total compensation packages range from \$50,000 to in excess of \$100,000. Currently there is a void in the marketplace for graduates with an academic real estate background; employers are forced to hire and train graduates from basic finance, marketing, and management programs. When reviewing the curriculum of this program, Jay Carldon from Wells Fargo stated, "that there is a real need for people who have real estate knowledge." There is a strong industry demand for the proposed real estate curriculum because of the large gap in the existing labor pool of adequately trained graduates in this area. Moreover, to date there are no other graduate programs that focus on international real estate, which is the fastest growing segment and potential employment base in this sector.

We have surveyed the board of the Jerome Bain Real Estate Institute to determine the level of industry demand for this program. The response was over-whelming, noting the need for students with a strong core real estate background that can immediately contribute to the firm. We receive e-mails and phone calls almost daily for students requesting information on the status of our graduate programs. Playing on the linkages in real estate and finance to construction, banking, insurance, and manufacturing, students will have numerous opportunities.

Current demand for real estate courses at the undergraduate and graduate level is strong and we have polled students about demand for the degree, many of whom want to take the program. Details of past enrollments are contained in the full document. We also will seek to offer joint programs as denoted in the full proposal.

#### **IV. CURRICULUM**

Total required credit hours for the MSIRE will be 30. The hours will be achieved in three phases. Phase 1 represents the core finance curriculum. Students must take 3 courses or 9 credit hours of finance. Phase 2 consists of the core real estate course work, where students will take 5 courses or 15 credit hours. The remaining courses, or Phase 3, consist of 2 student electives or 6 credit hours. These electives will be chosen based on the background of the student and career aspirations. We will add non-credit workshops in quantitative analysis and business methods for students coming into the program with non-business degrees. Upon approval, we will begin the process of achieving RICS (Royal Institute of Chartered Surveyors) accreditation. This international accreditation is currently only held by Georgia State University and MIT, both top-ranked real estate programs in the US. This level of accreditation, will allow FIU to have immediate credibility.

Below, we list the suggested courses for the program.



Title	Course Number	Credit Hours
<b>Finance Core (3)</b>		
Corporate Financial Management	FIN 6428	3
Financial Markets and Institutions	FIN 6246	3
International Finance	FIN 6636	3
<b>Subtotal</b>		9
<b>Real Estate Core (5)</b>		
Real Estate Markets, Institutions , and Practices	REE 6045	3
Real Estate Finance	REE 6200	3
Advanced Real Estate Investments & Valuation	REE 6305	3
Legal Environment of Real Estate	REE 6435	3
Seminar International Real Estate	REE 6935	3
<b>Subtotal</b>		15

Subsequently, students will choose from two electives that will need to be approved by the program director. Examples of the possible electives are shown below:

Electives (2)		
Appraisal of Real Estate	REE 6105	3
Advanced Real Estate Valuation	REE 6107	3
Reg RE Est Development	REE 6715	3
Real Estate Entrepreneurship	In Process	3
Family Business	MAN 6308	3
Construction Legal Environment	BCN 5746	3
Codes and Regulations	BCN 5766	3
Construction Financial Management	BCN 5755	3
Graduate Design 1 *	ARC 5361	6
Portfolio Management	FIN 6525	3
Global Business	MAN 6608	3
Independent Study in Real Estate	REE 6906	3
Industry Project	REE 6946	
<b>Subtotal</b>		6
<b>Grand Total</b>		30

## **V. EXCESS HOURS JUSTIFICATION: Not applicable**

## **VI. ASSESSMENT OF IMPACT ON PROGRAMS CURRENTLY OFFERED**

We believe this program to be a strong complement to existing programs across the University. As mentioned above, real estate is multi-disciplinary. As such, we expect students from all around the campus to choose specialized course work in real estate to enhance their education and career prospects. The program is unique and it is unlikely to reduce demand for other majors. However, the program has the potential to move some enrollment away from currently offered elective courses.

## **VII. STUDENT PROJECTIONS**

According to our needs assessment study, we expect (very conservatively): 25 students in the first year growing to 50 students by year 5 (See table below). We believe these numbers to be conservative and we will be able to have two cohorts beginning in the third year.

YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
25	31	37	43	50

Further support for these numbers comes from a discussion with program leaders at other universities located in thriving metropolitan areas that have recently started MS programs, for example, the University of San Diego.

## **VIII. BUDGET**

The details of the budget are outlined in Tables 4A and 4B. In addition, we created numerous revenue sources for real estate including and advisory board where each member is paying \$5,000 per year. We also are in the process of securing a multi-million dollar gift from a large real estate REIT in Miami Lakes.

## **IX. INSTITUTIONAL CAPACITY**

### *Library capacity*

The library has all the journals and data necessary to conduct a rigorous graduate program in real estate. Most of the necessary publications are available via the internet.

### *Technology capacity*

The MSIRE will not be offered on-line.

### *Space Needs*

We need faculty offices for the increased staff and faculty. We currently have offices for two faculty and multiple staff members in place. The current computer facilities and access are acceptable.

#### *Equipment Needs*

We have and will continue to need ARGUS software. The Jerome Bain Real Estate Institute has secured a site license for ARGUS at no charge, with a market value exceeding \$100,000. From a research point-of-view, we are in possession of all market data, equity and debt data, and private market data necessary to perform high-quality real estate research.

#### *Fellowships, scholarships, etc.*

The Jerome Bain Real Estate Institute has over \$60,000 available to fund scholarships in this program. These scholarships will be awarded to enhance enrollment in the MSIRE.

#### *Additional facilities and resources required for the initiation of the proposed program*

The additional facility and resource requirements are fairly modest. The library contains the majority of academic journals required for research in the field. Randy Anderson receives the other 4 major journals from being the executive director of the American Real Estate Society. The program requires no large technology changes. There exists the possibility to convert some of the courses to hybrids and we are exploring this currently at the undergraduate level. We certainly will need additional classroom space, but this should be of limited concern, as we will offer the courses at non-traditional times on Friday and Saturdays. Office space for new faculty will be needed in addition to PCs. Additionally, space for a program coordinator and one additional OPS worker will be needed to handle the increased administrative workload. We have scholarship monies available for students in the Jerome Bain Institute. Many of these costs will be more than covered via the ample fundraising opportunities and incremental revenues that the existence of this program will provide.

## **PARTICIPATING FACULTY**

Randy I. Anderson, Ryder Eminent Scholar and Professor of Real Estate Finance.  
Dr. Randy I. Anderson was the Chief Economist and Director of Research for the Marcus and Millichap Company and the William Newman Chair of Real Estate Finance at Baruch College – The City University of New York. Prior to Baruch, Randy served as an Investment Vice President at Prudential Real Estate Investors where he was responsible for asset allocations for a REIT mutual fund, economic and real estate market forecasting, and client marketing. Prior to Prudential, Randy held several academic posts, serving most recently at Seton Hall University where he headed the financial markets program. Randy has published over 50 articles in academic journals and serves as a co-editor of the Journal of Real Estate Portfolio Management and the Journal of Real Estate Literature. Randy currently serves as the Executive Director of the American Real Estate Society.

Dr. John S. Zdanowicz is a Professor of Finance and Director of the Jerome Bain Real Estate Institute at Florida International University. He was the Director of the Center for Banking and Financial Institutions and the Chairman of the Department of Finance at FIU. Dr. Zdanowicz was also the Chairman of the Department of Finance and Economics at Rochester Institute of Technology, where he was awarded the Eisenhart Outstanding Teaching Award. He earned his Ph.D. in finance from Michigan State University.

Dr. Zdanowicz has served as an expert witness for the U.S. Department of Justice and the State of Florida. He has offered training seminars for the American Institute of Banking, Rochester Telephone Corp, Miami Children's Hospital, Eastman Kodak, FIU Office of Professional Education, and the Financial Fraud Institute of the U.S. Treasury Department. He currently teaches in the International MBA program and the Executive MBA program where he earned the "Best Professor Award" and "Best Course Award." His research interests include: corporate finance, international transfer pricing, and capital market efficiency. His research has been published in the Journal of Financial and Quantitative Analysis, Real Estate Finance, Review of Quantitative Finance and Accounting, International Trade Journal, Finance India, Journal of People's Bank of China, Tax Management, Business Ethics Quarterly, Review of Financial Economics, American Association of Individual Investors Journal, and the Journal of Retail Banking. He was recently awarded a \$2 million research grant from the U.S. Treasury to continue his research on international transfer pricing. He has appeared and presented his research on ABC World News Tonight, Dateline NBC, CBS This Morning, CNBC and the BBC. Zdanowicz's research findings have also been presented at the World Bank, Brookings Institution, Federal Reserve, U.S. Customs, Multi-State Tax Commission, Federation of Tax Administrators, Financial Executive Institute, and the International Trade and Finance Association. His research has been featured in Business Week, Wall Street Journal, Journal of Commerce, Forbes, The Economist, San Francisco Chronicle, National Law Journal, Washington Post, Washington Times, Los Angeles Times, Boston Globe, and the Congressional Daily Record.

Dr. Ken Johnson will be joining the faculty in 2005 as an assistant professor. Dr. Johnson is widely published in all major real estate journals and serves as a co-editor of the Journal of Real Estate Literature. Prior to completing his Ph.D. Dr. Johnson had a successful real estate brokerage business in Montgomery, Alabama.

**TABLE FOUR A**  
**Costs for Proposed Program - First and Fifth Years**

Instruction & Research	First Year				Fifth Year			
	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary
	Current	New			Current	New		
Position (FTE)								
Faculty	0.65	0.25	0.00	0.90	0.65	0.50	0.00	1.15
A&P	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00
USPS	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50
Total	0.65	1.75	0.00	2.40	0.65	2.00	0.00	2.65
Salary Rate								
Faculty	\$94,625	\$27,500	\$0	\$122,125	\$94,625	\$57,500	\$0	\$152,125
A&P	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000
USPS	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000
Total	\$94,625	\$97,500	\$0	\$192,125	\$94,625	\$127,500	\$0	\$222,125
I&R								
Salaries & Benefits	\$118,281	\$121,875	\$0	\$240,156	\$118,281	\$159,375	\$0	\$277,656
OPS Graduate Assistants	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personnel Services	\$0	\$10,000	\$0	\$10,000	\$0	\$10,000	\$0	\$10,000
Expenses	\$0	\$20,000	\$0	\$20,000	\$0	\$10,000	\$0	\$10,000
Graduate Assistant Waivers	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Operating Capital Outlay	\$0	\$10,000	\$0	\$10,000	\$0	\$5,000	\$0	\$5,000
Electronic Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Library Resources	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total I & R	\$118,281	\$161,875	\$0	\$280,156	\$118,281	\$184,375	\$0	\$302,656

TABLE FOUR B

Five Year Budget Detail

PROJECTED COSTS FOR PROPOSED PROGRAM

Instruction & Research	First Year				Second Year				Third Year				Fourth Year				Fifth Year			
	General Revenue		Contracts	Summary	General Revenue		Contracts	Summary	General Revenue		Contracts	Summary	General Revenue		Contracts	Summary	General Revenue		Contracts	Summary
	Current	New	& Grants		Current	New	& Grants		Current	New	& Grants		Current	New	& Grants		Current	New	& Grants	
Position (FTE)																				
Faculty	0.65	0.25	0.00	0.90	0.65	0.25	0.00	0.90	0.65	0.50	0.00	1.15	0.65	0.50	0.00	1.15	0.65	0.50	0.00	1.15
A&P	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	1.00
USPS	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50	0.00	0.50
<b>Total</b>	0.65	1.75	0.00	2.40	0.65	0.00	0.00	0.65	0.65	2.00	0.00	2.65	0.65	2.00	0.00	2.65	0.65	2.00	0.00	2.65
<b>Salary Rate</b>																				
Faculty	\$94,625	\$27,500	\$0	\$122,125	\$94,625	\$27,500	\$0	\$122,125	\$94,625	\$57,500	\$0	\$152,125	\$94,625	\$57,500	\$0	\$152,125	\$94,625	\$57,500	\$0	\$152,125
A&P	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000	\$0	\$45,000
USPS	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000	\$0	\$25,000
<b>Total</b>	\$94,625	\$97,500	\$0	\$192,125	\$94,625	\$97,500	\$0	\$192,125	\$94,625	\$127,500	\$0	\$222,125	\$94,625	\$127,500	\$0	\$222,125	\$94,625	\$127,500	\$0	\$222,125
<b>I&amp;R</b>																				
Salaries & Benefits	\$118,281	\$121,875	\$0	\$240,156	\$118,281	\$121,875	\$0	\$240,156	\$118,281	\$159,375	\$0	\$277,656	\$118,281	\$159,375	\$0	\$277,656	\$118,281	\$159,375	\$0	\$277,656
OPS Graduate Assistants						\$10,000		\$10,000												
Other Personnel Services	\$0	\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000
Expenses	\$0	\$20,000	\$0	\$20,000		\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000		\$10,000	\$0	\$10,000
Graduate Assistant Waivers																				
Operating Capital Outlay	\$0	\$10,000	\$0	\$10,000	\$0	\$0	\$0	\$0	\$0	\$5,000	\$0	\$5,000	\$0	\$5,000	\$0	\$5,000	\$0	\$5,000	\$0	\$5,000
Electronic Data Processing																				
Library Resources																				
Special Categories																				
<b>Total I &amp; R</b>	\$118,281	\$161,875	\$0	\$280,156	\$118,281	\$151,875	\$0	\$270,156	\$118,281	\$184,375	\$0	\$302,656	\$118,281	\$184,375	\$0	\$302,656	\$118,281	\$184,375	\$0	\$302,656
<b>Percent from Revenue Sources</b>	42%	58%	0%	100%	44%	56%	0%	100%	39%	61%	0%	100%	39%	61%	0%	100%	39%	61%	0%	100%
Average SUS cost per FTE				\$11,680																
<b>New Program Cost per FTE</b>				\$11,953				\$9,296				\$8,725				\$7,508				\$6,457

Notes: (1) Current General Revenue can increase in succeeding years when greater number of current faculty or greater effort of current faculty are devoted to the new program. Current General Revenue can go down if Contracts and Grants increase sufficiently to supplant some of the initial current revenue devoted to the new graduate program. (2) New General Revenue is always cumulative--i.e., new revenue in year X never becomes current revenue in year X+1. Additional revenue needs in subsequent years add to the New General Revenue total.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: PH.D. IN MATERIALS SCIENCE AND ENGINEERING**

---

**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the Florida International Board of Trustees approve the Doctor of Philosophy in Materials Science and Engineering proposal as a new academic program under the College of Engineering and attached to this Resolution as Exhibit "R", and

FURTHER RESOLVED, that the University file the proposal with the Division of Colleges and Universities and submit the proposal to the Florida Board of Governors for approval.

**BACKGROUND INFORMATION:**

The Ph.D. program in Materials Science and Engineering will prepare graduates for industrial and/or academic research as well as for higher level jobs in materials related industry in one (or more) of five areas of specialization: 1) electronic materials, 2) nanotechnology, 3) metals and alloys, 4) ceramics, and 5) polymer science and biomaterials. Because a number of courses for this program already exist and are being taught by existing faculty, it is anticipated that the implementation of the program will occur immediately upon approval. A very active research program in materials science and engineering is in place at FIU, supported by four research centers within the University: the Advanced Materials Engineering Research Institute (AMERI), the Center for the Study of Matter at Extreme Conditions (CeSMEC), the Future Aerospace Science and Technology (FAST) Center and the Florida Center for Analytical Electron Microscopy (FCAEM).

**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “R” – REQUEST FOR  
AUTHORIZATION TO IMPLEMENT THE PH.D.  
IN MATERIALS SCIENCE AND ENGINEERING
- ATTACHMENT 13 - CRITERIA FOR  
EVALUATING PROPOSED ACADEMIC  
PROGRAM, PH.D. IN MATERIALS SCIENCE  
AND ENGINEERING
- ATTACHMENT 14 - FEASIBILITY STUDY, PH.D.  
IN MATERIALS SCIENCE AND ENGINEERING

**FACILITATOR/PRESENTER:**

- DAVID PARKER



## Exhibit “R”

**The Florida International University Academic Affairs  
Board of Trustees—June 29, 2005  
Request for Authorization to Propose to the Florida Board of Governors  
Ph.D. in Materials Science and Engineering**

This new program will prepare graduates for industrial and/or academic research as well as for higher level jobs in materials related industry in one (or more) of five areas of specialization: 1) electronic materials, 2) nanotechnology, 3) metals and alloys, 4) ceramics, and 5) polymer science and biomaterials. Because a number of courses for this program already exist and are being taught by existing faculty, it is anticipated that the implementation of the program will occur immediately upon approval. A very active research program in materials science and engineering is in place at FIU, supported by four research centers within the University: the Advanced Materials Engineering Research Institute (AMERI), the Center for the Study of Matter at Extreme Conditions (CeSMEC), the Future Aerospace Science and Technology (FAST) Center and the Florida Center for Analytical Electron Microscopy (FCAEM).

In Florida, the fourth largest state, surprisingly only *three* universities offer *degree programs in materials science*; (1) a complete B.S - Ph.D. program at the University of Florida in Gainesville (2) a Master’s and Ph.D. program at the University of Central Florida in Orlando, and (3) the Master's program at FIU. In comparison with other major states, Florida offers a much smaller number of M.S. and Ph.D. programs (see Table 1).

Clientele for this program will come from the graduates of FIU, other State University System (SUS) universities, non-SUS institutions, international students, as well as practicing engineers in South Florida. The nearest Ph.D. program in Materials Science and Engineering is at University of Central Florida in Orlando, too great a distance to serve the South Florida population.

Only one additional faculty will be required during the first five years of the program, although others might join programs in other disciplines and participate in the Ph.D. program in Materials Science and Engineering.

Budget—Costs	Year 1	Year 2	Year 3	Year 4	Year 5
Current E & G (I &R)	\$358,400	\$397,775	\$560,300	\$645,300	\$750,500
New E & G (I & R)	\$0	\$145,650	\$144,375	\$135,825	\$74,125
Total E & G Cost	\$358,400	\$543,425	\$704,675	\$781,125	\$824,625
C& G Cost	\$396,100	\$674,850	\$904,500	\$1,195,625	\$1,535,750
Total Costs	\$754,500	\$1,218,275	\$1,609,175	\$1,976,750	\$2,360,375
Projected Enrollment					
Head Count	14.0	25.0	35.0	45.0	50.0
FTE*	7.2	13.8	19.8	25.8	28.8
Budget—Expected Revenue					
FTE Revenue Generated	\$140,220	\$268,755	\$385,605	\$502,455	\$560,880
College C & G Generated New	\$0	\$250,000	\$500,000	\$800,000	\$1,000,000

## Attachment 13

### The Florida International University Criteria for Evaluating Proposed Academic Programs Ph.D. in Materials Science and Engineering

Criteria	How Met
Fit with FIU Strategic Plan	<ul style="list-style-type: none"> <li>Program responds to university goal of top research university</li> </ul>
Rationale	<ul style="list-style-type: none"> <li>Materials science and engineering is a key enabling technology for four of six strategic businesses targeted by the State of Florida.</li> <li>Florida, the fourth largest state, has only three universities that offer degree programs in materials science.</li> <li>Materials science and engineering is considered a major research area by all the major federal funding agencies.</li> </ul>
Distinctiveness of Program	<ul style="list-style-type: none"> <li>Faculty associated with the MSE program have been awarded over \$15 million dollars in funded research.</li> <li>Faculty with national and international reputation.</li> </ul>
Resources	<ul style="list-style-type: none"> <li>Four research Centers and one Institute with materials science and engineering as a dominant theme.</li> <li>Recent acquisition of sixteen world-class faculty.</li> <li>10,000-sq. ft. of state-of-the-art research labs, including a 2000-sq. ft. clean room, a nano-device laboratory, and analytical instrumentation support from Motorola.</li> </ul>
Support	<ul style="list-style-type: none"> <li>Graduates of FIU, other State University System (SUS) institutions, non-SUS institutions, international students, as well as practicing engineers in South Florida.</li> <li>Companies in Florida which employ scientists and engineers engaged in materials related work are: B/E Aerospace, Beckman Coulter, Boston Scientific, Camp Dresser, Caterpillar, Johnson &amp; Johnson, Earth Tech, GE, GE Medical Systems, Harris Corporation, Intersil, HP, Motorola, Northrop Grumman, and United Technologies.</li> </ul>
Competition	<ul style="list-style-type: none"> <li>UCF</li> <li>UF</li> </ul>
Pros	<ul style="list-style-type: none"> <li>Faculty have been successful in attracting outside funding.</li> <li>Strengthens multi-disciplinary graduate research.</li> <li>MSE jobs will increase approximately 10% over the next ten years, the majority requiring a graduate level degree.</li> <li>40% of the industry in South Florida is engaged in manufacturing.</li> <li>Increased Federal funding in materials and the materials dominated field of nanotechnology.</li> </ul>
Cons	<ul style="list-style-type: none"> <li>Unfavorable State budget climate.</li> </ul>

## Attachment 14

### **The Florida International University Academic Affairs New Academic Program Feasibility Study**

**Program Name:** Ph.D. in Materials Science and Engineering

**Department and College:** Mechanical and Materials Engineering  
College of Engineering

**Proposed Implementation Date:** Fall 2005 – Pending FBOE approval

## **INTRODUCTION**

### **I. Program Description**

The Ph.D. program in Materials Science and Engineering will prepare graduates for industrial and/or academic research as well as for higher level jobs in materials related industry in one (or more) of five areas of specialization: 1) electronic materials, 2) nanotechnology, 3) metals and alloys, 4) ceramics, and 5) polymer science and biomaterials. Because a number of courses for this program already exist and are being taught by existing faculty, it is anticipated that the implementation of the program will occur immediately upon approval. A very active research program in materials science and engineering is in place at FIU, supported by four research centers within the University: the Advanced Materials Engineering Research Institute (AMERI), the Center for the Study of Matter at Extreme Conditions (CeSMEC), the Future Aerospace Science and Technology (FAST) Center and the Florida Center for Analytical Electron Microscopy (FCAEM).

The Ph.D. program will require a total of 75 credit hours beyond the B.S. degree. These credits will be comprised of a minimum of 30 hours of coursework, which are part of the doctoral program and a minimum of 24 hours of dissertation taken at this University.

#### **A. Goals and Objectives**

The proposed Ph.D. program in Materials Science and Engineering will:

1. Provide highly trained professionals at the Ph.D. level in Materials Science and Engineering to serve in academic institutions, government agencies, research laboratories, and materials, manufacturing and service industries.
2. Provide “place-bound” students (many of them are minorities) a great opportunity for advanced graduate studies.
3. Supply additional minority doctoral graduates to the materials science and engineering field, where minorities are highly underrepresented.
4. Encourage FIU graduates to extend their careers into research and teaching.
5. Enhance the reputation of FIU through increased research and publications.

6. Spur new companies and support and attract high technology industries to South Florida.

### **B. Level and Emphasis**

This is a graduate program at the doctoral level for students with a baccalaureate or master's degree in Materials Science and Engineering, Mechanical Engineering, Electrical Engineering, Physics, Chemistry, Geology, or another closely related discipline. To be considered for admittance to the proposed program, the student must have a strong background in mathematics, science (in particular, physics and chemistry) and computer technology.

### **C. Clientele**

Clientele for this program will come from the graduates of FIU, other State University System (SUS) universities, non-SUS institutions, international students, as well as practicing engineers in South Florida. FIU has historically served the population base of South Florida and many of the graduate students in existing Ph.D. programs in engineering are "place-bound" students due to family or employment constraints. The nearest Ph.D. program in Materials Science and Engineering is at University of Central Florida in Orlando, too great a distance to serve the South Florida population.

In addition to the traditional sources, universities in Mexico, the Caribbean, Central America, and South America have indicated a desire for access to a Ph.D. degree program to be offered for their faculty members. Many universities in Latin America have faculty who only hold a master's degree. The demands of globalization are presenting them with many new challenges in educating their undergraduate engineering students; hence, they are in great need of providing their faculty with advanced education at the Ph.D. level. This is a great opportunity for FIU to serve as a lead institution in this area. In fact, the College has led the formation of the Latin American and Caribbean Consortium of Engineering Institutions (LACCEI) Consortium, with the explicit intent of developing collaborative links with universities in Latin America and the Caribbean. Hispanic enrollment in the proposed doctoral program from these countries and the FIU population will continue the University's trend of serving a high percentage of minority clientele.

## **READINESS**

### **II. Institutional Mission and Strength**

The M.S. degree in Materials Science and Engineering, implemented in 2002, was on the SUS Five-Year Master Plan (1998-2003). The Ph.D. program is proposed to complete the academic program in Materials Science and Engineering, which is a graduate-only, research-intensive program.

The FIU mission statement includes three key strategic themes that guide the University's development: International, Community Engagement (including Learning Opportunities, Florida and Local Economic Development, Community Health and Diversity, Arts, and Culture), and

Environmental. A program in Materials Science and Engineering is consistent with the University's strategic themes. For example, upon considering the international theme, materials processing is one of the major industries throughout the world. Environmentally friendly materials and processing technologies are the cornerstone for environmental sustainability. FIU, being a major urban research university, is located in close proximity to local industry that utilizes and develops new materials. Materials Science is leading the thrust into nanotechnology, becoming the research area that brings together the diverse talents and disciplines required for leadership in nanotechnology research. The program will help in building a bio-nanotechnology base in South Florida. It is envisioned that biomaterials development will be an area of major thrust in this program, and materials development has had a major impact on the development of a strong bio-based industry in South Florida. As new materials and applications are being discovered, life long learning and continuing education, as well as community outreach especially to the practicing engineer, are essential areas of focus (learning opportunities) for Materials Science and Engineering. The diversity of the technical workforce, especially with FIU's proven role in the education of minority engineers up to the M.S. level, will certainly be enhanced by this program. Materials and materials processing have always been associated with the arts, as demonstrated by the recent exhibition at the Wolfsonian titled "Aluminum", and materials faculty have served as a technical resource for faculty in the arts.

Materials Science and Engineering is one of the top priorities for the College of Engineering. It is an inclusive discipline that encourages participation at the Ph.D. level of students from across the fields of science, such as physics (condensed matter), chemistry, geology (mineral science) and more recently biology, and many disciplines within engineering (electrical, mechanical, and biomedical). In fact, FIU faculty for this program will come from the disciplines of electrical engineering, mechanical engineering, physics, chemistry and geology, in addition to materials science and engineering. The proposed program will also directly support a number of industries, including biomedical, electronics, aerospace, and other high tech companies through its research in new materials, processes, design and development and materials characterization, as well as through its graduates.

### **III. Program Quality – Reviews and Accreditation**

*If there have been program reviews, accreditation visits, or internal reviews in the discipline pertinent to the proposed program, or related disciplines, provide all the recommendations and summarize the University's progress in implementing the recommendations.*

There have been formal reviews of the Mechanical and Materials Engineering Department, including an internal, university-wide FIU review of the MSMSE program, Accrediting Board for Engineering and Technology (ABET) accreditation of the undergraduate program in Mechanical Engineering, and active participation in the FIU Southern Association of Colleges and Schools (SACS) accreditation. In fact, MSE faculty Dr. Wu lead the reaccreditation process for the ABET accreditation, and Dr. Jones chaired the Research component of the SACS accreditation.

## **IV. Curriculum**

- A. For all programs, provide a sequenced course of study and list the expected specific learning outcomes and the total number of credit hours for the degree. Degree programs in the science and technology disciplines must discuss how industry-driven competencies were identified and incorporated into the curriculum, as required in FS 1001.02 (6). Also indicate the number of credit hours for the required core courses, other courses, dissertation hours and the total hours for the degree.*

### **1. Course Requirements**

Applicants having a Bachelor's Degree are required to complete at least 75 credit hours, of which at least 30 hours must be coursework and 24 hours dissertation. The credit hours earned towards the Ph.D. program have the following requirements:

- At least 24-credits at the 5000 level or higher, not to include dissertation.
- At least 15-credits at the 6000 level or higher, not to include dissertation.
- 9 credits outside the listed courses for Materials Science and Engineering (per advisor permission).

Applicants having a Master's Degree in any Engineering discipline from an accredited institution may include a maximum of 30 semester hours from their previous course of study.

### **2. Qualifying Examination and Candidacy Requirements**

A student must demonstrate graduate knowledge acquisition in three incremental stages in order to be awarded a Ph.D. in Materials Science Engineering:

#### **Stage I - Qualifying Exam (QE)**

The Qualifying Examination is the general written exam to test master's level knowledge. The exam will cover materials covered in the required courses for the MSMSE. A student who is admitted to the Ph.D. program with a bachelor's degree must take the QE no later than the second term of the 2nd year after admission, and a student who enters the Ph.D. program with a master's degree must take and pass the QE no later than the 2nd term after admission. Students may petition for exceptions from the graduate student committee. A student who fails the QE may retake the QE exam only once.

#### **Stage II - Proposal Defense (PD)**

The dissertation proposal will be presented by the student in the form of a Graduate Seminar, in which he/she must submit a proposal for his/her dissertation. Students must declare their proposal subject within 6 months after taking the Qualifying Examination

### **Stage III - Final Defense (FD)**

There will be a public defense at a graduate seminar. The defense can be failed no more than once. The final defense should be presented no later than the 4th year after the master's degree and no later than the 6th year after the bachelor's degree.

Following the successful defense of the dissertation, as determined by a majority vote of the student's examining committee, the dissertation must be forwarded to the Dean of the College of Engineering and the Dean of the University Graduate School for their approval.

All dissertations submitted in fulfillment of the requirements for graduate degrees must conform to University guidelines (see "Regulations for Thesis and Dissertation Preparation"). One final and approved copy of the dissertation must be delivered to the Chairperson of the Department of Mechanical and Materials Engineering. Library copies must conform to University guidelines, also published in "Regulations for Thesis and Dissertation Preparation."

•  
B. *Describe the admission standards and graduation requirements for the program.*

- Admission Requirements

The requirements for admission to the doctoral program in Materials Science and Engineering for applicants having a Bachelor's degree in Materials Science and Engineering or in a related field, e.g. Mechanical Engineering, Electrical Engineering, Physics, Chemistry, and Geophysics from an accredited institution are the following:

- a) GPA of at least 3.0/4.0 in the last 60 credit hours attempted.
- b) GRE of at least the following minimum on the individual components: verbal  $\geq 450$ , quantitative  $\geq 650$ . Total Verbal and Quantitative  $> 1120$ .
- c) Three letters of recommendation.
- d) For foreign students whose native language is not English, a TOEFL score of at least 550 or a minimum computerized TOEFL score of 213 is required.
- e) Applicants having a Master's degree in Materials Science and Engineering from an accredited institution must also satisfy the above requirements for admissions to the doctoral program; however, a GPA of at least 3.3/4.0 in the Master's program is also required.

Credentials of all other applicants will be examined by the Graduate Admission Committee on a case-by-case basis. In addition to the departmental requirements, all students must satisfy the University's Graduate Policies and Procedures.

C. *List the accreditation agencies and learned societies that would be concerned with corresponding bachelor's or master's programs associated with the proposed program. Are the programs accredited? If not, why?*

The proposed program will complement offerings in several departments by providing additional electives to graduate students majoring in other engineering disciplines. Students may take additional courses currently being offered by other engineering disciplines. There will be no negative impact on any existing program.

ABET, the accreditation agency for engineering, does not accredit PhD programs. Mechanical Engineering, where undergraduate courses in materials science are taught as part of the curriculum in the Mechanical and Materials Department is ABET accredited and the graduate programs are part of the SACS accreditation process.

D. *Provide a one or two sentence description of each required or elective course.*

## **Materials Science and Engineering Courses**

### **Fundamentals**

EMA 5001 - Physical properties of Materials (Required core course for MSMSE)  
EMA 5106 - Thermodynamics and Kinetics of Materials (Required core course for MSMSE)  
PHZ 5405- Solid State Physics

### **Specialty Areas**

#### **Metals and Alloys**

EMA 5104 - Advanced Mechanical Properties of Materials  
EMA 6126 - Advanced Physical Metallurgy  
EMA 6127C - Advanced Physical and Mechanical Metallurgy  
EMA 6185 - Advance Mechanics of Composites  
EGM 6570 - Fracture Mechanics  
EGM 7574 - Advanced Fracture Mechanics  
EML 6233 - Fatigue and Fracture Analysis  
EMA 5295 - Principle of Composite Materials  
EMA 5XXX - Corrosion  
EMA 6XXX - Materials Processing

#### **Electronic Materials**

EMA 5XXX - Nano Electronic Materials  
EMA 6XXX - Electronic Processes in Crystalline Ceramics



EEL 6332 - Thin Film Engineering-

EEL 6315 - Advanced Solid State Electronics

PHZ 6426 - Advance Solid State Physics

Ceramics

EMA 5140 - Introduction to Ceramic Materials

EMA 6XXX - Electronic Processes in Crystalline Ceramics

EMA 6XXX - Ceramic Processing

PHZ 6XXX- Physics of Complex Oxides

Polymers

EMA 5584 - Biomaterials Science

CHM 6511 – Polymer Chemistry

EMA 6165C - Polymer Physics and Analytical Techniques

EMA 6XXX - Mechanical Properties of Polymers

EMA 6XXX - Polymer Processing

Analytical Techniques in Materials Science

EMA 5507 - Analytical Techniques in Materials Science

EMA 6516 - Crystallography and X-ray Diffraction

PHZ 6437 - Surface Physics

EMA 6XXX - Transmission Electron Microscopy

GLY 5287C - Scanning Electron Microscopy with EDS Analysis

GLY 5288C - Electron Microprobe Microanalysis with EDS Analysis

Nano structured materials

EMA 5015 - Introduction to Nanomaterials

EMA 5008 - Nanoparticle Technology

EMA 5XXX - Nano Electronic Materials

PHY 5XXX - Nanoscience

- E. Describe briefly the anticipated delivery system for the proposed program as it may relate to resources, e.g., traditional delivery on main campus; traditional delivery at branches or centers; or nontraditional instruction such as instructional technology (distance learning), self-paced instruction, and external degrees. Include an assessment of the potential for delivery of the proposed program through collaboration with other universities, both public and private. Cite specific queries made of other institutions with respect to the feasibility of shared courses utilizing distance learning technologies, and joint-use facilities for research or internships.*

The mode of delivery will be traditional delivery on the main FIU campus. Courses will also be offered utilizing distance learning technology and remote teaching, when possible. Facilities and equipment necessary for this mode of delivery are available in the Engineering Information Center and through FEEDS. All courses are expected to utilize the Internet to support teaching activities.

**V. Assessment of Current and Anticipated Faculty**

- A. *Use Table One to provide information about each existing faculty member who is expected to participate in the proposed program by the fifth year. Append to the table the number of master's theses directed, number of doctoral dissertations directed, and the number and type of professional publications for each faculty member.*

Table One highlights the existing faculty that will participate in the program. A short synopsis of the faculty members and their areas of research are presented alphabetically below. A 2-page vita is presented in Appendix D of the Ph.D. Proposal.

**Dr. Arvind Agarwal** is a tenure-track Assistant Professor of Mechanical and Materials Engineering. He received his Ph.D. from the University of Tennessee, Knoxville, and spent three years at a company on plasma processing. Dr. Agarwal has over 50 publications and his research interests are plasma processing and near net shape processing of bulk nanostructured materials, and surface engineering.

**Dr. Wongbong Choi** is a tenure-track Associate Professor of Mechanical and Materials Engineering. He received his Ph.D. from North Carolina State University and was a Senior Researcher at Samsung in Keehung, Korea, for six years prior to coming to FIU. Dr. Choi has over 60 journal publications, 15 patents granted, and 25 applied for, and invented the first vertical transistor in carbon nano-tubes. Dr. Choi has invented the CNT Field Emission Display, reported in *Science* and covered extensively by news media around the world. His research interests are nanotube and nanomaterials device application. His research in the past of more than \$1.0M/year has been supported by Samsung and the Korean government.

**Dr. Eric Crumpler** is a tenure-track Assistant Professor of Biomedical Engineering. He received his Ph.D. in Polymer Chemistry from Northwestern University and was a postdoctoral fellow at Massachusetts Institute of Technology (in Chemical/Biomedical Engineering) prior to coming to FIU. Dr. Crumpler has over 19 publications and 2 patents applied for, with research interests in nonlinear optics, bioengineering, biomaterials for drug delivery, and tissue engineering. He has had \$95,000 in past research funding from Bioheart, Inc. and NSF, and currently has \$90,000 in research funding from Bioheart, Inc. and Nanomat, Inc.

**Dr. Yesim Darici** is a tenured Associate Professor in the Department of Physics with a special interest in surface science. She has over 30 publications with research interests in condensed matter physics, with an emphasis on the structural and electronic properties of complex materials. Some of Dr. Darici's \$7,000,000 research funding has come from DOE, National Security Agency, U.S. Air Force, Department of Education, Department of Defense/Army Research Office, Department of Naval Research, and others.

**Dr. George Dulikravich** joined FIU in Fall 2003 as a tenured Professor and Chairperson for Mechanical and Materials Engineering. He received his Ph.D. degree from Cornell University. He has over 200 publications and supported research in excess of \$2,000,000. His research interests

inverse design and optimization, computational fluid dynamics, heat transfer, electro-magneto-hydrodynamics, and materials process modeling and simulation.

**Dr. W. Kinzy Jones** is a tenured Professor in Mechanical and Materials Engineering, and Director of the Advanced Materials Engineering Research Institute (AMERI). He received his Ph.D. from Massachusetts Institute of Technology and worked in industry (Cordis Corp. and C.S. Draper Laboratory) before coming to FIU. Dr. Jones has published over 80 papers, written three books in the NATO ASI Series, and four book chapters. His research over the years has exceeded \$11.5 M with support from DARPA, the USAF, NSF, and others. Dr. Jones' research interest is in microelectronic packaging.

**Dr. Sakhrat Khizroev** is a tenure-track Associate Professor in Electrical and Computer Engineering. He received his Ph.D. from Carnegie Mellon University, and has worked at Seagate Research prior to coming to FIU. He has over 60 publications and has been granted or applied for 37 patents. Dr. Khizroev's research interests include nano-scale magnetic recording, nanosystems, and nanoelectronics.

**Dr. Grover Larkins** is a tenured Professor in Electrical and Computer Engineering who has over 60 journal publications. He received his Ph.D. from Case Western Reserve University. With over \$5M in research funded by the USAF, Dr. Larkins' research interests include film microelectronics, applied superconductivity, electronic properties of materials, and device physics.

**Dr. Winzhi Li** is a tenure-track Assistant Professor in the Department of Physics. He received his Ph.D. from the Chinese Academy of Sciences Institute of Physics and Center for Condensed Matter Physics. He did his postdoctoral studies at the Chinese Academy of Sciences. He has over 50 journal publications and \$1,050,00 in funded research from NSF-NIRT.

**Dr. Norman D.H. Munroe** is a tenured Associate Professor in Mechanical and Materials Engineering and Associate Dean of Graduate Programs and Research. His research funding exceeds \$2M from various agencies including NOAA and DOE. Dr. Munroe's research interests include development of shape memory alloys, microbially induced corrosion of aluminum and steel alloys, corrosion behavior of cold and thermal spray metallic coatings, and measurement of dielectric properties of refractory composites for thermo-electronic applications.

**Dr. Surendra Saxena** is a tenured Professor in Mechanical and Materials Engineering and Director of the Center for the Study of Matter at Extreme Conditions (CeSMEC). He earned his Ph.D. at University of Uppsala, Sweden. His research interests in thermodynamics, mineral physics, and high-pressure materials science have been funded by the NSF and various other agencies in excess of \$3M.

**Dr. Frank Urban** is a tenured Associate Professor in Electrical and Computer Engineering. He received his Ph.D. from the University of Florida. His funded research exceeds \$1M from The NSF, DARPA, NSF, and other agencies. Dr. Urban's research interests include microelectronics materials and processing, optical properties of material, thin films, formation and characterization, Ionized cluster beam thin film deposition method, partially ionized beam thin film deposition method, ellipsometry for analysis of surfaces, and atomic force microscopy advanced image processing.

**Dr. Yuri Vlasov** is a tenure-earning Assistant Professor in Electrical and Computer Engineering who earned his Ph.D. degree A.F. Ioffe Physico-Technical Institute, Russian Academy of Sciences, St. Petersburg, Russia. Dr. Vlasov currently has research funding in excess of \$400,000 and has had other research funded by the USAF and NATO in excess of \$500,000. His research interests include Superconducting passive microwave device design, fabrication and experimental study of structure, composition, electrical properties of thin films, including HTSSC films, for microwave applications.

**Dr. Kuang Hsi Wu** is a tenured Professor. He received his Ph.D. from The University of Illinois at Champaign-Urbana. Dr. Wu's research interests include nanophase composites, phase transformation of solids, metallic and polymeric forms, shape memory alloys and he has over 30 publications.

**Dr. Jiandi Zhang** is a tenure-earning Assistant Professor in the Department of Physics. He received his Ph.D. from Syracuse University. Dr. Zhang has over 60 publications and his research interests are condensed matter physics with an emphasis on the correlation among structural, electronic, and magnetic properties in low-dimensional systems and complex materials. His funded research exceeds \$1.2M from the NSF and other agencies.

**Dr. Hexiong Yang** is a tenure-earning Associate Professor. He worked for the NASA Jet Propulsion Laboratory for three years and Geophysical Laboratory at Carnegie Institution of Washington for five years. He has over 50 publications. His research interests include high-temperature and high-pressure crystallography, atomic ordering, nano-materials and material characterization. His research funding from NASA, NSF, and other agencies has totaled over \$1M.

- B. *Also, use Table One to indicate whether additional faculty will be needed to initiate the program, their faculty code (i.e., A, B, C, D, or E as detailed in the lower portion of Table One), their areas of specialization, their proposed ranks, and when they would be hired. Provide in narrative the rationale for this plan; if there is no need for additional faculty, explain.*

### **Additional Faculty Needed**

The proposed faculty are all active in research and teaching in materials science related disciplines.

Only one additional faculty will be required during the first five years of the program, although others might join programs in other disciplines (especially in Chemistry in the area of polymer science and in Biomedical Engineering) and participate in the Ph.D. program in Materials Science and Engineering.

- C. *Use Table One to estimate each existing and additional faculty member's workload (in percent person-years) that would be devoted to the proposed program by the fifth year of implementation, assuming that the program is approved. (Note: this total will carry over to the summary of faculty positions on Table Four.)*

### **Anticipated Faculty Workload**

Materials Science and Engineering faculty will spend an average of 25% of their workload effort on such activities as research supervision, advising, committee participation, and teaching. The affiliated faculty members will spend 5% of their workload on research supervision, as their teaching workload is already accounted for in their academic department.

- D. *In the case of Ph.D. programs, use Table Two to compare the number of faculty, research productivity and projected number of students to at least three peer programs outside Florida. For those disciplines that are included in the National Research Council (NRC) Research- productivity and projected number of students to at least three peer programs outside Florida. Doctorate Programs in the United States and the National Science Foundation (NSF), please utilize the data from these two sources. NRC data is available on CD ROM and NSF data is available on-line at [www.nsf.gov/sbe/srs/profiles/](http://www.nsf.gov/sbe/srs/profiles/). For disciplines that are not included in these two sources, please utilize alternate sources to provide comparable data. Universities may choose to provide additional peer data comparisons that are not available from NRC or NSF, such as percent of graduate students supported by contracts and grants, and total contracts and grants for the most recent year.*

Table Two indicates that at present the number of program faculty, percent supported and percent with publications per faculty in the proposed program compare favorably with those from the University of Delaware, the University of Houston and SUNY, Stony Brook. In fact, the projected number of students in the fifth year of our program will be comparable only to SUNY's and more than that of the University of Delaware and the University of Houston.

## **VI. Assessment of Current and Anticipated Resources**

- A. *In narrative form, assess current facilities and resources available for the proposed program in the following categories:*
1. *Library capacity—Provide a copy of the official Assessment of Library Collection for this discipline and related fields, (assessment to be requested from and prepared by the Library).*

The total number of volumes related to materials engineering currently available in the FIU library is 7650.

There are a total of over 80 serials related to materials science and engineering currently available in the FIU library, which include:

Materials Research Bulletin  
Journal of the American Ceramic Society  
Advances in Biomaterials  
Biomaterials  
Materials and Corrosion  
Materials Characterization  
Journal of Applied Physics  
Applied Physics Letters  
Dental Materials  
Physical Review. B, Condensed Matter and Materials Physics.  
Progress in Structural Engineering and Materials  
Journal of Nuclear Materials  
Progress in Crystal Growth and Characterization of Materials  
Crystal Research and Technology  
Advanced Cement Based Materials  
Modeling and Simulation in Materials Science and Engineering  
Smart Materials & Structures  
Applied Composite Materials  
Journal of Materials Science  
Progress in Materials Science  
Advanced Materials  
Anti-Corrosion Methods and Materials (computer file)  
Journal of Materials Science, Materials in Electronics  
Nuclear Instruments & Methods in Physics Research. Section B, Beam Interactions  
Journal of Materials Science: Materials in Medicine  
Materials Letters  
Materials Science and Engineering  
Materials Science and Metallurgy: USSR Report  
Journal of Magnetism and Magnetic Materials  
Magnetism, Magnetic Materials and Their Applications  
Polymer  
Journal of Polymer Science  
Polymer Degradation and Stability  
Journal of the American Ceramic Society

Nanostructured Material

Physical Review. B, Condensed Matter

Journal of Engineering Materials and Technology

Journal of Composite Materials

Materials Science & Engineering. C, Biomimetic Materials, Sensors, and Systems

Materials Science & Engineering. B, Solid-State Materials for Advanced Technology

Materials Science & Engineering. A, Structural Materials

Mechanics of Materials

Progress in Crystal Growth and Characterization of Materials

Solar Energy Materials and Solar Cells

Crystal Research and Technology

Journal of Crystal Growth

Ceramic Source

Journal of Polymer Science. Polymer Symposia

Polymers Technical Activities

Ceramic Abstracts

Materials in Electronics

This list covers a majority of the major journals in the area of materials engineering. Access to other online capabilities, such as SciFinder, provides almost endless journal access and retrieval.

2. *Technology capacity*—Provide a copy of the official Assessment of Technology Capacity (assessment to be requested from and prepared by University Technology Services). Include an assessment of FIU's technological capabilities to deliver the program through distance learning as well as the potential to do so through collaboration with other universities.

The College of Engineering resides in the Engineering Center (EC), over 250,000-square-foot facility. Engineering faculty offices are currently housed in EC, as will be the new faculty in MSE. 70% of the research labs associated with faculty in MSE are located in this building. Space has also been allocated for the new faculty.

Materials research is also supported by three research Centers/Institutes within the College of Engineering. The College established a new research center, Advanced Materials Engineering Research Institute (AMERI) [www.eng.fiu.edu/ameri](http://www.eng.fiu.edu/ameri) to support the materials science program with its own recurring and non-recurring budget. AMERI and the complimentary Center for the Study of Matters at Extreme Conditions (CeSMEC, directed by Prof. Saxena) are both open-access facilities designed to facilitate research for all faculty involved in materials based research (see Facilities and Equipment for details). Prof. Dulikravich (newly-hired Chair of MME) has established a Parallel Processing Computational Facility that will devote significant amount of its resources to materials process modeling and simulation. Additionally, the U.S. Air Force funded Future Aerospace Science and Technology (FAST) Center has a complete facility for superconducting thin

film research.

Although the research in nanotechnology is in its early stages at FIU, rapid progress has been made in the past year with equipment contribution from Motorola (a complete nano-electromechanical (NEMS) fabrication lab) greatly enhancing our research facility. The university is building a state-of-the-art 10,000-sq. ft. research lab (cost of new construction, over \$2 million) for AMERI, dedicated to nanomaterials and devices research, including a 2000-sq. ft. clean room, a nano-device laboratory, and analytical instrumentation support. Through the various centers and research laboratories, FIU currently has:

- FESEM, a 200 KeV TEM, an electron microprobe and a multi-mode AFM, 4 X-ray diffractometers and Raman spectroscopy.
- Thin film deposition including laser ablation, cluster beam, sputtering, e-beam deposition, and CVD for CNT.
- High-resolution e-beam nanolithography, Focused ion beam (FIB) for nanofabrication, and optical lithography.

Plasma Forming Laboratory with diagnostics for near net shape processing of nanostructured materials.

In 1999, the ***Center for the Study of Matter at Extreme Conditions (CeSMEC)*** was started with FIU investing over \$800,000 of its own funds. To date, the Center has acquired facilities spending close to \$2 million of FIU and NSF funds. It has unique state-of-the-art high-pressure and temperature facilities to synthesize and study properties of materials over wide pressure and temperature ranges (<http://cesmec.fiu.edu>).

A recent NSF-funded project, a collaboration of CeSMEC, Rensselaer Polytechnic Institute and University of Maryland, the ***International Materials Institute*** has goals to promote international collaborations in the area of combinatorial experimental and computational research.

The ***Florida Center for Analytical Electron Microscopy (FCAEM)*** (<http://www.fiu.edu/~emlab>) was funded in 1999 by NSF. The equipment consists of a JEOL SEM and Electron Probe Micro Analyzer (EPMA). EMPA can be operated as a remote access facility from any where in the world. A similar remote access facility will be extended to SEM.

The ***Future Aerospace Science and Technology Center (FAST)*** was established from a grant from the US Air force to perform research in high temperature superconductivity and RF frequency devices. The facility has a wide range of thin film deposition equipment (laser ablation, sputtering, thermal deposition) for fabrication of high  $T_c$  superconducting thin films and cryogenic testing facilities.

3. Describe classroom, teaching laboratory, research laboratory, office, and any other type of space that is necessary and currently available for the proposed program.



Equipment and space are in place to support all teaching and research requirements of the group. A complete metallography facility has been purchased for teaching, and a full range of analytical instrumentation is available. The equipment and research infrastructure capability currently equals or exceeds all other facilities at other Florida universities. This includes a field emission SEM (one of three SEMs available for the program), 200 KeV TEM, X-ray diffraction (four different units), thermal testing (DSC, TGA, DMA, dilatometer, flash diffusivity), materials processing, mechanical properties testing (tensile (uniaxial, bi-axial, cyclic, creep), and thin film deposition (sputtering, laser ablation, ion assisted).

4. *Equipment, focusing primarily on instructional and research requirements.*

Due to extensive funded research in material science, all equipment required for the initiation of a Ph.D. program in Materials Science and Engineering is already in place.

5. *Fellowships, scholarships, graduate assistantships, and tuition waivers (List the number and amount allocated to the academic unit in question for the past year.)*

The College of Engineering provides 8 teaching assistantships to Materials Science and Engineering, which will be used to support Ph.D. students. Additionally, current research funding supports 14 research assistants in materials science and engineering.

**Table VI-1 Current and Expected Financial Support for Graduate Students**

Type of Support	Source	Level of Support 2004/05		Exp. Level of Support 2005/06	
		# of Students	Avg. Annual Amount	# of Students	Avg. Annual Amount
Teaching Assistantship	University	8 (MS)	\$15,333	8 (PhD)	\$17,000
Research Assistantship	External Funds	6 (MS)	\$15,333	8 (PhD)	\$17,000
In-State Tuition Waivers	University		\$3,583		\$4,316
Out-of-State Tuition Waivers	University		\$15,000		\$15,000

6. *Internship sites, if appropriate.*

Internships will not be required of the doctoral students. However, they may work on industry-sponsored projects and spend time at the sponsoring company's facilities. See section VII- A.3

*B. Describe additional facilities and resources required for the initiation of the proposed program (e.g., library volumes, serials, space, assistantships, specialized equipment, other expenses, OPS time, etc.). If a new capital expenditure for instructional or research space is required, indicate where this item appears on the University's capital outlay priority list. The provision of new resources will need to be reflected in the budget table (Table Four), and the source of funding indicated. Table Four includes only I&R costs. If non-I&R costs, such as indirect costs affecting libraries and student services, are expected to increase as a result of the program, describe and estimate those expenses in narrative form. It is expected that high enrollment programs, in particular, would necessitate increased costs in non-I&R activities.*

Resources are currently adequate for the implementation of the proposed program. In addition, the materials science and engineering program has and will continue to be a catalyst for research and educational enhancement university-wide. The expansion of the materials science and engineering programs as described in the proposal will have a significant impact on the following endeavors:

- The University-wide thrust into nanotechnology research
- The development of the condensed matter physics program in collaboration with the Physics Department
- An application for a Materials Research Center from NSF to establish base infrastructure for materials research
- The development of a computational materials science program in cooperation with the School of Computer Science

In subsequent years, the Department will leverage the usual funding allocations it obtains through external funding and resources already available in the following manner:

**Library:** - The Department anticipates purchasing more books and serial subscriptions at the funding level available to the Department.

**Laboratory space:** - Present lab space is sufficient for initiation of the proposed program.

**Equipment:** - Current equipment is adequate for initiation of the proposed program. As the research level increases with the implementation of the proposed doctoral program, more equipment grants, and research grants with provision for new equipment, are anticipated to purchase additional equipment.

**Assistantships:** - As indicated in Table VI-1, the Department has allocated teaching assistantships. More research assistantships for doctoral students will be available with the research grants.

## ACCOUNTABILITY

### VII. Assessment of Need and Demand

- A. *What national, state, or local data support the need for more people to be prepared in this program at this level? (This may include national, state, or local plans or reports that support the need for this program; demand for the proposed program which has emanated from a perceived need by agencies or industries in your service area; and summaries of prospective student inquiries.) Indicate potential employment options for graduates of the program. If similar programs (either private or public) exist in the state, provide data that support the need for an additional program. Summarize the outcome of communication with such programs.*

Materials science and engineering crosses many technical and industrial boundaries, as everything used is composed of materials, from microelectronics to implantable bio-devices. According to the U.S. Department of Labor, the number of material science and engineering jobs will increase approximately 10% over the next ten years, with the majority of that growth at the graduate level. The Ph.D. level employment will increase with greater emphasis on materials research and development, while the B.S. trained materials scientists and engineers will face a shrinking job market with materials manufacturing (primary metals, clay and glass products, polymers etc) shifting to off-shore manufacturing. According to Enterprise Florida's "Florida Strategic Plan for Economic Development, 2002-2006", of the six strategic businesses targeted by the State of Florida (information technology, simulation, biotechnology/health technology, optoelectronics, plastics, and aerospace/aviation), materials science and engineering is one of the key enabling technologies for the last four. Approximately 40% of the industry in South Florida is engaged in manufacturing or high technology. According to the Bureau of Labor Statistics,

*"because materials are building blocks for other goods, materials engineers are widely distributed among manufacturing industries, electronics, transportation equipment, and industrial machinery and equipment. Many materials scientists work in research and development (R&D). In basic R&D, they investigate properties, composition, and structure of matter, and the laws that govern the combination of elements and reactions of materials. In applied R&D, they create new products and processes"*<sup>a</sup>

Some of the major companies in Florida which employ scientists and engineers engaged in materials related work are: B/E Aerospace, Beckman Coulter, Boston Scientific, Camp Dresser, Caterpillar, Johnson & Johnson, Earth Tech, GE, GE Medical Systems, Harris Corporation, Intersil, HP, Motorola, Northrop Grumman, and United Technologies.

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<sup>a</sup> U.S. Department of Labor, Bureau of Labor Statistics, Occupational Outlook Handbook, Materials Engineers and Chemists and Materials Scientist Sections, [www.bls.gov](http://www.bls.gov)

In Florida, the fourth largest state, surprisingly only **three** universities offer *degree programs in materials science*; (1) a complete B.S - Ph.D. program at the University of Florida in Gainesville (2) a Master's and Ph.D. program at the University of Central Florida in Orlando, and (3) the Master's program at FIU. In comparison with other major states, Florida offers a much smaller number of

Table 1		MSE Degree Programs		
State	Pop. in Mil.	BS	MS	PhD
California	33.9	6	9	8
Texas	20.9	3	4	4
New York	19.0	4	6	4
Florida	16.0	1	3	2
Illinois	12.4	3	4	4
Pennsylvania	12.3	6	6	6
Ohio	11.4	5	6	4
Michigan	9.9	4	5	3

M.S. and Ph.D. programs (see Table 1); e.g., New York (# 3 in population) offers six MS and four Ph.D. programs, Illinois four and four, and Pennsylvania six and six. If we consider the number of M.S. and Ph.D. degrees awarded, the State of Florida will lag far behind the states in Table 1.

Materials science and engineering is considered a major research area by all the major federal funding agencies. Whereas federal funding in FY 1999 decreased 20% from 1993 funding levels for electrical and mechanical engineering, funding for materials science and engineering research increased 20% over the same period<sup>b</sup>. This trend was reflected in increased university funding support from all agencies, such as the DODS, NSF, DOE and NASA. The National Science Foundation has established a number of Materials Research Science and Engineering Centers and is currently establishing research centers in nanotechnology, a field again based on materials science and engineering. Materials science research is supported in both the Engineering Directorate (Mechanics and Materials) and Mathematics and Physical Sciences Directorate (Division of Materials research (DMR), indicating the multi-disciplinary nature of this field of science and engineering.

- B. *Use Table Three to indicate the number of students (full-time and part-time headcount and FTE) you expect to be enrolled in the proposed program during each of the first five years of implementation, categorizing them according to their primary sources. In the narrative following Table Three, the rationale for enrollment projections should be provided and the estimated headcount to FTE ratio explained. If, initially, students within the institution are expected to change majors to enroll in the proposed program, describe the shifts from disciplines, which will likely occur.*

<sup>b</sup> Observations on the President's Fiscal Year 2003 Federal Science and Technology Budget (2002), Committee on Science, Engineering, and Public Policy, National Academy of Science, National Academy of Engineering, Institute of Medicine, The National Academic Press, pg. 35-36

See Table 3. FTE productivity is estimated at an average of 0.6 per headcount or 18 credit hours per year. It is expected that full-time students will take 24 credits per year and part-time students will take 15 credits per year.

C. *Use Table Five to indicate the number of students you expect to graduate from the program in years two through seven after implementation of the program.*

A student survey showed that, although in the beginning year of M.S. program, 60% of the current Mechanical and Materials Engineering graduate students that responded would be interested in pursuing a Ph.D. in Materials Science and Engineering. The ratio of Ph.D. students to Master's level students at other Universities demonstrate a 60% average, and this average was used to project the proposed number of Ph.D. students, based on Master's level students anticipated from the Master's degree proposal. Also, the department has received over 50 inquiries from prospective students in the state, the nation, Asia, and Latin America. Finally, the department has the resources needed to support the projected enrollment. Currently, the Materials Science and Engineering faculty supports 14 research assistants, and the College provides 8 teaching assistantships to materials science and engineering MS students. Most of these assistantships will be reserved for doctoral students once this Ph.D. proposal is approved. Nationally, Materials Science and Engineering has the highest percentage of graduate students, 75% of all Materials graduate students, supported by research assistantships or fellowships of all engineering disciplines.<sup>c</sup>

D. *For all programs, indicate what steps will be taken to achieve a diverse student body in this program.*

According to ASEE Profiles (2002) and Black Issues in Higher Education (2003), FIU ranks first in the continental U.S. in Hispanic engineering Bachelor's and Master's degrees awarded. FIU also graduates a much larger percentage of African-Americans with B.S. degrees than the national average, and educates four times more female minority students than the national average. As part of the 10 year strategic plan of the College of Engineering, a major goal of the Mechanical and Materials Engineering Department is to become the leading institution in graduating minority doctoral students in Materials Science and Engineering within 10 years of the initiation of this program.

Some of the facts:

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<sup>c</sup> Survey of Graduate Students and Post doctorates in Science and Engineering, National Science Foundation, Division of Science Resources Statistics, 1999

- “From 1988 to 1998, Hispanics increased their share from 7.4 percent (of total labor force) to 10.4 percent. ... The Hispanic population has been growing and is expected to continue to grow faster than the black population.”<sup>d</sup>
- “U.S. citizens and permanent residents earned 18,005 doctorates in science and engineering in 1997. Of these, 76 percent were earned by whites, 14 percent by Asians, 4 percent by Hispanics, 3 percent by blacks, and 0.4 percent by American Indians.”<sup>e</sup>
- In 2001-2002, the State University System (SUS) of Florida awarded a total of 195 doctoral degrees in all engineering disciplines combined. Of those, only 21 were female (10.8%), 10 Hispanic (5.1%), and 1 (0.5%) African American.<sup>f</sup>
- In 2001/2002, of the total 1,646 students in College of Engineering at FIU, 242 were female (14.7%), 799 Hispanic (48.5%), and 178 African Americans (10.8%).<sup>g</sup>
- FIU is ranked #1 on the mainland U.S. in awarding Engineering Bachelor’s and Master’s degrees to Hispanics.<sup>h</sup>
- FIU is also #3 (only following the two campuses of the University of Puerto Rico) in enrolling Hispanic graduate students in science and engineering.<sup>i</sup>
- Female doctoral student enrollment at the FIU College of Engineering is 21%, 5% higher than the national average.
- 52% of the students in FIU College of Engineering are US citizens and permanent residents with an additional 25% from Latin America or the Caribbean.

As indicated from the statistics above, while the Hispanic population and workforce grew rapidly, the Hispanic doctoral recipients did not grow proportionally. For many years, FIU has been the leader in the mainland U.S. in educating Hispanic students. The proposed doctoral program would significantly increase the number of Hispanic doctoral recipients.

Based on the ethnic profile of past and current students in the Mechanical and Materials Engineering program, the proposed Ph.D. program in Materials Science and Engineering would attract significant numbers of minority students. With a student enrollment nearly 55% minority, FIU has the second largest black enrollment of any four-year college in the state and the largest Hispanic enrollment of any doctoral-granting institution in the nation.

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<sup>d</sup> Howard N. Fullerton, Jr., “Employment Outlook: 1998-2008 Labor Force Projections to 2008: Steady Growth and Changing Composition”, *Monthly Labor Review*, November 1999, pp.19~32.  
(<http://stats.bls.gov/opub/mlr/1999/11/art3full.pdf>)

<sup>e</sup> National Science Foundation, *Women, Minorities and Persons with Disabilities in Science and Engineering: 2000*  
(<http://www.nsf.gov/sbe/srs/nsf00327/start.htm>)

<sup>f</sup> State University System of Florida, Fact Book 2001-2002. (<http://www.fldcv.org>)

<sup>g</sup> State University System of Florida, Fact Book 2001-2002. (<http://www.fldcv.org>)

<sup>h</sup> Black Issues in Higher Education, Vol. 20, No. 10, Analysis of U.S. Department of Education Report

<sup>i</sup> National Science Foundation, *Women, Minorities and Persons with Disabilities in Science and Engineering: 2000*  
(<http://www.nsf.gov/sbe/srs/nsf00327/start.htm>)

## VIII. Budget

- A. Assuming no special appropriation or new Academic Affairs/University allocation for initiation of the program, how would resources within the College/School be shifted to support the new program?*

No additional faculty will be needed to initiate the program. The Materials Science and Engineering doctoral program already has an adequate number of faculty members from the University to provide a broad curriculum. The first two years of coursework for both the master's and doctoral program are essentially the same. The presence of an on-going master's program means that most of the necessary graduate courses for the doctoral students are already in place. As some of the doctoral teaching assistants will help teach lower division undergraduate courses, the faculty members may be able to devote more time toward advanced Ph.D. level courses.

The bulk of the core Materials Science and Engineering faculty will spend an average of 25% of their workload effort on such activities as research supervision, advising, committee participation, and teaching. The affiliated faculty members will spend 5% of their workload on research supervision and teaching within their own departments.

However, in order to maintain the breadth of specialization within the field and maintain a high degree of excellence in our master's and doctoral programs, one additional faculty members will be added in the third year. This additional faculty line will come in response to additional enrollment generated from the proposed program and the existing Master degree program (See Table II).

The College of Engineering will allocate additional resources from its E&G budget, which will increase as a result of enrollment growth in the program. In addition, the faculty associated with the program, already with an excellent record in obtaining grants, will continue to generate more contracts and grants to support the proposed program (See Table III).

We understand that incremental resources for this new program will not be available. Please note the following on the budget shown on the face page of this report: 1) New E&G costs associated with the program are always lower than anticipated FTE generated revenue, 2) New C&G costs associated with the program are always lower than anticipated New C&G revenue (with the exception of the first year, when current C&G revenue will be used to cover costs), and 3) an increasingly higher percentage of the total costs of the proposed program are expected to be covered through C&G funds.

- B. Use Table Four Parts A and B to display dollar estimates of both current and new resources for the proposed program for the first five years of the program. In narrative form, identify the source of both current and any new resources to be devoted to the proposed program. If other programs will be negatively impacted by a reallocation of resources for the proposed program, identify the program and provide a justification. Transfer the budget totals for years one and five to the appropriate lines in the table on the cover page.*

See Table 4. The College of Engineering will allocate additional resources from its E&G budget, which will increase as a result of enrollment growth in the program. In addition, the department, already with an excellent record in obtaining grants, will continue to generate more contracts and grants to support the proposed program.

- C. *Describe what steps have been taken to obtain information regarding resources available outside the University (businesses, industrial organizations, governmental entities, etc.). Delineate the external resources that appear to be available to support the proposed program.*

There is very strong industrial support for this program. FIU materials faculty have developed strong relationships with major companies like Motorola, Johnson and Johnson Cordis, Seagate, IBM, Samsung, Hitachi and a host of small and entrepreneurial companies, both in south Florida and nationally/internationally. These companies are also providing internship opportunities to our undergraduate students. Also, the partnership built by FIU materials faculty with leading materials research institutions such as Cornell University, Yale University, University of California San Diego, Penn State, Georgia Institute of Technology, North Carolina State University, Stony Brook University, Rennselaer Polytechnic Institute, University of Central Florida, University of Florida, university of Houston, University of Texas at Dallas and others will greatly assist the proposed program. FIU students will have opportunities to work on joint projects with researchers at these institutions, as well as visit their research facilities.

- D. *Specifically address the potential negative impacts that implementation of the proposed program will have on related undergraduate programs (i.e., shift in faculty effort, reallocation of instructional resources, reduced enrollment rates, greater use of adjunct faculty and teaching assistants) and explain what steps will be taken to mitigate any such impacts. Also discuss the potential positive impacts that the proposed program might have on related undergraduate programs (i.e., increased undergraduate research opportunities, improved quality of instruction associated with cutting edge research, improved labs and library resources).*

The proposed program will complement offerings in several departments by providing additional electives to graduate students majoring in other engineering disciplines. Students may take additional courses currently being offered by other engineering disciplines. There will be no negative impact on any existing program.

- E. *Describe any other projected impacts on related programs, such as prerequisites, required courses in other departments, etc.*

The new program will not impact any program at FAMU since FAMU/FSU does not have a MSE program, and because of the distant geographic locations of the two campuses. The Department will also work closely with The Society of Women Engineers (SWE) to promote engineering among female students and identify potential female students for the proposed program.



## IX. Productivity

*Provide evidence that the academic unit(s) associated with this new degree have been productive in teaching, research, and service. Such evidence may include trends over time for average course load, FTE productivity, student headcounts in major or service courses, degrees granted, and external funding attracted, as well as qualitative indicators of excellence.*

Current materials science and engineering educational programs include a M.S. degree program. In only its first full year of implementation, there are 16 students enrolled in the M.S. degree program.

The faculty for the Ph.D. program in Materials Science and Engineering have received numerous awards, provided a strong history in productive research and funding, and been active in service to the University and their profession. Collectively, the group has received in excess of \$6,000,000 for the past 6 years, and \$13,000,000 over their careers at FIU. The funding, as obtained from FIU division of sponsored Research (DSRT) records, for each faculty is:

	2003/200	2002/200	2001/200	2000/200	1999/200	1998/1999	Total
	4	3	2	1	0		
A. Agarwal	\$43,680						\$ 7,497
G.							
Dulikravich	\$667,828						\$ 667,828
W. Choi	\$330,000						\$ 330,000
E. Crumpler	\$38,000	\$10,000	\$10,000				\$ 58,000
W. K. Jones	\$36,000	\$48,897	\$135,187	\$480,972	\$468,210	\$321,037	\$ 1,454,303
G. Larkins		-	\$150,219	\$768,555	\$397,379	\$655,467	\$ 1,971,620
N. Munroe	\$27,000	\$50,000	\$27,000		\$ 6,000		\$ 110,000
S. Saxena	\$174,000	\$280,173	\$185,576	\$328,000	\$201,725		\$ 995,474
Y. Vlasov			\$394,635				\$ 394,635
K. Wu						\$25,000	\$ 25,000
J. Zhang		\$161,121	\$253,339	\$62,500			\$ 476,960
Annual Sum	\$1,035,828	\$507,688	\$1,128,956	\$1,640,027	\$1,073,314	\$1,001,504	\$ 6,491,317

**TABLE FOUR A**  
**Costs for Proposed Program - First and Fifth Years**

	First Year				Fifth Year			
Instruction & Research	General Revenue		Contracts	Summary	General Revenue		Contracts	Summary
	Current	New	& Grants		Current	New	& Grants	
Position (FTE)								
Faculty	1.00	0.00	0.00	1.00	1.80	0.25	0.25	2.30
A&P	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
USPS	0.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00
Total	1.00	0.00	0.00	1.00	1.80	0.25	1.25	3.30
Salary Rate								
Faculty	\$90,000	\$0	\$0	\$90,000	\$162,000	\$22,500	\$135,000	\$319,500
A&P	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
USPS	\$0	\$0	\$0	\$0	\$0	\$0	\$40,000	\$40,000
Total	\$90,000	\$0	\$0	\$90,000	\$162,000	\$22,500	\$175,000	\$359,500
I&R								
Salaries & Benefits	\$112,500	\$0	\$0	\$112,500	\$202,500	\$28,125	\$218,750	\$449,375
OPS Graduate Assistants	\$76,500	\$0	\$127,500	\$204,000	\$76,500	\$22,500	\$714,000	\$813,000
Other Personnel Services	\$0	\$0	\$75,000	\$75,000	\$0	\$0	\$135,000	\$135,000
Expenses	\$20,000	\$0	\$12,000	\$32,000	\$20,000	\$0	\$21,000	\$41,000
Graduate Assistant Waivers	\$149,400	\$0	\$30,600	\$180,000	\$149,400	\$325,600	\$245,000	\$720,000
Operating Capital Outlay	\$0	\$0	\$150,000	\$150,000	\$0	\$0	\$200,000	\$200,000
Electronic Data Processing	\$0	\$0	\$1,000	\$1,000	\$0	\$0	\$2,000	\$2,000
Library Resources	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Special Categories	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total I & R	\$358,400	\$0	\$396,100	\$754,500	\$448,400	\$376,225	\$1,535,750	\$2,360,375

TABLE FOUR B

## Five Year Budget Detail

## PROJECTED COSTS FOR PROPOSED PROGRAM

Instruction & Research	First Year				Second Year				Third Year				Fourth Year				Fifth Year			
	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary	General Revenue		Contracts & Grants	Summary
	Current	New			Current	New			Current	New			Current	New			Current	New		
Position (FTE)																				
Faculty	1.00			1.00	1.35			1.35	1.70	0.25		1.95	1.80	0.25	0.25	2.30	1.80	0.25	0.25	2.30
A&P				n.a.				n.a.				n.a.				n.a.				n.a.
USPS				n.a.				n.a.				n.a.			1.00	1.00			1.00	1.00
<b>Total</b>	1.00	n.a.	n.a.	1.00	1.35	n.a.	n.a.	1.35	1.70	0.25	n.a.	1.95	1.80	0.25	1.25	3.30	1.80	0.25	2.50	4.55
Salary Rate																				
Faculty	\$90,000			\$90,000	\$121,500			\$121,500	\$153,000	\$22,000		\$175,000	\$162,000	\$22,500	\$22,500	\$207,000	\$162,000	\$22,500	\$135,000	\$319,500
A&P				n.a.				n.a.				n.a.				n.a.				n.a.
USPS				n.a.			\$20,000	\$20,000			\$20,000	\$20,000			\$40,000	\$40,000			\$40,000	\$40,000
<b>Total</b>	\$90,000	n.a.	n.a.	\$90,000	\$121,500	n.a.	\$20,000	\$141,500	\$153,000	\$22,500	\$20,000	\$195,500	\$162,000	\$22,500	\$62,500	\$247,000	\$162,000	\$22,500	\$175,000	\$359,500
I&R																				
Salaries & Benefits	\$112,500	\$0	\$0	\$112,500	\$151,875	\$0	\$25,000	\$176,875	\$191,250	\$28,125	\$25,000	\$219,375	\$202,500	\$28,125	\$78,125	\$308,750	\$202,500	\$28,125	\$218,750	449,375
OPS Graduate Assistants	\$76,500		\$127,500	\$204,000	\$76,500	\$22,500	\$289,000	\$388,000	\$76,500	\$22,500	\$459,000	\$558,000	\$76,500	\$22,500	\$629,000	\$728,000	\$76,500	\$22,500	\$714,000	813,000
Other Personnel Services			\$75,000	\$75,000			\$75,000	\$75,000			\$75,000	\$75,000			\$75,000	\$75,000			\$135,000	135,000
Expenses	\$20,000		\$12,000	\$32,000	\$20,000		\$12,000	\$32,000	\$20,000		\$15,000	\$35,000			\$18,000	\$18,000	\$20,000		\$21,000	41,000
Graduate Assistant Waivers	\$149,400		\$30,600	\$180,000	\$149,400	\$123,150	\$72,450	\$345,000	\$149,400	\$216,900	\$128,700	\$495,000	\$149,400	\$302,100	\$193,500	\$645,000	\$149,400	\$325,600	\$245,000	720,000
Operating Capital Outlay			\$150,000	\$150,000			\$200,000	\$200,000			\$200,000	\$200,000			\$200,000	\$200,000			\$200,000	200,000
Electronic Data Processing			\$1,000	\$1,000			\$1,400	\$1,400			\$1,800	\$1,800			\$2,000	\$2,000			\$2,000	2,000
Library Resources				n.a.				n.a.				n.a.				n.a.				n.a.
Special Categories				n.a.				n.a.				n.a.				n.a.				n.a.
<b>Total I &amp; R</b>	\$358,400	n.a.	\$396,100	\$754,500	\$397,775	\$145,650	\$674,850	\$1,218,275	\$437,150	\$267,525	\$904,500	\$1,609,175	\$428,400	\$352,725	\$1,195,625	\$1,976,750	\$448,400	\$376,225	\$1,535,750	\$2,360,375
<b>Percent from Revenue Sources</b>	48%	#VALUE!	52%	100%	33%	12%	55%	100%	27%	17%	56%	100%	22%	18%	60%	100%	19%	16%	65%	100%
Average SUS cost per FTE				\$19,475																
<b>New Program Cost per FTE</b>				\$49,778				\$39,379				\$35,590				\$30,276				\$28,633

Notes: (1) Current General Revenue can increase in succeeding years when greater number of current faculty or greater effort of current faculty are devoted to the new program. Current General Revenue can go down if Contracts and Grants increase sufficiently to supplant some of the initial current revenue devoted to the new graduate program. (2) New General Revenue is always cumulative--i.e., new revenue in year X never becomes current revenue in year X+1. Additional revenue needs in subsequent years add to the New General Revenue total.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: INVESTMENT POLICY STATEMENT**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, with the enactment of the Florida K-20 Education Code (Chapters 1000 through 1013, Florida Statutes), the Florida Legislature empowered The Florida International University Board of Trustees ("the Board") with the powers previously held by the Florida State Board of Education;

WHEREAS, Section 1011.42, Florida Statutes, consistent with the devolution of powers to individual local university boards, empowered the BOT with responsibility for management of the financial affairs of the University, including the acceptance, withdrawal and investment of University funds;

WHEREAS, the BOT is an "institution" as defined in Section 1010.10, Florida Statutes (the "Act");

WHEREAS, the Act allows the University to invest its funds pursuant to a prudent investor standard and in accordance with all applicable laws, rules and regulations;

WHEREAS, the Board believes it to be in the best interest of the University to adopt the Investment Policy Statement attached as Exhibit "S" hereto and to invest University funds pursuant to a prudent investor standard and in accordance with all applicable laws, rules and regulations;

THEREFORE, BE IT RESOLVED that the Board hereby approves the University's investment of funds pursuant to the Investment Policy Statement approved herein and attached to this Resolution as Exhibit "S, " and

BE IT FURTHER RESOLVED that the Board appoints a member of the Finance and Audit Committee as its representative to the University Investment Committee and requests that Trustee report to the Board on the activities of the University Investment Committee on a quarterly basis.

**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “S” – INVESTMENT POLICY STATEMENT

**FACILITATOR/PRESENTER:**

- ROSA SUGRAÑES

Exhibit "S"

**THE OPERATING FUNDS INVESTMENT POOL**

**OF**

**FLORIDA INTERNATIONAL UNIVERSITY**

**INVESTMENT POLICY STATEMENT**

**GOALS, POLICIES AND PROCEDURES**

**June 8, 2005**

## **Purpose and scope**

This document will provide the framework for the investment management of Florida International University's operating funds investment pool (the "Fund"). Specifically, it will address:

- the general goals of the investment program
- the policies and procedures for the management of the Funds' assets
- investment guidelines (asset allocation)
- performance objectives

The philosophy incorporated herein is to allow for sufficient flexibility in the management process to capture investment opportunities as they may occur, yet set forth reasonable parameters to ensure prudence and care in the execution of the investment program.

### **I. General Investment Goals and Objectives**

The general investment goals are broad in nature to encompass the purpose of the Fund and its investments. They articulate the philosophy by which Florida International University Board of Trustees will manage the Fund's assets.

1. The overall goal of the Fund is to provide funds through a carefully planned and executed investment program necessary for regular expenses, capital expenditures and overall liquidity needs. There are both short term liquidity needs and longer term needs that allow for some incremental longer term growth of these assets. Specifically, the Fund's shall be managed with the following objectives:
  - a) Maintain the safety of the principal;
  - b) Maintain the necessary liquidity to ensure funds are available to support operational needs;
  - c) Obtain a reasonable return for a prudent level of risk
2. Florida International University seeks to produce a return on investment which is based on levels of operating liquidity needs and investment risk that are prudent and reasonable, given prevailing capital market conditions. While Florida International University recognizes the importance of the preservation of capital, it also adheres to the theory of capital market pricing which maintains that varying degrees of investment risk should be rewarded with compensating returns.

## **Policies and Procedures**

The policies and procedures of the University's investment program are intended to guide its implementation and outline the specific responsibilities of the Board of Trustees (the "BOT"), the Investment Committee, and the internal staff for the Fund.

It is the policy of Florida International University, that:

The investment of the assets of the Fund shall be based on a financial plan that will consider:

- the financial condition of Florida International University
- the expected long term capital market outlook
- Florida International University's risk tolerance
- future planned capital expenditures and cash requirements
- debt service requirements
- current and projected expenses
- inflation

The financial plan measures the potential impact of alternative investment policies in terms of risk and return based on various levels of asset diversification and the current and projected cash flows of the Fund.

### **I. Governance**

#### **Board of Trustees**

The Florida International University Board of Trustees is responsible for the oversight and approval of the investment policy for the University's operating funds portfolio. This oversight responsibility will include the final approval and any modifications to the Investment Policy of the University as written in the Investment Policy Statement (the "IPS"). This policy addresses specifics relating to:

- investment goals and objectives
- policies and procedures
- asset allocation policy targets specifying minimum and maximum ranges
- rebalancing policy
- selection of investment managers
- authorized investments

#### **Investment Committee**

The Investment Committee is a committee of the University. The Investment Committee recognizes that matters concerning the investment of the operating fund assets owned by the University merit serious attention and frequent consideration.

1. The Investment Committee will consist of: an individual designated by the Board of Trustees; the Chief Financial Officer of the University; the Treasurer of the University; and a representative from University academics.



The Investment Committee, with the guidance and recommendations of the investment consultant hired by the University, is responsible for:

- directing all of its efforts toward the investment objectives stated in the IPS
- performing at least annually a review of the investment objectives stated in the IPS
- ensuring that the objectives stated in the IPS are practical and reflect the mission of the University
- hiring an investment consultant, subject to the approval of the Board of Trustees
- implementing and monitoring the asset allocation policy
- conducting an annual formal review of the investment structure
- developing an updated financial projection a minimum of every three years
- selecting and monitoring of qualified, competent investment managers
- terminating investment managers failing to maintain acceptable quantitative (e.g. risk/return profile) and/or qualitative (e.g. organizational changes) standards
- developing and reviewing the objectives and guidelines given to each specific investment manager
- meeting at least quarterly to review the results of the investment portfolios
- determining whether the investment objectives set forth herein are being met and whether the investment guidelines are being followed
- providing the Board of Trustees with regular periodic updates of the Committee's activities and making recommendations to the Board of Trustees for matters within the Committee's area of responsibility
- providing the Board of Trustees with regular performance reports on the investment portfolios

### Staff

The staff is an integral part of the day to day requirements of the operating portfolio. The staff has the responsibility of administering and coordinating the implementation decisions made by the Investment Committee and the Board of Trustees. The staff is responsible for:

- administering the investments of the Fund at the lowest possible cost, being careful to avoid sacrificing quality
- administering the rebalancing policy
- day-to-day interaction with the investment consultant and investment managers

## **Investment Guidelines**

Investment guidelines establish parameters for the Fund and for each investment manager to follow while implementing their respective investment strategies. Guidelines address asset allocation, restricted transactions, diversification, quality and turnover.

### **I. Asset Class/Category Characteristics**

#### **Cash Equivalents**

The purpose of the cash equivalents portfolio is to provide liquidity to fund operational expenses, debt service and other short term cash needs.

#### **Fixed Income**

This asset class is intended to be representative of the overall U.S. investment grade bond market. The purpose of the fixed income portfolio is to provide a high level of current income to provide liquidity for intermediate cash flow needs and to provide diversification benefits during periods of a stock market decline.

#### **TIPS**

Treasury Inflation Protected Securities are fixed income investments in which the principal is adjusted periodically based on changes in CPI. The purpose of the TIPS portfolio is to provide fixed income like returns with the additional diversification benefits of inflation protection.

#### **Absolute Return**

This asset class is intended to be representative of a broadly diversified hedge fund strategy intended to provide an “absolute return” in any market environment with low – intermediate level of risk. This strategy is intended to provide modest return enhancement to that of fixed income with diversification benefits derived from its low correlation to other asset classes.

#### **High Yield**

This asset class is intended to be representative of the non-investment grade U.S. bond market (bonds rated BB or lower). The purpose of this fixed income portfolio is to provide a higher level of current income to compensate for the additional level of credit risk employed. The purpose of this portfolio is to provide some return enhancement and diversification benefit in order for the Fund to realize long-term growth above inflation.

#### **REITS**

This asset class is intended to be representative of the Real Estate Investment Trust market. The purpose of the REIT portfolio is to provide a higher level of current income and capital appreciation than fixed income with diversification benefits from its low correlation to both stocks and bonds.

#### **U.S. Equity**

This asset class is intended to be representative of the overall U.S. stock market. The purpose of the equity portfolio is to provide a high level of capital appreciation in order for the Fund to realize long-term growth above inflation.

#### International Equities

The purpose of the international equity portfolio is to provide exposure to equity in international developed equity markets. Exposure to international equities enhances returns of the combined equity portfolio while reducing return volatility.

## **II. Investment Pools**

Total Combined Pool - This pool is the overall combined portfolio of the Operating Funds Investment Pool. In its entirety it is intended to satisfy the overall objectives and constraints set forth in the Investment Policy Statement herein.

The Total Combined Pool is divided into three distinct pools; each pool has a different investment time horizon, investment objective, and minimum and maximum asset class allocations.

Working Capital Pool – This pool is short-term in nature, and is intended to provide for the immediate normal operating requirements of Florida International University. This pool may include certain restricted funds and therefore, will comply with any applicable state and/or federal laws, rules and regulations. It is expected that this fund in its entirety will be invested in The Florida State Treasury Investment Pool or a similar investment vehicle.

Reserve Pool – This pool encompasses a state mandated unencumbered reserve. This pool is intended to be invested over the medium-longer term.

Strategic Capital Pool – The cash needs of this portfolio are intermediate and long term in nature. Therefore, this pool is intended to be invested over the medium-term, and will provide returns commensurate with an intermediate term investment time horizon.

***\* Revenue Bonds proceeds are outside of the purview of this Investment Policy Statement and will be invested in compliance with all applicable federal and state laws, rules and regulations.***

### III. Authorized Investments

Investment guidelines establish parameters for each investment manager to follow while implementing their respective investment strategies. The following information addresses authorized investments and restrictions at the overall asset class policy level. Each underlying manager will have a specific set of guidelines that may be more restrictive than those at the overall policy level.

#### US Equity Portfolios

<b>Investment Guidelines - US Equity</b>	
<b>Authorized Investments:</b>	<b>Status</b>
Equity securities denominated in US dollars and traded on recognized US exchanges including NASDAQ	Authorized
Common and preferred Stock	Authorized
Securities convertible into common and preferred stock	Authorized
Rights and warrants	Authorized
Depository receipts	Authorized
Cash vehicle available through the trustee	Authorized
<b>Restrictions:</b>	<b>Guideline</b>
Maximum investment in an individual company	5% of account market value
Maximum ownership of an individual company's outstanding shares	10%
Maximum cash or cash equivalent position	10% of account market value
Maximum position in preferred stocks	5% of account market value
Maximum position in convertible securities	5% of account market value
Maximum position in rights and warrants	10% of account market value
Maximum position in depository receipts	10% of account market value
Margined stocks	Prohibited
Shorts sales	Prohibited
Real or personal property	Prohibited
Commodities or commodity contracts	Prohibited
Swaps, options, or other derivatives	Prohibited
Limited partnerships	Prohibited
Venture capital	Prohibited
Letter stock and other securities restricted as to public resale	Prohibited
Borrowing and/or lending funds or securities	Prohibited
Maximum position in dollar-denominated equity securities issued by non-US domiciled companies but traded on a recognized US exchange	10% of account market value
Investments with a market capitalization less than the smallest security or greater than the largest security in the Benchmark at time of purchase	Prohibited
Maximum position in investments with a market capitalization less than the smallest security or greater than the largest security in the Benchmark	5% of account market value

## Fixed Income – Investment Grade

<b>Investment Guidelines - Investment Grade Fixed Income</b>	
<b>Authorized Investments:</b>	<b>Status</b>
Fixed Income securities issued in the U.S. investment grade bond market	Authorized
Rule 144A securities with registration rights	Authorized
Non dollar securities and securities of issuers outside the U.S.	Authorized
U.S. Treasury, Agency, Eurodollar, and Swap financial futures	Authorized
Interest rate swaps	Authorized
Options on securities otherwise allowable under the guidelines	Authorized
Agency mortgage dollar rolls	Authorized
Cash vehicle through trustee	Authorized
<b>Restrictions:</b>	<b>Guideline</b>
Maximum invested in securities not paying in US dollars	10% of account market value
Maximum invested in issuers domiciled outside the US	10% of account market value
Maximum invested in non US dollar-denominated assets	10% of account market value
Cross-currency hedging	Prohibited
Rated by both S&P and Moody's (except US government and agency securities)	Required
Rated BBB-/Baa3 or higher at time of purchase	Required
Convertible securities and preferred stocks	Prohibited
Maximum position in securities not rated or rated BB+ /Ba1 or lower	5% of account market value
Collateralized securities must have a credit quality rated AAA by S&P and rated Aaa by Moody's	Required
Interest-only (IO) securities	Prohibited
Collateralized Bond Obligations, Collateralized Debt Obligations, and Collateralized Loan Obligations	Prohibited
Credit derivatives	Prohibited
Maximum per any one issuer	5% of account market value
Maximum duration exposure derived from futures, options or swaps	20%
Borrowing and/or lending of funds or securities	Prohibited
Leverage	Prohibited

## Fixed Income – High Yield

<b>Investment Guidelines - High Yield Fixed Income</b>	
<b>Authorized Investments:</b>	<b>Status</b>
Registered high yield and Rule 144A, with registration rights, fixed income securities and debt obligations issued by public, corporate, and sovereign entities	Authorized
Securities issued or guaranteed by the US government, its agencies and instrumentalities	Authorized
Forward contracts on "eligible" securities	Authorized
Common stock, preferred stock and options or warrants to purchase common or preferred stock only where included in a unit with, or attached to, fixed income securities or upon conversion of a convertible security or exercise of a warrant or option or received in a reorganization	Authorized
Convertible securities and preferred stocks, if most of their value is attributable to their yield and other fixed income features	Authorized
Cash vehicle through trustee	Authorized
<b>Restrictions:</b>	<b>Guideline</b>
Maximum position in an individual security (excluding Government securities)	5% of account market value
Maximum position in any one issuer (excluding Government securities)	5% of account market value
Maximum position in Rule 144A, with registration rights, securities	5% of account market value
Maximum position in emerging market debt (corporate or sovereign debt of countries with credit rating BB+/Ba1 or lower)	5% of account market value
Purchase of securities on margin	Prohibited
Short sales	Prohibited
Securities lending	Prohibited
Employ leverage	Prohibited
Structured securities (e.g. ABS, CMBS, CDO) except for equipment trust certificates	Prohibited
Maximum position in equipment trust certificates	5% of account market value
Investment in direct real estate or real estate mortgage loans	Prohibited
Debt issued by corporate entities involved in real estate otherwise allowed under these guidelines	Permitted
Investment in commodities or commodity contracts	Prohibited
All securities at the time of purchase must be rated single-B or higher by both S&P and Moody's (securities issued w/o rating are exempt if one can be reasonably expected within one month of issuance)	Required
Maximum invested in securities not rated single-B or higher by both S&P and Moody's and any equity securities received into the account	5% of account market value

## International Equity

<b>Investment Guidelines - International Equity</b>	
<b>Authorized Investments:</b>	<b>Status</b>
Countries represented in the MSCI EAFE benchmark	Authorized
Equity securities of companies domiciled in countries represented in the MSCI EAFE benchmark	Authorized
Common and Preferred Stock	Authorized
Securities convertible into common and preferred stock	Authorized
Rights and warrants	Authorized
Depository receipts	Authorized
Rule 144A securities	Authorized
Foreign currency and currency forwards of countries allowable under the guidelines	Authorized
International index futures contracts used solely for hedging purposes	Authorized
Cash vehicle available through the trustee	Authorized
<b>Restrictions:</b>	<b>Guideline</b>
Maximum investment in an individual company	5% of account market value
Maximum ownership of an individual company's outstanding shares	10%
Maximum cash or cash equivalent position	10% of account market value
Maximum position in preferred stocks	5% of account market value
Maximum position in convertible securities	5% of account market value
Maximum position in rights and warrants	10% of account market value
Maximum position in private placement securities eligible for resale pursuant to Rule 144A	10% of account market value
Private placements outside of Rule 144A	Prohibited
Maximum position in depository receipts	10% of account market value
Margined stocks	Prohibited
Shorts sales	Prohibited
Real or personal property	Prohibited
Commodities or commodity contracts	Prohibited
Swaps, options, or other derivatives	Prohibited
Limited partnerships	Prohibited
Venture capital	Prohibited
Letter stock and other securities restricted as to public resale	Prohibited
Foreign currency and currency forward contracts for hedging purposes	Permitted
Use of derivatives to expose more than 100% of the net assets of the account to equity securities	Prohibited
Net aggregate holdings of foreign currency exposure in excess of net assets of the account	Prohibited
Borrowing and/or lending of funds or securities	Prohibited

#### Authorized Investments – Hedge Funds

As this asset class is intended to be representative of a broadly diversified hedge fund strategy intended to provide an “absolute return” in any market environment with low – intermediate level of risk. This strategy is expected to be implemented through a fund-of-funds investment vehicle. The organization managing the fund-of-fund vehicle must be registered with the SEC. Specific investment guidelines will be reviewed and approved by the Investment Committee prior to the implementation of such an investment vehicle.

#### Commingled Investment Vehicles and/or Mutual Funds

Investment may be made in commingled vehicles and or mutual funds in which a specified set of guidelines developed for a broad number of institutions are already predetermined. It will be expected that these portfolios be managed in a manner consistent with but not specific to the specified restrictions made in this section. These guidelines will be reviewed and approved by the Investment Committee prior to the implementation of such an investment vehicle.

#### **IV. Asset Allocation Guidelines**

The long-term allocation guidelines adopted by the BOT shall be expressed in terms of a target and ranges for each asset class to provide sufficient flexibility to take advantage of shorter-term market opportunities as they may occur. The asset allocation shall be sufficiently diversified to maintain risk at a reasonable level without imprudently sacrificing return.

The target allocation to each asset class will differ between the various pools as denoted in a previous section of the IPS. The asset allocation of each of the individual investment pools and the total combined pool are summarized in **Appendix I – Asset Allocation Targets and Rebalancing Policy**.

#### **V. Manager Selection**

The Investment Committee, with the guidance and recommendations of the investment consultant, is responsible for the selection and continued monitoring of qualified, competent investment managers. The manner of procurement will be in compliance with University policy and Florida law.

#### **VI. Performance Measurement & Evaluation**

Investment objectives provide quantifiable standards to measure and evaluate the progress of both the investment pools and each individual investment manager. For the purpose of monitoring and evaluating the ongoing investment activity and results, both relative and comparative performance standards and objectives are defined.



1. **Relative standards** are used to review the return and risk at both the Pool and individual manager level. The relative standards for the pool level will represent a target policy index that will be constructed from the relative market indices weighted by the Total Fund's target allocation to each asset class. Each individual investment manager will be evaluated relative to an appropriate benchmark. An appropriate benchmark is defined as an identifiable market index or a "normal" portfolio that is constructed to replicate the manager's investment style. Benchmarks for each investment manager are identified in the Individual Manager section of this document.
2. **Comparative standards** are used to evaluate the returns of both the pool and each of its asset class components.
3. **Objectives** are established to measure the long-term (3 to 5 years) results of the Total Pool and each investment manager. The Committee must recognize the limitations of reviewing results over short-term horizons; however, current performance can serve as an early indication of the Fund's progress toward meeting the more fundamental primary objectives.

The Fund's performance objectives can be divided into two components: objectives for the overall fund and objectives for the individual portfolio components. Both levels of objectives will be incorporated into quarterly reviews of the Fund's performance.

The performance objectives for each individual investment pool and the Total Combined Pool are detailed in **Appendix II – Performance Objectives**.

## Appendix 1 – Asset Allocation Targets & Rebalancing Policy

### Asset Allocation Guidelines

The asset allocation guidelines differ between the various funds, and are summarized as follows:

	<b>Working Capital Pool</b>	<b>Strategic Capital Pool</b>	<b>Reserve Pool</b>	<b>Total Combined Pool</b>
<b>% of Total</b>	<b>40%</b>	<b>50%</b>	<b>10%</b>	<b>100%</b>
Cash Equivalents	40%	0%	0%	16%
Short - Int. Fixed Income	60%	0%	0%	24%
Fixed Income (Inv. Grade)	0%	40%	40%	24%
TIPS	0%	10%	10%	6%
High Yield	0%	10%	10%	6%
<b>Total Fixed Income</b>	<b>100%</b>	<b>60%</b>	<b>60%</b>	<b>76%</b>
<b>Absolute Return</b>	<b>0%</b>	<b>10%</b>	<b>10%</b>	<b>6%</b>
<b>REITS</b>	<b>0%</b>	<b>10%</b>	<b>10%</b>	<b>6%</b>
U.S. Equity	0%	15%	15%	9%
International Equity	0%	5%	5%	3%
<b>Total Equity</b>	<b>0%</b>	<b>20%</b>	<b>20%</b>	<b>12%</b>
<b>Total Allocation.....</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

### Asset Allocation Ranges and Rebalancing Policy

Asset allocation refers to the strategic deployment of assets among the major classes of investments such as domestic equity, fixed income and cash equivalents. The asset allocation decision reflects the Fund's return requirements as well as the Fund's tolerance for return variability (risk) within the context of the expected liabilities of the fund. Asset allocation policy is widely recognized and accepted as the primary source of return and risk for the investment program. It is used for setting the parameters for long term risk and return in order to meet the Plan's long-term financial objectives. The Board of Trustees has adopted an asset allocation policy that identifies the strategic target weights to each of the major asset classes. The tables below highlights the general asset classes approved for investment, the strategic target weights and the allowable ranges around the target weights:

**Working Capital Pool** - The Florida State Treasury Investment Pool is an appropriate investment option for this pool and would not be subject to the following rebalancing ranges.

	<b><u>Target (%)</u></b>	<b><u>Minimum (%)</u></b>	<b><u>Maximum (%)</u></b>
Cash Equivalents	40	30	50
Short Term Fixed Income	60	50	70

***Reserve Pool***

	<b><u>Target (%)</u></b>	<b><u>Minimum (%)</u></b>	<b><u>Maximum (%)</u></b>
Cash Equivalents	0	0	5
Fixed Income	40	35	45
TIPS	10	7	13
Absolute Return	10	7	13
High Yield	10	7	13
REITS	10	7	13
International Equity	5	2	8
Domestic Equity	15	12	18

***Strategic Capital Pool***

	<b><u>Target (%)</u></b>	<b><u>Minimum (%)</u></b>	<b><u>Maximum (%)</u></b>
Cash Equivalents	0	0	5
Fixed Income	40	35	45
TIPS	10	7	13
Absolute Return	10	7	13
High Yield	10	7	13
REITS	10	7	13
International Equity	5	2	8
Domestic Equity	15	12	18

***Total Combined Pool***

	<b><u>Target (%)</u></b>	<b><u>Minimum (%)</u></b>	<b><u>Maximum (%)</u></b>
Working Capital Pool	40	35	100
Strategic Capital Pool	50	0	55
Reserve Pool	10	7	20

A **Rebalancing Policy** is designed to provide a disciplined approach to control the risk exposure of the Fund to the investment categories that have deviated from the established target policy weights. Rebalancing parameters are addressed at the asset class level. The rebalancing policy requires a reallocation to be made whenever the quarter-end allocations exceed the minimum or maximum allocations specified above. Naturally occurring cash flows shall be used to the fullest extent possible to minimize transaction costs and rebalance toward policy targets.

## Appendix II – Performance Objectives

The performance objectives for the overall fund are threefold:

1. objective relative to asset allocation targets
2. objective relative to capital market assumptions
3. objective relative to inflation

The first objective results in a comparative index that reflects Florida International University's unique asset allocation policy (see example in Table 1). Exceeding this objective indicates that the active management of the various portfolio components has added value over a passively-managed fund with a similar asset mix. The second objective, to compare asset class performance to the capital market assumptions, ensures that the asset mix continues to achieve the long-term goals of the Fund. The inflation objective requires that the investment performance provide an adequate real return over the expected rate of inflation, the primary driver of costs.

Individual portfolio components also have performance objectives reflecting the unique investment style of each category. The investment style and performance benchmarks are also shown in Table 1.

**TABLE 1 -  
Five-Year Performance Objectives**

### Methodology

1. Relative to asset allocation targets, indexes that represent appropriate asset classes

Target Portfolio Weight	x	Representative cash equivalent portfolio
Target Portfolio Weight	x	Investment grade fixed income index
Target Portfolio Weight	x	TIPS index
Target Portfolio Weight	x	Absolute return benchmark
Target Portfolio Weight	x	High yield fixed income index
Target Portfolio Weight	x	REIT Index
Target Portfolio Weight	x	Broad U.S equity index
<u>Target Portfolio Weight</u>	<u>x</u>	<u>International equity index</u>
100%		Total Fund Benchmark

**Total Combined Pool** -objectives (net of all fees and costs)

Relative to asset allocation targets, index weighted by:

40%	x	Florida State Treasury Investment Pool
24%	x	Lehman Aggregate Bond Index
6%	x	Lehman TIPS Index
6%	x	CPI + 3.25% ( <i>Absolute Return benchmark</i> )
6%	x	ML High Yield Master II Index
6%	x	Wilshire REIT Index
9%	x	Dow Jones Wilshire 5000 Index (US Equity broad market)
<u>3%</u>	x	<u>MSCI EAFE (int'l developed markets)</u>
100%		Total Combined Pool Benchmark

**Working Capital Pool** -objectives (net of all fees and costs)

Relative to asset allocation targets, index weighted by:

<u>100%</u>	x	Florida State Treasury Investment Pool
100%		Working Capital Pool Benchmark

**Strategic Capital Pool** -objectives (net of all fees and costs)

Relative to asset allocation targets, index weighted by:

40%	x	Lehman Aggregate Bond Index
10%	x	Lehman TIPS Index
10%	x	CPI + 3.25% ( <i>Absolute Return benchmark</i> )
10%	x	ML High Yield Master II Index
10%	x	Wilshire REIT Index
15%	x	Dow Jones Wilshire 5000 Index (US Equity broad market)
<u>5%</u>	x	<u>MSCI EAFE (int'l developed markets)</u>
100%		Strategic Capital Pool Benchmark

**Reserve Pool** -objectives (net of all fees and costs)

Relative to asset allocation targets, index weighted by:

40%	x	Lehman Aggregate Bond Index
10%	x	Lehman TIPS Index
10%	x	CPI + 3.25% ( <i>Absolute Return benchmark</i> )
10%	x	ML High Yield Master II Index
10%	x	Wilshire REIT Index
15%	x	Dow Jones Wilshire 5000 Index (US Equity broad market)
<u>5%</u>	x	<u>MSCI EAFE (int'l developed markets)</u>
100%		Reserve Pool Benchmark

2. Relative to capital market assumptions:

(Wilshire's published assumptions, 2005)

	<b><u>Expected Return (%)</u></b> <b><u>(inflation at 2.50%)</u></b>
Cash Equivalents	3.00
Fixed Income	4.75
TIPS	4.25
Absolute Return	5.75
High Yield	6.25
REITs	7.00
U.S Equity	8.00
International Equity	8.00

3. Relative to inflation:

Total Combined Pool - 2.5% in excess of Consumer Price Index

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: PROPOSED 2005-2006 UNIVERSITY OPERATING BUDGET**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

RESOLVED that the Florida International University Board of Trustees (“the Board”) approves the 2005-2006 University Operating Budget, including the 2005-2006 Operating Budget of the FIU Foundation, Inc., as attached to this Resolution as Exhibit “T”, and

FURTHER RESOLVED that the Board delegate to the University President the authority to amend the budget to adjust to changing circumstances, including the authority to reasonably increase expenditures based on the receipt of additional funding during the operating year, and

FURTHER RESOLVED that the University President shall keep the Board informed of any changes in excess of 2% made to the total approved 2005-2006 Operating Budget during the operating year.

**BACKGROUND INFORMATION:**

**A: STATUTORY AUTHORITY:**

**SECTION 1001.75, FLORIDA STATUTES (2004), K-20 GOVERNANCE, UNIVERSITY PRESIDENTS; POWERS AND DUTIES, STATES IN RELEVANT PART:**

**1001.75, UNIVERSITY PRESIDENTS; POWERS AND DUTIES.—**THE PRESIDENT IS THE CHIEF EXECUTIVE OFFICER OF THE STATE UNIVERSITY . . . AND SHALL . . .

**(2) PREPARE A BUDGET REQUEST AND AN OPERATING BUDGET FOR APPROVAL BY THE UNIVERSITY BOARD OF TRUSTEES.**

**B: THE PROPOSED 2005-2006 UNIVERSITY BUDGET IS PRESENTED USING  
THE FOLLOWING CATEGORIES:**

Exhibit "T":

Proposed Allocations 2005-2006 by Budget Entities

- A. Overview
- B. Educational and General (E&G)
- C. Auxiliary Enterprises Proposed Budget Allocation
  - Auxiliary Detail By PCS Code
- D. Sponsored Research Proposed Budget Allocation
- E. Local Agency Fund Proposed Budget Allocation
- F. FIU Foundation Proposed Budget Allocation
- G. Capital Improvement Plan (CIP)
- H. Public Education Capital Outlay (PECO) Proposed Budget Allocation
- I. Challenge Grants Legislative Budget Allocation
- J. Capital Improvement Fee Trust Fund (CIF)

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT "T" 2005-2006 PROPOSED UNIVERSITY OPERATING BUDGET
- ATTACHMENT 15: LINE ITEM DEFINITIONS

**FACILITATOR/PRESENTER:**

- ROSA SUGRAÑES



Full Board Meeting  
Agenda Item 7  
Exhibit “T”  
29 June 2005

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section A**

**“Overview”**

# FLORIDA INTERNATIONAL UNIVERSITY

2005- 2006 Budget  
(All Budget Entities)

	Original 04-05 Budget	Forecast 04-05	Change from 04-05 Budget to 04-05 Forecast	Proposed 05-06 Budget	Change from 04-05 Forecast to 05-06 Budget
<b>Revenue / Receipts</b>					
Education and General	\$263,010,779	\$265,908,971	\$2,898,192	\$287,107,348	\$21,198,377
Auxiliary Enterprises <sup>1</sup>	\$69,334,815	\$75,071,478	\$5,736,663	\$82,022,316	\$6,950,838
Sponsored Research <sup>2</sup>	\$77,026,939	\$72,204,218	(\$4,822,721)	\$84,573,915	\$12,369,697
Student Scholarships	\$73,700,000	\$61,764,993	(\$11,935,007)	\$64,915,754	\$3,150,761
Student Loans <sup>3</sup>	\$70,830,000	\$62,120,846	(\$8,709,154)	\$70,100,000	\$7,979,154
Concessions	\$500,000	\$416,740	(\$83,260)	\$470,000	\$53,260
Intercollegiate Athletics <sup>4</sup>	\$13,072,776	\$12,513,110	(\$559,666)	\$13,381,584	\$868,474
Activities & Service <sup>5</sup>	\$8,640,000	\$8,215,180	(\$424,820)	\$9,614,077	\$1,398,897
FIU Foundation Inc. <sup>6</sup>	\$21,022,000	\$22,765,000	\$1,743,000	\$19,507,000	(\$3,258,000)
<b>Total Operating Revenues</b>	<b>\$597,137,309</b>	<b>\$580,980,536</b>	<b>(\$16,156,773)</b>	<b>\$631,691,994</b>	<b>\$50,711,458</b>
<b>Expenses</b>					
Education and General	\$263,010,779	\$265,462,664	\$2,451,885	\$286,689,089	\$21,226,425
Auxiliary Enterprises	\$67,665,900	\$73,167,178	\$5,501,278	\$76,435,182	\$3,268,004
Sponsored Research	\$77,026,939	\$74,360,164	(\$2,666,775)	\$80,698,893	\$6,338,729
Student Scholarships <sup>7</sup>	\$72,610,109	\$63,994,328	(\$8,615,781)	\$64,915,754	\$921,426
Student Loans <sup>3</sup>	\$70,240,000	\$62,120,846	(\$8,119,154)	\$70,100,000	\$7,979,154
Concessions	\$520,000	\$416,462	(\$103,538)	\$468,000	\$51,538
Intercollegiate Athletics <sup>4</sup>	\$4,449,888	\$8,788,848	\$4,338,960	\$13,303,184	\$4,514,336
Activities & Service <sup>5</sup>	\$2,771,511	\$4,880,235	\$2,108,724	\$5,076,426	\$196,191
FIU Foundation Inc.	\$9,041,000	\$7,508,000	(\$1,533,000)	\$11,930,000	\$4,422,000
<b>Total Operating Expenses</b>	<b>\$567,336,126</b>	<b>\$560,698,725</b>	<b>(\$6,637,401)</b>	<b>\$609,616,528</b>	<b>\$48,917,803</b>
<b>Change in Net Assets</b>	<b>\$29,801,183</b>	<b>\$20,281,811</b>	<b>(\$9,519,372)</b>	<b>\$22,075,466</b>	<b>\$1,793,655</b>
<b>Carry Forward<sup>8</sup></b>					
Prior Years Available Funds	\$4,000,000	\$5,176,967	\$1,176,967	\$2,849,348	(\$2,327,619)
2003 -2004 Available Funds	\$3,000,000	\$6,223,544	\$3,223,544	\$0	(\$6,223,544)
2004 -2005 Available Funds	\$0	\$0	\$0	\$446,307	\$446,307
Expenditures	\$7,000,000	\$8,551,163	\$1,551,163	\$0	(\$8,551,163)
<b>Net Available Carry Forward</b>	<b>\$0</b>	<b>\$2,849,348</b>	<b>\$2,849,348</b>	<b>\$3,295,655</b>	<b>\$446,307</b>
<b>Capital Funding</b>					
Public Education Capital Outlay	\$21,306,151	\$21,306,151	\$0	\$26,885,344	\$5,579,193
Capital Improvement Fee Trust Fund (CIF) <sup>9</sup>	\$0	\$0	\$0	\$12,563,527	\$12,563,527
Challenge Grants <sup>10</sup>	\$5,482,323	\$5,482,323	\$0	\$4,857,283	(\$625,040)
<b>Total Capital Funding</b>	<b>\$26,788,474</b>	<b>\$26,788,474</b>	<b>\$0</b>	<b>\$44,306,154</b>	<b>\$17,517,680</b>

## General Notes:

This Budget schedule is presented on a modified accrual basis due to State reporting requirements and internal accounting procedures and will not tie to interim or year end financial statements on a full accrual basis.

<sup>1</sup> The Original BOT Approved 04-05 Budget of \$75.3M is being reduced by \$6M. The revenue figure of \$75.3M presented in June of 2004 included \$3.2M in Activity & Service fees in error that were also included in the Activity and Service Fund as well as \$2.8M of Panther Carc deposits .

<sup>2</sup> The decrease in C&G revenue billing activity for 04-05 was due to Peoplesoft conversion and post award restructuring challenges. The projected revenue increase of \$12.4M from 04-05 to 05-06 is due to \$10.4M in new grant activity, and \$2M from a one time billing efficiency improvement. Expenditures include Financial Aid disbursements related to Sponsored Research awards.

<sup>3</sup> Student Loans represent funds passing from 3rd parties to students where the University is acting as an agent only.

<sup>4</sup> Forecasted 04-05 revenues are lower than anticipated and expenses have been managed to this lower source of funds. The original 04-05 Budget did not anticipate the reclassification of Payroll Expense of \$4.1M previously paid out of Sponsored Research. This reclassification aligns the expenses with the related revenue. The increase in 05-06 expenses are primarily driven by the inclusion of \$4.3M in scholarships previously paid from the Student Scholarships Fund in 04-05.

<sup>5</sup> Forecasted 04-05 revenues are lower than anticipated and expenses have been managed to this lower source of funds. The original 04-05 Budget did not anticipate the reclassification of Payroll Expenses from Sponsored Research. This reclassification aligns the expenses with the related revenue. Expenditures are higher in 05-06 due to the expansion of two recreational centers, one on each Campus. 05-06 Revenue targets are contingent on the approval of the A&S fee increase of \$1.38 from \$9.14 to \$10.52 per student credit hour. The difference between Revenues and Expenditures for 05-06 of \$4.5M consists of \$4.2M of cash transfers-out funding mainly comprised of, \$1.4M Graham Center, \$1.0M BBC Student Center, \$1.3M UP Recreational Sports, and \$.5M BBC Recreational Sports.

<sup>6</sup> Foundation Board of Directors met on May 18, 2005 and approved the FIU Foundation Inc. budget as shown. Challenge Grants represent donor funding matched by the state and are included in both the FIU Foundation Inc. Operating Revenues and Capital Funding. Donor funding is a source of funds rather than a revenue generating activity.

<sup>7</sup> The Student Scholarships operating loss of \$2.2M in 04-05 is due to non-need:merit based over commitments.

<sup>8</sup> Carry Forward applies exclusively to E&G funds. The Original Budget 04-05 figures represent the estimated unencumbered available balance on June 30, 2004. 04-05 Forecast includes actual 03-04 Carryforward of \$4.2M and \$2M of 04-05 mid year Carryforward. Proposed 05-06 Budget figures represent the estimated unencumbered available balance on June 30, 2005 including \$1M of PeopleSoft HR system and \$1.6M of CHUA FF&E expenditures that have not been incurred.

<sup>9</sup> CIF funds are generated by the \$2.32 per SCH fee charged to each student. These funds are held by the state and distributed every three to four years to the University's based on their SCH's and are used exclusively for capital building projects.

<sup>10</sup> Challenge Grants are included in the FIU Foundation Inc. Operating Revenues and have been listed separately for information purposes.

Full Board Meeting  
Agenda Item 7  
Exhibit “T”  
29 June 2005

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section B**

**“Educational and General (E&G)”**

**FLORIDA INTERNATIONAL UNIVERSITY**  
**E & G**  
Revenues and Expenses  
2005 - 2006

	<b>Original 04-05 Budget</b>	<b>Forecast <sup>1</sup> 04-05</b>	<b>Proposed 05-06 Budget</b>	<b>Change from 04- 05 Forecast to 05-06 Budget</b>
<b>Revenues</b>				
General Revenue	\$162,215,318	\$165,113,510	\$177,244,335	\$12,130,825
Educational Enhancement	\$12,249,129	\$12,249,129	\$14,116,547	\$1,867,418
Student Fee	\$88,546,332	\$88,546,332	\$95,746,466	\$7,200,134
<b>Total Revenues</b>	<b>\$263,010,779</b>	<b>\$265,908,971</b>	<b>\$287,107,348</b>	<b>\$21,198,377</b>
<b>Expenses</b>				
Permanent Salaries	\$183,614,709	\$181,812,178	\$183,667,924	\$1,855,746
OPS Payroll	\$28,349,948	\$23,006,040	\$21,429,247	(\$1,576,793)
Other Capital Outlays <sup>2</sup>	\$0	\$13,897,316	\$13,040,621	(\$856,695)
Expense	\$51,046,122	\$46,747,130	\$62,281,083	\$15,533,952
<b>Sub-Total</b>	<b>\$263,010,779</b>	<b>\$265,462,664</b>	<b>\$280,418,875</b> <sup>3</sup>	<b>\$14,956,211</b>
<b>Other</b>				
Salary Increases (3.6%)			\$5,065,901	\$5,065,901
Salary Increases (continuation)			\$1,204,313	\$1,204,313
<b>Sub-Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$6,270,214</b>	<b>\$6,270,214</b>
<b>Total Expenses</b>	<b>\$263,010,779</b>	<b>\$265,462,664</b>	<b>\$286,689,089</b>	<b>\$21,226,425</b>
<b>Total Unallocated</b>	<b>\$0</b>	<b>\$446,307</b>	<b>\$418,259</b>	<b>(\$28,048)</b>

**Notes:**

<sup>1</sup> 04-05 Forecast includes amendments from the State

<sup>2</sup> Other Capital Outlays were budgeted as part of Other Operating Expense in 04-05

Final decision on SI distribution pending, preliminary distribution of \$2M to Academic Affairs and \$1M to UTS included in

<sup>3</sup> Other Operating Expenses

**Florida International University**  
**2005 - 2006 E & G Total Revenue Growth**  
By Fund

	<b>General Revenue</b>	<b>Educational Enhancement</b>	<b>Student Fee</b>	<b>Total</b>
<b>2004 - 2005 Original Budget</b>	<b>\$162,215,318</b>	<b>\$12,249,129</b>	<b>\$88,546,332</b>	<b>\$263,010,779</b>
Amendments				
Risk Management Insurance Adjustment	(\$258,560)			(\$258,560)
Health Insurance Increase	\$875,354			\$875,354
Salary Bonuses	\$2,281,398			\$2,281,398
<b>Total Amendments</b>	<b>\$2,898,192</b>	<b>-</b>	<b>-</b>	<b>\$2,898,192</b>
<b>2004 - 2005 Adjusted Budget</b>	<b>\$165,113,510</b>	<b>\$12,249,129</b>	<b>\$88,546,332</b>	<b>\$265,908,971</b>
Non-Recurring Items				
Salary Bonuses	(\$2,281,398)			(\$2,281,398)
<b>Total Non-Recurring Items</b>	<b>(\$2,281,398)</b>	<b>-</b>	<b>-</b>	<b>(\$2,281,398)</b>
<b>2005 - 2006 Adjusted Recurring Base Budget</b>	<b>\$162,832,112</b>	<b>\$12,249,129</b>	<b>\$88,546,332</b>	<b>\$263,627,573</b>
<b>2005 - 2006 New Funds</b>				
Enrollment Growth	\$5,142,301	\$1,867,418	\$7,200,134	\$14,209,853
Phased - In Space (Physical Plant Operations and Maint.)	\$306,046			\$306,046
New Space (Physical Plant Operations and Maint.)	\$539,853			\$539,853
Health Insurance Increase (04-05 annualization)	\$875,354			\$875,354
Retirement Rate Adjustment	\$294,337			\$294,337
Urban Reading Research	\$50,000			\$50,000
Life Sciences Initiative	\$376,554			\$376,554
Columbian Studies Institute	\$50,000			\$50,000
Residency Training Expansion	\$1,000,000			\$1,000,000
<b>Additional Estimated 2005 - 2006 Allocations</b>				
Salary Increases (3.6%) <sup>1</sup>	\$5,777,778			\$5,777,778
<b>Total Incremental Dollars</b>	<b>\$14,412,223</b>	<b>\$1,867,418</b>	<b>\$7,200,134</b>	<b>\$23,479,775</b>
<b>2005 - 2006 Base Budget</b>	<b>\$177,244,335</b>	<b>\$14,116,547</b>	<b>\$95,746,466</b>	<b>\$287,107,348</b>

**Notes:**

<sup>1</sup> Estimated based on June 2004 Payroll File

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005-06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004-05 Forecast
<b>Academic Affairs</b>						
	Permanent Salaries and Benefits	\$141,848,941	\$141,682,560	\$142,144,999	\$462,439	0%
	OPS Payroll	\$21,549,255	\$18,454,373	\$18,254,373	(\$200,000)	-1%
	OCO	\$0	\$12,293,397	\$12,293,397	\$0	0%
	Other Operating Expenses	<u>\$22,161,723</u>	<u>\$16,107,258</u>	<u>\$25,026,608</u>	<u>\$8,919,350</u>	<u>55%</u>
	<b>Total</b>	<b>\$185,559,919</b>	<b>\$188,537,588</b>	<b>\$197,719,377</b>	<b>\$9,181,789</b>	<b>5%</b>
<b>Division of Administration</b>						
	Permanent Salaries and Benefits	\$12,523,197	\$13,333,071	\$13,684,869	\$351,798	3%
	OPS Payroll	\$3,486,016	\$658,686	\$342,193	(\$316,493)	-48%
	OCO	\$0	\$7,518	\$20,000	\$12,482	166%
	Other Operating Expenses	<u>\$15,750,786</u>	<u>\$19,877,495</u>	<u>\$22,481,418</u>	<u>\$2,603,923</u>	<u>13%</u>
	<b>Total</b>	<b>\$31,759,999</b>	<b>\$33,876,770</b>	<b>\$36,528,479</b>	<b>\$2,651,710</b>	<b>8%</b>
<b>Division Of Finance</b>						
	Permanent Salaries and Benefits	\$4,780,460	\$4,391,638	\$4,393,182	\$1,544	0%
	OPS Payroll	\$413,393	\$448,355	\$494,778	\$46,423	10%
	OCO	\$0	\$6,634	\$6,000	(\$634)	-10%
	Other Operating Expenses	<u>\$725,187</u>	<u>\$429,399</u>	<u>\$439,020</u>	<u>\$9,621</u>	<u>2%</u>
	<b>Total</b>	<b>\$5,919,040</b>	<b>\$5,276,026</b>	<b>\$5,332,980</b>	<b>\$56,954</b>	<b>1%</b>
<b>Executive Administration</b>						
	Permanent Salaries and Benefits	\$3,576,198	\$3,428,283	\$3,456,985	\$28,702	1%
	OPS Payroll	\$407,964	\$326,492	\$318,506	(\$7,986)	-2%
	OCO	\$0	\$15,027	\$9,000	(\$6,027)	-40%
	Other Operating Expenses	<u>\$921,052</u>	<u>\$1,047,078</u>	<u>\$1,027,592</u>	<u>(\$19,486)</u>	<u>-2%</u>
	<b>Total</b>	<b>\$4,905,214</b>	<b>\$4,816,880</b>	<b>\$4,812,083</b>	<b>(\$4,797)</b>	<b>0%</b>
<b>Human Resources</b>						
	Permanent Salaries and Benefits	\$1,878,781	\$2,340,328	\$2,433,829	\$93,501	4%
	OPS Payroll	\$234,726	\$52,701	\$92,600	\$39,899	76%
	OCO	\$0	\$40,373	\$0	(\$40,373)	-100%
	Other Operating Expenses	<u>\$634,420</u>	<u>\$571,682</u>	<u>\$504,755</u>	<u>(\$66,927)</u>	<u>-12%</u>
	<b>Total</b>	<b>\$2,747,927</b>	<b>\$3,005,084</b>	<b>\$3,031,184</b>	<b>\$26,100</b>	<b>1%</b>
<b>Student Affairs</b>						
	Permanent Salaries and Benefits	\$3,023,281	\$3,072,772	\$2,988,397	(\$84,375)	-3%
	OPS Payroll	\$141,449	\$697,301	\$636,851	(\$60,450)	-9%
	OCO	\$0	\$0	\$0	\$0	0%
	Other Operating Expenses	<u>\$1,058,638</u>	<u>\$525,439</u>	<u>\$721,595</u>	<u>\$196,156</u>	<u>37%</u>
	<b>Total</b>	<b>\$4,223,368</b>	<b>\$4,295,512</b>	<b>\$4,346,843</b>	<b>\$51,331</b>	<b>1%</b>
<b>University Advancement</b>						
	Permanent Salaries and Benefits	\$4,042,109	\$3,817,154	\$3,939,065	\$121,912	3%
	OPS Payroll	\$399,802	\$228,317	\$220,906	(\$7,411)	-3%
	OCO	\$0	\$17,116	\$7,000	(\$10,116)	-59%
	Other Operating Expenses	<u>\$1,154,087</u>	<u>\$1,320,468</u>	<u>\$1,224,515</u>	<u>(\$95,953)</u>	<u>-7%</u>
	<b>Total</b>	<b>\$5,595,998</b>	<b>\$5,383,055</b>	<b>\$5,391,486</b>	<b>\$8,432</b>	<b>0%</b>
<b>UTS</b>						
	Permanent Salaries and Benefits	\$11,941,742	\$9,746,372	\$10,626,598	\$880,226	9%
	OPS Payroll	\$1,717,343	\$2,139,815	\$1,069,040	(\$1,070,775)	-50%
	OCO	\$0	\$1,517,251	\$705,224	(\$812,027)	-54%
	Other Operating Expenses	<u>\$6,940,229</u>	<u>\$6,868,311</u>	<u>\$8,355,580</u>	<u>\$1,487,269</u>	<u>22%</u>
	<b>Total</b>	<b>\$20,599,314</b>	<b>\$20,271,749</b>	<b>\$20,756,442</b>	<b>\$484,693</b>	<b>2%</b>
<b>University Total</b>						
	Permanent Salaries and Benefits	\$183,614,709	\$181,812,178	\$183,667,924	\$1,855,746	1%
	OPS Payroll	\$28,349,948	\$23,006,040	\$21,429,247	(\$1,576,793)	-7%
	OCO	\$0	\$13,897,316	\$13,040,621	(\$856,695)	-6%
	Other Operating Expenses	<u>\$49,346,122</u>	<u>\$46,747,130</u>	<u>\$59,781,083</u>	<u>\$13,033,952</u>	<u>28%</u>
	Contingency	<u>\$1,700,000</u>	<u>\$0</u>	<u>\$2,500,000</u>	<u>\$2,500,000</u>	<u>0%</u>
	<b>Total</b>	<b>\$263,010,779</b>	<b>\$265,462,664</b>	<b>\$280,418,875</b>	<b>\$14,956,211</b>	<b>6%</b>

**Notes:**

The expenditure associated with the salary increases mandated by the state (3.6%) on August 1, 2005 are not included in the 05-06 Budget.

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005-06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004-05 Forecast
<b>Academic Affairs</b>						
	Permanent Salaries and Benefits	\$141,848,941	\$141,682,560	\$142,144,999	\$462,439	0%
	OPS Payroll	\$21,549,255	\$18,454,373	\$18,254,373	(\$200,000)	-1%
	OCO	\$0	\$12,293,397	\$12,293,397	\$0	0%
	Other Operating Expenses	<u>\$22,161,723</u>	<u>\$16,107,258</u>	<u>\$25,026,608</u>	<u>\$8,919,350</u>	<u>55%</u>
	<b>Total</b>	<b>\$185,559,919</b>	<b>\$188,537,588</b>	<b>\$197,719,377</b>	<b>\$9,181,789</b>	<b>5%</b>

### Notes:

This executive area oversees all of the E & G academic functions of the university and represents approximately 80% of the university's E & G budget. The \$5.8M increase in expenditure for 2005 - 2006 is attributed to a series of commitments mainly geared towards increasing enrollment primarily driven by:

\*\$1.646M start up

\*\$1.3M Law School

\*\$.763M Business Faculty Accreditation

\*\$.333M Downtown Business Program

\*\$.500M Public Health

\*\$.200M Global Entrepreneurship

A preliminary allocation of \$4,179,051 for Strategic Initiatives tied to the University's Strategic Plan objectives has been included.

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005- 06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004- 05 Forecast
<b>Division of Administration</b>						
	Permanent Salaries and Benefits	\$12,523,197	\$13,333,071	\$13,684,869	\$351,798	3%
	OPS Payroll	\$3,486,016	\$658,686	\$342,193	(\$316,493)	-48%
	OCO	\$0	\$7,518	\$20,000	\$12,482	166%
	Other Operating Expenses	<u>\$15,750,786</u>	<u>\$19,877,495</u>	<u>\$22,481,418</u>	<u>\$2,603,923</u>	<u>13%</u>
	<b>Total</b>	<b>\$31,759,999</b>	<b>\$33,876,770</b>	<b>\$36,528,479</b>	<b>\$2,651,710</b>	<b>8%</b>

### Notes:

The Division of Administration oversees university facilities including groundskeeping, custodial services, building maintenance and general repairs, parking and traffic personnel and the department of Public Safety. The increase in expenditures include approximately \$2M in utilities (FPL), service contracts (grounds, custodial) and fuel/materials costs. Permanent salaries and benefits are being driven by full year impact of raises to PBA members and non-unit employees. The decrease in OPS Payroll is attributed to the Panther Express moving out of E&G into Auxiliary.



# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005- 06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004- 05 Forecast
Division Of Finance						
	Permanent Salaries and Benefits	\$4,780,460	\$4,391,638	\$4,393,182	\$1,544	0%
	OPS Payroll	\$413,393	\$448,355	\$494,778	\$46,423	10%
	OCO	\$0	\$6,634	\$6,000	(\$634)	-10%
	Other Operating Expenses	<u>\$725,187</u>	<u>\$429,399</u>	<u>\$439,020</u>	<u>\$9,621</u>	<u>2%</u>
	Total	\$5,919,040	\$5,276,026	\$5,332,980	\$56,954	1%

### Notes:

The increase in OPS Payroll is attributed to a consultant being hired for benchmarking analysis. The increase in Other Operating Expenses is associated with external auditors that are required in the controllers office.

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005- 06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004- 05 Forecast
<b>Executive Administration</b>						
	Permanent Salaries and Benefits	\$3,576,198	\$3,428,283	\$3,456,985	\$28,702	1%
	OPS Payroll	\$407,964	\$326,492	\$318,506	-\$7,986	-2%
	OCO	\$0	\$15,027	\$9,000	-\$6,027	-40%
	Other Operating Expenses	<u>\$921,052</u>	<u>\$1,047,078</u>	<u>\$1,027,592</u>	<u>-\$19,486</u>	<u>-2%</u>
	<b>Total</b>	<b>\$4,905,214</b>	<b>\$4,816,880</b>	<b>\$4,812,083</b>	<b>-\$4,797</b>	<b>0%</b>

### Notes:

The Executive Administration Area includes the following departments; Office of the President, Institutional Memberships, Inspector General, General Council, Women's Athletics, Teaching Gym, Federal Relations and Public Affairs. Operating expenses are declining year over year due to efficiency savings offset by an increase in Permanent Salaries and Benefits. Salaries and Benefits are increasing due to the net impact of two additional employees in the Office Of Inspector General and the reduction of one employee in the Office Of General Council.

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005- 06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004- 05 Forecast
<b>Human Resources</b>						
	Permanent Salaries and Benefits	\$1,878,781	\$2,340,328	\$2,433,829	\$93,501	4%
	OPS Payroll	\$234,726	\$52,701	\$92,600	\$39,899	76%
	OCO	\$0	\$40,373	\$0	(\$40,373)	-100%
	Other Operating Expenses	<u>\$634,420</u>	<u>\$571,682</u>	<u>\$504,755</u>	<u>(\$66,927)</u>	<u>-12%</u>
	<b>Total</b>	<b>\$2,747,927</b>	<b>\$3,005,084</b>	<b>\$3,031,184</b>	<b>\$26,100</b>	<b>1%</b>

### Notes:

Human Resources took over the payroll department mid year. The variances in Permanent Salaries and Benefits and OPS Payroll are attributable to the full year impact of these employees. Reduction in OCO due to non-recurring charges for computers and furniture. Other Operating Expenses are also impacted by non-recurring expenditures including the Mercer salary study. A preliminary allocation of \$36,000 for Strategic Initiatives tied to the University's Strategic Plan objectives has been included.

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005- 06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004- 05 Forecast
<b>Student Affairs</b>						
	Permanent Salaries and Benefits	\$3,023,281	\$3,072,772	\$2,988,397	(\$84,375)	-3%
	OPS Payroll	\$141,449	\$697,301	\$636,851	(\$60,450)	-9%
	OCO	\$0	\$0	\$0	\$0	0%
	Other Operating Expenses	<u>\$1,058,638</u>	<u>\$525,439</u>	<u>\$721,595</u>	<u>\$196,156</u>	<u>37%</u>
	<b>Total</b>	<b>\$4,223,368</b>	<b>\$4,295,512</b>	<b>\$4,346,843</b>	<b>\$51,331</b>	<b>1%</b>

### Notes:

The decrease in Permanent Salaries and Benefits is partially attributed to the December bonuses that are non-recurring. The decrease in OPS Payroll is due to a UTS funded program in student labs that funding for 2005-06 has not been secured as of yet. A preliminary allocation of \$185,000 for Strategic Initiatives tied to the University's Strategic Plan objectives has been included.

# Florida International University

## E & G Budget

2004 - 2005 and 2005 - 2006

By Executive Area

Executive Area Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005-06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004-05 Forecast
<b>University Advancement</b>					
Permanent Salaries and Benefits	\$4,042,109	\$3,817,154	\$3,939,065	\$121,912	3%
OPS Payroll	\$399,802	\$228,317	\$220,906	(\$7,411)	-3%
OCO	\$0	\$17,116	\$7,000	(\$10,116)	-59%
Other Operating Expenses	<u>\$1,154,087</u>	<u>\$1,320,468</u>	<u>\$1,224,515</u>	<u>(\$95,953)</u>	<u>-7%</u>
<b>Total</b>	<b>\$5,595,998</b>	<b>\$5,383,055</b>	<b>\$5,391,486</b>	<b>\$8,432</b>	<b>0%</b>

### Notes:

This executive area oversees marketing, editorial services, media relations, development services, community relations, alumni relations and annual giving. The increase in Permanent Salaries and Benefits is attributed to a full year impact of salary increases and approximately five employees who started mid year. The reduction in Other Operating Expenses is driven by non-recurring expenses occurring in 2004-05 for the Dali Lama visit of \$50K and a branding initiative of \$250K. A preliminary allocation of \$231,000 for Strategic Initiatives tied to the University's Strategic Plan objectives has been included.

**Florida International University**  
**E & G Budget**  
**2004 - 2005 and 2005 - 2006**  
**By Executive Area**

Executive Area	Department Name	Account Code	Expenses	Original Budget 2004-2005	Full Fiscal Yr Forecast 2004 - 2005	Requested Base Budget 2005 - 2006	\$ Change 2005-06 Req Budget to 2004-05 Forecast	% Change 2005-06 Req Bud to 2004-05 Forecast
UTS	Total Executive Area							
		771000	Permanent Salaries and Benefits	\$11,941,742	\$9,746,372	\$10,626,598	\$880,226	9%
		771500	OPS Payroll	\$1,717,343	\$2,139,815	\$1,069,040	(\$1,070,775)	-50%
		721000	OCO	\$0	\$1,517,251	\$705,224	(\$812,027)	-54%
		711000	Other Operating Expenses	<u>\$6,940,229</u>	<u>\$6,868,311</u>	<u>\$8,355,580</u>	<u>\$1,487,269</u>	<u>22%</u>
			<b>Total</b>	<b>\$20,599,314</b>	<b>\$20,271,749</b>	<b>\$20,756,442</b>	<b>\$484,693</b>	<b>2%</b>

**Notes:**

The increase in Permanent Salaries and Benefits is attributed to the Enterprise Technology System Services (Data Comm) group moving into E&G from Auxiliary. Decreases in OCO and Other Operating Expenses are attributed to PeopleSoft Expenditures that were non-recurring including \$697,543 for the student system, \$531,011 for the financials system and \$126,375 for the foundation system. A preliminary allocation of \$1,878,000 for Strategic Initiatives tied to the University's Strategic Plan objectives has been included.

Full Board Meeting  
Agenda Item 7  
Exhibit “T”  
29 June 2005

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section C**

**“Auxiliary Enterprises Proposed Budget Allocation”**

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary

**Total Auxiliary Enterprises**

	<b>Actual</b> <b><u>2003-04*</u></b>	<b>Original</b> <b>Budget</b> <b><u>2004-05</u></b>	<b>Forecast</b> <b><u>2004-05</u></b>	<b>Requested</b> <b>Budget</b> <b><u>2005-06</u></b>
<b>Total Revenues</b>	<b>\$66,245,119</b>	<b>\$69,334,815</b>	<b>\$75,071,478</b>	<b>\$82,022,316</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$17,179,382	\$19,358,133	\$19,074,566	\$21,116,027
OPS	\$11,783,408	\$11,731,494	\$12,586,169	\$13,964,979
Expense	\$22,352,584	\$24,557,960	\$28,618,882	\$29,041,746
OCO	\$2,422,703	\$2,011,284	\$2,306,559	\$2,936,334
Risk Management Insurance	\$446,674	\$491,341	\$292,000	\$300,000
Debt Service	\$9,306,764	\$9,515,689	\$10,289,002	\$9,076,096
<b>Total Operating Expenses</b>	<b>\$63,491,515</b>	<b>\$67,665,900</b>	<b>\$73,167,178</b>	<b>\$76,435,182</b>
<b>Operating Income</b>	<b>\$2,753,604</b>	<b>\$1,668,915</b>	<b>\$1,904,300</b>	<b>\$5,587,134</b>
Net Transfers	\$4,812,412	\$1,139,715	\$3,966,428	\$1,313,422
<b>Net Income</b>	<b><u>(\$2,058,808)</u></b>	<b><u>\$529,200</u></b>	<b><u>(\$2,062,128)</u></b>	<b><u>\$4,273,712</u></b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$20,758,418	\$14,064,952	\$18,659,272	\$15,707,659
Operating Cash	\$27,622,732	\$36,018,180	\$27,659,750	\$34,885,075
<b>Total Cash and Investments</b>	<b>\$48,381,150</b>	<b>\$50,083,132</b>	<b>\$46,319,022</b>	<b>\$50,592,734</b>

"Auxiliary Enterprises includes activities that directly or indirectly provide a product or a service, or both to a university or its students, faculty or staff and for which a charge is made" as per statute 1011.47 - Auxiliary Enterprises. These auxiliary enterprises are business activities of a university which require no support from the general revenue fund and includes but is not limited to the following activities:

- Housing and Parking and Traffic
- Student Health Services, Extracurricular Activities and Continuing Education which depend on fees from students and third parties
- Food Services and Bookstores which are commission related
- Other auxiliaries which earn revenues directly related to the provision of goods and services to the University

The main contributor to total revenues in the auxiliary trust fund is the student fees associated with Continuing Education programs which account for 26% of total revenues. Programs include value added programs and web based courses provided through the College of Business as well as programs offered through CAPS (Continuing and Professional Studies)

The original BOT approved 04-05 Budget of \$75.3M is being reduced by \$6M of Activity and Service fees that were included in the Activity and Service Fund as well as Panthercard deposits.

While revenues are projected to increase in FY 2004-05 to result in a \$1.9M operating income, net transfers amounting to approx. \$4M leads to the \$2M decrease to total cash by year end. Transfers to other trust funds was higher than previously anticipated due to \$2M loan to the Sponsored Research Trust Fund.

The main drivers behind the growth in revenues from 2004-05 to 2005-06 are a) Telecom Operations which is expected to grow by \$2M in revenues from capital projects which did not occur in 2004-05 and will now occur in 2005-06 and b) Continuing Education which is expected to grow by \$2.7M. These revenues did not require corresponding growth in expenses resulting in a favourable net income of \$4.2M.

\* Actual 2003-04 figures were reclassified to separate transfers in from revenues  
(See Attached for Auxiliary Details)



Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary  
**Food Services**

<b><u>PCS Activity 60</u></b>	<b><u>Actual</u></b> <b><u>2003-04</u></b>	<b><u>Original</u></b> <b><u>Budget</u></b> <b><u>2004-05</u></b>	<b><u>Forecast</u></b> <b><u>2004-05</u></b>	<b><u>Requested</u></b> <b><u>Budget</u></b> <b><u>2005-06</u></b>
<b>Total Revenues</b>	<b>\$423,597</b>	<b>\$350,796</b>	<b>\$407,066</b>	<b>\$515,409</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$0	\$0	\$0	\$0
OPS	\$5,180	\$5,500	\$0	\$0
Expense	\$155,624	\$316,483	\$83,103	\$83,616
OCO	\$3,582	\$0	\$46,722	\$50,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$164,386</b>	<b>\$321,983</b>	<b>\$129,825</b>	<b>\$133,616</b>
<b>Operating Income</b>	<b>\$259,211</b>	<b>\$28,813</b>	<b>\$277,241</b>	<b>\$381,793</b>
Net Transfers	\$94,120	\$117,433	\$297,215	\$178,886
<b>Net Income</b>	<b>\$165,091</b>	<b>(\$88,620)</b>	<b>(\$19,974)</b>	<b>\$202,907</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$534,000	\$604,000	\$190,000	\$155,000
Operating Cash	\$382,879	\$224,259	\$706,905	\$944,812
<b>Total Cash and Investments</b>	<b>\$916,879</b>	<b>\$828,259</b>	<b>\$896,905</b>	<b>\$1,099,812</b>

**Food Services**

Provision of food services to students, faculty and staff of the University. Currently, the food service contract for UP and BBC for University Park (UP) and Biscayne Bay (BBC) is serviced by Aramark Corp.

Net losses occurring in 2004-05 is a direct result of non recurring payments to Aramark for meal plan shortfalls occurring in FY 2003-04 amounting to approximately \$200,000. However, the advent of the Graham Center expansion and the new Recreation Center expansion provides an opportunity for the Food Services auxiliary to generate more revenues from new food locations in 2005-06. This will result in an increase to cash by the end of 2005-06.

**Notes:**

**2004-05**

- Increase in OCO \$43,140 was used for furniture for the 'Fresh Food' expansion in the Graham Center.
- Net Transfers include \$22,000 for Graham Center Support, \$60,000 for meal plan commissions to housing, \$203,000 to cover meal plan shortfall and \$68,000 for business service salaries. Transfer in of \$55,000 to cover OCO furniture purchases for 'Fresh Food' remodeling furniture

**2005-06**

- The increase in revenues is due to higher sales associated with new food locations within the Graham Center and Recreation Center
- Increase in OCO for fire system upgrade at BBC \$15,000 and furniture and equipment purchases \$30,000
- Net transfers consist primary of salaries and benefits \$81,886 for business service salaries, \$22,000 for Graham Center support and \$75,000 commission to Housing for meal plan sales

**Summary of Reserves**

<b>PROJECT</b>	<b>Amount Reserved</b> <b>04-05</b>	<b>Amount</b> <b>Reserved 05-06</b>	<b>Year for Expenditure</b>
Equipment Replacement	\$20,000	\$0	2005-06
Fire System Upgrade	\$15,000	\$0	2005-06
Gracies Grill Furniture & Renovation	\$155,000	\$155,000	2006-07
<b>Total Reserves</b>	<b>\$190,000</b>	<b>\$155,000</b>	

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary  
**Housing**

<b><u>PCS Activity 62</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$12,582,723</b>	<b>\$13,103,813</b>	<b>\$13,045,906</b>	<b>\$13,779,886</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$1,796,789	\$2,112,524	\$1,882,435	\$2,196,389
OPS	\$844,502	\$944,451	\$801,212	\$866,640
Expense	\$2,618,040	\$3,575,834	\$3,991,894	\$4,858,855
OCO	\$84,705	\$100,000	\$83,234	\$79,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$5,000,239	\$5,026,539	\$5,926,125	\$5,028,001
<b>Total Operating Expenses</b>	<b>\$10,344,275</b>	<b>\$11,759,348</b>	<b>\$12,684,900</b>	<b>\$13,028,885</b>
<b>Operating Income</b>	<b>\$2,238,448</b>	<b>\$1,344,465</b>	<b>\$361,006</b>	<b>\$751,001</b>
Net Transfers	\$723,464	(\$200,000)	(\$368,339)	(\$200,000)
<b>Net Income</b>	<b>\$1,514,984</b>	<b>\$1,544,465</b>	<b>\$729,345</b>	<b>\$951,001</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$4,077,293	\$4,143,345	\$5,042,549	\$5,042,549
Operating Cash	\$3,014,635	\$4,493,048	\$2,778,724	\$3,729,725
<b>Total Cash and Investments</b>	<b>\$7,091,928</b>	<b>\$8,636,393</b>	<b>\$7,821,273</b>	<b>\$8,772,274</b>

**Housing Operations:**

The Housing Auxiliary generates revenues in the form of rental income from students seeking housing facilities on campus. The rapid growth in students over the past 10 years resulted in an excess demand for Housing facilities. Between 1996 and 2002 three halls, Panther Hall, University Park Towers and Everglades Hall, were built to meet this demand. For the Fall of 2006, a new 825 bed Lakeview Housing Project is forecasted to open. All facilities are equipped with unlimited computer access via an Ethernet connection, local telephone service and cable TV service.

FY 2004-05 was a disappointing year for Bay Vista Housing at Biscayne Bay campus. Occupancy rates fell to 70% which led to a 3% decline in overall university occupancy rates. This resulted in lower revenues than anticipated. The increase in revenues are due to meal plan collections from students amounting to approx \$655,000 which is offset by a corresponding expense in the same fiscal year. In addition, incremental expenses amounted to approx. \$1.3M

**Notes:**

**2004-05**

- Increase in salaries approx. \$100,000 due to merit increases and staff promotions
- Debt Service payments increase \$900,000 due to the refinancing and rescheduling of Series 1993 bonds
- Net Transfers include \$603,000 transfers out - \$578,000 to Lakeview construction and \$25,000 to Greek Housing Construction and Sinking Fund transfers in amounting to \$946,000

**2005-06**

- The revenue increase is driven by meal plan growth with minimal growth for student housing
- Increase in salaries are due to the annualization of merit increases and 5 new positions for Lakeview which will impact the end of FY 2005-06
- Net transfers in of \$200,000 represents Panther Card loan payback from Student Affairs from CIT Funds

Future commitments to impact housing include:

- The sale of completion bonds to finance the increases in construction costs associated with Lakeview Housing (\$5.5M)
- A 5 year lease - purchase agreement with Cisco for telcommunication systems implementation.  
This will increase debt service payments by \$114,000 in 2005-06

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary

PCS Activity 62 cntd.

<b><u>Summary of Change in Expenses</u></b>	<b><u>Change in 2003-04 to 2004-05</u></b>	<b><u>Change in 2004- 05 to 2005-06</u></b>
<b><u>Non Recurring Projects</u></b>		
Building E1 Renovation	\$40,000	\$94,000
Bay Vista Fire System Upgrades	\$50,000	\$50,000
Bay Vista Painting	\$40,000	\$40,000
Cashiers buildout	\$10,000	\$10,000
UPA Roadway Closure	\$0	\$75,000
University Park minor projects	\$99,641	(\$99,641)
Bay Vista Minor Projects	\$44,762	(\$44,762)
Furniture and Remodeling	\$92,430	(\$92,430)
Total Non Recurring	\$376,833	\$32,167
<b><u>Incremental Recurring Expenses</u></b>		
Utility Costs	\$112,000	\$135,115
Panther Hall Water and Sewer	\$0	\$73,000
Landscaping for Towers, Panther Hall and	\$0	\$36,000
UTS Network Operational Expenses	\$0	\$234,000
Meal Plan Expenses to Aramark	\$628,270	\$59,000
Overhead Charges	\$256,751	\$157,747
4% increase		\$139,932
Total Incremental Recurring	\$997,021	\$834,794
<b>Total Change</b>	<b>\$1,373,854</b>	<b>\$866,961</b>

**Summary of Reserves**

<b>PROJECT</b>	<b>Amount Reserved 2004-05</b>	<b>Amount Reserved 2005- 06</b>	<b>Year for expenditure</b>
Capital Reserves for Lakeview construction	\$2,542,549	\$2,542,549	2006-07
Reserve for capital replacement and F&E	\$2,500,000	\$2,500,000	n/a
<b>Total Reserves</b>	<b>\$5,042,549</b>	<b>\$5,042,549</b>	

Florida International University  
 Auxiliary Enterprises  
 Board of Trustees Financial Summary  
**Printing and Duplicating**

	<b>Actual</b> <b><u>2003-04</u></b>	<b>Original</b> <b>Budget</b> <b><u>2004-05</u></b>	<b>Forecast</b> <b><u>2004-05</u></b>	<b>Requested</b> <b>Budget</b> <b><u>2005-06</u></b>
<b><u>PCS Activity 63</u></b>				
<b>Total Revenues</b>	<b>\$2,838,036</b>	<b>\$3,263,500</b>	<b>\$2,936,855</b>	<b>\$3,168,191</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$775,200	\$833,361	\$842,676	\$827,921
OPS	\$128,710	\$97,200	\$116,562	\$53,274
Expense	\$1,976,898	\$1,992,622	\$2,411,954	\$2,024,964
OCO	\$57,958	\$72,420	\$675,184	\$5,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$2,938,766</b>	<b>\$2,995,603</b>	<b>\$4,046,376</b>	<b>\$2,911,159</b>
<b>Operating Income</b>	<b>(\$100,730)</b>	<b>\$267,897</b>	<b>(\$1,109,521)</b>	<b>\$257,032</b>
Net Transfers	\$216,699	\$913,325	\$38,345	\$18,753
<b>Net Income</b>	<b>(\$317,429)</b>	<b>(\$645,428)</b>	<b>(\$1,147,866)</b>	<b>\$238,279</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$1,382,000	\$343,000	\$0	\$0
Operating Cash	\$1,823,709	\$2,958,759	\$2,057,843	\$2,296,122
<b>Total Cash and Investments</b>	<b>\$3,205,709</b>	<b>\$2,931,020</b>	<b>\$2,057,843</b>	<b>\$2,296,122</b>

**Printing and Duplicating**

This program provides University departments and students with short-run, quick printing and related services and includes the following departments: Convenience Copiers, Duplicating Services, Publications and Library Photocopiers.

Operating losses \$1.1M in FY 2004-05 associated with this operation is a direct result of the non recurring expenses incurred for the buildout of the new business services facility. These expenses are unnecessary in FY 05-06 while revenues recover resulting in a favorable operating income of \$0.257M

**Notes:**

- Net transfers represent amounts transferred out for Business Service salaries

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**Bookstores**

<b><u>PCS Activity 66</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$1,529,992</b>	<b>\$1,538,566</b>	<b>\$1,429,133</b>	<b>\$1,374,361</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$722	\$0	\$312	\$0
OPS	(\$16,178)	\$0	\$0	\$0
Expense	\$268,547	\$71,821	\$77,861	\$72,280
OCO	\$0	\$0	\$250,000	\$0
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$253,091</b>	<b>\$71,821</b>	<b>\$328,173</b>	<b>\$72,280</b>
<b>Operating Income</b>	<b>\$1,276,901</b>	<b>\$1,466,745</b>	<b>\$1,100,960</b>	<b>\$1,302,081</b>
Net Transfers	\$3,988,180	\$5,454,710	\$784,096	\$1,529,390
<b>Net Income</b>	<b>(\$2,711,279)</b>	<b>(\$3,987,965)</b>	<b>\$316,864</b>	<b>(\$227,309)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$5,591,710	\$0	\$3,250,000	\$2,050,000
Operating Cash	(\$1,470,723)	\$2,934,670	\$1,187,851	\$2,160,542
<b>Total Cash and Investments</b>	<b>\$4,120,987</b>	<b>\$2,934,670</b>	<b>\$4,437,851</b>	<b>\$4,210,542</b>

**Bookstores**

The campus bookstore offers the campus community and the general public a sales outlet for academic textbooks, retail books and other educational materials. Currently, Barnes and Noble operates the bookstore operations at both campus locations.

Due to the competitive environment for textbooks there has been a growing trend in the market for used books which is expected to continue through 2005-06. As the source of revenues for this auxiliary is commissions from book sales, there will be a gradual decline in commission revenues as the Bookstore shifts its focus to used book sales. Transfers out for this activity is typical and represents support for student related construction projects such as the Graham Center expansion.

**Notes:**

- Transfers out for 2004-05 include \$698,000 and \$1.2M in 2005-06 to Graham Center Expansion (BR 860)
- \$250,000 for the purchase of Library books in 2004-05

**Summary of Reserves**

<b>PROJECT</b>	<b>Amount Reserved 04-05</b>	<b>Amount Reserved 05-06</b>	<b>Year for Expenditure</b>
Graham center Expansion (BR 860)	\$1,200,000	\$0	2005-06
Student Affairs CIF Loan for various projects in GC. To be repaid in full in August 2005	\$2,050,000	\$2,050,000	n/a
<b>Total Reserves</b>	<b>\$3,250,000</b>	<b>\$2,050,000</b>	

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**Telephone/Telecommunication**

	Actual 2003-04	Original Budget 2004-05	Forecast 2004-05	Requested Budget 2005-06
<b>PCS Activity 67</b>				
<b>Total Revenues</b>	<b>\$7,769,039</b>	<b>\$7,096,152</b>	<b>\$6,670,771</b>	<b>\$8,693,746</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$1,623,357	\$1,847,455	\$1,795,841	\$1,850,841
OPS	\$538,732	\$528,568	\$488,568	\$469,251
Expense	\$3,475,327	\$3,171,002	\$3,804,594	\$3,576,361
OCO	\$739,119	\$623,024	\$174,033	\$461,236
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$521,639	\$714,180	\$714,180	\$1,037,945
<b>Total Operating Expenses</b>	<b>\$6,898,174</b>	<b>\$6,884,229</b>	<b>\$6,977,216</b>	<b>\$7,395,634</b>
<b>Operating Income</b>	<b>\$870,865</b>	<b>\$211,923</b>	<b>(\$306,445)</b>	<b>\$1,298,112</b>
Net Transfers	\$240,529	(\$1,530)	(\$25,024)	\$0
<b>Net Income</b>	<b>\$630,336</b>	<b>\$213,453</b>	<b>(\$281,421)</b>	<b>\$1,298,112</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$1,000,000	\$2,000,000
Operating Cash	\$1,469,920	\$1,055,302	\$188,499	\$486,611
<b>Total Cash and Investments</b>	<b>\$1,469,920</b>	<b>\$1,055,302</b>	<b>\$1,188,499</b>	<b>\$2,486,611</b>

**Telephones/Telecommunications**

This activity is responsible for servicing the telephone and data communication needs of the university community. Revenue sources are the charges for infrastructure setup and maintenance costs associated with the capital projects throughout the University.

**Notes:**

**2004-05**

- Capital projects were lower than anticipated resulting in a net decrease to revenues of approximately \$1M
- Expenses remain fixed despite projects project flow and increased approx. \$325,000 due to the purchase of unplanned networking equipment due to impact of lightening storms and expenses for prior years capital projects
- The resulting loss of \$.28M was absorbed by the units favorable fund balance
- Net Transfers-In \$25,000 from Housing for full Greek Housing full year phone service payment
- Reserves for \$1M for future network refresh and for future debt service payments

**2005-06**

- Increase in revenues \$2M results from various capital projects including Lakeview Housing, the Frost Museum, the Law School, and the CBA Graduate School
- OCO increase from last year due to implementation of Emergency Response System includes Paging Application (\$100,000), Servers (\$15,000) and equipment from Dell and Solaris such as batteries, Spare 3750 & 3560 units for lab/emergency setups, UPSs and Disaster Recover Software amounting to \$234,000
- Debt Service payments increase based on CISCO lease agreement which includes current debt and new equipment purchases
- Reserves \$2M for equipment replacement, network refresh and future increase of debt service payments

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**AV Services**

<b><u>PCS Activity 68</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$148,901</b>	<b>\$104,000</b>	<b>\$106,843</b>	<b>\$105,150</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$49,713	\$45,982	\$50,558	\$50,219
OPS	\$23,993	\$20,000	\$20,000	\$27,144
Expense	\$23,139	\$18,239	\$34,411	\$25,975
OCO	\$18,175	\$15,000	\$13,894	\$15,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$115,020</b>	<b>\$99,221</b>	<b>\$118,863</b>	<b>\$118,338</b>
<b>Operating Income</b>	<b>\$33,881</b>	<b>\$4,779</b>	<b>(\$12,020)</b>	<b>(\$13,188)</b>
Net Transfers	\$4,611	\$0	\$0	\$0
<b>Net Income</b>	<b>\$29,270</b>	<b>\$4,779</b>	<b>(\$12,020)</b>	<b>(\$13,188)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$201,128	\$130,818	\$189,108	\$175,920
<b>Total Cash and Investments</b>	<b>\$201,128</b>	<b>\$130,818</b>	<b>\$189,108</b>	<b>\$175,920</b>

**Audio-Visual Services**

This function makes available audiovisual, video tape, graphic arts and photographic services to campus units. Its primary role is to disseminate information and provide graphic arts, audiovisual and photographic services to the university . It also serves as a university mechanism by which university libraries provide individual, customer oriented services to students and other patrons.

As university wide budget cuts prevail, AV Services suffered a loss in revenues from the cancellation of several departmental projects. Overall this will lead to net losses in the next 2 years resulting in a \$25,000 reduction to operating cash. that is comfortably absorbed by fund balance.

**Notes:**

- Though revenues remain flat in 2005-06, OPS increases which are offset by lower expenses for additional support for video productions.

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**Central Stores**

<b><u>PCS Activity 69</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$1,239,465</b>	<b>\$1,214,050</b>	<b>\$1,055,919</b>	<b>\$180,960</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$235,782	\$252,000	\$268,161	\$31,390
OPS	\$62,822	\$70,000	\$74,612	\$7,500
Expense	\$667,124	\$720,080	\$547,334	\$60,212
OCO	\$53,083	\$111,564	\$14,647	\$1,015,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$1,018,811</b>	<b>\$1,153,644</b>	<b>\$904,754</b>	<b>\$1,114,102</b>
<b>Operating Income</b>	<b>\$220,654</b>	<b>\$60,406</b>	<b>\$151,165</b>	<b>(\$933,142)</b>
Net Transfers	\$38,793	\$0	\$0	\$20,974
<b>Net Income</b>	<b>\$181,861</b>	<b>\$60,406</b>	<b>\$151,165</b>	<b>(\$954,116)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$425,478	\$433,000	\$433,001	\$0
Operating Cash	\$388,168	\$382,114	\$531,810	\$10,695
<b>Total Cash and Investments</b>	<b>\$813,646</b>	<b>\$815,114</b>	<b>\$964,811</b>	<b>\$10,695</b>

**Central Stores**

Historically, the main source of revenues generated by this activity came from a surcharge applied to all Office Depot purchases made by the university community. Plans are being proposed to phase out this part of the operation entirely in FY 2005-06. The operation will continue to rent on campus warehouse storage to departments and provide custodial supplies to the University. These activities are expected to bring in revenues amounting to \$180,000 in 2005-06.

**Notes**

- \$1M in expenses will be used to support purchases of Faculty Start-Up equipment and other initiatives tied to the strategic plan.



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**Student Health Services**

<b><u>PCS Activity 71</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$5,019,193</b>	<b>\$5,558,296</b>	<b>\$5,669,525</b>	<b>\$5,692,006</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$2,753,788	\$3,032,380	\$2,951,843	\$3,108,560
OPS	\$933,328	\$1,165,346	\$990,758	\$910,148
Expense	\$859,271	\$1,197,966	\$1,464,868	\$1,147,998
OCO	\$61,973	\$38,600	\$19,000	\$0
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$4,608,360</b>	<b>\$5,434,292</b>	<b>\$5,426,469</b>	<b>\$5,166,706</b>
<b>Operating Income</b>	<b>\$410,833</b>	<b>\$124,004</b>	<b>\$243,056</b>	<b>\$525,300</b>
Net Transfers	\$2,671,464	\$0	\$0	\$0
<b>Net Income</b>	<b>(\$2,260,631)</b>	<b>\$124,004</b>	<b>\$243,056</b>	<b>\$525,300</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$57,000	\$400,000	\$25,574	\$75,000
Operating Cash	\$720,478	\$743,443	\$994,960	\$1,470,834
<b>Total Cash and Investments</b>	<b>\$777,478</b>	<b>\$1,143,443</b>	<b>\$1,020,534</b>	<b>\$1,545,834</b>

**Student Health Services**

An operating unit that provides limited health care to the student population of the University. Health care includes primary outpatient clinic and some specialty medical services. The student population served includes all full-time students plus those part-time who are assessed the health fee. There has been an increase in the health fee from \$44 to \$54 per student and is reflected as a \$600,000 increase in revenues in 2004-05. Planned non-recurring expenditures on medical supplies and salaries associated with the new health center reduced operating income by \$167,000.

**Notes:**

**2004-05**

- Increase in salaries of \$198,000 is due to both increased staffing for the new health center building as well as bonus and salary increases
- Increase in expenses are a direct result of the new health center building.
- \$25,574 reserved for equipment and building repairs

**2005-06**

- \$75,000 reserved for equipment and building repairs

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**Student Centers**

<b><u>PCS Activity 72</u></b>	<b>Actual 2003-04</b>	<b>Original Budget 2004-05</b>	<b>Forecast 2004-05</b>	<b>Requested Budget 2005-06</b>
<b>Total Revenues</b>	<b>\$670,024</b>	<b>\$586,950</b>	<b>\$678,579</b>	<b>\$702,042</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$1,561,857	\$1,779,464	\$1,798,271	\$1,898,848
OPS	\$469,406	\$485,500	\$415,402	\$437,036
Expense	\$616,713	\$947,181	\$853,360	\$818,727
OCO	\$25,494	\$90,000	\$178,695	\$183,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$2,673,470</b>	<b>\$3,302,145</b>	<b>\$3,245,728</b>	<b>\$3,337,611</b>
<b>Operating Income</b>	<b>(\$2,003,446)</b>	<b>(\$2,715,195)</b>	<b>(\$2,567,149)</b>	<b>(\$2,635,569)</b>
Net Transfers	(\$2,220,026)	(\$2,446,662)	(\$2,347,269)	(\$2,449,255)
<b>Net Income</b>	<b>\$216,580</b>	<b>(\$268,533)</b>	<b>(\$219,880)</b>	<b>(\$186,314)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$656,000	\$438,826	\$605,344	\$424,514
Operating Cash	\$574,185	\$315,556	\$404,961	\$399,477
<b>Total Cash and Investments</b>	<b>\$1,230,185</b>	<b>\$754,382</b>	<b>\$1,010,305</b>	<b>\$823,991</b>

**Student Centers**

The "Community Center" of the University serves all members of the University family - students, faculty, staff, alumni and guests. It is the official center of student life and student activities for the University. FIU has a student union at both campuses. The primary source of revenues is the Activity Service Fee charged to students at the time of registration. Other revenue sources include rental of space to vendors, student computer labs and a dry cleaning facility. Projected net losses in FY 2004-05 and 2005-06 are due to the surge in both recurring and non recurring expenses associated with the Graham Center Expansion. Once expansion is completed (FY 2006-07) non recurring costs amounting to approx. \$190K will be eliminated allowing for growth to cash balances.

The original 04-05 Budget of \$2.6M is being decreased to \$586K to account for \$2.1M of Activity and Service fees that were also included in the Activity and Service Fund.

**Notes:**

**2004-05**

- \$200K increase in salaries due to new positions related to the GC expansion and a marketing position in the Wolfe Center
- The majority of the transfers -In are received from A&S fees (\$1.3 M - GC and \$957K - WUC).
- Increase in expenses due to costs associated with the Graham Center expansion

**2005-06**

- Increase in revenues are projected due to :
  - the addition of four vendor carts in the new west retail wing of Graham Center
  - increase in fees for Kaplan Test Preparation courses
  - the reopening of the game room in Fall 2005
  - a new dry cleaning venture
  - a new hi-tech computer lab
- Increase in salaries due to two OPS conversions (custodial maintenance positions and an audio visual technician) to full lines

**Summary of Reserves**

<b>PROJECT</b>	<b>Amount Reserved 04-05</b>	<b>Amount Reserved 05-06</b>
BR 860 GC Expansion	\$156,406	\$6,534
Equipment Replacement (GC)	\$144,062	\$107,170
Wolfe Center Equipment Reserves	\$240,326	\$245,000
Reserve Contingency of the Building	\$64,550	\$65,810
<b>Total Reserves</b>	<b>\$605,344</b>	<b>\$424,514</b>

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**Parking/Traffic/Transportation**

	<b>Actual</b> <b><u>2003-04</u></b>	<b>Original</b> <b>Budget</b> <b><u>2004-05</u></b>	<b>Forecast</b> <b><u>2004-05</u></b>	<b>Requested</b> <b>Budget</b> <b><u>2005-06</u></b>
<b><u>PCS Activity 74</u></b>				
<b>Total Revenues</b>	<b>\$5,720,364</b>	<b>\$6,500,672</b>	<b>\$6,662,467</b>	<b>\$7,062,603</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$818,033	\$965,747	\$996,358	\$1,005,930
OPS	\$262,480	\$132,000	\$172,953	\$220,000
Expense	\$1,557,360	\$588,067	\$960,496	\$1,180,548
OCO	\$190,881	\$84,986	\$77,732	\$250,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$3,006,807	\$3,009,970	\$3,006,848	\$3,010,150
<b>Total Operating Expenses</b>	<b>\$5,835,561</b>	<b>\$4,780,770</b>	<b>\$5,214,387</b>	<b>\$5,666,628</b>
<b>Operating Income</b>	<b>(\$115,197)</b>	<b>\$1,719,902</b>	<b>\$1,448,080</b>	<b>\$1,395,975</b>
Net Transfers	\$118,079	(\$25,000)	\$2,952,253	\$975,000
<b>Net Income</b>	<b>(\$233,276)</b>	<b>\$1,744,902</b>	<b>(\$1,504,173)</b>	<b>\$420,975</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$4,184,937	\$3,841,168	\$5,382,970	\$5,588,211
Operating Cash	\$3,473,484	\$1,822,202	\$771,278	\$496,134
<b>Total Cash and Investments</b>	<b>\$7,658,421</b>	<b>\$5,663,370</b>	<b>\$6,154,248</b>	<b>\$6,084,345</b>

**Parking/Traffic/Transportation System:**

The Parking and Traffic auxiliary is responsible for the registration of vehicles for faculty, staff and students, the construction of parking accommodations as well as the enforcement of parking rules and regulations for both campuses. There are currently four garages and 54 parking lots in operation totaling 14,186 parking spaces. The most recent garages, Panther Garage and Red Garage, opened in Fall 2004. Plans are in place to construct Garage 5 scheduled to open in Fall 2007.

The primary source of revenues is the parking access fee paid by students. Parking fees for FY 2004-05 are approximately \$58.00 for students and range between \$182 and \$703 for employees. There has been a 57% increase in fees for both students and employees over the past 4 years to support the buildout of the Panther and Red garages, however, there is no planned fee increase for FY 2005-06.

Revenue projections for 2004-05 reflect an increase in decal fees resulting in an increase in operating income of \$1.4M.

The expense budget for FY 2005-06 amounts to \$5.6M and will primarily pay Salaries and Debt Service.

Commitments occurring in FY 2005-06 include the absorption of partial expenditures associated with the Golden Panther Express and CATS bus service system.

Planned transfers out for 2004-05 include a \$3.3M transfer to support capital construction costs for garages 3 and 4 and a \$1M transfer out in 2005-06 to cover Rec field construction. This results in a \$1.5M decrease to operating cash balances in 2004-05.

Reserves are set aside as follows:

<b>PROJECT</b>	<b>Amount Reserved</b> <b>04-05</b>	<b>Amount</b> <b>Reserved 05-06</b>	<b>Year for Expenditure</b>
Capital Improvement Reserves	\$882,970	\$1,088,211	n/a
Reserve for Garage 5	\$4,500,000	\$4,500,000	2006-07
	<b>\$5,382,970</b>	<b>\$5,588,211</b>	

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**Schools for Children**

<b><u>PCS Activity 76</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$541,631</b>	<b>\$614,507</b>	<b>\$518,589</b>	<b>\$564,369</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$314,375	\$346,455	\$325,378	\$384,000
OPS	\$115,921	\$117,000	\$112,179	\$117,996
Expense	\$75,374	\$70,538	\$77,661	\$77,276
OCO	\$0	\$0	\$0	\$0
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$505,670</b>	<b>\$533,993</b>	<b>\$515,218</b>	<b>\$579,272</b>
<b>Operating Income</b>	<b>\$35,961</b>	<b>\$80,514</b>	<b>\$3,371</b>	<b>(\$14,903)</b>
Net Transfers	\$20,123	\$0	(\$49,848)	\$0
<b>Net Income</b>	<b>\$15,838</b>	<b>\$80,514</b>	<b>\$53,219</b>	<b>(\$14,903)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$200,000	\$375,613	\$263,834	\$182,385
Operating Cash	\$183,606	\$62,052	\$172,991	\$239,537
<b>Total Cash and Investments</b>	<b>\$383,606</b>	<b>\$437,665</b>	<b>\$436,825</b>	<b>\$421,922</b>

**Schools for Children**

The Children's Creative Learning Center at FIU, is an accredited educational preschool for children ages 2 1/2 to 6 open to students, staff, faculty, alumni and the community. The Childrens Center receives an annual allocation from the State for educational research centers for child development

**Notes:**

**2004-05**

- Net transfers represents non recurring lease payments from Health and Wellness Center

**2005-06**

- Loss in 2005-06 is attributable to the increase in salaries which was formerly subsidized by a grant
- OPS will increase due to an increase in minimum wage

**Summary of Reserves**

<b>PROJECT</b>	<b>Amount Reserved 04-05</b>	<b>Amount Reserved 05-06</b>
Roof Replacement, Painting, Landscaping	\$263,834	\$182,385

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary

**Auxiliary Administration**

	<b>Actual</b>	<b>Original</b>	<b>Forecast</b>	<b>Requested</b>
<b><u>PCS Activity 77</u></b>	<b><u>2003-04</u></b>	<b><u>2004-05</u></b>	<b><u>2004-05</u></b>	<b><u>2005-06</u></b>
<b>Total Revenues</b>	<b>\$1,066,056</b>	<b>\$3,270,551</b>	<b>\$3,533,205</b>	<b>\$4,253,743</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$1,037,363	\$1,178,703	\$1,107,888	\$968,988
OPS	\$14,652	\$15,450	\$21,533	\$21,556
Expense	\$110,308	\$811,740	\$17,472	\$16,960
OCO	\$10,531	\$4,120	\$0	\$0
Risk Management Insurance	\$446,674	\$0	\$292,000	\$300,000
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$1,619,528</b>	<b>\$2,010,013</b>	<b>\$1,438,893</b>	<b>\$1,307,504</b>
<b>Operating Income</b>	<b>(\$553,472)</b>	<b>\$1,260,538</b>	<b>\$2,094,312</b>	<b>\$2,946,239</b>
Net Transfers	\$779,285	(\$173,843)	\$3,204,476	\$2,466,000
<b>Net Income</b>	<b>(\$1,332,757)</b>	<b>\$1,434,381</b>	<b>(\$1,110,164)</b>	<b>\$480,239</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$2,600,000	\$2,466,000	\$2,466,000	\$0
Operating Cash	\$341,673	\$2,942,981	(\$634,491)	\$2,311,748
<b>Total Cash and Investments</b>	<b>\$2,941,673</b>	<b>\$5,408,981</b>	<b>\$1,831,509</b>	<b>\$2,311,748</b>

**Auxiliary Administration**

This activity is responsible for the administration of most traditional auxiliary functions. Through this activity, support personnel to administrative areas of the University such as purchasing, personnel, finance and accounting are funded to provide services to auxiliary entities. Funds from this activity are primarily used to support university commitments such as construction projects.

**Notes**

**2004-05**

- The increase in revenues is due to an overhead recording shift from transfers-in to revenue.
- Net transfers in 2004-05 included the following:
  - \$2M bridge loan given to DSRT
  - \$500K to support DSRT Salaries
  - \$704K to support various telecom projects including panthersoft modules

**2005-06**

- Growth in revenue is driven by greater auxiliary activity as well as a loan repayment from Hospitality
- Planned transfers out include \$2.4M to support BBC Cafeteria expansion

**Summary of Reserves**

<b>PROJECT</b>	<b>Amount Reserved 04-05</b>	<b>Year for Expenditure</b>
BBC Cafeteria Expansion	\$2,466,000	2005-06

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary  
**Continuing Education**

<b><u>PCS Activity 78</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$17,440,522</b>	<b>\$18,106,061</b>	<b>\$20,364,639</b>	<b>\$23,120,519</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$4,557,467	\$4,845,394	\$5,427,556	\$6,474,282
OPS	\$6,007,371	\$5,913,038	\$7,098,543	\$8,522,063
Expense	\$4,635,920	\$5,785,269	\$6,515,092	\$6,770,464
OCO	\$445,196	\$250,575	\$223,005	\$414,309
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$15,645,954</b>	<b>\$16,794,276</b>	<b>\$19,264,196</b>	<b>\$22,181,118</b>
<b>Operating Income</b>	<b>\$1,794,568</b>	<b>\$1,311,785</b>	<b>\$1,100,443</b>	<b>\$939,401</b>
Net Transfers	\$741,148	\$0	\$156,801	\$133,163
<b>Net Income</b>	<b>\$1,053,420</b>	<b>\$1,311,785</b>	<b>\$943,642</b>	<b>\$806,238</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$200,000	\$200,000	\$0	\$0
Operating Cash	\$8,321,127	\$9,543,311	\$9,464,769	\$10,271,007
<b>Total Cash and Investments</b>	<b>\$8,521,127</b>	<b>\$9,743,311</b>	<b>\$9,464,769</b>	<b>\$10,271,007</b>

**Notes**

**Continuing Education**

The basic functions of continuing education is to provide the administrative mechanism for nontraditional programs which utilize the faculty resources of the University. These units represent the office of Academic Affairs of the University in its efforts to fulfill the public service mission, and provide educational programs to nontraditional students.

**This activity includes:**

Executive Masters of Science in Taxation	Master of International Business
Language Studies/Arts and Sciences	GEMBA
English Language Institute	Events- College of Engineering
Executive MBA Program	BS Hospitality Mgmt.- Jamaica
Weekend BBA Program-II	Masters of Science in Finance- Tuition Plus
Faculty Development Intl Business 2000	Professional Development Series
International MBA	CBA Jamaica

Almost every college or school at FIU has some activity in the continuing education programs that are offered to the South Florida Community. However, the largest programs reside in the College of Arts & Sciences, the College of Business and the College of Continuing and Professional Studies (CAPS). The revenues that are generated in this activity serve to support the actual program and its growth and secondly, the mission of the individual college or school's instructional and research programs. Currently, the College of Business operation generates 51% of total revenues with CAPS generating 17% and the College of Arts and Sciences 12%. The remaining 20% is generated by various smaller programs.

Revenue generated by web-based courses will increase by \$2.25M due to the introduction of Arts and Sciences web courses and CHUA online courses starting Fall 2005. In addition, revenues will increase in CAPS by \$200K due to the addition of new courses in places such as the Bahamas, the Yugoslav Republic, Dominican Republic, and China. There will be a slight increase in expenses associated with these added programs.

**Notes**

**2004-05**

- Increase in revenues and expenses are due to the additional web-based online courses
- Increase in expenses of approx. \$1.9M are directly related to the web-based online courses that have dramatically increased with as the pioneers. In addition to the increase in personnel, new servers and softwares were purchased to accommodate the increasing demand by other university departments now offering web-based online courses in conjunction with the College of Business Administration.
- Transfers in for 2004-05 include \$41K from various foundation accounts to their CBA counterparts. Transfers out \$198K to Center for Outreach and Prof. Services (Arts and Sciences) for revenues collected for the web-based online courses

**2005-06**

- Transfers in for 2005-06 include \$65K from various foundation accounts to their CBA counterparts.
- Transfer out of \$198K will go to Center for Outreach and Prof. Services as result of their web-based online courses

Florida International University  
 Auxiliary Enterprises  
 Board of Trustees Financial Summary  
**Plant Operation and Maintenance**

<b><u>PCS Activity 79</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$819,690</b>	<b>\$924,000</b>	<b>\$647,931</b>	<b>\$416,000</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$0	\$0	\$70,667	\$0
OPS	\$93,308	\$100,000	\$0	\$0
Expense	\$143,767	\$210,080	\$420,485	\$416,832
OCO	\$0	\$0	\$0	\$0
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$237,075</b>	<b>\$310,080</b>	<b>\$491,152</b>	<b>\$416,832</b>
<b>Operating Income</b>	<b>\$582,615</b>	<b>\$613,920</b>	<b>\$156,779</b>	<b>(\$832)</b>
Net Transfers	\$9,158	\$0	\$0	\$675,983
<b>Net Income</b>	<b>\$573,457</b>	<b>\$613,920</b>	<b>\$156,779</b>	<b>(\$676,815)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$620,426	\$1,302,807	\$777,205	\$100,390
<b>Total Cash and Investments</b>	<b>\$620,426</b>	<b>\$1,302,807</b>	<b>\$777,205</b>	<b>\$100,390</b>

**Plant Operation and Maintenance**

The purpose of this activity is to cover the revenues and expenditures associated of plant operations and maintenance of buildings that are not funded from the legislature such as the MARC building. Other departments include Recycling and solid waste management, Physical plant projects and Construction project administration.

Construction project administration, a 1.5% charge on construction project expenses, will no longer operate in the Auxiliary Trust Fund effective July 1, 2005. As a result existing cash in this department will be transferred out of the auxiliary.

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary  
**Academic Department Sales & Services**

<b><u>PCS Activity 80</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$1,936,385</b>	<b>\$1,870,881</b>	<b>\$2,004,737</b>	<b>\$2,608,040</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$367,158	\$644,884	\$258,815	\$351,164
OPS	\$770,773	\$609,818	\$837,034	\$1,022,513
Expense	\$768,206	\$893,243	\$998,196	\$1,000,922
OCO	\$208,384	\$106,500	\$266,927	\$175,155
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$2,114,521</b>	<b>\$2,254,445</b>	<b>\$2,360,972</b>	<b>\$2,549,754</b>
<b>Operating Income</b>	<b>(\$178,136)</b>	<b>(\$383,564)</b>	<b>(\$356,235)</b>	<b>\$58,286</b>
Net Transfers	\$81,971	(\$309)	(\$235,405)	(\$20,000)
<b>Net Income</b>	<b>(\$260,107)</b>	<b>(\$383,255)</b>	<b>(\$120,830)</b>	<b>\$78,286</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$200,000	\$200,000	\$0	\$0
Operating Cash	\$1,468,125	\$1,261,380	\$1,547,295	\$1,625,581
<b>Total Cash and Investments</b>	<b>\$1,668,125</b>	<b>\$1,461,380</b>	<b>\$1,547,295</b>	<b>\$1,625,581</b>

**Academic Department Sales and Services**

Sale of services or products that relate specifically to an academic department, e.g. psychological services, reading clinics, speech and hearing clinics, use of scientific lab equipment, scientific lab materials stockrooms, etc.

There are a number of colleges or schools that have some kind of activity in this area. This activity serves as a mechanism to provide the supplies students need for labs such as scientific materials, chemicals etc and administer the charges to students. The largest programs reside in Arts & Sciences, Engineering, Education and Health Sciences. The revenues generated from this activity are used to support the actual program, growth and provide a means of purchasing additional supplies and equipment for the students to use in the classroom. In FY 2005-06, the accounts generating the majority of revenues for this activity are the SERC Nutrient Analysis (\$700K) and The Wolfsonian Gift and Museum shop(\$324K). Remaining revenues are generated from various lab fees.

The increase in revenues \$600K is due to a \$282K increase from an increase in SERC Nutrient Lab charges and an increase in Nursing lab fees \$112K. The remaining \$200K increase is due to increased activity in other departments primarily lab fees and the Wolfsonian gift shop.



Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary  
**Extracurricular Activities**

<b><u>PCS Activity 87</u></b>	<b>Actual 2003-04</b>	<b>Original Budget 2004-05</b>	<b>Forecast 2004-05</b>	<b>Requested Budget 2005-06</b>
<b>Total Revenues</b>	<b>\$1,229,927</b>	<b>\$1,415,720</b>	<b>\$1,574,582</b>	<b>\$1,748,872</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$534,810	\$666,491	\$577,711	\$839,158
OPS	\$879,569	\$995,719	\$779,764	\$878,608
Expense	\$3,007,879	\$3,617,584	\$3,167,809	\$3,892,550
OCO	\$106,366	\$105,000	\$217,722	\$272,234
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$4,528,624</b>	<b>\$5,384,794</b>	<b>\$4,743,006</b>	<b>\$5,882,550</b>
<b>Operating Income</b>	<b>(\$3,298,697)</b>	<b>(\$3,969,074)</b>	<b>(\$3,168,424)</b>	<b>(\$4,133,678)</b>
Net Transfers	(\$3,637,915)	(\$3,817,500)	(\$3,208,485)	(\$4,288,707)
<b>Net Income</b>	<b>\$339,218</b>	<b>(\$151,574)</b>	<b>\$40,061</b>	<b>\$155,029</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$1,167,438	\$793,615	\$1,207,499	\$1,362,528
<b>Total Cash and Investments</b>	<b>\$1,167,438</b>	<b>\$793,615</b>	<b>\$1,207,499</b>	<b>\$1,362,528</b>

**Extracurricular Activities**

This activity includes the Photo ID fee charged to students, athletic camps and recreational centers at both Biscayne Bay and University Park. Net Transfers is comprised of Panther ID deposits for students and Activity and Service (A&S) fees charged to students to support the recreational facilities at the university .

The surge in expenses and net transfers in FY 2005-06 is directly associated with the new recreational facility which is expected to open in June 2005

**Changes in Accounting Procedures from 2002-03 to 2003-04**

Procedures for processing payments to vendors from Panther ID Accounts were changed in March 2003.

Previously, all payments were recorded as a reduction to revenue and not as expenditures resulting in decreasing revenues with no direct effect on expenses.

The effect of this transaction will show an increase in the expense category offset by a corresponding increase in Transfers-In. In FY 2004-05 the offset amounts to \$2.4M and in 2005-06 the projected offset is \$2.7M.

The Original 04-05 Budget of \$5.2M is being reduced to \$1.4M to adjust for \$1M of Activity and Service fees which was included in the Activity and Service Fund and \$2.8M panthercard deposits that were originally classified as revenues instead of transfer in.

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary

**Unallocated Reserves**

	<b>Actual</b> <b><u>2003-04</u></b>	<b>Original</b> <b>Budget</b> <b><u>2004-05</u></b>	<b>Forecast</b> <b><u>2004-05</u></b>	<b>Requested</b> <b>Budget</b> <b><u>2005-06</u></b>
<b><u>PCS Activity 90</u></b>				
<b>Total Revenues</b>	<b>\$1,294,397</b>	<b>\$0</b>	<b>\$2,998,074</b>	<b>\$2,770,000</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$0	\$0	\$0	\$237,500
OPS	\$0	\$0	\$0	\$0
Expense	\$0	\$0	\$0	\$160,000
OCO	\$0	\$0	\$0	\$4,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$401,500</b>
<b>Operating Income</b>	<b>\$1,294,397</b>	<b>\$0</b>	<b>\$2,998,074</b>	<b>\$2,368,500</b>
Net Transfers	\$1,200,000	\$273,843	\$2,998,074	\$2,160,000
<b>Net Income</b>	<b>\$94,397</b>	<b>(\$273,843)</b>	<b>\$0</b>	<b>\$208,500</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$0	\$190,000
Operating Cash	\$308,240	\$34,397	\$308,240	\$326,740
<b>Total Cash and Investments</b>	<b>\$308,240</b>	<b>\$34,397</b>	<b>\$308,240</b>	<b>\$516,740</b>

**Unallocated Reserves**

Historically , this activity is used to record interest earnings as a pass through to distribute interest to other auxiliary departments. FY 2005-06, interest earnings have been recorded in the individual auxiliaries.

The source of revenues and expenditures will change in FY 2005-06 to reflect interest earnings and costs associated with the University Treasury based on investment strategy which is still pending BOT approval (see notes below). income which will reside in a Special Purpose Investment Reserve (SPIR).

**Notes:**

**2005-06**

- \$2.7M revenues represent \$450K for treasury costs and \$2.3M for net earnings above what's due to the departments in light of the new treasury investment strategy which is still pending BOT approval
- \$2.1M transfers out represents a pass through from University Treasury activities to Sponsored Research Trust Fund
- \$190K represents uncommitted investment earnings to be used for University non recurring expenditures

Florida International University  
 Auxiliary Enterprises  
 Board of Trustees Financial Summary  
**Other Auxiliary Enterprises**

<b><u>PCS Activity 91</u></b>	<b><u>Actual</u></b> <b><u>2003-04</u></b>	<b><u>Original</u></b> <b><u>Budget</u></b> <b><u>2004-05</u></b>	<b><u>Forecast</u></b> <b><u>2004-05</u></b>	<b><u>Requested</u></b> <b><u>Budget</u></b> <b><u>2005-06</u></b>
<b>Total Revenues</b>	<b>\$3,084,010</b>	<b>\$2,821,298</b>	<b>\$4,521,247</b>	<b>\$4,992,377</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$640,918	\$767,714	\$671,409	\$800,921
OPS	\$575,313	\$471,904	\$491,834	\$335,900
Expense	\$1,192,106	\$873,093	\$2,759,911	\$2,703,539
OCO	\$301,818	\$406,495	\$65,000	\$6,000
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$2,710,155</b>	<b>\$2,519,206</b>	<b>\$3,988,154</b>	<b>\$3,846,360</b>
<b>Operating Income</b>	<b>\$373,855</b>	<b>\$302,092</b>	<b>\$533,093</b>	<b>\$1,146,017</b>
Net Transfers	\$152,670	\$1,045,248	\$362,532	\$113,235
<b>Net Income</b>	<b>\$221,185</b>	<b>(\$743,156)</b>	<b>\$170,561</b>	<b>\$1,032,782</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$650,000	\$620,000	\$0	\$0
Operating Cash	\$3,690,537	\$2,295,677	\$4,511,098	\$5,543,880
<b>Total Cash and Investments</b>	<b>\$4,340,537</b>	<b>\$2,915,677</b>	<b>\$4,511,098</b>	<b>\$5,543,880</b>

**Other Auxiliary Enterprises**

PCS 91 captures all departments which do not fall into one of the other defined activity classifications. 60% of revenues in this activity comes from the South Beach Wine and Food festival which led to increased revenues of \$1.2M in 2004-05. The remaining 40% primarily comes from late payment fees, registrar fees and the Studio of Digital Arts (SODA). The main departments in this activity have projected an increase to cash in FY 2005-06 resulting in an overall increase to cash for this activity of about \$1M by the end of FY 2005-06

Florida International University  
Auxiliary Enterprises  
Board of Trustees Financial Summary  
**Data Center Operations**

<b><u>PCS Activity 92</u></b>	<b><u>Actual 2003-04</u></b>	<b><u>Original Budget 2004-05</u></b>	<b><u>Forecast 2004-05</u></b>	<b><u>Requested Budget 2005-06</u></b>
<b>Total Revenues</b>	<b>\$891,167</b>	<b>\$995,000</b>	<b>\$245,410</b>	<b>\$274,042</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$112,050	\$39,579	\$48,687	\$89,916
OPS	\$73,526	\$60,000	\$165,215	\$75,350
Expense	\$200,981	\$188,458	\$432,381	\$153,667
OCO	\$115,438	\$3,000	\$764	\$6,400
Risk Management Insurance	\$0	\$0	\$0	\$0
Debt Service	\$778,079	\$765,000	\$641,849	\$0
<b>Total Operating Expenses</b>	<b>\$1,280,074</b>	<b>\$1,056,037</b>	<b>\$1,288,896</b>	<b>\$325,333</b>
<b>Operating Income</b>	<b>(\$388,907)</b>	<b>(\$61,037)</b>	<b>(\$1,043,486)</b>	<b>(\$51,291)</b>
Net Transfers	(\$349,941)	\$0	(\$592,994)	\$0
<b>Net Income</b>	<b>(\$38,966)</b>	<b>(\$61,037)</b>	<b>(\$450,492)</b>	<b>(\$51,291)</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$611,309	\$293,550	\$160,817	\$109,526
<b>Total Cash and Investments</b>	<b>\$611,309</b>	<b>\$293,550</b>	<b>\$160,817</b>	<b>\$109,526</b>

**Data Center Operations/Computer Services**

Historically, this activity included the regional data centers which provided a full complement of computing services.

In FY 2003-04 the core operation changed its focus to provide Software and Hardware sales and maintenance services to the University Community.

**Notes:**

**2004-05**

- During fiscal year 03-04, the operation shifted approximately 15 positions to E&G funded permanent lines to match expenditures with the revenue source.
- Increase in OPS reflects temporary support staff (FAST) for Panthersoft Financials Application system
- Increase in expenses due to non recurring expenditures - \$120,000 for Reporting Data Services (RDS) and \$104,000 for Panthersoft Maintenance

**2005-06**

- Salary increase due to an additional position supported by the auxiliary which was formerly funded by E&G
- Transfers in received from auxiliary overhead to support partial Hitachi Loan payments for peoplesoft modules and expenses associated with Panthersoft implementation

Full Board Meeting  
Agenda Item 7  
Exhibit “T”  
29 June 2005

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section D**

**“Sponsored Research Proposed Budget Allocation”**

## Florida International University Sponsored Research Development Trust Fund Total Trust Fund

	Actual 2002-03	Actual 2003-04	Projected 2004-05	Requested 2005-06
<b>Total Revenues</b>	<b>\$68,943,794</b>	<b>\$72,540,300</b>	<b>\$72,204,218</b>	<b>\$84,573,915</b>
<b>Expenditures</b>				
Salaries and Benefits	\$23,332,436	\$24,424,094	\$19,958,253	\$24,103,293
OPS	\$17,288,414	\$18,009,159	\$14,842,540	\$20,325,127
Expense	\$18,604,277	\$18,360,694	\$34,507,867	\$30,071,174
OCO	\$2,512,194	\$1,519,517	\$5,042,366	\$4,033,299
Federal Demonstration Project (FDP)	\$10,261,189	\$11,603,813	\$0	\$0
Risk Management Insurance	\$31,727	\$45,761	\$9,138	\$6,000
Debit Service	\$0	\$0	\$0	\$2,160,000
<b>Total Expenditures</b>	<b>\$72,030,237</b>	<b>\$73,963,038</b>	<b>\$74,360,164</b>	<b>\$80,698,893</b>
<b>Operating Income</b>	<b>(\$3,086,443)</b>	<b>(\$1,422,738)</b>	<b>(\$2,155,946)</b>	<b>\$3,875,022</b>
Net Transfers	\$75,272	\$4,108,338	\$2,139,540	\$459,452
<b>Net Income</b>	<b>(\$3,161,715)</b>	<b>(\$5,531,076)</b>	<b>(\$4,295,486)</b>	<b>\$3,415,570</b>
<b>Fund Balance Information</b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$2,785,198	(\$2,745,878)	(\$7,041,364)	(\$3,625,794)
<b>Total Cash and Investments</b>	<b>\$2,785,198</b>	<b>(\$2,745,878)</b>	<b>(\$7,041,364)</b>	<b>(\$3,625,794)</b>

### Sponsored Research Trust Fund

The Sponsored Research Trust Fund includes funding of grants and contracts in support of research, public service and training. Revenues are derived from federal, state, local and private sources to support the sponsored program of the University. These funds are restricted to the specific purpose for which they are awarded. The total grant allocated is comprised of Direct Costs and Indirect Costs. Direct Costs are those costs directly related to research projects such as Salaries and Benefits of researchers and supplies while Indirect Costs represent the University's assessment to help defray the costs of support such as staff members in the Office of Sponsored Research Administration (OSRA) that facilitate operations. Currently, the fee is 40.5% of the direct costs and varies based on different formulas depending on whether the grant is Federal, State, Local or privately originated.

### Revenues

Revenues within the Total Trust Fund are derived from a number of sources. The main sources of revenue are:

- (a) Federal Grants: These are grants allocated to the University from the Federal government on a cost reimbursement basis.
- (b) Local and State Grants are funds awarded by State & Local government entities.
- (c) Other Grants generally come from private entities for specific research purposes. Some of these grants are allocated on a cost reimbursement basis while some may be 'Fixed Price'. Excess funds are transferred to Miscellaneous Revenues.
- (d) Miscellaneous Revenues refer to excess funding from 'fixed price' awards. ('Fixed Price' awards are unrestricted and are allocated upfront despite the project cost). The majority of Miscellaneous Revenues are residual funds from private grants.

The projected revenue increase of \$12.4M from 2004-05 to 2005-06 is due to \$10.4M in new grant activity, and \$2M from a one time billing efficiency improvement.

For fiscal year 2004-2005, the restructuring of the Post Award department and PeopleSoft conversion factors lead to delays in billing and collections that will be mostly caught up by the close of the fiscal year. Commencing in 2004-05 and continued through 2005-06, OSRA will be implementing billing process improvements to close the timing differential between expenditure billing and receipt of revenues. The aforementioned will be achieved by billing federal grants on a bi-weekly basis through an electronic draw down system to coincide with payroll posting. OSRA's post award staff will also expedite the collection of traditionally billed projects and close out projects on a more consistent schedule to allow for timely final payments.

### Expenditures

Expenditures in 2005-06 are projected to increase due to grant/revenue activity. Included in the expense increment are the release of large awards from the US Department of Energy to HCET that were pending the outcome of the audit. The 2004-05 projected decrease in salary and benefits is the result of restrictions on HCET federal projects, and a decrease in the number and value of grants awarded in 2003-04 with activity in 2004-05. The 2004-05 increase in expenses results from reporting consultants and subcontracts as expense items rather than OPS type expenditures. Previous years included expenditures under the Federal Demonstration Partnership (FDP), as these awards did not have the same expenditure category limitations as traditional awards. As such, they existed in SAMAS without the benefit of categories to classify expenditures. In PantherSoft, OSRA allows for their inherent flexibility in a fund unique to FDP awards, but can classify their expenditures into categories. Thus, starting in 2004-05, FDP expenditures are being reported as salary and benefits, OPS, expense and OCO category expenditures within the FDP fund.

Operating expenditures within sponsored research also include financial aid payments made to research assistants, etc. that are authorized and funded by grant awards. While the transaction is processed thru financial aid for compliance perspectives, the posting of expenditures occurs in the grant fund.

### Net Transfers

Net transfers represent the balance of Indirect Cost that are distributed by OSRA to help support administrative costs of managing grant activity at the college level. Net transfers in 2004-05 represent, not only IDC return to colleges and deans, but block transfers to cover cost sharing and support commitments that have been terminated if not contractually obligated. For fiscal year 2005-06, the IDC college/unit level support will be 30% paid quarterly. The reason for the drop in net transfers in 2005-06 is due to the inclusion of a \$2.16M transfer-in to cover the equivalent debt service payment. Otherwise, the IDC figure would have been \$2.7M as a stand alone.

### Reserves

No reserves will be held in 2005-06

## Florida International University

### Sponsored Research

### Indirect Costs (Overhead)

	Actual 2002-03	Actual 2003-04	Projected 2004-05	Requested 2005-06
<b><u>Revenues:</u></b>				
<b>Total Revenues</b>	\$6,680,449	\$11,317,830	\$8,775,486	\$8,831,508
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$1,990,199	\$1,895,630	\$2,004,035	\$3,413,076
OPS	\$559,965	\$897,784	\$427,683	\$166,898
Expense	\$769,818	\$518,117	\$2,216,518	\$1,348,590
OCO	\$70,108	\$51,998	\$42,468	\$23,910
Florida Demo Project - Direct Costs	\$0	\$0	\$0	\$0
Risk Management Insurance	\$30,939	\$0	\$9,138	\$6,000
Debt Service	\$0	\$0	\$0	\$2,160,000
<b>Total Operating Expenses</b>	<b>\$3,421,029</b>	<b>\$3,363,529</b>	<b>\$4,699,842</b>	<b>\$7,118,474</b>
<b>Net Transfers</b>	\$4,823,598	\$13,585,490	\$2,139,540	\$459,452
<b>Total Expenditures</b>	<b>\$8,244,627</b>	<b>\$16,949,019</b>	<b>\$6,839,382</b>	<b>\$7,577,926</b>
<b>Net Excess/(Deficit)</b>	<b>(\$1,564,178)</b>	<b>(\$5,631,189)</b>	<b>\$1,936,104</b>	<b>\$1,253,582</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$791,143	(\$4,840,046)	(\$2,903,942)	(\$1,650,360)
<b>Total Cash and Investments</b>	<b>\$791,143</b>	<b>(\$4,840,046)</b>	<b>(\$2,903,942)</b>	<b>(\$1,650,360)</b>

#### **Indirect Costs/Revenues**

Indirect Costs are generated based on a formula assessment of all sponsored projects to cover the administrative and facility costs that cannot be directly allocated to projects or grants, such as utilities, public safety, library, grounds, space utilization expenses. The current rate as negotiated with the Federal Department of Health and Human Services (DHHS) is 40.5% for on-campus research and 25.5% for off-campus research. Other recognized rates include 8% for training programs, and 5% for state grants. All of these revenues are returned to the Office of Sponsored Research Administration (OSRA) where it is allocated to meet costs related to the following items:

- 1) OSRA Cost Sharing Commitments
- 2) The overhead accounts belonging to the Deans and Center Directors
- 3) Operational costs of Sponsored Research

Revenues are directly correlated with the amount of research expenditures at the University and are projected to increase in 2005-06 as research activity increases as well. Fiscal year 2003-04 versus projected 2004-05 and forecasted 2005-06 reflects higher IDC revenues due to greater research expenditures on federal awards such as the \$5M US Army Central Command grant, \$2M Department of Treasury, \$1.8M National Science Foundation and \$1.4M Department of Labor awards. The HCET award audit also resulted in lower OSRA IDC revenues since the audit limited the amount of federal expenditures in subsequent years on the \$7M grant.

#### **Expenditures**

The increase in the expense category for 2004-05 is mainly due to consultants that have been hired to facilitate the restructuring of OSRA and are continued on a more limited basis into 2005-06. The increase in salaries for 2005-06 is due to the restructuring and projected hiring of staff in OSRA.

#### **Net Transfers**

Net transfers represent the balance of Indirect Cost that are distributed by OSRA to help support administrative costs of managing grant activity at the college level. Net transfers in 2004-05 represent, not only IDC return to colleges and deans, but block transfers to cover cost sharing and support commitments that have been terminated if not contractually obligated. For fiscal year 2005-06, the IDC college/unit level support will be 30% paid quarterly. The reason for the drop in net transfers in 2005-06 is due to the inclusion of a \$2.16M transfer-in to cover the equivalent debt service payment. Otherwise, the IDC figure would have been \$2.7M as a stand alone.

#### **Reserves**

No reserves will be held in 2005-06.

Full Board Meeting  
Agenda Item 7  
Exhibit “T”  
29 June 2005

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section E**

**“Local Agency Fund Proposed Budget Allocation”**



**TOTAL LOCAL AGENCIES \***

	<b>Actual 2002-03</b>	<b>Actual 2003-04</b>	<b>Projected Budget 2004-05</b>	<b>Requested Budget 2005-06</b>
<b>Total Revenues</b>	<b>\$117,726,593</b>	<b>\$126,954,469</b>	<b>\$145,030,869</b>	<b>\$158,481,415</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$0	\$0	\$5,441,822	\$5,225,803
OPS	\$995,598	\$767,490	\$1,447,565	\$1,338,173
Expense	\$102,396,983	\$115,378,446	\$133,164,637	\$147,216,465
OCO	\$225,315	\$382,419	\$146,695	\$82,923
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$103,617,896</b>	<b>\$116,528,355</b>	<b>\$140,200,719</b>	<b>\$153,863,364</b>
Transfers - Net	\$11,078,364	\$10,643,992	\$6,681,833	\$4,286,671
<b>Net Income</b>	<b>\$3,030,333</b>	<b>(\$217,878)</b>	<b>(\$1,851,683)</b>	<b>\$331,380</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$3,118,626	\$1,668,626	\$0	\$0
Operating Cash / Fund Balance	\$76,992,562	\$78,224,684	\$78,041,627	\$78,373,007
<b>Total Cash and Investments</b>	<b>\$80,111,188</b>	<b>\$79,893,310</b>	<b>\$78,041,627</b>	<b>\$78,373,007</b>

\*

**LOCAL FUNDS INCLUDE:**

**Intercollegiate Athletics**

**Activity & Service**

**Concession**

**Financial Aid Scholarships**

**Financial Aid Loans**

# **INTERCOLLEGIATE ATHLETICS**

## Fund 411

	Actual 2002-03	Actual 2003-04	Projected 2004-05	Requested Budget 2005-06
<b>Total Revenues</b>	<b>\$7,948,780</b>	<b>\$8,075,760</b>	<b>\$12,513,110</b>	<b>\$13,381,584</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$0	\$0	\$4,113,155	\$3,880,360
OPS	\$505,355	\$191,999	\$712,845	\$672,500
Expense	\$3,475,808	\$3,559,088	\$3,962,848	\$8,750,324
OCO	\$105,128	\$340,393	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$4,086,291</b>	<b>\$4,091,480</b>	<b>\$8,788,848</b>	<b>\$13,303,184</b>
<b><u>Transfers</u></b>				
Transfers - Payroll	\$3,497,500	\$3,524,000	\$0	\$0
Transfers - Scholarships	\$2,159,220	\$2,375,000	\$3,647,604	\$0
Transfers - Overhead	\$293,000	\$310,000	\$0	\$0
Transfers - Other	\$0	\$0	\$67,334	\$78,400
<b>Total Transfers</b>	<b>\$5,458,746</b>	<b>\$4,460,572</b>	<b>\$3,714,938</b>	<b>\$78,400</b>
<b>Total Expenditures</b>	<b>\$9,545,037</b>	<b>\$8,552,052</b>	<b>\$12,503,786</b>	<b>\$13,381,584</b>
<b>Net Income</b>	<b>(\$1,596,257)</b>	<b>(\$476,292)</b>	<b>\$9,324</b>	<b>\$0</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$1,600,000	\$150,000	\$0	\$0
Operating Cash	\$409,744	\$1,234,075	\$1,393,399	\$1,393,399
<b>Total Cash and Investments</b>	<b>\$2,009,744</b>	<b>\$1,384,075</b>	<b>\$1,393,399</b>	<b>\$1,393,399</b>

### **Notes:**

#### **Intercollegiate Athletics**

Intercollegiate Athletics is the functional area of the University responsible for team sports and their support activities. Examples of University sports activities include football, baseball, soccer, golf, basketball, cross country track, swimming, tennis and volleyball.

#### **Financial Summary**

Athletics revenues are primarily generated by student fees forecasted at \$10.8M for 2005-06 (fee schedule shown below). The \$2.7M in addition revenues is comprised of \$1.0M in game guarantees, \$1.0M in foundation/sponsorship support with the balance of \$ .7M coming from ticket sales; NCAA distributions, scholarship support and miscellaneous revenue generators. The primary growth in revenues is attributable to enrollment growth resulting in estimated incremental revenue dollars in the amount of \$600K. The driver behind athletics revenue generation is enrollment driven fees based on per credit hour fees and student head count. The resulting revenue is dependent on actual enrollment and registration as well as the fees charged. The foundation support/sponsorships is steady based on a five year commitment plan and should be stable with minimal downside variability.

During fiscal year 2004-05, athletics payroll salaries were transferred into the athletics fund versus being paid from the grant fund as was historically the case due to former State requirements. The benefit of the adjustment is that all operational expenditures are recorded in the athletics fund versus historically split and the need to transfer cash to cover the expenditures has been eliminated. On a similar note, with the introduction of PeopleSoft, overhead is now recorded as an operating expense versus a transfer out.

Fee Schedule	2004 – 2005	2005 – 2006
Athletic Fee General	\$6.90	\$6.90
Title IX	\$0.30	\$0.30
Football	\$4.46	\$4.46
<i>Total Fee Per Credit Hour</i>	<i>\$11.66</i>	<i>\$11.66</i>
Headcount Fee (Non-Football)	\$10.00	\$10.00

**ACTIVITY & SERVICE FUND**  
Fund 451 & 452

	<b>Actual 2002-03</b>	<b>Actual 2003-04</b>	<b>Projected 2004-05</b>	<b>Requested Budget 2005-06</b>
<b>Total Revenues</b>	<b>\$8,194,550</b>	<b>\$8,097,883</b>	<b>\$8,215,180</b>	<b>\$9,614,077</b>
<b><u>Expenditures</u></b>				
Salaries and Benefits	\$0	\$0	\$1,328,667	\$1,345,443
OPS	\$474,959	\$565,908	\$734,720	\$665,673
Expense	\$2,118,511	\$1,814,423	\$2,670,153	\$2,982,387
OCO	\$120,187	\$42,026	\$146,695	\$82,923
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$2,713,657</b>	<b>\$2,422,357</b>	<b>\$4,880,235</b>	<b>\$5,076,426</b>
<b><u>Transfers</u></b>				
Transfers - Payroll	\$1,654,840	\$1,744,141	\$0	\$0
Transfers - Scholarships	\$0	\$0	\$0	\$0
Transfers - Overhead	\$125,000	\$149,066	\$0	\$0
Transfers - Other	\$3,185,773	\$3,718,947	\$2,966,895	\$4,208,271
<b>Total Transfers</b>	<b>\$5,194,911</b>	<b>\$5,644,266</b>	<b>\$2,966,895</b>	<b>\$4,208,271</b>
<b>Total Expenditures</b>	<b>\$7,908,568</b>	<b>\$8,066,623</b>	<b>\$7,847,130</b>	<b>\$9,284,697</b>
<b>Net Income</b>	<b>\$285,982</b>	<b>\$31,260</b>	<b>\$368,050</b>	<b>\$329,380</b>
<b><u>Fund Balance Information</u></b>				
Reserve Items	\$1,518,626	\$1,518,626	\$0	\$0
Operating Cash	\$1,825,022	\$1,728,675	\$3,615,351	\$3,944,731
<b>Total Cash and Investments</b>	<b>\$3,343,648</b>	<b>\$3,247,301</b>	<b>\$3,615,351</b>	<b>\$3,944,731</b>

**Notes:**

**Student Activities Summary**

The Activity and Service Fee fund is the student life component of the University which supports clubs, organizations, student centers and recreational sports for all campuses. The purpose of this activity is to enhance and balance the academic experience with social real world interactions amongst students. The principle funding source for this activity is a per credit hour fee charged equally to all students in the amount of \$9.14 for 2004-05 and pending BOT approval to increase by \$1.38 or 15% to \$10.52 for 2005-06.

**Financial Summary**

An adjustment made in 2004-05 was the recording shift of payrolls from the grant fund to the Activity and Service Fee fund post devolution. Previously, payroll could not be paid from local funds resulting in payroll needing to be paid in the grant fund with the requirement to process cash transfers to cover those cost. Going forward, all charges will reside within the fund eliminating the need for managing charges in dual funds and the processing of corresponding cash transfers as well as facilitating improved financial management by viewing all charges in one fund. In light of this, operating expenditures have increased with the addition of salaries and OPS payroll but offset by the elimination of transfers-out.

For fiscal year 2005-06, transfers-out are mainly increasing due to the expansion of two recreational sports facilities on both campuses with the University Park facility expected to open in July 2005 and the BBC facility approximately one year later. The facility at University Park is increasing from 12,000 sq./ft. to 40,000 sq./ft. and from 2,500 sq./ft. to 10,000 sq./ft. at Biscayne Bay Campus. The increased funding will be used to cover incremental operational expenditures associated with the larger facilities and is the primary driver behind the fee increase.

**CONCESSION**  
Fund 461

	Actual 2002-03	Actual 2003-04	Projected 2004-05	Requested Budget 2005-06
<b>Total Revenues</b>	<b>\$496,544</b>	<b>\$483,748</b>	<b>\$416,740</b>	<b>\$470,000</b>
<b>Expenditures</b>				
Salaries and Benefits	\$0	\$0	\$0	\$0
OPS	\$15,284	\$9,583	\$0	\$0
Expense	\$502,560	\$421,475	\$416,462	\$468,000
OCO	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
<b>Total Operating Expenses</b>	<b>\$517,844</b>	<b>\$431,058</b>	<b>\$416,462</b>	<b>\$468,000</b>
<b>Operating Income</b>	<b>(\$21,300)</b>	<b>\$52,690</b>	<b>\$278</b>	<b>\$2,000</b>
Net Transfers	(\$1)	(\$4)	\$0	\$0
<b>Net Income</b>	<b>(\$21,299)</b>	<b>\$52,694</b>	<b>\$278</b>	<b>\$2,000</b>
<b>Fund Balance Information</b>				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$287,656	\$340,348	\$340,626	\$342,626
<b>Total Cash and Investments</b>	<b>\$287,656</b>	<b>\$340,348</b>	<b>\$340,626</b>	<b>\$342,626</b>

**Concession Fund:**

This activity contains all the revenues from vending food and refreshment machines and student housing washing machines. Currently all vending machines are contracted to outside vendors. The revenues from these sources are used primarily for food purchases related to business activities, such as staff meetings, faculty recruitment, university wide events, student housing socials, convocation, etc.

**Financial Summary:**

The GC building is the principal revenue generator for concession funds since it is the central focal point for students as well as staff due to the various social, cultural and food and business services anchored at this location. During fiscal year 2004-05, the Graham Center (GC) building was under renovation resulting in altered student and employee passage flows as well as the relocation of vending machines resulting in reduced overall revenues. As construction comes to an end and new patron flow patterns are identified, vending revenues are projected to return to historical figures.

### **FINANCIAL AID SCHOLARSHIPS**

	Actual 2002-03	Actual 2003-04	Projected 2004-05	Requested Budget 2005-06
Total Revenues	\$53,054,788	\$54,702,264	\$61,764,993	\$64,915,754
Expenditures				
Salaries and Benefits	\$0	\$0	\$0	\$0
OPS	\$0	\$0	\$0	\$0
Expense	\$48,730,313	\$54,297,271	\$63,994,328	\$64,915,754
OCO	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
Total Operating Expenses	\$48,730,313	\$54,297,271	\$63,994,328	\$64,915,754
Operating Income	\$4,324,475	\$404,993	(\$2,229,335)	\$0
Net Transfers	\$424,708	\$539,158	\$0	\$0
Net Income	\$3,899,767	(\$134,165)	(\$2,229,335)	\$0
Fund Balance Information				
Reserve Items	\$0	\$0	\$0	\$0
Operating Cash	\$13,526,686	\$13,790,240	\$13,140,240	\$13,140,240
Total Cash and Investments	\$13,526,686	\$13,392,521	\$12,000,796	\$12,000,796

**Operational Summary:**

The increase in scholarship activity at FIU is tied to the growth of the student body at the University and the increase in scholarship funds to offset the cost of rising higher education tuition. The Bright Futures scholarship program for example is tuition based. Going forward, based on increasing national higher education tuition trends, this activity will likely continue increasing over the coming years.

**Revenues:**

*The revenues from Financial Grant and scholarship programs come from the following sources:*

Federal Government, State of Florida and other states that offer financial assistance to their residents, Private Organizations, Miscellaneous Government Agencies and Institutional Funds. Funding from the US Dept. Of Education and the Florida Dept. of Education are subject to legislative actions annually. Examples of large programs include the federal Pell Grant and Bright futures program.

**Operating Expenses:**

The Financial Aid Office acts as an agent reviewing student status and matching qualifying students with applicable aid programs. The increase in scholarship activity for 2005-06 is due to increases in the Bright Futures programs which are tuition based, a 7.5% increase in Florida Student Assistance Grants (FSAG) awards, Institutional awards and a tuition increase which generally results in increased scholarship request.

**Fund Balance:**

The cash balances at year-end are carried forward to fund need-based and merit type scholarships.

### **FINANCIAL AID - LOANS**

	Actual 2002-03	Actual 2003-04	Projected 2004-05	Requested Budget 2005-06
Total Revenues	\$48,031,931	\$55,594,814	\$62,120,846	\$70,100,000
Expenditures				
Salaries and Benefits	\$0	\$0	\$0	\$0
OPS	\$0	\$0	\$0	\$0
Expense	\$47,569,791	\$55,286,189	\$62,120,846	\$70,100,000
OCO	\$0	\$0	\$0	\$0
Debt Service	\$0	\$0	\$0	\$0
Total Operating Expenses	\$47,569,791	\$55,286,189	\$62,120,846	\$70,100,000
Operating Income	\$462,140	\$308,625	\$0	\$0
Net Transfers	\$0	\$0	\$0	\$0
Net Income	\$462,140	\$308,625	\$0	\$0
Fund Balance Information	\$60,943,454	\$61,252,079	\$61,842,077	\$61,842,077

**Operational Summary:**

Increases in the cost of tuition, growth of tuition-plus programs and flat anticipated growth of need-based scholarships/grants are driving the demand for increased loan activity to finance higher education endeavors. Going forward, no significant deviations from this trend are anticipated.

**Revenues:**

The revenues for the financial aid loan fund primarily come from the Federal Government. As the cost of higher education increases at a faster pace than scholarships and grants, the primary source for funding and education are student loans. For the 2004-05 fiscal year, loans are forecast to comprise 49% of all financial aid awarded to FIU students. The federal Government sets guidelines for the Stafford loan program and works through financial institutions that have agreements to participate in the federal loan programs. The subsidized Stafford student loans and the Perkins loans are awarded to students on a need basis. The interest on these type of loans are subsidized by the federal government while the student is adequately enrolled and up to six-months after graduation. If the student drops out of school or falls below half time status for more than 6 months the interest is applicable immediately.

*Unsubsidized Loans*

Unsubsidized Loans are awarded to students on a 'no need' basis. Unlike the subsidized loans, students qualified for this type of loan are responsible for the interest. Students have the option of paying the interest upfront or after graduation.

**Operating Expenditures:**

The Financial Aid Office acts as an agent reviewing student status and matching third party lenders with students applying for loans. The expenditures in the financial aid loan fund represent 100% of the approved third party lender funds being passed thru the financial aid office to qualifying students.

**Net Transfers:**

Transfers in the loan fund are primarily due to emergency short term loans and book advances. The short term loans have a 45-day payback period and/or must be paid back in full before being allowed to register for the next semester.

**Fund Balance:**

The fund balance for loans primarily represents notes receivable to third party lenders (See Revenues Explanation Above).

Full Board Meeting  
Agenda Item 7  
Exhibit “T”  
29 June 2005

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section F**

**“FIU Foundation Proposed Budget Allocation”**

**Florida International University Foundation, Inc.**  
**Recommended 2005-06 Budget**

*(In Thousands of Dollars)*

	2001-02 June 30, 2002 <u>Actuals</u>	2002-03 June 30, 2003 <u>Actuals</u>	2003-04 June 30, 2004 <u>Actuals</u>	2004-05 April 30, 2005 <u>Actuals</u>	2004-05 Approved <u>Budget</u>	2005-06 Recommended <u>Budget</u>
<b>Receipts:</b>						
<u>Contributions:</u>						
University-Wide Scholarships	\$ 181	\$ 323	\$ 309	\$ 242	\$ 300	\$ 270
Endowments	\$ 4,002	\$ 2,718	\$ 6,153	\$ 6,943	\$ 7,300	\$ 3,100
Building Funds	\$ 2,164	\$ 1,025	\$ 2,319	\$ 2,308	\$ 987	\$ 2,500
College, Schools, Centers	\$ 4,085	\$ 4,100	\$ 3,810	\$ 3,216	\$ 3,500	\$ 3,500
Athletics	\$ 395	\$ 731	\$ 615	\$ 498	\$ 930	\$ 997
Alumni Membership	\$ 22	\$ 55	\$ 92	\$ 105	\$ 70	\$ 185
Annual Fund	\$ 265	\$ 260	\$ 252	\$ 270	\$ 360	\$ 380
Total Contributions.....	\$ 11,114	\$ 9,212	\$ 13,550	\$ 13,582	\$ 13,447	\$ 10,932
<u>Other Revenues:</u>						
MARC Building Rental Income	\$ 242	\$ 1,583	\$ 1,578	\$ 1,668	\$ 1,575	\$ 1,575
Estimated Investment Income/Capital Gains	\$ (722)	\$ 2,276	\$ 9,980	\$ 4,533	\$ 6,000	\$ 7,000 **
<b>Total Receipts .....</b>	<b>\$ 10,634</b>	<b>\$ 13,071</b>	<b>\$ 25,108</b>	<b>\$ 19,783</b>	<b>\$ 21,022</b>	<b>\$ 19,507</b>
<b>Expenditures:</b>						
<u>Operational</u>						
Annual Fund	\$ 206	\$ 165	\$ 299	\$ 279	\$ 380	\$ 380
Administrative Expenses	\$ 514	\$ 356	\$ 370	\$ 802	\$ 1,135	\$ 1,188
<b>Total Operational Costs.....</b>	<b>\$ 720</b>	<b>\$ 521</b>	<b>\$ 669</b>	<b>\$ 1,081</b>	<b>\$ 1,515</b>	<b>\$ 1,568</b>
<u>University Programs</u>						
University-Wide Scholarships	\$ 389	\$ 415	\$ 482	\$ 263	\$ 350	\$ 280
Building Funds	\$ 3,804	\$ 1,311	\$ 2,567	\$ 26	\$ 418	\$ 3,317
College, Schools, Centers	\$ 8,646	\$ 4,121	\$ 5,584	\$ 3,346	\$ 5,000	\$ 5,000
MARC Building	\$ 313	\$ 1,021	\$ 768	\$ 514	\$ 850	\$ 775
Athletics	\$ 212	\$ 455	\$ 1,049	\$ 589	\$ 883	\$ 735
Alumni Programs	\$ 39	\$ 73	\$ 65	\$ 97	\$ 90	\$ 200
General Reserve	\$ 624	\$ 113	\$ 312	\$ 15	\$ 185	\$ 55
<b>Total University Program Costs.....</b>	<b>\$ 14,027</b>	<b>\$ 7,509</b>	<b>\$ 10,827</b>	<b>\$ 4,850</b>	<b>\$ 7,776</b>	<b>\$ 10,362</b>
<b>Total Expenditures.....</b>	<b>\$ 14,747</b>	<b>\$ 8,030</b>	<b>\$ 11,496</b>	<b>\$ 5,931</b>	<b>\$ 9,291</b>	<b>\$ 11,930</b>
<b>Excess of Receipts/Expenditures</b>	<b>\$ (4,113)</b>	<b>\$ 5,041</b>	<b>\$ 13,612</b>	<b>\$ 13,852</b>	<b>\$ 11,731</b>	<b>\$ 7,577</b>

\*\*Based on CSG's projections of a 7.0% annual gain on a \$100 million fund.



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**THE FLORIDA INTERNATIONAL UNIVERSITY  
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PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section G**

**“Capital Improvement Plan”**

FLORIDA BOARD OF EDUCATION - DIVISION OF COLLEGES AND UNIVERSITIES  
 Capital Improvement Plan (CIP-2) and Legislative Budget Request  
 Period: 2006-2007 through 2010-11

05/11/05

Florida International University Board of Trustees

Priority Number	Project	2006-07	2007-08	2008-09	2009-10	2010-11	Total	FECG Project*	Date Bldg Program Submitted	Educational Plant Survey Recommended Date/Rec No.
1	FACILITIES INFRASTRUCTURE /CAPITAL RENEWAL, UW (PCE)	\$7,000,000	\$7,000,000	\$7,000,000	\$7,000,000	\$7,000,000	\$35,000,000		Revised 01/12/98	06/07/01
2	MOLECULAR BIOLOGY, UP (PC)(CE)	\$2,912,000					\$2,912,000		(a)	06/07/01
3	SOCIAL SCIENCE (INTERNATIONAL STUDIES), UP (PC)(PC)(CE)	\$1,090,000					\$1,090,000		(a)	06/07/01
4	PUBLIC SAFETY RELOCATION, UP (PCE)	\$3,000,000					\$3,000,000		(a)	06/07/01
5	SCIENCE/CLASSROOM COMPLEX - UP (PC)( C ) (CE)	\$12,000,000	\$19,309,402	\$15,000,000			\$46,309,402		(a)	***
6	GRADUATE CLASSROOM BUILDING - UP (P,C)( C ) (E)		\$10,000,000	\$9,473,940	\$2,180,000		\$21,653,940		(a)	***
7	SATELLITE CHILLER PLANT - UP (P,C)( C,E)		\$1,000,000	\$6,000,000			\$7,000,000		(a)	***
8	HEALTH-SCIENCE LABORATORY CLINIC - UP (P)(P,C,E)(E)			\$1,208,480	\$18,243,344	\$1,120,000	\$20,571,824		(a)	***
9	HUMANITIES CENTER/OFFICES - UP (P,C)( C )(C,E)			\$7,141,883	\$14,855,331	\$3,027,000	\$25,024,214		(a)	***
10	CLASSROOM/OFFICE, BBC (PC)( C )(CE)				\$1,312,789	\$19,721,717	\$21,034,506		(a)	06/07/01
11	INTERNATIONAL HURRICANE CENTER, UP (P)(PCE)				\$1,000,000	\$11,000,386	\$12,000,386		(a)	06/07/01
12	TRAINING COMPLEX, UP (PC)(C)				\$1,090,000	\$8,720,000	\$9,810,000		(a)	06/07/01
	SUB-TOTAL	\$26,002,000	\$37,309,402	\$45,824,303	\$45,681,464	\$50,589,102	\$205,406,271			
17	CAPITAL ASSET MANAGEMENT SUPPLEMENT, UW	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	\$15,000,000			
	TOTAL	\$29,002,000	\$40,309,402	\$48,824,303	\$48,681,464	\$53,589,102	\$220,406,271			

FECGP = Facility Enhancement Challenge Grant Program

\*If project is a FECGP project, report only the state share and cite date that the matching requirement is expected to be received.

\*\*\* Pending 2005-2010 EPS Recommendations

(a) Facility Program document is in planning process.

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
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PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section H**

**“Public Education Capital Outlay (PECO) Proposed Budget  
Allocation”**

**2005-2006 PECO Project List by University and Project**

**Comparison of BOG Request with Governor's Recommended Budget,  
Senate Bill SB 2600, House Bill HB 1885, and Conference Report on SB 2600**

<u>University</u>	<u>Project</u>	BOG	BOG	BOG	Governor's	Senate	House	Conference
		Request	Revised	Approved	Recommended			
		Approved	Request	Revised	Budget	Bill	Bill	Report on
		<u>10/21/04</u> <sup>1</sup>	<u>11/22/04</u> <sup>2</sup>	<u>3/24/05</u> <sup>3</sup>	<u>1/18/05</u> <sup>2</sup>	<u>SB 2600</u>	<u>HB 1885</u>	<u>SB 2600</u> <sup>4</sup>
<b>FIU</b>	Utilities/Infrastructure/Capital Renewal/Roofs (P,C,E)	\$4,780,187	\$5,000,000	\$5,000,000	\$5,000,000	\$5,000,000	\$5,000,000	\$5,000,000
	Molecular Biology, UP (P,C)	\$11,330,634	\$8,418,634	\$8,418,634	\$8,418,634	\$8,418,634	\$8,418,634	\$8,418,634
	Social Science (International Studies), UP (P,C)		\$13,466,710	\$13,466,710	\$13,466,710	\$13,466,710	\$13,466,710	\$13,466,710
	<b>TOTAL</b>	<b>\$16,110,821</b>	<b>\$26,885,344</b>	<b>\$26,885,344</b>	<b>\$26,885,344</b>	<b>\$26,885,344</b>	<b>\$26,885,344</b>	<b>\$26,885,344</b>

<sup>1</sup> Estimated revenue limits are based on March 8, 2004 PECO Revenue Estimating Conference.

<sup>2</sup> Estimated revenue limits are based on November 2, 2004 PECO Revenue Estimating Conference.

<sup>3</sup> Estimated revenue limits are based on March 7, 2005 PECO Revenue Estimating Conference.

<sup>4</sup> Conference Report on SB 2600 includes \$219,441,004 from PECO and \$28,491,039 from General Revenue.

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PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section I**

**“Challenge Grants Legislative Budget Allocation”**

**MAJOR GIFTS TRUST FUND  
2004-2005  
AS OF 4/11/2005  
FLORIDA INTERNATIONAL UNIVERSITY**

<u>ENDOWMENT</u>	<u>ALLOCATION MATCH</u>
C.V. STARR SCHOLARSHIP ENDOWMENT	\$192,497
WARE FOUNDATION PROFESSORSHIP	\$50,000
JUDGE THOMAS C. BRITTON LAW SCHOLARSHIP ENDOWMENT	\$75,000
ROBERT STEMPEL ENDOWMENT	\$752,505
SOUTHEAST ENVIRONMENTAL RESEARCH CENTER ENDOWMENT	\$420,000
LUCILLE E. SNAITH MEMORIAL HONORS COLLEGE/MEMORIAL SCHOLARSH	<u>\$50,000</u>
TOTAL	\$1,540,002

**DIVISION OF COLLEGES AND UNIVERSITIES**  
**Alec P. Courtelis Facility Enhancement Challenge Grant Program List**  
**for 2005-2006 Fixed Capital Outlay Legislative Budget Request**

**Comparison of BOG Request with Governor's Recommended Budget,**  
**Senate Bill SB 2600, House Bill HB 1885, and Conference Report on SB 2600**

<u>Univ</u>	<u>Project</u>	2005-2006	2005-2006	2005-2006	<u>Governor's</u> <u>Recommendation*</u>	<u>Senate</u> <u>Bill SB 2600</u>	<u>House</u> <u>Bill HB 1885</u>	<u>Conference</u> <u>Report on</u> <u>SB 2600</u>
		BOG Request State Matching <u>10/21/04</u>	BOG Revised Request <u>01/10/05</u>	BOG Revised Request <u>04/21/05</u>				
FIU	Art Museum (C,E)		\$1,062,056	\$1,062,056		\$1,062,056	\$1,062,056	\$1,062,056
FIU	College of Law (C,E)		\$164,725	\$164,725		\$164,725	\$164,725	\$164,725
FIU	Hospitality Management (C,E)		\$200,000	\$200,000		\$200,000	\$200,000	\$200,000
FIU	Graduate School of Business (C,E)		\$1,890,500	\$1,890,500		\$1,890,500	\$1,890,500	\$1,890,500
	<b>TOTAL</b>	<b>\$0</b>	<b>\$3,317,281</b>	<b>\$3,317,281</b>	<b>*</b>	<b>\$3,317,281</b>	<b>\$3,317,281</b>	<b>\$3,317,281</b>

\* An undertermined amount for the State University System is included in Section 1, Item #9 Special Categories, Section 2, Item #130 Special Categories, and Section 6, Item #2090 Lump Sum Reserve for New Issues and Economic Contingencies.

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
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PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**EXHIBIT “T”**

**Section J**

**“Capital Improvement Fee Trust Fund (CIFT)”**



**STATE UNIVERSITY SYSTEM OF FLORIDA**  
**2005-2006 Capital Improvement Fee Trust Fund Project List by University and Project**

**Comparison of BOG Request with Governor's Recommended Budget,  
Senate Bill SB 2600, House Bill HB 1885, and Conference Report on SB 2600**

<u>Univ</u>	<u>Project</u>	BOG	<u>Governor's</u>	<u>Senate</u>	<u>House</u>	Conference
		<u>2005-2006</u>				<u>Report on</u>
		<u>Request</u>	<u>Recommendation</u>	<u>Bill SB 2600</u>	<u>Bill 1885</u>	<u>SB 2600</u>
FIU	Graham Center Conference Addition	\$6,713,527	-	\$6,713,527	\$6,713,527	\$6,713,527
	Resident Student Dining Facility	\$3,050,000	-	\$3,050,000	\$3,050,000	\$3,050,000
	Auxiliary Trust Fund Loan Repayment	\$2,800,000	-	\$2,800,000	\$2,800,000	\$2,800,000
	<b>TOTAL</b>	<b>\$12,563,527</b>	-	<b>\$12,563,527</b>	<b>\$12,563,527</b>	<b>\$12,563,527</b>

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
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**29 JUNE 2005**

PROPOSED 2005-06 UNIVERSITY OPERATING BUDGET

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**ATTACHMENT 15**

**“Line Item Definitions”**

**FLORIDA INTERNATIONAL UNIVERSITY**  
**Line-Item Definitions for Auxiliary, Sponsored Research and Local Funds**

**REVENUES:**

**Auxiliary** revenues represent operating inflows generated by the provision of products and/or services to the University community. Auxiliary Enterprise Operations are self-sufficient and rely on the generation of these revenues for their ongoing existence.

**Sponsored Research** receives its revenue/funding through the acquisition of Federal, State and Local grants.

**Student Activities (SGA) and Intercollegiate Athletics** receive their funding through the assessment of a student credit hour fee as well as gate admission for general and sports events.

**Financial Aid** revenues originate from scholarship programs such as Pell Grants, Bright Futures that are passed on to qualifying students. Additionally, Financial Aid loans are funded by financial institutions which are passed on to qualifying students.

**Concessions** funding originates from commissions on vending machine sales across the University.

**EXPENDITURES:**

**Salaries & Benefits** – The expenditure category from which State employees are paid. Expenditures in this category typically include salary rate (actual salary) plus the costs of benefits (retirement, social security, health insurance and life insurance).

**OPS** – This category represents “Other Personnel Services” typically representing the costs of temporary employment positions such as student assistants, graduate assistants, and faculty adjuncts. Note, in the SAMAS environment, consultant expenditures were booked as professional agreements under OPS. However, beginning in the 2004-05 fiscal year under PeopleSoft financials, consultants will be booked as an Expense category expenditure.

**Expense** – Expenditures in this category represent a wide range of cost activities such as phone service, utilities, supplies and photocopying. Generally, expenditures under \$1,000 per item are classified in the expense category. As noted above, consultant related expenditures will be booked to expense as well as overhead charges which under SAMAS were previously recorded as a Transfer-Out.

**OCO** – This operating category is where capital expenditures greater than \$1,000 per individual item and/or items with a useful life greater than one year are recorded. Items classified as OCO are also recorded as assets on the University balance sheet.

**Risk Management Insurance** – This special category is used to record the cost of insurance such as property and casualty insurance premiums.

## Attachment 15

**Debt Service** – This special category is where installment payments/lump sum payments are recorded when servicing an amortized loan/note.

### **TRANSFERS:**

**Net Transfers** – This line-item represents the combination of transfers-in and transfers-out. Note, a net positive transfer represents a decrease to the activity since all outflows are noted as positives. A net positive transfer occurs when transfers-out are greater than transfers-in. A net negative transfer represents a credit that results from transfers-in being greater than transfers-out. This scenario will reduce the total outflow exposure to the operation.

### **FUND BALANCE:**

**Fund Balance** – This line item represents the activities cumulative asset position which includes cash, notes receivable, etc. The cash position of all activities is dependent on net income, which will either add to the bottom line if positive or decrease if the activity reports an operational loss. Additionally, the fund balance is broken down between reserve items and operating cash in order to depict the true working capital position of an activity. The cash balances in the Auxiliary Trust Fund that are not needed for immediate operations are invested with the State Treasury. The interest income generated from cash management services are reinvested into the auxiliary trust fund. The fund balance in the Financial Aid Loan Fund represents loan activity between third party lenders and students which is administered by the Office of Financial Aid.

**Reserve Items** – The amounts listed as reserve items represent projects earmarked for future expenditure. Reserves typically consist of capital non-recurring items such as new construction set-off, new equipment purchases, remodeling and a reserve for capital renewal fund. The latter is mandated as a compliance rule for the Parking and Housing activity bond issues. Compliance for the two aforementioned activities requires that 3% of pledged revenues be set-aside as reserves on a yearly basis in addition to prior years reserves.

**Operating Cash** – This is the amount of cash available for discretionary day-to-day spending that has not been earmarked for a specific purpose. A strong operating cash position is encouraged since this provides a cushion in the event of an unexpected downturn as well as a source of funds that can be used to pursue new growth opportunities.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: UNIVERSITY TUITION FEE RULE – RULE AMENDMENT**

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**PROPOSED BOARD ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS, the Florida International University Board of Trustees (“the Board”) is authorized to set tuition and fees for the University within the limits provided by law;

WHEREAS, the Legislature has provided the Board with authority to set 2005-06 Academic Year tuition and fees for graduate, graduate professional, and nonresident students (at any level of instruction);

WHEREAS, subject to approval by the Governor of the legislation providing the Board with tuition and fee authority, the Board desires to exercise its authority as reflected in the amendments to the Tuition Fees Schedule Rule (Rule 6C8-6.010) attached hereto as Exhibit “N”;

THEREFORE, BE IT RESOLVED THAT, the Board approves the 2005-06 Academic Year tuition and fees increases reflected in the amendments to the Tuition Fees Schedule Rule attached hereto as Exhibit “N”;

BE IT FURTHER RESOLVED THAT, the University Administration is provided with authority to decreases non-resident student fees for existing and new students and at any level of instruction;

BE IT FURTHER RESOLVED THAT, the Board delegate authority to the University President to approve any subsequent amendments that are based on comments to the Rule received by the University in writing or at a public hearing on the Rule to be held after the Board's action, and to file the rule for adoption;

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

**BACKGROUND INFORMATION:**

**A. LEGAL AUTHORITY:**

**Section 1001.74, Florida Statutes (2004), Powers and Duties of university boards of trustees**, provides in part:

(11) Each board of trustees shall establish fees pursuant to ss. 1009.24 and 1009.26.

**2005-06 General Appropriations Act, Conference Committee Report on SB 2600**, provides in part:

The maximum resident undergraduate tuition per credit hour is hereby established for the 2005-06 fiscal year as follows:

	2005-06 Fall/Spring Terms
Lower Level Course Work	\$71.57
Upper Level Course Work	\$71.57

Except as otherwise provided by law, each board of trustees shall set university tuition and fees for graduate, graduate professional, and nonresident students. Tuition and fees for graduate, graduate professional, and nonresident students may not exceed the average full-time tuition and fees for corresponding programs at public institutions that are members of the Association of American Universities. The annual percentage increase in tuition and fees established by each board of trustees pursuant to this paragraph for students enrolled prior to the fall of 2005 shall not exceed five percent.

**B. EXPLANATION FOR PROPOSED COMMITTEE ACTION:**

The Board must amend the Tuition Fees Rule to reflect the increases in tuition fees for the 2005-06 Academic Year of the University that have been authorized by the Legislature. Specifically, the Board must authorize:

- 5% increase in undergraduate matriculation
- 5% increase in graduate matriculation
- 5% increase in law school matriculation fee

In addition, the Board must raise the Student Financial Aid Fees, which will increase because Student Financial Aid Fees are 5% of the matriculation fees, and amend the Rule to reflect increases in the Activity and Service Fee and Transportation Access Fee which have been approved previously by the Board.

Finally, the Legislature has provided the Board with authority to set fees for new graduate, new professional and new or existing non-resident (whether undergraduate, graduate, or professional level) students for the 2005-06 Academic Year. The only limitation on the Board's flexibility is that, in the event of an increase, the average full-time tuition and fees for the graduate, professional, and nonresident students may not exceed the average full-time tuition and fees for corresponding programs at public institutions that are members of the Association of American Universities. Based on recommendations from the University Administration, the Board must authorize:

- an increase in tuition fees for new, graduate resident students in the School of Architecture as reflected in the paragraph (5) of the Rule.
- decreases in nonresident fees (at any level of instruction) for existing and new students

If the Board approves the Rule amendments, the University will take the following steps which are required by state law:

1. Publish a notice regarding the Rule in a newspaper of general circulation;
2. Conduct a public hearing (if a hearing is requested) on the Rule approximately twenty-one (21) days after publication of the notice. The purpose of the hearing is to receive comments by students, staff, faculty, and other persons affected by the Rule; and
3. Consider any requests for changes received either in writing or at the hearing, and determine whether to amend the rule or proceed with the rule as published.

Given that the Board will not meet again until September, it is further recommended in order to complete the rule adoption process without delay, that the Board delegate to the President authority to consider requests for changes and to file the rule for adoption with or without further amendments based on his determination.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT "N": TUITION FEES SCHEDULE, RULE 6C8-6010 (WILL BE DISTRIBUTED AT MEETING)
- ATTACHMENT A: NOTICE OF RULE DEVELOPMENT

**FACILITATOR/PRESENTER:**

- VIVIAN SANCHEZ

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**6C8-6.010                      Tuition Fees Schedule**

(1) Tuition shall be defined as fees assessed to students for enrollment in credit courses at the Florida International University. Tuition consists of the following fees, depending on whether a student is a resident or a non-resident:

(a) Resident tuition, comprised of the following, shall be defined as the fees charged an enrolled student who qualifies as a Florida resident as defined in Rule 6A-10.044, F.A.C.:

1. Matriculation Fee;
2. Student Financial Aid Fee;
3. Capital Improvement Trust Fund Fee;
4. Building Fee;
5. Health Fee;
6. Athletic Fee; and
7. Activity and Service Fee.

(b) Non-Resident tuition, comprised of the following, shall be defined as the fees charged an enrolled student who does not qualify as a Florida resident as defined in Rule 6A-10.044, F.A.C.:

1. Matriculation Fee;
2. Non-Resident Fee;
3. Student Financial Aid Fee;
4. Non-Resident Student Financial Aid Fee;
5. Capital Improvement Trust Fund Fee;
6. Building Fee;
7. Health Fee;



EXHIBIT “N”  
(6.29.05)

8. Athletic Fee; and

9. Activity and Service Fee.

(2) Registration shall be defined as consisting of two components:

(a) Formal enrollment in one or more credit courses approved and scheduled by the University; and,

(b) Tuition payment, or other appropriate arrangements for tuition payment (installment payment, deferment, or third party billing) for the courses in which the student is enrolled as of the end of the drop/add period.

(3) A student is liable for tuition associated with all courses for which the student is registered at the end of the drop/add period. The fee payment deadline shall be as determined by the University.

(4) The following tuition shall be levied and collected on a per credit hour basis, effective the fall semester indicated for each student regularly enrolled, unless provided otherwise in this chapter.

FALL 2005

<i>Fee</i>	<i>Undergraduate</i>		<i>Graduate</i>		<i>Law</i>	
	<i>Resident</i>	<i>Non-Resident</i>	<i>Resident</i>	<i>Non-Resident</i>	<i>Resident</i>	<i>Non-Resident</i>
Matriculation	\$71.57	\$71.33	\$201.55	\$191.95	\$229.07	\$218.16
Non-Resident		\$393.86		\$609.95		\$635.32
Athletic	\$11.66	\$11.66	\$11.66	\$11.66	\$11.66	\$11.66
Activity and Service	\$10.52	\$10.52	\$10.52	\$10.52	\$10.52	\$10.52
Student Financial Aid	\$3.57	\$3.56	\$10.07	\$9.59	\$11.45	\$10.90
Non-Resident Financial Aid		\$19.69		\$30.49		\$31.76
Capital Improvement Trust Fund	\$2.44	\$2.44	\$2.44	\$2.44	\$2.44	\$2.44
Building	\$2.32	\$2.32	\$2.32	\$2.32	\$2.32	\$2.32

(5) In addition to the tuition fees set forth in paragraph (4) above, the University shall levy and collect an additional resident, matriculation fee of \$28.79 per credit hour for graduate students enrolled in the School of

EXHIBIT "N"  
(6.29.05)

Architecture effective Fall 2005. The additional fees authorized by this paragraph (5) shall not apply to graduate students who were enrolled in a graduate program in the School of Architecture prior to Fall 2005 and re-enroll in the same graduate program.

- (6) The following fees shall be levied and collected on a per semester basis, effective the fall semester indicated for each student regularly enrolled, unless provided otherwise in this chapter.

FALL 2005

<i>Fee</i>	<i>Undergraduate</i>		<i>Graduate</i>		<i>Law</i>	
	<i>Resident</i>	<i>Non-Resident</i>	<i>Resident</i>	<i>Non-Resident</i>	<i>Resident</i>	<i>Non-Resident</i>
Health	\$54.00	\$54.00	\$54.00	\$54.00	\$54.00	\$54.00
Inter-collegiate Athletics	\$10.00	\$10.00	\$10.00	\$10.00	\$10.00	\$10.00
Transportation Access	\$58.00	\$58.00	\$58.00	\$58.00	\$58.00	\$58.00

The Transportation Access Fee does not include the State sales tax, and is also \$58.00 (plus the State sales tax) for any Summer semester.

- (7) Effective the Fall Semester 2005, each student enrolled in the same undergraduate course more than twice shall be assessed an additional \$170.22 per credit hour for each such course in addition to the fees set forth above.

*Specific Authority:* 1001.74(4) FS. *Law Implemented:* 1001.74(11), 1009.24 FS; 2004-05 General Appropriations Act, Conference Committee Report on HB 1835, *History--* New 11-3-02, Amended 9-3-03, \_\_\_\_\_.

**Attachment A**

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
DIVISION OF COLLEGES AND UNIVERSITIES  
DEPARTMENT OF EDUCATION**

**NOTICE OF PROPOSED RULE DEVELOPMENT**

**RULE NO.:** 6C8-6.010

**RULE TITLE:** Tuition Fees Schedule

**PURPOSE AND EFFECT:** The purpose and effect of the proposed amendments to the current rule are to amend the Tuition Fees Schedule of the University to reflect the increase in tuition fees for the 2005-06 academic year of the University.

**SUBJECT AREAS TO BE ADDRESSED:** Student Fees.

**SPECIFIC AUTHORITY:** 1001.74(4) FS.

**LAW IMPLEMENTED:** 1001.74(11), 1009.24 FS; 2005-06 Conference Committee Report SB 2600.

**IF REQUESTED AND NOT DEEMED UNNECESSARY BY THE AGENCY HEAD, A RULE DEVELOPMENT WORKSHOP WILL BE HELD ON THE TIME, DATE AND PLACE SHOWN BELOW:**

**TIME AND DATE:** 10:00 am, Tuesday, May 31, 2005.

**PLACE:** Florida International University, University Park, Graham Center Room 140.

**THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE DEVELOPMENT IS:** Eli Deville, Coordinator, Administrative Services, Office of the General Counsel, Florida International University, (305) 348-2103.

**THE PRELIMINARY TEXT OF THE PROPOSED RULE IS AVAILABLE AT NO CHARGE FROM THE CONTACT PERSON LISTED ABOVE.**

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: ACTIVITY AND SERVICE FEE INCREASE**

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**PROPOSED COMMITTEE ACTION:**

**ADOPT THE FOLLOWING RESOLUTION:**

WHEREAS the Board of Trustees has the power to establish a student Activity and Service (A&S) Fee for the university pursuant to **Section 1009.24**, Florida Statute;;

WHEREAS, the activity and service fee committee has approved an increase in the A&S fee in the amount of \$1.38 effective Fall 2005;

WHEREAS, the President has approved the fee increase after consultation with the student government president;

THEREFORE BE IT RESOLVED that the Board approve an Activity and Service (A&S) fee increase from the current \$9.14 per credit hour to \$10.52 per credit hour effective Fall 2005; and

BE IT FURTHER RESOLVED that the Board authorizes the University Administration to take all further actions necessary to implement this Resolution.

**BACKGROUND INFORMATION:**

**A. STATUTORY AUTHORITY:**

**Section 1009.24 (9)(a), Florida Statutes (2004), State university student fees;** states in relevant part:

(9)(a) Each university board of trustees shall establish a student activity and service fee on the main campus of the university. The university board may also establish a student activity and service fee on any branch campus or center. Any subsequent increase in the activity and service fee must be recommended by an activity and service fee committee, at least one-half of whom are students

appointed by the student body president. The remainder of the committee shall be appointed by the university president. A chairperson, appointed jointly by the university president and the student body president, shall vote only in the case of

a tie. The recommendations of the committee shall take effect only after approval by the university president, after consultation with the student body president, with final approval by the university board of trustees. An increase in the activity and service fee may occur only once each fiscal year and must be implemented beginning with the fall term. The State Board of Education is responsible for promulgating the rules and timetables necessary to implement this fee.

**B. EXPLANATION FOR PROPOSED BOARD ACTION:**

The request is for board approval of an Activity and Service (A&S) fee increase. The proposed increase will raise the A&S fee from \$9.14 per credit hour to \$10.52 per credit hour. The increase will be used to fund two new Recreational Sports Centers at the University Park campus and the Biscayne Bay campus.

As per Florida Statute, Chapter 1009.24 (9)(a), the increase was decided by a committee comprised of 50% (4) students and 50% (4) staff/faculty and a chairperson who would vote only in the case of a tie vote by the committee. The following procedure was used by this committee:

1. Proposals for the fee increase were presented to the Committee by the respective campus Recreational Sports departments, followed by a question and answer period.
2. A public hearing was advertised and held at each campus to hear comments and address concerns from the University community.
3. Following the hearings, the Committee convened and discussed the proposal. A vote was held with the Committee unanimously approving the increase.
4. The recommendation was forwarded to the University President for his approval.

If approved, the increased fee will go into effect for the Fall Semester 2005.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- ATTACHMENT 6 - MEMORANDUM RE: UNIVERSITY FEE COMMITTEE RECOMMENDATIONS; UNIVERSITY FEE COMMITTEE, 2004-05, SUMMARY OF MEETINGS AND ACTIVITIES; CALCULATION OF FEE CAP AND ALLOWABLE 5% INCREASE; FIU ANALYSIS OF SYSTEM WIDE FEES

**FACILITATOR/PRESENTER:**

- NONE

**Attachment 6**

April 5, 2005

MEMORANDUM

TO: Mitch Maidique  
FROM: Chuck Tinder  
SUBJECT: University Fee Committee Recommendations

The University Fee Committee has completed its work for 2005 and is recommending an increase in the Activity and Service Fee of \$1.38 per credit hour from the current \$9.14 to \$10.52, to become effective in the Fall term of 2005. No increase is proposed in the Athletics or Health fees.

The fee increase is needed primarily to fund the two new recreation centers on both of our major campuses. Proceeds from both projected enrollment growth and the fee increase will provide additional funding in the amount of \$1,084,194. The sum of the requests for funding of the new recreation centers on both campuses equals \$1,076,584. The remaining \$7,610 will go into the general budget of SGA.

The Biscayne Bay center is requesting \$350,000, \$90,000 for salaries, \$65,800 for utilities, \$185,200 for operations and \$9,000 for other, which includes overhead. For University Park, \$726,584 is requested, \$107,422 in salaries, \$238,652 for utilities, \$199,177 for operations, \$91,968 for programs, \$45,849 for deferred maintenance, \$25,990 for overhead charges and \$17,526 for other. As revealed by the meeting summary, the vote of the Committee on the proposed increase was unanimous in favor, 7-0, with one member absent.

I have attached a listing of the 2005 Fee Committee membership, a three page summary of the meetings held including public hearings on each campus as required, the calculation of the allowable fee increase according to statute including the projected amount of funding available from the increase, the summary of local fees in the SUS for 2004 and a copy of my letter regarding the issue of funding for the Panther Express bus service. Please let me know if you have any questions regarding fees.

Attachments

cc: Dr. Rosa Jones  
John Bonanno  
Fee Committee Members

**University Fee Committee, 2004-05  
Activity and Service Fee Increase  
Summary of Meetings and Activities  
April 5, 2005**

The University Fee Committee was appointed in Fall, 2004. The four student voting members were Jorge Rosario, SGA President UP and Ruth Webster, SGA President BBC, Collette Papa, Comptroller UP and Michah Mintz, Comptroller BBC. The four Faculty/staff voting members were Bob Coatie, Greg Dubrow, Oscar Loynaz, and Lynda Raheem. Chairperson was Chuck Tinder, who would vote only in the case of a 4-4 tie. Other interested parties attending meetings included John Bonanno, Marisa Rodriguez, Jim Wassenaar, Greg Olson, Rob Frye, Elias Bardawil, Kiko Carrodegua, and Bill Foster.

Four meetings were held by the committee, plus two public hearings:

January 31, 2005 – Committee Meeting

The first meeting of the committee was held. The chairperson outlined the process and provided a package of handouts which included the roster and contact information for the committee members, Florida Statue 1009.24 relating to increasing local fees (Athletics fee, A&S fee and Health fee), a history of local fees at FIU, a comparison of FIU local fees to the other State universities, and a worksheet showing the calculation of the fee cap and 5% limit which are prescribed in law. The sum of the local fees at FIU when put on a per credit hour basis (we have both credit hour fees and per student or headcount fees) is \$27.50. The cap, which is 40% of the undergraduate matriculation fee is \$29.26 (calculation is adjusted to exclude the \$2 increase passed by the legislature in 2004 for moving to Div. IA in football), which provides \$1.76 of leeway to reach the cap. The allowable increase, however, is only \$1.38 since we are limited to the lesser of 5% of the existing fees or the cap, whichever is lower. A&S (Student Government) expressed a desire to request a fee increase for next Fall, while Athletics and the Health Center declined. Presentations for increases were scheduled for the following meeting scheduled for that purpose.

February 11, 2005 – Committee Meeting

Three presentations were heard. One for support of the newly constructed Recreation Center at University Park, one for support of the new Recreation Center to be constructed next year at Biscayne Bay, and one from Parking & Traffic to support the intercampus shuttle bus service (Panther Express) and the local CATS bus service. There were a number of questions raised by the Committee members with respect to the campus recreation services on both campuses and regarding the Panther Express service as well. The \$1.38 increase, applied to Fall 2005 and Spring 2006 enrollments, is projected to produce an additional amount of \$1,084,194 in fee revenue (which includes the fee increase and enrollment increase as well). BBC requested \$350,000 for operation of their new Center, UP requested \$726,584 for operation of their new Center which is about to open, and Parking &

Traffic presented a number of options for funding the bus service, requesting as much as \$360,000 from an A&S fee allocation. The Committee thanked the presenters and scheduled a meeting to discuss which of the requests would be supported given the limited funding available from the proposed increase.

#### February 25, 2005 – Committee Meeting

The Chairperson explained to the Committee that outside entities seeking funding for their activities cannot, per se, request that the A&S fee be increased to accommodate their needs. Therefore, the Student Government representatives had to decide what they would be prepared to fund from their budget, assuming that there would be an additional \$1,084,194 in revenue from the maximum \$1.38 per credit hour increase. After much discussion, the students expressed concern about the possibility that the intercampus shuttle service might be in jeopardy due to a lack of funding, but their long range plan called for funding the operation of the recreation centers on both campuses. The two recreation center requests totaled \$1,076,584, leaving very little for funding anything else. The Chairperson was asked to prepare a memorandum to be sent to Bill Foster in Parking and Traffic explaining the Committee's position on the Panther Express.

#### March 16, 2005 – Public Hearing

The first public hearing was held at Biscayne Bay in GC 150. There were approximately 10 students present during the one hour duration of the hearing. The chairperson opened the hearing, introduced the committee members and introduced the request for an increase of \$1.38 per credit hour, to be effective in Fall of 2005. It was explained that almost all of the \$1,084,000 in proceeds from the proposed increase would go toward operation of the new recreation centers on each of the campuses. There were several questions regarding the services provided by campus recreation and how the funds would be used.

#### March 30, 2005 – Public Hearing

The next public hearing was held at University Park in GC 150. There were only a few students present during the hearing, which lasted less than an hour. The chairperson opened the hearing, introduced the committee members present and introduced the request for an increase of \$1.38 per credit hour, to be effective in Fall of 2005. He then opened the meeting up for questions from the audience. As was the case with the other public hearing, the representatives of both of the

recreation programs were present to help answer questions and to provide information when needed. Even though the turnout was small, there were a number of good questions raised by those in attendance. The reporter from the Beacon was also in attendance. Overall it was an informative and productive session.

#### March 30, 2005 – Committee Meeting

Following the public hearing, the committee convened to vote on the proposed increase. There was discussion on the proposal to increase the A&S fee with respect to the current



practice at University Park of charging teams for intramural participation and also charging a fee to each individual attending certain aerobics type classes offered through the fitness center (these are provided free of charge at the Biscayne Bay campus). The chairperson explained that since the proceeds from the increase would go to Student Government and the students would be making an allocation to the respective recreation centers, they could discuss with Rob Frye at U.P. a plan to reduce or phase-out these charges if they fund the center's request for incremental operating funds. It was decided that this would be worked out through mutual discussions among the parties. The result of the vote was 7 in favor and 0 against, one member absent.

The Chairperson thanked the committee for their hard work and indicated that they would receive copies of the committee activities as it is forwarded to the President for approval and recommendation to the Board of Trustees.

**FLORIDA INTERNATIONAL UNIVERSITY  
CALCULATION OF FEE CAP AND ALLOWABLE 5% INCREASE**

**STEP 1: Put all local fees on a per credit hour basis:**

31-Jan-05

2004-05

<b>PER STUDENT CR. HR.:</b>	<b><u>Fees</u></b>	<b><u>SCH</u></b>	<b><u>Revenues</u></b>
<u>SUMMER 04</u>			
Athletics	\$8.45	169,661	\$1,433,635
Activity and Service Fee	\$9.14	169,661	\$1,550,702
<u>FALL 04</u>			
Athletics	\$11.66	337,613	\$3,936,568
Activity and Service Fee	\$9.14	337,613	\$3,085,783
<u>SPRING 05</u>			
Athletics	\$11.66	324,601	\$3,784,848
Activity and Service Fee	\$9.14	<u>324,601</u>	<u>\$2,966,853</u>
		831,875	\$16,758,388

**PER STUDENT HEADCOUNT**

<u>SUMMER 04</u>		<b><u>HEADS</u></b>	
Athletics	\$10.00	26,781	\$267,810
Health Fee	\$54.00	26,781	\$1,446,174
<u>FALL 04</u>			
Athletics	\$10.00	35,061	\$350,610
Health Fee	\$54.00	35,061	\$1,893,294
<u>SPRING 05</u>			
Athletics	\$10.00	33,721	\$337,210
Health Fee	\$54.00	<u>33,721</u>	<u>\$1,820,934</u>
		95,563	\$6,116,032

TOTAL REVENUES	\$22,874,420
TOTAL STUDENT CREDIT HOURS	831,875
TOTAL CREDIT HOUR EQUIVALENT FEE	\$27.50

<b>STEP 2: The CAP</b>	2004-05 Undergraduate Matriculation	\$68.16 per student credit hour
	<b>40% of Adjusted(1) Undergraduate Matriculation</b>	<b>\$29.26 per student credit hour</b>
	<b>Room under the 40% Cap</b>	<b>\$1.76</b>

<b>STEP 3: The 5%</b>	Allowable Increase per Credit Hour	\$1.38 <<5% Limit
	Allowable Increase per Headcount	\$12.01

(1) Matriculation Cap is adjusted by the \$2 increase instituted in the '04 Legislative session since that adjustment for migrating to Div. IA was to be removed in calculating the cap

**Anticipated A&S Revenue in 2005-06 assuming maximum allowable increase:**

Fee Increase per SCH:	\$1.38	<b><u>Fees</u></b>	<b><u>SCH</u></b>	<b><u>Revenues</u></b>	<b>Increase over <u>Prior Year</u></b>
<u>SUMMER 05</u>					
Activity and Service Fee	\$9.14		173,054	\$1,581,714	\$31,012
<u>FALL 05</u>					
Activity and Service Fee	\$10.52		344,365	\$3,622,720	\$536,937
<u>SPRING 05</u>					
Activity and Service Fee	\$10.52		331,093	<u>\$3,483,098</u>	<u>\$516,245</u>
			Total	\$8,687,532	\$1,084,194
Additional Amount in Summer 2006-07 when Increase is applied to Summer '06 SCH:					
			176,515	\$243,591	\$243,591

**FLORIDA INTERNATIONAL UNIVERSITY**  
**ANALYSIS OF SYSTEM-WIDE FEES**  
**DIVISION OF COLLEGES AND UNIVERSIT**  
**Effective Fall 2004**  
**03/17/05** Ugrad RTuit..

TATE FEES:	Ugrad.	Grad.	Law
Undergraduate Matriculation	68.16	191.95	218.16
Building Fee	2.32	2.32	2.32
Student Financial Aid Fee	3.4	9.59	10.9
Capital Improvement Fee	2.44	2.44	2.44
Out-of-State (Non-Resid.) Tuition	393.86	609.95	635.32
Non-Resident Financial Aid Fee	19.69	30.5	31.77

* Main Campus	1	2	3	4	5	6	7	8	9	10	11	SUS
LOCAL FEES	UF	FSU*	FAM	USF*	FAU	UWF	UCF	FIU	UNF	FGCU	NCF	AVG
Activity & Service Cr Hr Fee	\$8.26	\$7.70	\$10.00	\$7.10	\$10.00	\$8.75	\$8.09	\$9.14	\$11.73	\$9.70	13.78	\$9.48
Athletic Cr Hr (Athletic & Title IX)	\$1.90	\$4.98	\$8.75	\$9.08	\$11.75	\$12.05	\$11.09	\$11.66	\$10.25	\$10.54	2	\$8.55
Health Cr Hr Fee	\$7.92	\$7.35		\$6.84	\$5.00	\$3.19	\$6.60 (1)		\$5.07	\$0.00	3.79	\$5.08
<b>Sub-Total Cr Hr Fees</b>	<b>\$18.08</b>	<b>\$20.03</b>	<b>\$18.75</b>	<b>\$23.02</b>	<b>\$26.75</b>	<b>\$23.99</b>	<b>\$25.78</b>	<b>\$20.80</b>	<b>\$27.05</b>	<b>\$20.24</b>	<b>\$19.57</b>	<b>\$22.19</b>
Activity & Service Fee - Head				\$7.00								\$7.00
Athletic Fee - Head				\$10.00				\$10.00			0	\$10.00
Health Fee - Head			\$59.00					\$54.00		\$47.50		\$53.50
<b>Sub-Total Head Fees</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$59.00</b>	<b>\$17.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$64.00</b>	<b>\$0.00</b>	<b>\$47.50</b>	<b>\$0.00</b>	<b>\$46.88</b>
<b>Sub-Total Cr Hr+Head Fees**</b>	<b>\$18.08</b>	<b>\$20.03</b>	<b>\$77.75</b>	<b>\$40.02</b>	<b>\$26.75</b>	<b>\$23.99</b>	<b>\$25.78</b>	<b>\$84.80</b>	<b>\$27.05</b>	<b>\$67.74</b>	<b>\$19.57</b>	<b>\$39.23</b>
Transport./Access Cr Hr Fee***	\$4.10	\$4.90		\$2.25		\$1.00	\$3.90			\$5.29		\$3.57
Transport./Access Fee-Head***			\$46.80		\$47.00	\$0.00	\$0.00	\$58.00	\$0.00	\$0.00	0	\$50.60

\*\*Per Florida Statute 1009.24, sum of these fees must be less than or equal to 40% of tuition & may not increase in aggregate more than 5% of prior year amounts.

\*\*\*Amounts obtained from Traffic & Parking Rules. Since there are 2 universities without such fees, to obtain average divide by 9 not 11.

(1) UCF Health Fee is subject to a Max of \$90 & Min \$36 per semester.

Local Fees below are listed in descending Fee Amount order.											
Fall 2004 15 Cr. Hrs.		Fall 2004 3 Cr Hrs		Fall 2004 15 Cr. Hrs.		Fall 2004 15 Cr. Hrs.		Fall 2004 15 Cr. Hrs.		Fall 2004 15 Cr. Hrs.	
RESID, U,GRAD		RESID., U,GRAD		TRANSPORT/ACCESS		A&S FEES ONLY		HEALTH FEES ONLY		ATHLETIC FEES ONLY	
UNIV.	FEE AMT.	UNIV.	FEE AMT.	UNIV.	FEE AMT.	UNIV.	FEE AMT.	UNIV.	FEE AMT.	UNIV.	FEE AMT.
UNF	405.75	FIU	126.40	FGCU	79.35	NCF	206.70	UF	118.80	FIU	184.90
FAU	401.25	FAM	115.25	FSU*	73.50	UNF	175.95	FSU*	110.25	UWF	180.75
UCF	386.70	FGCU	108.22	UF	61.50	FAM	150.00	USF*	102.60	FAU	176.25
FIU	376.00	USF*	86.06	UCF	58.50	FAU	150.00	UCF	99.00	UCF	166.35
USF*	362.30	SUS AVG	83.61	FIU	58.00	FGCU	145.50	SUS AVG	76.99	FGCU	158.10
UWF	359.85	UNF	81.15	SUS AVG	52.60	SUS AVG	142.16	UNF	76.05	UNF	153.75
FGCU	351.10	FAU	80.25	FAU	47.00	FIU	137.10	FAU	75.00	USF*	146.20
SUS AVG	349.85	UCF	77.34	FAM	46.80	UWF	131.25	FAM	59.00	FAM	131.25
FAM	340.25	UWF	71.97	USF*	33.75	UF	123.90	NCF	56.85	SUS AVG	130.07
FSU*	300.45	FSU*	60.09	UWF	15.00	UCF	121.35	FIU	54.00	FSU*	74.70
NCF	293.55	NCF	58.71	NCF	0.00	FSU*	115.50	UWF	47.85	NCF	30.00
UF	271.20	UF	54.24	UNF	0.00	USF*	106.50	FGCU	47.50	UF	28.50
										W/O UF, FSU, NCF	
										162.19375	

\* Main Campus

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: FEE WAIVER POLICIES**

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**PROPOSED BOARD ACTION:**

Adopt the following Resolution:

WHEREAS, the Florida International University Board of Trustees (“the Board”) is authorized to waive tuition and out-of-state fees for purposes which support and enhance the mission of the University;

WHEREAS, waivers of tuition and out-of-state fees must be based on policies approved by the Board,

WHEREAS, the tuition fee waiver policies for undergraduate and graduate students are attached hereto as EXHIBITS “U” and “V”;

NOW THEREFORE, BE IT RESOLVED THAT the Board approves the attached policies (EXHIBIT “U” and “V”), and

BE IT FURTHER RESOLVED, that the University Administration take all actions necessary to give effect to this Resolution.

**BACKGROUND INFORMATION:**

**Legal Authority**

**2004-05 General Appropriations Act, Conference Report on SB 2600**, states, in pertinent part, as follows:

Each university board of trustees is authorized to waive tuition and out-of-state fees for purposes which support and enhance the mission of the university. All fee waivers must be based on policies which are adopted by university boards of trustees. Each university shall report the purpose, number and value of al fee

waivers granted annually in a format which shall be prescribed and reviewed by the Florida Board of Governors.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- ROSA SUGRAÑES

**FACILITATOR/PRESENTER:**

- EXHIBIT “U” – UNDERGRADUATE  
FEE WAIVER POLICY
- EXHIBIT “V” – GRADUATE FEE  
WAIVER POLICY

## **Exhibit “U”**

### **The Florida International University Board of Trustees** **Policy on Tuition Fee Waivers – Undergraduate Students**

#### **Policy Statement**

The University endeavors to enhance its prominence and presence in state, national and international markets by aggressively recruiting a competitive and diverse class of first-time-in-college undergraduate students. In support of this objective, the University is authorized to award full or partial tuition fee waivers to competitive out-of-state, first-time-in-college students who enroll as full-time students in the fall semester and satisfy the criteria for selection.

The amount of tuition waivers shall not exceed the total amount of fee waivers authorized by the Board in the University Budget.

The University shall report the purpose, number, and value of all fee waivers granted annually in the format required by the Florida Board of Governors.

#### **Criteria**

- High school seniors who have earned a competitive standardized test score and a high school grade point average of 3.0 at the time of enrollment. The standardized test score criterion will be established annually to minimally exceed the national test score mean earned in the previous year.
- Candidates must enroll for 30 credits annually---a minimum of 15 credits per semester--- and earn a 3.0 grade point average at the end of the academic year (fall and spring semesters).
- The tuition fee waivers are available to first-time-in-college students only who enroll as full-time students in the fall semester. These waivers may be renewed for up to three consecutive years provided recipients complete 30 credits and achieve a 3.0 grade point average at the end of each spring semester.

## **Exhibit “V”**

### **The Florida International University Board of Trustees** **Policy on Tuition Fee Waivers – Graduate Students**

#### **Policy Statement**

The University Graduate School is authorized to provide partial or full tuition fee waivers for any of the following purposes:

- 1) to meet University strategic goals including increasing doctoral degree production and attracting Presidential Fellows;
- 2) to match all other research universities in the provision of waivers to Graduate Assistants; or
- 3) provide flexibility in tuition costs for selected programs.

The Provost, or his or her designee, is authorized to develop tuition waiver criteria consistent with these purposes.

The amount of tuition waivers shall not exceed the total amount of fee waivers authorized by the Board in the University Budget.

The University shall report the purpose, number, and value of all fee waivers granted annually in the format required by the Florida Board of Governors.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: 2006-2007 LEGISLATIVE BUDGET REQUEST**

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**PROPOSED BOARD ACTION:**

Adopt the following resolution:

WHEREAS, the Florida Board of Governors (“the BOG”) has the power to operate, regulate, control, and be fully responsible for the management of the whole university system (Section 7, Article 9, Florida Constitution); and

WHEREAS, included within this responsibility is the development of an annual, system-wide Legislative Budget Request; and

WHEREAS Section 1001.74(12), Florida Statutes, requires the universities’ Boards of Trustees (“the Board”) to submit an institutional budget request based on the guidelines established by the BOG; and

WHEREAS Section 216.023(1), Florida Statutes, requires the submission of a legislative budget request to the legislature and governor based on an independent judgment of needs;

THEREFORE, BE IT RESOLVED that the Board hereby approves the Florida International University 2006-2007 Legislative Budget Request, attached to this Resolution as Exhibit "W," and

BE IT FURTHER RESOLVED that the Board authorizes the University Administration to take all actions necessary to implement this Resolution.

**STATUTORY AUTHORITY:**

**Section 7, Article 9(d), Florida Constitution, State University System,** states in relevant part:

(d) The board of governors shall . . . operate, regulate, control, and be fully responsible for the management of the whole university system.



**Section 1001.74(12), Florida Statutes, Powers and duties of university boards of trustees,** states in relevant part:

- (12) Each board of trustees shall submit an institutional budget request, including a request for fixed capital outlay, and an operating budget to the State Board of Education for approval in accordance with guidelines established by the State Board of Education.

**Section 216.023(1), Florida Statutes, Legislative budget requests to be furnished to Legislature by agencies,** states in relevant part:

- (1) The head of each state agency, except as provided in subsection (2), shall submit a final legislative budget request to the Legislature and to the Governor, as chief budget officer of the state, in the form and manner prescribed in the budget instructions and at such time as specified by the Executive Office of the Governor, based on the agency's independent judgment of its needs. However, no state agency shall submit its complete legislative budget request, including all supporting forms and schedules required by this chapter, later than September 15 of each year.

**EXPLANATION OF PROPOSED BOARD ACTION:**

The 2006-2007 LBR is need-based and will provide flexibility for the Board of Governors (BOG) and universities' Boards of Trustees to jointly manage the System to meet the critical needs of the state, achieve the statewide goals and objectives of the State University System (SUS) draft Strategic Plan, address specific institutional concerns, and demonstrate accountability/ justification. The BOG established guidelines to ensure that the following goals and objectives delineated in the draft SUS Strategic Plan need to be addressed in each request:

1. Access to and production of degrees
2. Meeting statewide professional and workforce needs
3. Building world-class academic programs and research capacity
4. Meeting community needs and fulfilling unique institutional missions

FIU ensured that the Legislative Budget Requests are grounded in the University's Strategic Plan while aligned to the State's goals. We seek targeted funding to:

- advance our health initiatives that will address local health needs, specifically in nursing, medical school planning and public health,
- provide students with greater access to an education through a downtown site,
- build world class research capabilities in bio/nano electronic devices, and
- strengthen our information security infrastructure to safeguards student data, research and financial information.

The Board of Trustees is asked to approve the FIU 2006-2007 Legislative Budget Request in the amount of approximately \$20.7 million to implement these initiatives.

The proposed LBR will be submitted to the BOG for approval at their meeting on  
21 July 2005

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “W” – LEGISLATIVE BUDGET REQUEST, 2006-2007

**FACILITATOR/PRESENTER:**

- ROSA SUGRAÑES

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-d**

**Strategic Planning Goal/Objective:** **Meeting Community Needs and Fulfilling Unique Institutional Responsibilities** *(Examples could include issues important to a regional area, such as hospitality management, or specific to an institution’s mission.).*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	<b>Medical School Planning</b>
<b>University Priority Number:</b>	<b>1</b>
<b>Date Approved by Board of Trustees:</b>	<b>Approved November 2003</b>

**I. Needs Statement** *(What need will be addressed with the provision of funds for this issue?)*

South Florida is projected to see the greatest numerical increase in the aged population of any region in the State between 2010 and 2025. The proposed expansion of the present medical schools in Florida will do little to alleviate the physician shortage in South Florida and can make a modest impact on the state-wide need of 3,000 new physicians a year. There is a critical need for physicians who reflect the cultural diversity of the population they serve. We need to educate our own local students and provide increased access to this community’s students. Historically, 80% of FIU’s alumni remain in South Florida.

Florida will also need an additional, 2,700 residency positions to meet the national ratio of medical residents to 100,000 population. FIU’s School of Medicine would provide 510 additional residencies to help fill the gap.

**II. Justification**

**A. Description of service or program to be provided** *(include whether this is a new or expanded initiative; if expanded what has been accomplished with the current service/program)*

See FIU Board of Governor School of Medicine Initiative Presentation delivered on January 27, 2005. Pending BOG approval.

**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

FIU’s Medical School is based on leveraging the existing resources, including new teaching and laboratories found in three new buildings,

nano fabrication center, neurological sciences and engineering, Stemple School of Public Health, Nursing, Medical Instrumentation, Honors Program Medical Initiative and Biomedical engineering endowment.

**a. Description of outcome anticipated (*Be specific*).**

Complete plans for a 4 year allopathic program leading to a doctorate in medicine that will:

- Help reduce the shortage of Board-certified physicians in South Florida
- Increase the supply of minority medical students and residents
- Train culturally sensitive doctors to replace South Florida’s aging pool of physicians
- Leverage strengths of our schools of Public Health and Nursing and our affiliate partners
- Emphasize research that addresses underserved and urban populations
- Capitalize on the resources of our urban medical core to achieve quality and low cost.

**b. Additional information to justify request:**

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$0	<b>\$3,380,100</b>	\$0	\$2,927,500
b.	Non-recurring Funds:	\$227,000	<b>\$1,800,000</b>	\$0	\$900,000
c.	Total:	\$227,000	<b>\$5,180,100</b>	\$0	\$3,827,500

- A. Identify programs from which funds will be reallocated, if applicable (include for example, salaries from reallocated or dedicated personnel).
- B. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

Incremental recurring funds of approximately \$2.9 million are necessary to complete the Medical School Planning phase and non-recurring of less than \$1 million. Actual implementation funds will require separate BOG approval.

**IV. Facilities:**

A. Does this issue require an expansion or construction of a facility?

This initiative does not require for its implementation the expansion of a new facility, rather the Medical School Plan leverages existing facilities and buildings approved for construction. The building that will be leveraged has been substantially funded. Completion funds are on the FY06-07 PECO list pending approval by the BOG.

B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY

Operating Budget Form II

**University:** Florida International University  
**Issue Title:** Medical School Planning

	<b>RECURRING</b>	<b>NON-</b>	<b>TOTAL</b>
<u>Positions</u>			
Faculty	10.00	0.00	10.00
Other (A&P/USPS)	5.00	0.00	5.00
	-----	-----	-----
Total	15.00	0.00	15.00
	=====	=====	=====
<u>Salary Rate</u>			
Faculty	\$187,500	\$0	\$187,500
Other (A&P/USPS)	\$51,000	\$0	\$51,000
	-----	-----	-----
Total	\$238,500	\$0	\$238,500
	=====	=====	=====
Salaries and Benefits	\$2,705,100	\$0	\$2,705,100
Other Personal Services	\$50,000	\$0	\$50,000
Expenses	\$525,000	\$1,800,000	\$2,325,000
Operating Capital Outlay	\$100,000	\$0	\$100,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$3,380,100	\$1,800,000	\$5,180,100
	=====	=====	=====

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-d**

**Strategic Planning Goal/Objective:** **Meeting Community Needs and Fulfilling Unique Institutional Responsibilities** *(Examples could include issues important to a regional area, such as hospitality management, or specific to an institution’s mission.).*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	<b>Life Sciences and Public Health Initiative</b>
<b>University Priority Number:</b>	<b>2</b>
<b>Date Approved by Board of Trustees:</b>	<b>Pending Approval</b>

**I. Needs Statement** *(What need will be addressed with the provision of funds for this issue?)*

The Board of Governors has proposed that its universities expand the degrees awarded in priority areas which include science, engineering, health sciences and education, especially in science-teaching areas. Continued competitiveness of the U.S. and Florida economy will depend on efforts to increase the number of minorities in science and engineering.

FIU’s effort to address distinctive community needs is most evidenced in its advances in public health. We are committed to addressing minority health disparities and tackling unique issues faced in the local community with its distinguishing characteristics and region-specific tropical health issues. Most of these health problems are being confronted by individuals with no or minimal health insurance.

**II. Justification**

**A. Description of service or program to be provided** *(include whether this is a new or expanded initiative; if expanded what has been accomplished with the current service/program):*

FIU is requesting funds to support its existing health initiative, specifically in the area of life sciences and public health. Because of its older science buildings constructed prior to development of FIU’s doctoral programs, limited research space did not permit the university to offer students the opportunity to be trained by working alongside faculty and advanced graduate students. FIU focused its efforts on constructing the necessary buildings but lacks the funds to enhance program support and equip the laboratories in these new facilities.

FIU has an imbalance in its Junior to Senior faculty that will impact the ability to obtain accreditation and be competitive for research awards. The School of Public Health will only be the second accredited school in the State of Florida.

**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

FIU continues to focus efforts on expanding its health initiative. Specific accomplishments demonstrate recent advances:

- established the Stemple School of Public Health
- initiated new doctoral degrees in Public Health and in Biomedical Engineering.
- created laboratory capacity to accept more students in the life sciences and biomedical fields though the completion or in process construction of three new Life Sciences buildings
- built strong record of training minority students in science and engineering. The university ranks in the top 10 in baccalaureates within Biological & Biomedical Sciences, Engineering, Physical Sciences and Health Sciences for Hispanics. Though its graduate program began later, FIU’s has obtained top five national rankings for both Hispanics and African American students in Health Sciences.

FIU has systematically implemented special initiatives to support and encourage science students. The most successful efforts include:

- involving undergraduates in hands-on research alongside graduate students,
- a number of outreach programs in Miami-Dade County School system and summer programs which encourage minority youth to consider college and scientific fields, and
- careful advising and targeted scholarships which facilitate their perseverance.

**a. Description of outcome anticipated (*Be specific*).**

Support from the State for this Life Sciences initiative will enable FIU to significantly expand its ability to prepare minority students for research careers and employment opportunities in the State’s critical areas of life, health and biomedical sciences and provide a base for continued growth through external grant support in these areas.



- 1) Increase output. The university will support research experience for an additional 50 undergraduates and 10 graduate students per year in the areas of life, health, and biomedical sciences and engineering.
- 2) Quality and Academic excellence. Achieve accreditation for the School of Public Health.
- 3) Expand research. The research in this area is highly fundable by federal agencies and is expected to generate a three-fold return in federal grant dollars.

**b. Additional information to justify request:**

The university has received more than 35 grants relating to various aspects of minority student training in science, engineering and mathematics. Its largest program, the National Institute of Health Minority Biomedical Research Science program, has received continuous renewal for more than \$1 million annually since 1984.

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$0	<b>\$2,379,200</b>	\$0	\$0
b.	Non-recurring Funds:	\$1,200,000	<b>\$2,500,000</b>	\$0	\$0
c.	Total:	\$1,200,000	<b>\$4,879,200</b>	\$0	\$0

- A. Identify programs from which funds will be reallocated, if applicable (include for example, salaries from reallocated or dedicated personnel).
- B. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

Recurring funds will be necessary for faculty, support staff, mentors and graduate fellowships. The funding requirement at the proposed number of FTEs will be \$1.33 million per year.

**IV. Facilities:**

A. Does this issue require an expansion or construction of a facility?

This initiative will not require the expansion or construction of a facility.

B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# **EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY**

Operating Budget Form II

<b>University:</b>	<b>Florida International University</b>
<b>Issue Title:</b>	<b>Life Sciences and Public Health Initiative</b>

	<b>RECURRING</b>	<b>NON-</b>	<b>TOTAL</b>
<u>Positions</u>			
Faculty	12.00	0.00	12.00
Other (A&P/USPS)	4.00	0.00	4.00
	-----	-----	-----
Total	16.00	0.00	16.00
	=====	=====	=====
<u>Salary Rate</u>			
Faculty	\$108,500	\$0	\$108,500
Other (A&P/USPS)	\$39,500	\$0	\$39,500
	-----	-----	-----
Total	\$148,000	\$0	\$148,000
	=====	=====	=====
Salaries and Benefits	\$1,854,200	\$0	\$1,854,200
Other Personal Services	\$0	\$0	\$0
Expenses	\$525,000	\$500,000	\$1,025,000
Operating Capital Outlay	\$0	\$2,000,000	\$2,000,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$2,379,200	\$2,500,000	\$4,879,200
	=====	=====	=====

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-d**

**Strategic Planning Goal/Objective:** Meeting Community Needs and Fulfilling Unique Institutional Responsibilities *(Examples could include issues important to a regional area, such as hospitality management, or specific to an institution’s mission.).*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	Nursing
<b>University Priority Number:</b>	3
<b>Date Approved by Board of Trustees:</b>	Pending Approval

**I. Needs Statement** *(What need will be addressed with the provision of funds for this issue?)*

A critical shortage of nurses continues unabated in Florida with some 9,000 RNs needed increasing to 34,000 more required by 2009. The RN vacancy rate in Florida is 15.7%, significantly higher than the national RN vacancy rate of 9.7%. This figure is projected to rise to 33% in Florida by 2020. As the Board of Governors understands the severity of this shortfall, nursing continues to be a critical area within the Strategic Plan.

**II. Justification**

**A. Description of service or program to be provided** *(include whether this is a new or expanded initiative; if expanded what has been accomplished with the current service/program):*

Since its inception in 1982, the FIU School of Nursing has graduated over 3,000 nurses, the majority of whom contribute to health care delivery in South Florida and in the State. The School of Nursing at present has a total population of 750 students. The request will:

- 1) BSN Program: fund more faculty for the generic BSN program increasing the number of BSN students from 342 to 650 and at the same time enhance the graduate programs. Without incremental funding from the State, FIU will continue to turn away qualified students.
- 2) Nursing Anesthesia Program: fund faculty to continue serving the 80 students currently enrolled in the program

**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

FIU and the School of Nursing have a strong track record in producing minority nurses to meet the health care needs of an increasingly diverse state and nation. We have effectively addressed racial and ethnic health disparities, as is evidenced in the School of Nursing’s student racial/ethnic composition of approximately 30% Hispanic, 23% Black, 39% White, 7%.

BSN Program: With additional faculty, FIU would be able to rapidly certify nurses by expanding its foreign-trained physician program. FIU faculty and administrators stand ready to receive additional nursing students, if the State will provide sufficient support to hire additional faculty and equip classroom/lab facilities to maintain the faculty/student ratio mandated by accreditation standards and safeguard patient safety.

Nursing Anesthesia Program: This program has been extremely successful to meet the critical demand for nurses. It has also developed key relationships with area hospitals that are feeders into the Nursing masters and doctoral programs. Funding for this program has been provided through outside contracts with hospitals and federal grants for culturally diverse programs. Federal support was provided only for a limited amount of time and will end in FY04-05. If funding is not secured on a continuing basis, FIU will need to decrease the number of students by 60% in order to meet accreditation guidelines for student/faculty ratios of 13:1.

**a. Description of outcome anticipated (*Be specific*).**

- 1) Increase BSN students from 342 to 650
- 2) Maintain existing base of Nurse Anesthesia students at 80 avoiding a decline to 48

**b. Additional information to justify request:**

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$0	<b>\$2,267,410</b>	\$0	\$0
b.	Non-recurring Funds:	\$390,000	<b>\$1,120,000</b>	\$0	\$0
c.	Total:	\$390,000	<b>\$3,387,410</b>	\$0	\$0

A. Identify programs from which funds will be reallocated, if applicable (include for example, salaries from reallocated or dedicated personnel).

B. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

FIU will not request any additional funds beyond those depicted as recurring in FY06-07 (\$2.27 million).

**IV. Facilities:**

A. Does this issue require an expansion or construction of a facility?

This request will not require the construction of new facilities. Rather, the University will leverage its newly completed infrastructure (Health & Life Sciences Building).

B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# **EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY**

Operating Budget Form II

<b>University:</b>	<b>Florida International University</b>
<b>Issue Title:</b>	<b>Nursing</b>

	<b>RECURRING</b>	<b>NON- RECURRING</b>	<b>TOTAL</b>
<hr/>			
<u>Positions</u>			
Faculty	24.00	0.00	24.00
Other (A&P/USPS)	3.00	0.00	3.00
	-----	-----	-----
Total	27.00	0.00	27.00
	=====	=====	=====
<u>Salary Rate</u>			
Faculty	\$66,250	\$0	\$66,250
Other (A&P/USPS)	\$31,000	\$0	\$31,000
	-----	-----	-----
Total	\$97,250	\$0	\$97,250
	=====	=====	=====
Salaries and Benefits	\$2,137,410	\$0	\$2,137,410
Other Personal Services	\$0	\$0	\$0
Expenses	\$130,000	\$0	\$130,000
Operating Capital Outlay	\$0	\$1,120,000	\$1,120,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-d**

**Strategic Planning Goal/Objective:** **Meeting Community Needs and Fulfilling Unique Institutional Responsibilities** *(Examples could include issues important to a regional area, such as hospitality management, or specific to an institution’s mission.).*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	<b>Information Technology Security</b>
<b>University Priority Number:</b>	<b>4</b>
<b>Date Approved by Board of Trustees:</b>	<b>Pending Approval</b>

**I. Needs Statement**

As have other universities in the State, FIU has been recently attacked by intruders accessing critical information. This initiative will provide the necessary security infrastructure to proactively manage and protect University IT resources including our financial and student systems, email, web servers, voice over IP system and all desktop computers at all levels. It will also significantly reduce the risk that malicious attacks pose to the University.

**II. Justification**

**A. Description of service or program to be provided**

Recognizing coordinated new identity theft threats, FIU has leveraged its existing resources to establish minimal security protection but the standard security level required to prevent the most likely attacks can only be funded through incremental State support. The project will deploy specific products and three additional resources required to manage these products. It will address detection and prevention of malicious network activity at the various entry points for all campuses and will also do the same throughout the internal network. Other devices will encrypt traffic making the data unreadable to anyone that does not have authorized access to that data. The final piece will address where the most vulnerability exists which is complete protection of the desktop computer while allowing University staff and faculty access to the programs and applications they currently use to perform their work.



**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

**a. Description of outcome anticipated**

The primary benefit is that FIU’s IT infrastructure will be protected against data theft and other forms of cyber attacks. The University will also be closer to compliance with HIPAA and other legislative requirements such as FERPA and GLBA. After funding has been secured, the following outcome will be obtained:

- Intrusion Protection Systems will be deployed
- Implementation of encryption devices will follow the deployment of the Intrusion Protection Systems
- Desktops will be reconfigured to allow for central management and security
- Firewalls will be deployed

**b. Additional information to justify request:**

To date, the following malicious activity has taken place:

- Password brute force attacks causing hundreds of accounts to be locked out
- Malicious code detected on over one hundred systems
- Several copyright infringements have been detected
- Systems are being used for spamming

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$0	<b>\$962,436</b>	\$0	\$0
b.	Non-recurring Funds:	\$372,500	<b>\$1,112,700</b>	\$100,000	\$0
c.	Total:	\$372,500	<b>\$2,075,136</b>	\$100,000	\$0

**A. Identify programs from which funds will be reallocated, if applicable (include for example, salaries from reallocated or dedicated personnel).**

Funds will be reallocated from other information technology needs which result in the postponement of E-classroom and computer lab maintenance and obsolete equipment replacement. These funds would then be utilized

Exhibit “W”

for training and temporary staffing in order to address the most critical aspects of security.

- B. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

Initial 2006-2007 funding would cover all the non-recurring expenditures associated with implementation including hardware purchases, consulting services and training. The recurring issues requiring funding throughout the five year period include permanent personnel, maintenance contracts and licensing fees. FIU is not requesting any incremental funds above the FY06-07 recurring amount.

**IV. Facilities:**

- A. Does this issue require an expansion or construction of a facility?

This initiative will not require any expansion or construction.

- B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# **EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY**

Operating Budget Form II

<b>University:</b>	<b><u>Florida International University</u></b>
<b>Issue Title:</b>	<b><u>Information Technology Security</u></b>

	<b><u>RECURRING</u></b>	<b><u>NON-</u></b>	<b><u>TOTAL</u></b>
<b><u>Positions</u></b>			
Faculty	0.00	0.00	0.00
Other (A&P/USPS)	4.00	0.00	4.00
	-----	-----	-----
Total	4.00	0.00	4.00
	=====	=====	=====
<b><u>Salary Rate</u></b>			
Faculty	\$0	\$0	\$0
Other (A&P/USPS)	\$85,000	\$0	\$85,000
	-----	-----	-----
Total	\$85,000	\$0	\$85,000
	=====	=====	=====
Salaries and Benefits	\$431,800	\$0	\$431,800
Other Personal Services	\$100,000	\$0	\$100,000
Expenses	\$430,636	\$404,700	\$835,336
Operating Capital Outlay	\$0	\$708,000	\$708,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$962,436	\$1,112,700	\$2,075,136
	=====	=====	=====

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-d**

**Strategic Planning Goal/Objective:** **Meeting Community Needs and Fulfilling Unique Institutional Responsibilities** *(Examples could include issues important to a regional area, such as hospitality management, or specific to an institution’s mission.).*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	<b>Medical Partnership USF – Residency Program</b>
<b>University Priority Number:</b>	<b>5</b>
<b>Date Approved by Board of Trustees:</b>	<b>Approved</b>

**I. Needs Statement** *(What need will be addressed with the provision of funds for this issue?)*

This initiative addresses critical needs for more physicians in South Florida through the efficient coordination of resources between FIU and University of South Florida that will produce Doctors of Medicine and greater medical residencies.

**II. Justification**

**A. Description of service or program to be provided** *(include whether this is a new or expanded initiative; if expanded what has been accomplished with the current service/program):*

The \$1 million being provided by the State in FY05-06 will focus on finalizing the curriculum, creating community internship opportunities, implementing a new marketing program and incorporating the first group of students. As described in the following section, this new request will support the program’s implementation, specifically in developing the residency program.

**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

FIU received a special appropriation of \$1 million to address critical needs for more physicians in South Florida. In partnership with the University of South Florida, FIU’s Honors College will prepare outstanding students for medical degrees through a seamless transition from a solid

undergraduate pre-medical training at FIU in Miami to medical training at the USF Medical School.

FY06-07 funds will continue supporting the established infrastructure while incremental funds will be used for new directors of the residency programs and resident stipends.

**a. Description of outcome anticipated** (*Be specific*).

- Through mentoring by both FIU’s Honors College and USF medical faculty, outstanding students will receive early exposure to medicine and medical school requirements and interdisciplinary Honors curriculum integrated with appropriate science, math and major requirements. The objective is to expand by an additional 25 students the FY05-06 target of 20 students.
- Expedited process for producing Doctors of Medicine. With appropriate schedule coordination, the time for some students to receive both the baccalaureate and medical degrees may be reduced by a year to seven rather than eight years
- Develop three new medical residency programs in South Florida with 12 residents

**C. Additional information to justify request:**

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$800,000	<b>\$1,510,200</b>	\$0	\$254,000
b.	Non-recurring Funds:	\$200,000	<b>\$200,000</b>	\$0	\$0
c.	Total:	\$1,000,000	<b>\$1,710,200</b>	\$0	\$254,000

- A. Identify programs from which funds will be reallocated, if applicable (include for example, salaries from reallocated or dedicated personnel).

Exhibit “W”

- c. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

Recurring funds for faculty and administrative staff continues for a five year period. The \$254 thousand reflects the net increase from FY06-07 based on two incremental faculty members. Total recurring expenses in the fifth year will be \$1.76 million.

**IV. Facilities:**

- A. Does this issue require an expansion or construction of a facility?
- B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY

Operating Budget Form II

**University:** Florida International University  
**Issue Title:** Medical Partnership USF-  
FIU/Residency

	<b>RECURRING</b>	<b>NON-</b>	<b>TOTAL</b>
<u>Positions</u>			
Faculty	4.00	0.00	4.00
Other (A&P/USPS)	4.50	0.00	4.50
	-----	-----	-----
Total	8.50	0.00	8.50
	=====	=====	=====
<u>Salary Rate</u>			
Faculty	\$100,000	\$0	\$100,000
Other (A&P/USPS)	\$80,000	\$0	\$80,000
	-----	-----	-----
Total	\$180,000	\$0	\$180,000
	=====	=====	=====
Salaries and Benefits	\$965,200	\$0	\$965,200
Other Personal Services	\$0	\$0	\$0
Expenses	\$545,000	\$200,000	\$745,000
Operating Capital Outlay	\$0	\$0	\$0
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$1,510,200	\$200,000	\$1,710,200
	=====	=====	=====

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-c**

**Strategic Planning Goal/Objective:** **Building World-class Academic Programs and Research Capacity** *(Examples of issues that may be included under this goal would be new and/or expanded research initiatives, enhancements of certain academic programs or program implementation / expansion of non-targeted programs.).*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	<b>Center for Bio/Nano Electronic Devices &amp; Sensors</b>
<b>University Priority Number:</b>	<b>6</b>
<b>Date Approved by Board of Trustees:</b>	<b>Pending Approval</b>

**I. Needs Statement** *(What need will be addressed with the provision of funds for this issue?)*

Bio and nanotechnology have the potential to significantly advance our nation's electronic, information, sensor, health care, defense, and environment pollution-control technology base. To meet the emerging needs of bio and nano-technologies critical to the U.S. and Florida's competitiveness, FIU is striving to establish a major basic and applied research program in the areas of bio/nano electronics and sensors. FIU's efforts can significantly contribute to the biotechnology base of South Florida, as well as to Florida's expanding information technology and telecommunications industry by developing the core technology for next-generation hardware.

**II. Justification**

**A. Description of service or program to be provided** *(include whether this is a new or expanded service/program; if expanded what has been accomplished with the current service/program):*

With the exceptional researchers on board, a functioning state-of-the-arts nano fabrication facility and several worldwide collaborations and established partnerships with academia and industry, FIU is poised to build a world-class research program in bio/nano electronic devices and sensors. What is needed is to continue the FIU momentum by attracting more cutting edge researchers and junior faculty, creating a pool of research scientists/engineers as post-doctoral fellows and



doctoral students and maintain the research infrastructure already built. This cannot be accomplished with the current E&G allocation.

**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

FIU has made significant advances that serve as the foundation for this request, specifically:

- established a state-of-the-art nano-fabrication research facility that has been further strengthened by a major donation from Motorola. This 10,000 square-foot facility will be made available to FIU researchers, FIU students and outside industrial researchers.
- FIU’s researchers hold more than 70 patent applications (including over 20 issued during the last two years), 100 patent disclosures, and 300 papers in referred journals in the area of nano-technology.
- compiled a unique multi-disciplinary team of experts in molecular physics, chemistry, biological sciences, biomedical engineering, materials, electronics, nanofabrication and modeling and simulation.

**C. Description of outcome anticipated** *(Be specific. For example, estimate federal, private or other research dollars that may be received or other measurable forms of return on investment.).*

Build a world-renowned center for bio/nano electronic devices and sensors that will:

- produce a highly qualified pool of engineers and scientists in the field that is critical to the technological advancement and competitiveness of the U.S. and Florida,
- create IPs and technology base for new ventures in nano and bio-nano electronics and sensors in Florida as well as to strengthen the technology-base of existing biotech companies in South Florida,
- attract multimillion dollar research support from Federal agencies to Florida annually, and
- enhance partnerships with Florida institutions and industry.

**D. Additional information to justify request:**

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$990,882	<b>\$2,095,230</b>	\$0	\$0
b.	Non-recurring Funds:	\$419,000	<b>\$400,000</b>	\$200,000	\$0
c.	Total:	\$1,409,882	<b>\$2,495,230</b>	\$200,000	\$0

- A. Identify programs from which funds will be reallocated, if applicable (include for example, salaries from reallocated or dedicated personnel).

Using indirect cost recovery from grants, FIU could reallocate funds from other research infrastructure investments to support this effort. Our budget would not permit us to further invest this level of resources from our core operations.

- B. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

FIU assumes that the recurring expenses tied to faculty, graduate students and laboratory maintenance hold constant over time.

**IV. Facilities:**

- A. Does this issue require an expansion or construction of a facility?

Based on the recent completion of the Nanofabrication facility, no expansion or construction will be necessary.

- B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# **EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY**

Operating Budget Form II

**University:** **Florida International University**

**Issue Title:** **Center for Bio/Nano Electronic  
Devices & Sensors**

	<b>RECURRING</b>	<b>NON-</b>	<b>TOTAL</b>
<hr/>			
<u>Positions</u>			
Faculty	6.00	0.00	6.00
Other (A&P/USPS)	3.00	0.00	3.00
	-----	-----	-----
Total	9.00	0.00	9.00
	=====	=====	=====
<u>Salary Rate</u>			
Faculty	\$93,000	\$0	\$93,000
Other (A&P/USPS)	\$47,000	\$0	\$47,000
	-----	-----	-----
Total	\$140,000	\$0	\$140,000
	=====	=====	=====
Salaries and Benefits	\$887,730	\$0	\$887,730
Other Personal Services	\$883,250	\$0	\$883,250
Expenses	\$324,250	\$0	\$324,250
Operating Capital Outlay	\$0	\$400,000	\$400,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0

**State University System  
Educational and General  
2006-2007 Legislative Operating Budget Issue  
Form I-a**

**Strategic Planning Goal/Objective:** Access to and Production of Degrees *(Examples of issues that may be included under this goal would be new enrollment growth, financial aid, academic tracking, advising, etc.)*

<b>University:</b>	Florida International University
<b>Issue Title:</b>	<b>Downtown Educational Initiative</b>
<b>University Priority Number:</b>	<b>7</b>
<b>Date Approved by Board of Trustees:</b>	<b>Pending Approval</b>

**I. Needs Statement** *(What need will be addressed with the provision of funds for this issue?)*

FIU is proactively seeking opportunities to improve student access and community needs. One of the fastest growing areas in the community is downtown Miami. Nearly 30,000 new housing units are being developed. Infill is becoming a reality. Demand from students and the business community for a full service campus is growing. FIU currently has downtown education programs that lack the faculty and funding to support and grow them in accordance with market demand.

The Downtown program was created to fulfill a need in the community for recognized, accredited programs that offer a full range of advanced educational services to the expanding community. The Downtown Development Authority (DDA) is working on the re-development of the entire area. We have joined forces with the DDA to ensure the success of both, the area redevelopment and the Downtown site.

**II. Justification**

**A. Description of service or program to be provided** *(include whether this is a new or expanded service/program; if expanded what has been accomplished with the current service/program):*

Initial downtown efforts will include a regular Masters of Business Administration, which is being initiated this year and the three more specialized business degree programs proposed below:

- i. Downtown Miami contains an agglomeration of banks and accounting firms that serve local and international clients. The Sarbanes-Oxley

Act of 2002 now requires firms to follow stricter governance and disclosure guidelines, thus increasing the demand for better tax professionals. FIU is tailoring an Executive **Master of Science in Taxation** to meet the growing compliance needs of local companies and employees.

- ii. Miami-Dade County’s One Community One Goal (OCOG) initiative identifies the Financial Services sector as a top industry in Miami and one for which the county should focus its development efforts by enhancing business investment and employment. Currently, there are no universities offering a **Masters of Finance** in Downtown. The convenient weeknight and accelerated schedule will draw employees and companies operating in the area.
- iii. The downtown campus is an ideal location to offer the **Masters of Science in International Real Estate**. Downtown Miami and the Brickell area are the emerging markets in real estate development in Miami-Dade County. The county is ranked as one of the Top 10 U.S. Markets for Commercial Real Estate Investment and Development. The central location will attract students from throughout Dade and Broward Counties and provide educational opportunities to individuals employed in banking, law and accounting firms specializing in domestic and international real estate transactions.

**B. Description of current university initiatives, and their resources, that will strengthen the provision of this service/program:**

The University is initiating a downtown operation of its regular MBA program in the summer of 2005. Classroom and office facilities have been established while parking and security issues have been addressed. The basic infrastructure will be in place. This proposal seeks key faculty and support staff to teach and coordinate these new areas.

**C. Description of outcome anticipated** *(Be specific. For example, if this issue focuses on improving retention rates, indicate the current retention rate and the expected increase in the retention rate.)*. In addition, identify the following, if applicable:

Number of Headcount Students receiving services or participating in the program by year, for the next five years:

- i. Number of FTE Students receiving services or participating in the program by year for the next five years.

75 headcount students in FY06-07 (year one)

150 headcount students in FY07-08

225 headcount students in FY08-09

Exhibit “W”

300 headcount students in FY09-10

400 headcount students in FY10-11

- ii. Additional degrees, if any, produced as a result of this initiative.

The FTE will equal the headcount enrollment, since all students will be taking 32 credits per year in a cohort program.

- iii. Additional degrees, if any, produced as a result of this initiative  
(Indicate the additional number of a Bachelor, Master, Doctoral & Professional degrees produced by school year.).

Projected graduation per year is 40 in MS in Taxation, 50 for the Masters of Finance and 30 for the MS in International Real Estate.

As the demand for education in the Downtown area increases, FIU will deploy additional programs both within Business and in other disciplines such as Hospitality/Tourism management and entrepreneurship.

- iv. Other outcomes:

This program will:

- create a strong networking culture and sharing of ideas and experiences with downtown based companies, and
- foment business leadership by filling a void in top-level graduate business education to the dynamic downtown business community

**III. Budget Request for 2006-07:**

		2005-06 Budget for Issue	<b>State Funds Requested</b>	Anticipated Reallocation (A)	Total Budget for Issue (B)
a.	Recurring Funds:	\$	<b>\$919,080</b>	\$	\$
b.	Non-recurring Funds:	\$	<b>\$10,000</b>	\$	\$
c.	Total:	\$	<b>\$929,080</b>	\$	\$

- A. Identify programs from which funds will be reallocated, if applicable  
(include for example, salaries from reallocated or dedicated personnel).

Exhibit “W”

- B. If this is a multi-year request, identify the incremental funds needed from the state for each future year, by year, for a maximum of five years.

Recurring funds are necessary to pay for faculty. Non-recurring investment are minimal since the necessary space retrofit and furniture are being absorbed by the Downtown Development Authority and corporate landlord.

**IV. Facilities:**

- A. Does this issue require an expansion or construction of a facility?
- B. If yes, is the project identified on the Capital Improvement List? If so, identify the project, fiscal amount, and year requested.

	Facility Project Title	Fiscal Year	Amount Requested
1.			
2.			

# EDUCATIONAL AND GENERAL POSITION AND FISCAL SUMMARY

Operating Budget Form II

**University:** Florida International University

**Issue Title:** Downtown Educational Initiative

	<b>RECURRING</b>	<b>NON-</b>	<b>TOTAL</b>
<u>Positions</u>			
Faculty	4.00	0.00	4.00
Other (A&P/USPS)	2.00	0.00	2.00
	-----	-----	-----
Total	6.00	0.00	6.00
	=====	=====	=====
<u>Salary Rate</u>			
Faculty	\$153,500	\$0	\$153,500
Other (A&P/USPS)	\$45,000	\$0	\$45,000
	-----	-----	-----
Total	\$198,500	\$0	\$198,500
	=====	=====	=====
Salaries and Benefits	\$894,080	\$0	\$894,080
Other Personal Services	\$0	\$0	\$0
Expenses	\$25,000	\$0	\$25,000
Operating Capital Outlay	\$0	\$10,000	\$10,000
Electronic Data Processing	\$0	\$0	\$0
Special Category (Specific)	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	\$0	\$0	\$0
	-----	-----	-----
Total All Categories	\$919,080	\$10,000	\$929,080
	=====	=====	=====



**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: ADMINISTRATION AND COMPENSATION COMMITTEE REPORT**

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**PROPOSED BOARD ACTION:**

None. Discussion Item.

**REPORTS:**

- Minutes 17 May 2005 committee meeting

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- COMMITTEE MEETING MINUTES FOR  
17 MAY 2005

**FACILITATOR/PRESENTER:**

- ALBERT DOTSON

DRAFT

DRAFT

DRAFT

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES**



**ADMINISTRATION AND COMPENSATION COMMITTEE  
MINUTES**

**TUESDAY, 17 MAY 2005**

**GL 220**

**MIAMI, FL 33199**

**I. CALL TO ORDER**

The Florida International University Board of Trustees' Administration and Compensation Committee meeting was called to order on Tuesday, 17 May, 2005 by Chairman Albert Dotson at 1:03 p.m., in the Green Library Conference Room 220, Miami, Florida.

The following attendance was recorded:

***Present:***

Albert Dotson, *Chairperson*  
Betsy Atkins  
Rosa Sugrañes

***Excused:***

Claudia Puig  
Patricia Frost

Trustees Bruce Hauptli and Alex Prado were also present.

A silent roll was taken by Casandra Roache.

**II. APPROVAL OF MINUTES**

Committee Chair Albert Dotson asked if there were any additions or corrections to the minutes of the 3 February 2003, Administration and Compensation Committee meeting. Hearing none, the Committee adopted the following:

RESOLVED that the minutes of the meeting of the Administration and Compensation Committee held on 3 February 2005, attached to this Resolution as Exhibit "A," are hereby approved.

### III. CHAIRMAN'S REMARKS

Committee Chair Dotson welcomed fellow Committee members and thanked them for their continued service to the University, noting that two committee members were traveling and would not be able to participate. He also requested that Provost Rosenberg introduce staff members who had been invited to the meeting and welcomed members of the audience.

### IV. ITEMS FOR COMMITTEE ACTION

Chairman Dotson introduced the first three items for Committee consideration, noting that Items 1-3 related to University Personnel Rules and would be discussed as a whole. He added that the changes being considered for recommendation to the Board for approval were part of the University's move to an integrated personnel system that would address both the needs of employees and the realities of the university focusing on professional development and rewarding performance.

Chairman Dotson thanked the university administration and employees for their feedback and actions in response to the information session held on 13 May 2005. He added that Trustee and Faculty Senate Chair, Bruce Hauptli, had made a formal request to postpone discussion on Items 1-3 until the Faculty Senate had time to deliberate the changes. He noted that workshops and informational meetings on issues, such as the one held the previous week, were the appropriate forums for employees and faculty to comment and engage the issues.

Chairman Dotson then requested that VP Vivian Sanchez present the proposed amendments to the policies and rules submitted for Committee consideration. VP Sanchez reported that amendments to the Rules included in the Trustees' agendas were being introduced based on feedback received from employees during a workshop held on Friday, 13 May 2005. She noted that the administration's proposals addressed the three main areas of concern expressed during the workshop: (1) greater consistency, (2) clarity, and (3) employee fairness. She added that each issue was addressed in the proposed changes through the addition of information in each Rule explaining its relevance and applicability, elimination of a Rule deemed redundant, and introduction of a new notification methodology for termination without cause that acknowledges seniority while considering the financial realities of the university.

After discussion, the Committee recommended the Board adopt the following Resolutions:

▪ ***Adoption of Personnel Policies for Non-Bargaining Personnel***

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all university employees;  
WHEREAS, the University has developed personnel policies for all non-bargaining unit personnel (Exhibit "A");

THEREFORE BE IT RESOLVED, that the Board of Trustees adopts the personnel policies attached hereto as Exhibit "A" as amended;

BE IT FURTHER RESOLVED, that the policies attached hereto in Exhibit "A" as amended shall be effective 1 July 2005, solely for non-bargaining unit personnel;

BE IT FURTHER RESOLVED, that the University Administration take all actions necessary to give effect to this Resolution.

▪ ***University Personnel Rules - Rule Repeal***

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all University employees;

WHEREAS, the University has decided to repeal Personnel Rule 6C8-4.018 because it is redundant;

THEREFORE, BE IT RESOLVED THAT, the Board approves the proposed repeal of Rule 6C8-4.018.

BE IT FURTHER RESOLVED THAT, the Board delegates authority to the University President to consider any comments to the Rule Repeal received by the University in writing or at a public hearing to be held after the Board's action, and to file the Rule Repeal for adoption.

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule Repeal as a result of comments received in writing or at the public hearing on the Rule Repeal.

***University Personnel Rules - Proposed Rules***

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all University employees;

WHEREAS, the University has developed two new Personnel Rules attached hereto as Exhibits "B" and "C" which reflect the new personnel program for non-bargaining unit employees of the University, specifically,

- Exhibit "B" - 6C8-4.025 Separations from Employment for Non-Bargaining Unit Employees
- Exhibit "C" - 6C8-4.030 Disciplinary Actions

WHEREAS, the two new Personnel Rules will not apply to bargaining unit personnel who are currently in collective bargaining negotiations with the Board,

THEREFORE, BE IT RESOLVED THAT, the Board approves the above-referenced proposed University Personnel Rules, as amended;

BE IT FURTHER RESOLVED THAT, the Board delegates authority to the University President to consider any comments to the Rule Repeal received by the University in writing or at a public hearing to be held after the Board's action, and to file the Rule Repeal for adoption.

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

#### ***University Personnel Rules- Rule Amendments***

WHEREAS, the Board of Trustees is the public employer of all employees of the University and has the power and duty to adopt a personnel program for all University employees;

WHEREAS, the University has developed new personnel policies which are simultaneously before the Board for adoption,

WHEREAS, the proposed new personnel policies will apply to all personnel except those who currently are in collective bargaining negotiations with the Board,

WHEREAS, the following University Personnel Rules must be amended in order to reconcile the Rules with the proposed new personnel policies attached hereto as Exhibits "D," "E," "F," and "G":

- Exhibit "D" - 6C8-4.006 -Career Service Employee Disciplinary Actions
- Exhibit "E" - 6C8-4.014 -Bargaining Unit and Nonbargaining Unit Faculty and Administrative and Professional (A&P) and University Support Personnel System (USPS) Staff Vacancies, Selection, Appointments, Promotions, Internal Promotions, Reassignments, Transfers, and Demotions
- Exhibit "F" - 6C8-4.016 -Nonreappointment and Resignation of Faculty

- Exhibit “G” - 6C8-4.019 -Termination for Cause and Other Disciplinary Actions for Faculty, Administrative and Professional (A&P), and University Support Personnel System (USPS) Staff

THEREFORE, BE IT RESOLVED THAT, the Board approves the amendments to the above-referenced University Personnel Rules;

BE IT FURTHER RESOLVED THAT, the Board delegates authority to the University President to consider any comments to the Rule Repeal received by the University in writing or at a public hearing to be held after the Board's action, and to file the Rule Repeal for adoption.

AND BE IT FURTHER RESOLVED, that the President report to the Board at its next regularly scheduled meeting on any substantive change requested or made to the Rule as a result of comments received in writing or at the public hearing on the Rule.

#### ***4. University President's Performance Report- Consultant A.T. Kearney***

Chairman Dotson reported that the Committee was charged with the performance evaluation for the University President, and having adopted the process for the 2004-2005 performance evaluation at the last Board meeting on 8 March 2005, the Committee was asked to consider using the consultant used during the last performance evaluation to conduct the interviews with Trustees, John Mestepey of A.T. Kearney.

After discussion, the Committee recommended the Board adopt the following Resolution:

RESOLVED that the Board of Trustees approve a consultant to conduct the 2004-2005 evaluation of the University president and

FURTHER RESOLVED that A.T. Kearney conduct the President's Evaluation for 2004-2005 academic year, at a cost of \$10,000 and,

FURTHER RESOLVED that A.T. Kearney be engaged to conduct interviews with each Board member on the President's performance for the 2004-2005 fiscal year using the eight item survey approved by the Board at its 8 March 2005 meeting, and

FURTHER RESOLVED that A.T. Kearney prepare a report of the aggregate findings and submit it to the Administration and Compensation Committee Chair for consideration as part of the President's evaluation.

The Florida International University  
Board of Trustees  
Administration and Compensation Committee  
Minutes  
Tuesday, 17 May 2005  
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Chairman Dotson reminded Trustees that the forum for individual comments was during the interview process with John Mestepey of A.T. Kearney, and not at either the Administration and Compensation Committee or at the full Board meeting where the President's evaluation shall take place.

#### **V. ITEMS FOR COMMITTEE REVIEW:**

##### ***5. University Access & Equity Committee Annual Report 02-04***

VP Sanchez reported that the Annual Report of the University Access and Equity Committee for 2002-2004 contained a summary of the major activities of the University Office of Equal Opportunity Programs whose primary mission is to develop, implement and monitor policies and procedures to ensure that the University complies with Federal, state, and internal policies regarding equal opportunity and affirmative action for employees, applicants, and students. She noted the report had been filed with the State as mandated by Florida Statute.

#### **VI. OTHER BUSINESS**

Chairman Dotson reported that the President's contract expires on 1 August 2005. At the request of President Maidique and after consulting with Chairman Dotson, the Committee was being asked to consider recommending the Board extend the President's contract under the conditions of the current Contract without any changes for a period of no less than six (6) months and no longer than twelve (12) months. He added that during that time, negotiations of a new contract would be underway.

After discussion, the Committee recommended the Board adopt the following Resolution:

WHEREAS the Florida international University Board of Trustees (the "Board") approved a three year contract (the "Contract") with University President Modesto A. Maidique; and

WHEREAS the Contract, as amended, expires on 1 August 2005; and

WHEREAS the President recommended no changes to the Contract be considered until Collective Bargaining is settled;

THEREFORE BE IT RESOLVED that the Contract, as amended, between the Board and University President Modesto A. Maidique shall be extended under the current provisions for a period of not less than six (6) months and not more than twelve (12) months beginning in August 2005, and

FURTHER RESOLVED that during the extension, the Board shall enter into negotiations for a new contract with the University President.

The Florida International University  
Board of Trustees  
Administration and Compensation Committee  
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**ADJOURNMENT**

With no other business, the meeting of the Florida International University Board of Trustees' Administration and Compensation Committee was adjourned on Tuesday, 17 May 2005, at 1:30 p.m.

*Attachments: Exhibits "A – G"*

*Trustee requests: There were no Trustee requests.*

*CLR/clr 05.17.2005*



**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: ACADEMIC POLICY AND STUDENT AFFAIRS COMMITTEE REPORT**

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**PROPOSED BOARD ACTION:**

None. Discussion Item.

**REPORTS:**

- Minutes 8 June 2005 committee meeting
  - Student Affairs
  - Academic Affairs
  - Academic Learning Compact
  - Health and Medical Education Initiative (HMEI)
- 

**EXHIBITS/SUPPORTING DOCUMENTS:**

- MINUTES, COMMITTEE MEETING OF 8 JUNE 2005
- STUDENT AFFAIRS
- ACADEMIC AFFAIRS REPORT – ENROLLMENT UPDATE; 2005 SUMMER/FALL NEW UNDERGRADUATE STUDENT COMPARISON REPORT; ENROLLMENT PATHWAY
- ACADEMIC LEARNING COMPACT – MEMORANDUM RE: UPDATE ON THE ACADEMIC LEARNING COMPACTS; UPDATE FOR THE BOT ON ACADEMIC LEARNING COMPACTS
- HEALTH AND MEDICAL EDUCATION, INTERIM REPORT

**FACILITATOR/PRESENTER:**

- DAVID PARKER

DRAFT

THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES



ACADEMIC POLICY AND STUDENT AFFAIRS COMMITTEE  
MINUTES  
8 JUNE 2005

VIA CONFERENCE CALL

**I. Call to Order**

The Florida International University Board of Trustees Academic Policy and Student Affairs Committee meeting was called to order on Wednesday, 8 June 2005, by Chairman David Parker at 8:35 a.m., via conference call.

The following attendance was recorded:

***Present:***

David Parker, *Chairperson*  
Herbert Wertheim, *Vice Chair*  
Bruce Hauptli  
Alex Prado

***Excused:***

Betsy Atkins  
Joan Peven Smith, *Foundation Liaison*

Cassandra Roache took a silent roll.

**II. Approval of Minutes**

Committee Chair David Parker asked if there were any additions or corrections to the minutes of the 31 January 2005, Academic Policy and Student Affairs Committee meeting. Hearing none, the Committee adopted the following:

RESOLVED that the minutes of the meeting of the Academic Policy and Student Affairs Committee held on 31 January 2005, attached to this Resolution as Exhibit "A," are hereby approved.

### **III. Chairman's Remarks**

Chairman Parker welcomed Trustees and staff to the conference call meeting and thanked all for their part in ensuring the success of the meeting. He welcomes Trustee Alex Prado to his first Academic Policy and Student Affairs Committee meeting.

### **IV. Items for Committee Action**

#### *1. Tenure Nominations*

Chairman Parker noted that he was impressed by the international diversity and educational background of the fourteen nominees for tenure. Trustee Bruce Hauptli commented that the quality of the evaluation process was equaled by the quality of the candidates who were being recommended for tenure.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

WHEREAS each board of trustees is authorized to establish the personnel program for all employees of the university including tenure,

WHEREAS the University President is recommending the granting of Tenure for fourteen (14) nominees as listed in Exhibit "B",

THEREFORE BE IT RESOLVED that the Florida International University Board of Trustees approves the granting of Tenure to the seventeen individuals listed in Exhibit "B" based on the recommendations of the University President.

#### *2. Tenure as a Condition of Employment Nominations*

Chairman Parker noted that there were three nominees for tenure as a condition of their employment at FIU. Provost Rosenberg reported that all of the nominees had earned tenure at their previous institutions.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

WHEREAS each board of trustees is authorized to establish the personnel program for all employees of the university including tenure,

WHEREAS the University President is recommending the granting of Tenure as a Condition of Employment for three (3) nominees listed in Exhibits "C",

THEREFORE BE IT RESOLVED that the Florida International University Board of Trustees approves the granting of Tenure to the three individuals listed in Exhibit "C" based on the recommendations of the University President.

*3. Bachelor of Landscape Architecture*

Provost Rosenberg requested that Assistant Professor in the School of Architecture, Marta Canaves, present the Landscape Architecture Bachelors degree program for Committee review. Professor Canaves reported that the program would feature a unique focus to complement the university's urban objectives. Trustee Hauptli reported that the Faculty Senate reviewed and approved the program on 29 April 2005.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

RESOLVED that the Florida International University Board of Trustees hereby approves the Bachelor in Landscape Architecture, attached to this Resolution as Exhibit "D," and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

*4. Master of Interior Design*

Provost Rosenberg requested that Director and Associate Professor in the School of Architecture Janine King present the Masters of Interior Design for Committee review. She reported that interior design was among the fastest-growing professions in the country and added that demand for the undergraduate program offered at FIU had tripled over the last three years. Professor King reported that FIU's urban setting was advantageous and positioned the program well among other interior design programs in the state. Trustee Hauptli reported that the Faculty Senate reviewed and approved the program on 29 April 2005 after extensive internal review.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

RESOLVED that the Florida International University Board of Trustees hereby approves the Master of Interior Design, attached to this Resolution as Exhibit "E," and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

*5. M.S., International Real Estate*

Graduate School of Business Dean, Jose De La Torre reported on the proposed Master of Science in International Real Estate program. He noted that currently there were 245 students enrolled in the four classes offered in the undergraduate real estate program with future demand expected to increase further. He reported that the graduate program would be offered at a new downtown center in space leased in cooperation with Macy's Department Stores. Trustee Hauptli announced that the Faculty Senate approved the program on 19 April 2005.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

RESOLVED that the Florida International University Board of Trustees hereby approves the Master of Science in International Real Estate, and attached to this Resolution as Exhibit “F”, and

FURTHER RESOLVED, that the Board authorizes the University President to file the proposal with the Division of Colleges and Universities and take all actions necessary to implement the program.

*6. Ph.D. Materials Science and Engineering*

Chairman Parker noted that he believed there was a high demand for a degree in this field. Dean of the University Graduate School Douglas Wartzok reported that there are only two other programs in the state and that this offering would be in line with both the university’s and the state’s plans. Trustee Hauptli requested that the program be recommended for Board approval pending Faculty Senate approval which had not yet reviewed the proposal.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

RESOLVED that the Florida International University Board of Trustees approve the Doctor of Philosophy in Materials Science and Engineering proposal as a new academic program under the College of Engineering and attached to this Resolution as Exhibit “G”, and

FURTHER RESOLVED, that the University file the proposal with the Division of Colleges and Universities and submit the proposal to the Florida Board of Governors for approval.

*12. Performance Measures (BOG) Report*

Chairman Parker requested the Accountability Measures Report be considered as an action item for the Committee’s recommendation to submit it to the Board of Governors (BOG). Trustee Hauptli and Vice Provost Marie Zeglen presented the proposed targets to be considered in four areas of measurement provided in the BOG Accountability Measures. The Provost added that there had been a full discussion of the targets among the Deans and Vice-Presidents. Vice President Corinne Webb noted that the goals outlined would be a stretch for the university, but achievable. Chairman Parker requested that there be continuous reporting to the Academic Policy and Student Affairs Committee of progress made on the goals.

Without further discussion, the Committee recommended the Board adopt the following Resolution:

WHEREAS, the Florida Board of Governors (“the BOG”) adopted a series of University accountability measures in January 2005, and

WHEREAS, Florida International University was asked to recommend targets for academic years 2006-2007 and 2012-2013 for measures in four areas: graduation rates, minority baccalaureate degree production, licensure pass rates, and world-class research programs,

THEREFORE, BE IT RESOLVED, that the Florida International University Board of Trustees approves the performance targets presented by the administration in each of the four measurement areas as requested by the BOG and attached to this Resolution as Exhibit "H," and

FURTHER RESOLVED, that upon approval of the performance targets, the University President shall file the plan with the Board of Governors.

#### **V. Reports to the Committee**

Chairman Parker requested, for the sake of time and because of the thoroughness of the reports provided in the agendas, that Item 7, PantherSoft Report; Item 8, Legislative Report; Item 10, Academic Affairs Report; and Item 11 Academic Learning Compact Report, be accepted as written.

##### *13. Health and Medical Education Initiative*

Chairman Parker requested that Provost Rosenberg provide a brief report on Health and Medical Education Initiative. Trustee Herbert Wertheim added that the combined strength of the School of Public Health with a School of Medicine would provide a powerful tool in preventive medicine. Trustee Wertheim reiterated his commitment to the School of Medicine Initiative and reported on his many recent contacts in the medical community.

##### *9. Student Affairs Report*

VP Rosa Jones reported that as part of Alternative Spring Break, 2005, FIU students visited 12 sites both domestic and international. One contingent went to Thailand to assist in the rebuilding efforts. She reported that Spring 2005 also marked the first time the University held six Commencement ceremonies including the historic Inaugural School of Law Commencement Ceremony, attended by the Governor and several Trustees.

#### **VI. Other Business**

Chairman Parker thanked faculty, staff and administrators for their continued commitment to the university and its mission.

#### **VII. Adjournment**

With no other business, Chairman Parker adjourned the meeting at 10:16 a.m.

*Attached: Exhibits "A," "B," "C," "D," "E," "F," "G," and "H."*

***Trustee Requests***

- 1. Trustee Wertheim requested that the department of Landscape Architecture survey the Wertheim Conservatory and report on possible improvements.*
- 2. Trustee Pino requested that Century Home Builders be considered for inclusion on the Advisory Board for International Real Estate.*
- 3. Chairman Parker requested that Accountability Measures, especially First Time in College (FTIC), numbers be reported at every Academic Policy and Student Affairs Committee meeting.*
- 4. Trustee Wertheim requested a tour of the Engineering facilities.*

CR/cr  
6.15.05

**The Florida International University**  
**Division of Student Affairs**  
**Board of Trustees**  
**Academic Policy and Student Affairs Committee**  
**8 June 2005**

Spring semester 2005 ended with the same enthusiastic campus life activities with which it began last January. Five commencement ceremonies were held on May 2nd and 3rd with more than 3,000 students graduating, totaling almost 7,000 students for the academic year. Several recognition program and award ceremonies were held during the month of May for graduates. Students are now registered in summer classes, summer internships and planning for the 2005-2006 academic year. Programs and activities that were in process during the last report were very successful, including the Maya Angelou program that attracted an audience of over 2000.

**Notable Spring Programs and Accomplishments:**

- Students in *Alternative Spring Break* programs visited 12 sites during Spring 2005, including Bangkok, Thailand and the Dominican Republic. One hundred and ten students participated in the program. The sites varied from working with children with life-threatening illnesses in Orlando to working with Cherokee Indians in Oklahoma. .
- The March 5-6, 2005 Dance Marathon raised \$77,600 for the Miami Children's Hospital Foundation.
- Both campuses hosted Spring Career Fairs with 136 employers and 1,198 student participants at University Park and 50 employers and 475 students at the Biscayne Bay campus.
- The Leaders in Residence sponsored "Relay for Life," April 1-2, and raised over \$35,000, which was donated to the American Cancer Society.
- George Alton Austin, a graduating senior, was awarded first runner-up in the Florida College Student of the Year sponsored by the *Florida Leader Magazine*.
- Four graduate student members of the Student Affairs Graduate Association (SAGA) won first place in the annual virtual case study competition sponsored by Student Affairs.Com. They competed against over 30 colleges and universities across the U.S.
- Over 50 students were recognized as shining stars for their campus leadership, commitment to diversity and service, school spirit, and creation of new traditions at the annual Student Life Awards program on April 14.
- The first annual "Pantherstock" (as in Woodstock) was held on April 23. The large out-door concert included music, comedians and a very festive ambiance to celebrate the end of another academic year.



## 2005 Summer/Fall New Undergraduate Student Comparison Report

(As of May 20, 2005)

	Fall Comparison			Summer Comparison			Combined Comparison				
	Final	Point in Time		Final	Point in Time		Final	Point in Time			
	2004	2004	2005	2004	2004	2005	2004	2004	2005	# Chg	% Chg
<b>FTIC</b>											
Goal	1900		2100	1850		2100	3750		4200	450	12.0%
Applications	7987	7901	8653	4064	3451	3469	12051	11352	12122	770	6.8%
Admits	3748	3382	4418	3898	3330	3361	7646	6712	7779	1067	15.9%
Pre-matriculants		*	2583		*	1876		*	4459		
Enrolled	1996			1994			3990				
<b>Transfer</b>											
Goal	2465		2565	865		905	3330		3470	140	4.2%
Applications	5936	3711	3528	2129	2148	1857	8065	5859	5385	-474	-8.1%
Admits	4167	1474	1750	1397	1423	1275	5564	2897	3025	128	4.4%
Pre-matriculants		*	1280		*	931		*	2211		
Enrolled	2468			774			3242				
<b>FTIC &amp; Transfers</b>											
Goal	4365		4665	2715		3005	7080		7670	590	8.3%
Applications	13923	11612	12181	6193	5599	5326	20116	17211	17507	296	1.7%
Admits	7915	4856	6168	5295	4753	4636	13210	9609	10804	1195	12.4%
Pre-matriculants		*	3863		*	2807		*	6670		
Enrolled	4464			2768			7232				

\* Beginning in 2005 students were asked to acknowledge their admissions acceptance by returning an "intent to enroll" form to the university. These students are noted as 'pre-matriculants.'

Graduate and undergraduate admissions offices offered visitors "on site" admissions review. Financial aid gave presentations, and lender banks were available to offer assistance on various loans programs. The first 1,000 guests received a free FIU t-shirt donated by the Athletic Department.

- **Financial Aid Enhancements:** The new changes introduced into financial aid process this year have yielded very positive benefits for new and continuing students. Heretofore, students selected for verification were not notified of their potential aid package until they submitted verification documents which oftentimes arrived very late in the processing cycle or not at all. Beginning this cycle, financial aid notified students upfront of their awards and, if selected for verification, conditioned the award upon receipt and verification of award eligibility. With this processing enhancement, 75% of the admitted FTICs and 65% of the admitted transfers have already received their financial aid award for 2005/06.
- **Enrollment Pathway:** The enclosed chart illustrates the critical steps required to successfully recruit, serve and retain new undergraduate students. The recruitment, enrollment and retention of undergraduate students is a collaborative and collective process that requires the active participation and involvement of the entire university community. To facilitate this collaboration, a new Strategic Recruitment and Enrollment Action Committee, consisting of collegiate and central support representatives, has been established to develop and execute a university-wide strategic recruitment plan to ensure that the university's undergraduate enrollment goals are satisfied and student occupancy in our residence halls is maximized in 2005/06, 2006/07 and beyond. The committee will focus its efforts on realizing the greatest return on the university's investment in recruitment activities--wherever budgeted--, eliminating duplication of effort, coordinating events and publications, deploying data and sharing resources, for the greater good, wherever possible.

**Enrollment Update  
Academic Affairs Report  
May 20, 2005**

**Enrollment Update**

**I. 2005/06 New FTIC and Transfer Students (see enclosed chart)**

- University expects to enroll 7,670 new FTIC and transfer students in summer and fall of 2005. This represents a 8.3% increase over last year's summer/fall enrollment goal of 7,080 students. As of May 20<sup>th</sup>, 6,670 new FTIC and transfer students (87% of goal) have accepted their offer of admission for the summer or fall terms. Recruitment will continue over the summer months until all goals are satisfied.
- Compared to this time last year, FTIC activity is showing positive gains. Applications are up 6.7% and admits are up 15.8%. Beginning this year, admitted students were asked to acknowledge their admission acceptance by returning an "intent to enroll" card contained within the admission packet. This information is used to project enrollment and housing occupancy rates, schedule courses and staff student orientation and academic advising sessions. As of May 20<sup>th</sup>, 4,459 FTIC students, against an enrollment goal of 4,200 new students, have already accepted their offer of admission to FIU.
- Currently, transfer applications are down 8.1%; admits are up 4.4%. While it is still early in the transfer cycle, undergraduate admissions recently secured a list of 20,000 names, from the State of Florida, of students who are expected to graduate from Florida community colleges. These students were contacted and encouraged to apply for admission for the coming year. This effort, along with other outreach campaign, will increase the number of applicants, admits and enrollees for the coming year.

**II. New Initiatives**

- **New Undergraduate Admissions Website:** The undergraduate admissions office redesigned its website to enable prospective students to obtain information quickly about academic majors, financial aid, scholarships, cost of attendance and visiting our campus.
- **New Online Admissions Application:** The new online admissions application was activated on March 18, 2005, allowing prospective graduate and undergraduate students to apply directly to FIU through this new online application. Previously, prospective applicants -- both graduate and undergraduate -- were directed to the Florida Academic Counseling and Tracking for Students website (FACTS.org) where students had to scroll through an array of SUS institutions before finding the FIU choice and they had to drill through eight web pages before landing on the application logon site. The new online application provide prospects with a single institutional choice and the logon page is only three clicks from the FIU homepage.
- **Open House Hosts 1,500 Visitors:** The university hosted a highly successful Open House on April 16th, welcoming approximately 1,500 visitors who were interested in a variety of graduate and undergraduate programs. The event was orchestrated by a university planning committee comprised of representatives from the collegiate units, graduate schools, enrollment services, student affairs, and housing and recreation, among other areas. Approximately 200 FIU faculty, administrators, staff and students participated in the experience. FIU representatives wore "Just Ask Me" buttons and made a special effort to escort visitors to their intended destinations. Blue and gold balloons lent a festive air to the occasion. The FIU Bookstore distributed 10 percent-off discount coupons to all visitors.

- Multicultural Programs and Services hosted the third annual Intertribal Celebration Pow Wow on April 9. The full day program included singers, dancers, and crafts peoples representing seven Native American tribes.
- This Spring, sixteen students participated in a Diversity Education and Exchange Project (Title II Grant) and visited Savannah State University to learn about African American culture and history for four days. In October 16, students from Savannah State visited FIU four days and were exposed to the diversity of FIU and Miami. The program's goal is to provide an opportunity for open dialogue about diversity and develop leadership skills to bring about greater awareness on campuses through peer education.
- Student Government Elections were held on both campuses with a record number of 3,804 students participating in the elections (Biscayne Bay 646 students and University Park 3,158 students).
- The second annual Sage scholarship program awarded four scholarships to international students.

#### **Construction Projects Update:**

- Construction on the new Lakeview Housing project (825 beds) was initiated in February. Completion is targeted in July 2006.
- The Graham Center renovation project is underway, with the first stage targeted for completion in early August, 2005.
- The Campus Recreation Center (University Park) is scheduled for completion in June 30, 2005.
- The Biscayne Bay Recreation Center project has been delayed and is now targeted for completion for July 2007.



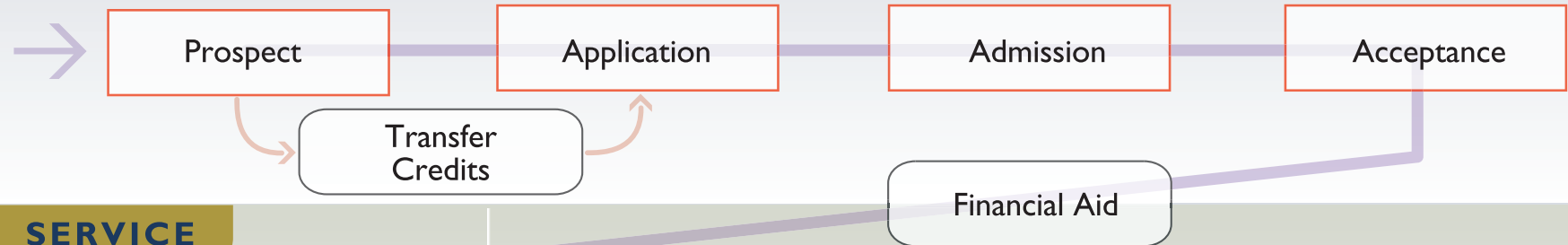
# FIU

FLORIDA INTERNATIONAL UNIVERSITY  
*Miami's public research university*

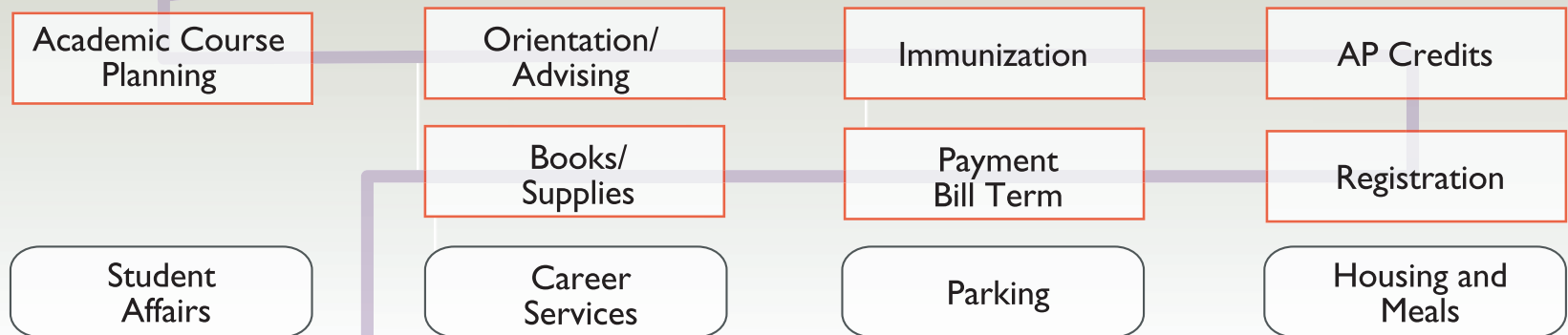
# ENROLLMENT PATHWAY

→ *Undergraduate Student*

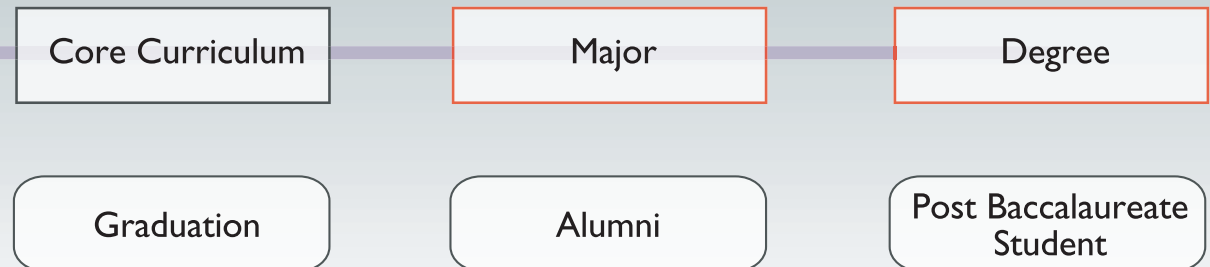
## RECRUIT



## SERVICE



## RETAIN





## MEMORANDUM

**TO:** David R. Parker, Chairperson  
Academic Policy and Student Affairs Committee  
FIU Board of Trustees

**FROM:** Mark B. Rosenberg  
Provost & Executive Vice President for Academic Affairs

**DATE:** May 20, 2005

**SUBJECT:** An Update on the Academic Learning Compacts

The attached update on the Academic Learning Compacts (ALCs) provides information on the following:

- Background on the Board of Governors (BOG) mandate;
- Dates for submission of the status reports to the BOG;
- The method by which the University met the deadline for submitting the first status report;
- Ongoing collaboration and cooperation between Faculty Senate President Bruce Hauptli and myself to establish a joint working team from the Faculty Senate and Academic Affairs to lead the ALC effort;
- An action plan and time table for completing the implementation of the ALCs.

If you need additional information on this important campus initiative, please let me know.

Attachment

**Update for the BOT on Academic Learning Compacts**

### **May 20, 2005**

On April 22, 2004, the Florida Board of Governors passed a resolution that directed the state universities to develop Academic Learning Compacts (ALCs) for each baccalaureate degree program. The Compacts identify, at minimum, the expected core student learning outcomes for program graduates in the areas of content/discipline knowledge and skills; communication skills; critical thinking skills; and corresponding direct measures to determine how well student learning matches the articulated expectations. The state universities are required to submit ALC status reports by May 2, September 1, and December 30, 2005. The status reports include an analysis of the progress being made in each baccalaureate program toward the development and implementation of the elements outlined above, as well as in making the ALCs readily available to students. Updated status reports may be requested periodically until the ALCs and associated processes are fully developed and implemented.

To meet the May 2, 2005 deadline for a status report for each program, the Office of Planning and Institutional Effectiveness sent a copy of the content/discipline knowledge and skills; communication skills; and critical thinking skills from the existing Institutional Effectiveness Student Learning Outcome matrices to each department with a request to update those entries with any changes since the last reporting cycle. The information received from departments was assembled and reviewed by the Senior Vice Provost for Planning and Institutional Effectiveness and the Vice Provost for Program Review and Assessment. These pieces of data served as the input for the May 2 status report.

The Provost and the Faculty Senate Chair appointed a joint working team from the Faculty Senate and from Academic Affairs to lead the ALC effort. The team will be comprised of five faculty members and two administrators and has been charged with

- (a) assessing and approving the articulated core student learning outcomes in content/discipline knowledge and skills, communication skills, and critical thinking skills proposed by each undergraduate program; and
- (b) certifying that the corresponding robust and effective assessment mechanisms of each program ensure that graduates of the baccalaureate degree programs have met the criteria of the Compacts.

The Joint Working Team membership includes:

Leonard Bliss (Chair), Professor of Educational Psychology,  
Vice Chairperson of the Faculty Senate  
Susan Himburg, Professor, Dietetics and Nutrition  
Jeffrey Knapp, Director of the Academy for  
the Art of Teaching and Instructor in English  
Kyle Perkins, Vice Provost for Program Review and Assessment  
Pat Rose, Professor and Associate Dean, Journalism and Mass Communication

Mark Shermis, Associate Dean and Professor, College of Education  
Marie Zeglen, Senior Vice Provost for Planning and Institutional Effectiveness

### **Action Plan:**

1. Creation of support “cohorts” to aid in the development and implementation of the ALCs.
2. Identification of learning outcomes for each baccalaureate program by academic departments.
3. Development of measurement strategies for each learning outcome by departments.
4. Approval of the departmentally-approved ALC outcomes and measurement strategies by the Joint Team.
5. Submission of the ALC Action Plan to the Board of Trustees for approval.
6. Submission of regular progress reports to the Faculty Senate and Board of Trustees.
7. Submission of regular progress reports to the Florida Board of Governors, after submission to the Board of Trustees.
8. The Joint Team will work with departments to monitor the success and certify the effectiveness of each ALC implementation. It will issue recommendations and status reports to the FIU Board of Trustees. Approved materials will then be sent to the Board of Governors as requested.
9. The Faculty Senate’s Undergraduate Council will be charged with the ongoing monitoring of the ALCs. Working closely with the Office of Planning and Institutional Effectiveness, the Undergraduate Council will engage in an ongoing assessment of the measurement component, and will play a role in the program review process vis-à-vis the ALCs.

### **Time Table:**

June 8, 2005	Draft ALC action plan, timeline, and policies and procedures will be presented to the Academic Policies and Student Affairs Committee.
June 29, 2005	Draft ALC action plan, timeline, and Policies and Procedures will be presented to the full BOT.
August 15, 2005	Review of second ALC report by Academic Policy and Student Affairs Committee.
September 1, 2005	Second ALC Status Report is due to the BOG.
October 31, 2005	ALC policy and procedures finalized by Academic Policy and Student Affairs Committee of the BOT.
November 21, 2005	Full BOT reviews ALC policies and procedures.
December 15, 2005	Third ALC Status Report sent to Academic Policy and Student Affairs Committee.
December 30, 2005	Third ALC Status Report is due to the BOG.



**The Florida International University Board of Trustees  
Academic Policy and Student Affairs Committee  
Health and Medical Education Initiative  
Interim Report**

Since the last meeting of the Board's Academic Affairs Committee, the following has transpired:

- There were private meetings with three members of the Board of Governors to discuss the FIU School of Medicine proposal:
  - President Maidique, Provost Rosenberg, and Trustee Wertheim with Mr. Dasburg
  - Dr. Breslin and Dr. Martini with Dr. Desai and Ms. Duncan
- Working with external consultants, the Academic Affairs HMEI team began to develop a new case statement for the medical school. At Dr. Wertheim's suggestion, it features comparisons to the University of South Florida, a state-supported regional medical school.
- Dr. Martini gathered the very latest national data on the physician workforce and the projected shortfall and prepared a summary. He also renewed relations with the Association of American Medical Colleges and scouted for possible Health and Medical Education Initiative leaders.
- At Dr. Desai's suggestion, Dr. Martini, Dr. Breslin, and Dr. Trepka of the School of Public Health, began an analysis of minority health disparity data for Miami-Dade County.
- Dr. Breslin drafted a new cost-benefit analysis of the CEPRI recommendations for increasing the supply of physicians in the state. It indicates that a new medical school with a large affiliated residency program is the most cost effective and productive path.
- Working with the external consultants, the Academic Affairs team furthered the discussion of residency programs with Mercy Hospital.
- President Maidique and Provost Rosenberg visited the Medical School of Virginia Commonwealth University.
- The University's Division of Advancement continues to promote community discussion and awareness of the FIU School of Medicine via various media. It also continues publication of related articles in *FIU Magazine*, alumni news, and a bi-monthly newsletter to SE Florida physicians.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: FINANCE AND AUDIT COMMITTEE REPORT**

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**PROPOSED BOARD ACTION:**

None. Discussion Item.

**REPORTS:**

- PantherSoft
- Office of Internal Audit
- Audits

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- PANTHERSOFT – EXECUTIVE UPDATE 5.20.05 AND PANTHERSOFT NEWS VOL. 3, ISSUE 1
- OFFICE OF INTERNAL AUDIT
- AUDITS – REPORT NO. 2005-149, 2005-158 (SELECTION); FIU INTERCOLLEGIATE ATHLETICS PROGRAM; BRIGHT FUTURES

**FACILITATOR/PRESENTER:**

- ROSA SUGRAÑES

# **PantherSoft Executive Briefing**

## **May 20, 2005**

<b>Student Administration</b>
-------------------------------

- April 4, 2005 – Automation of transfer credit equivalency process began; successfully validated courses from Miami-Dade College, UF, FSU, University core curriculum, as well as courses in the state course numbering system
- April 4, 2005 - Successfully implemented Pre-requisites and Co-Requisites for the College of Business, Chemistry and Journalism for summer term. University Catalog rules have been built into PantherSoft and validated by departments. Students registering for Business courses are automatically checked for meeting specific course requirements.
- Planning, setup and validation is ongoing for the rest of the University for Pre-requisites and Co-Requisites.
- March 14, 2005 - Went live with Admissions Online web application for Undergraduate and Graduate schools. New University prospects can now apply online at FIU Admissions web page.
- Feb 14, 2005 - Successfully implemented PantherSoft bundle 7 containing new Financial Aid regulations and other fixes/enhancements within one week.
- Enhancements to Class schedule completed to allow students better system interaction with class searches.
- Successfully ran 1098T processing for 2004.
- eCheck capability has been researched and will be in place through TouchNet by Fall 2005. eCheck allows students to pay tuition online from their checking account and should eliminate a large portion of the traffic in the Cashier's Office.
- Facilitated deferred processing for grading to improve grade input. This ability allows users to enter grades in a faster and more efficient process, but required faculty to save more often. The Grading Quick Reference Guide was revised, communicated and distributed to all faculty and academic administrators.
- Grading Call Center was activated for Spring 2005. 211 calls were received compared to 695 for Fall 2004.
  - 57% were general functionality questions, but 25% were regarding error messages received attributed to the change in process from Fall to Spring requiring faculty to save more often. Faculty stated it was not intuitive. This is compared to 7% in Fall 2004.
  - On the positive side, there were significantly fewer calls related to faculty not being assigned to the appropriate course section or having login issues.
- Streamlined process for accepting and reviewing enhancement requests from power users and end users. This has allowed better support to the University departments.
- Review and Planning of PeopleSoft Portal Implementation is currently underway.

- Student Administration 8.9 upgrade has been postponed and will be re-evaluated in the future.
- EIS (Enrollment Information Services) group has been established. This group will represent university initiatives, business process changes and documentation as well as issue prioritization.

### Technology & Infrastructure

- Maintained and supported all PantherSoft production environments.
- Coordinated and executed performance load testing runs for spring registration and grading.
- Supported all efforts to implement financial aid regulations, web application, transfer credits and other completed and on-going projects.
- Supported UTS Infrastructure in their efforts to upgrade UPS and AC systems.
- Supported all development, testing and training efforts for PantherSoft.
- Provided Support and preventive maintenance for all PantherSoft development and production systems.
- Installed and configured SA 8.9 Demo Database.
- Currently working on installing and configuring demo databases for Enterprise Portal and Financial SP2.
- The UTS Support Center continues to handle a large volume of calls for password resets (13,406 since July 2004).

### Financials

- A major fix with Student Financials data being interfaced to the General Ledger was completed which would update any accounting discrepancies from 7/1/2004 through 1/31/2005. Controller's Office verified data and created journal entry for fix.
- Financial report generation for the University Community has been scheduled along with the Controller's office monthly closing schedule to assure report is delivered on a timely basis.
- The Online University Wide Month-End Financial reports were processed and delivered for the months of February 2005 and March 2005.
- The Online Access Request Form to request access to the Financials system is being updated to streamline and improve the current process. In addition, the routing and approval data required for Travel and Expense will be captured
- Began technical upgrade to Financials System (SP2). Several software fixes are associated with this upgrade.

- Began developing the Student Grant Management page in the system to assist PIs in awarding Financial Aid and to facilitate Financial Aid department in their daily operations.
- New Budget Upload program is being developed to assist the Office of Financial Planning with the new budget process for 2005-2006 fiscal years.
- Budget Checking for Expense Reports and ProCard Reports has been developed and is currently under testing.
- The TouchNet system for credit card processing must be upgraded and will be completed by internal staff.
- The FAST Team received 9,311 calls and logged 6,306 service requests as of May 6<sup>th</sup>, 2005.
- Financial Open Labs have been available to continue assisting the University with the Financials system.

Sampling of Financials Transactions Processed as of May 10<sup>th</sup>, 2005 in PantherSoft

Requisitions Processed	18,325
Purchase Orders Processed	16,819
Vouchers (Invoices) Processed	43,697
Checks \ Payments Processed	26,756
TARs Processed	5,501
Cash Advances Processed	354
Expense & ProCard Reports Processed	31,018
Journals Processed	46,010

Training Statistics February – April 2005

Student Administration Attendance	36
Financials Attendance	186
Financials No Shows	273

**Florida International University**  
**Office of Internal Auditing**  
**Roles and Responsibilities**

**Purpose and Mission**

- Fiscal accountability
- Reduce risk
- Evaluate effectiveness and efficiency of operations
- Policies and procedures, laws, rules upheld
- Financial Statement Audit – State Auditor

**Risk Assessment**

- Identify audit universe
- Apply risk factors
- Develop audit work plan

**Audits**

- Internal control evaluation
- Testing of accounts/processes
- Draft audit report
- High risk audit findings and recommendations

**Audit Follow-up**

- Determine status of implementation of recommendations twice yearly
- Notify President/Vice Presidents of current status of implementation
- Highlight high risk recommendations

**Investigations**

- Administrative, not criminal
- Allegations of violations; fraud/misuse of funds

**Audit Related Services**

- Management requests

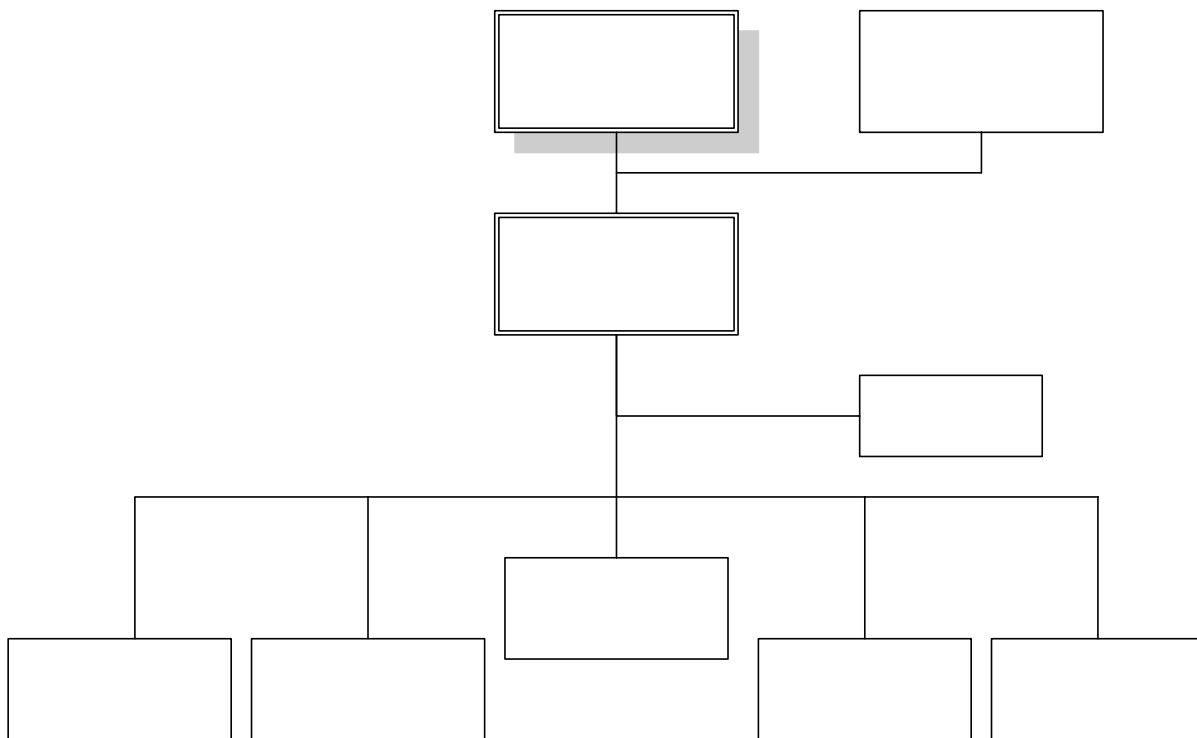
**Annual Report**

- Summaries of audits/investigations
- Significant findings and recommendations
- Significant uncorrected recommendations

## Organization Chart

### General

- Staff - each has more than 20 years auditing experience; at least two professional certifications.
- On April 25, 2005 our Information Technology auditor resigned.
- We are in the process of recruiting to fill our two vacant positions.



CPA = Certified Public Accountant  
CIA = Certified Internal Auditor  
CFE = Certified Fraud Examiner  
CIG = Certified Inspector General  
CIGI = Certified Inspector General Investigator

## **Current Audit Plan Status**

### **Audit Activities**

The approved Audit Plan included seven audits.

1. School of Nursing – Completed, 11 findings and recommendations.
2. Frost Art Museum – Completed, 17 findings and recommendations.
3. Wolfsonian Museum – Completed, 14 findings and recommendations.
4. College of Engineering – Completed, 12 findings and recommendations.
5. College of Education – Completed, 14 findings and recommendations.
6. PeopleSoft - Cashiering Function – in progress, to complete by June 30, 2005.
7. PeopleSoft - Item Types and Related General Ledger Account(s) – in progress, to complete by June 30, 2005.

### **Investigations**

- Nine included in original plan
- Additional five complaints received
- Seven completed, two substantially completed

### **Audit Related Services**

- Construction negotiations
- Implementation of recommendations
- Various departmental requests
- Committees participation

## **Focus for 2005-2006**

- Due to new financial system implementation (PeopleSoft), risk assessment based on financial statements/processes.
- Audit focus on financial reporting and financial controls.
- Focus on key financial process across departments, rather than complete departmental audits.
- Will result in a wider span of audit coverage throughout University.





# AUDITOR GENERAL

WILLIAM O. MONROE, CPA



## FLORIDA INTERNATIONAL UNIVERSITY

Financial Audit

For the Fiscal Year Ended June 30, 2004

During the audit period, the President of the University was Dr. Modesto A. Maidique. Members of the University's Board of Trustees who served during the audit period are listed below:

**Board Member**

Adolfo Henriques, Chair  
David R. Parker, Vice Chair  
Betsy S. Atkins  
Rafael A. Calderon  
Albert E. Dotson, Sr.  
Marcel Escoffier  
Patricia Frost  
Miriam Lopez  
Sergio Pino  
Miriam Lopez  
Clayton Solomon (1)  
Rosa Sugrañes  
Herbert A. Wertheim

Note: (1) The student body president, who is a voting member of the Board in accordance with Section 1001.71(1), Florida Statutes.

## FLORIDA INTERNATIONAL UNIVERSITY

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**EXECUTIVE SUMMARY**

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The audit of the financial statements of the Florida International University for the fiscal year ended June 30, 2004, was conducted pursuant to the provisions of Section 11.45, Florida Statutes, and applicable standards contained in *Government Auditing Standards* issued by the Comptroller General of the United States.

The scope of this audit included an examination of the financial statements of the University, a component unit of the State of Florida, and a determination as to whether management has complied with applicable laws, administrative rules, regulations, contracts, and grant agreements and other matters that are material to the financial statements. An examination of Federal awards administered by the College is included in our Statewide audit of Federal awards administered by the State of Florida.

The following provides a summary of the findings of our audit of the financial statements of the University:

- We found that the University's financial statements presented fairly, in all material respects, the financial positions of the University and its discretely presented component unit as of June 30, 2004; the revenues, expenses, and changes in net assets; and the cash flows for the fiscal year then ended.
- We noted no matters involving the University's internal control over financial reporting and its operation that we considered to be material weaknesses.
- The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This audit was conducted by Marilyn E. Tolley, CPA, and supervised by Agustin Silva, CPA. Please address inquiries regarding this report to James E. Raulerson, CPA, Audit Manager, via e-mail at [jimraulerson@aud.state.fl.us](mailto:jimraulerson@aud.state.fl.us) or by telephone at (850) 487-4468. This report, as well as other audit reports prepared by the Auditor General, can be obtained on our Web site (<http://www.state.fl.us/audgen>); by telephone at (850) 487-9024; or by mail at G74 Claude Pepper Building, 111 West Madison Street, Tallahassee, Florida 32399-1450.



WILLIAM O. MONROE, CPA  
AUDITOR GENERAL

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Fax: 488-6975/SC 278-6975

The President of the Senate, the Speaker of the  
House of Representatives, and the  
Legislative Auditing Committee

## INDEPENDENT AUDITOR'S REPORT ON FINANCIAL STATEMENTS

We have audited the accompanying financial statements of the Florida International University, a component unit of the State of Florida, and its discretely presented component unit as of and for the fiscal year ended June 30, 2004, as shown on pages 14 through 38. These financial statements are the responsibility of the University's management. Our responsibility is to express opinions on these financial statements based on our audit. We did not audit the financial statements of the discretely presented component unit, as described in note 1 to the financial statements, which comprise 100 percent of the transactions and account balances of the discretely presented component unit column. Those financial statements were audited by other auditors whose report thereon has been furnished to us, and our opinion on the financial statements, insofar as it relates to the amounts included for this entity, is based solely upon the report of the other auditors.

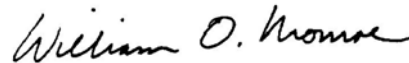
We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit and the report of the other auditors provide a reasonable basis for our opinions.

In our opinion, based on our audit and the report of the other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the Florida International University and of its discretely presented component unit as of June 30, 2004, and the respective changes in financial position and cash flows, where applicable, thereof for the fiscal year then ended, in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report on our consideration of the Florida International University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, administrative rules, regulations, contracts, and grant agreements and other matters included under the heading **INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF THE FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The **MANAGEMENT'S DISCUSSION AND ANALYSIS** on pages 5 through 13 is not a required part of the basic financial statements, but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

Respectfully submitted,



William O. Monroe, CPA  
March 10, 2005



WILLIAM O. MONROE, CPA  
AUDITOR GENERAL

# AUDITOR GENERAL STATE OF FLORIDA

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111 West Madison Street  
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The President of the Senate, the Speaker of the  
House of Representatives, and the  
Legislative Auditing Committee

## INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF THE FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

We have audited the financial statements of the Florida International University, a component unit of the State of Florida, and its discretely presented component unit as of and for the fiscal year ended June 30, 2004, and have issued our report thereon included under the heading **INDEPENDENT AUDITOR'S REPORT ON FINANCIAL STATEMENTS**. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Our report on the financial statements included disclosures regarding our reference to the report of other auditors.

### Internal Control Over Financial Reporting

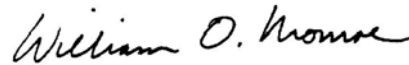
In planning and performing our audit, we considered the University's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinions on the financial statements and not to provide an opinion on the University's internal control over financial reporting. Our consideration of internal control over financial reporting would not necessarily disclose all matters in the internal control that might be material weaknesses. A material weakness is a reportable condition in which the design or operation of one or more of the internal control components does not reduce to a relatively low level the risk that misstatements caused by error or fraud in amounts that would be material in relation to the financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over financial reporting and its operation that we consider to be material weaknesses.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the University's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, administrative rules, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended for the information of the Legislative Auditing Committee, members of the Florida Senate and the Florida House of Representatives, Federal and other granting agencies, and applicable management. Copies of this report are available pursuant to Section 11.45(4), Florida Statutes, and its distribution is not limited.

Respectfully submitted,

A handwritten signature in black ink that reads "William O. Monroe". The signature is written in a cursive, flowing style.

William O. Monroe, CPA  
March 10, 2005



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**MANAGEMENT'S DISCUSSION AND ANALYSIS**

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The management's discussion and analysis of Florida International University and its component unit, the Florida International University Foundation, Inc., introduces the financial statements, and provides an analytical overview of its financial activities for the fiscal year ended June 30, 2004. Management has prepared the financial statements and the related note disclosures along with the management's discussion and analysis. Responsibility for the completeness and fairness of this information rests with the University. The management's discussion and analysis is designed to focus on current activities, resulting changes, and currently known facts, and should be read in conjunction with the accompanying financial statements and notes thereto.

The University's reporting authority, the Governmental Accounting Standards Board (GASB), made significant changes to how the University presented its financial activities beginning with the 2001-02 fiscal year. At that time, the University elected business-type activity reporting to enhance comparability between public universities and their private counterparts. This election required the adoption of the accrual basis of accounting and entity-wide reporting, and included depreciating capital assets, classifying revenues and expenses as operating and nonoperating, and reducing student tuition and fees by scholarship allowances.

**USING THIS ANNUAL REPORT**

The University's basic financial statements are comprised of the following:

- Statement of Net Assets
- Statement of Revenues, Expenses, and Changes in Net Assets
- Statement of Cash Flows
- Notes to Financial Statements

**FINANCIAL HIGHLIGHTS**

During the 2003-04 fiscal year, the University demonstrated steady growth, reflective of a stronger economy and increased operating budget. The University's Board of Trustees, in addition to approving the budget detail, approved a local tuition fees increase (beyond the State mandated increase) and also participated in the process to develop the Legislative budget request for the upcoming 2004-05 fiscal year.

In terms of incremental dollars, the Education and General budget for the 2003-04 fiscal year increased from \$244.4 million to \$250.1 million, an increase of \$5.7 million, or approximately 2.3 percent. The University received an additional \$1.3 million for the College of Law. Salary increases for faculty and support staff were funded at \$1.6 million. Plant operations and maintenance received \$.2 million. The increase in tuition fees provided an additional \$7.9 million in the budget. During the 2003-04 fiscal year, the University's net assets increased by \$6.4 million. Detailed analysis of financial data is included in the following paragraphs.

## THE STATEMENT OF NET ASSETS

The purpose of the statement of net assets is to report all financial and capital resources of the University. The assets and liabilities are shown in order of their relative liquidity. An asset's liquidity is determined by how readily it is expected to be converted to cash and whether restrictions limit the University's ability to use the resources. A liability's liquidity is based on its maturity, or when cash is expected to be used to liquidate it. The difference between the University's assets and liabilities at June 30, 2004, is shown as net assets. Over time, increases and decreases in net assets measure whether the University's financial position is improving or deteriorating.

Assets totaled \$717.8 million at June 30, 2004. This amount is net of accumulated depreciation of \$206.7 million. The 6.2 percent increase in assets was primarily the result of an increase in construction in progress, due to several projects near completion but not yet capitalized. In addition, capital assets increased due to additions to buildings, furniture and equipment, and library resources.

Liabilities totaled \$260.9 million at June 30, 2004, compared to \$225.7 million at June 30, 2003. Current liabilities increased by \$36 million, primarily due to an increase of \$8.2 million in obligations under securities lending and reverse repurchase agreements, an increase of \$7 million in deferred revenues from Public Education Capital Outlay (PECO) allocations, and settlement of questioned costs totaling \$11.5 million with the United States Department of Energy.

The University's net assets balance of \$456.9 million at June 30, 2004, included \$372.6 million invested in capital assets, net of related debt, \$28.8 million of restricted net assets, and \$55.5 million of unrestricted net assets.

The component unit had total assets of \$114.2 million at June 30, 2004. An increase in contributions receivable and investments caused total assets to increase by \$13.1 million, or 13 percent, when compared to the 2002-03 fiscal year. Total liabilities of \$12.5 million at June 30, 2004, primarily consists of a \$11.6 million notes payable used to fund the construction of the Management Advances Research Center. Net assets increased by \$17.4 million primarily as a result of a \$12.4 million increase in other restricted net assets.

Consolidated assets, liabilities, and net assets for the University and its component unit are shown in the following table:

	Net Assets (In Millions)			
	University		Percent	Component Unit
	2003-04	2002-03	Change	2003-04
<b>Assets</b>				
Current Assets	\$ 234.1	\$ 225.7	3.7	\$ 43.6
Noncurrent Assets:				
Capital Assets, Net of Depreciation	451.8	398.3	13.4	13.3
Other	31.9	52.2	(38.9)	57.3
<b>Total Assets</b>	717.8	676.2	6.2	114.2
<b>Liabilities</b>				
Current Liabilities	126.4	90.4	39.8	0.9
Noncurrent Liabilities	134.5	135.3	(0.6)	11.6
<b>Total Liabilities</b>	260.9	225.7	15.6	12.5
<b>Net Assets</b>				
Invested in Capital Assets	372.6	319.8	16.5	
Restricted for Nonexpendable				65.9
Restricted for Expendable	28.8	53.7	(46.4)	20.7
Unrestricted	55.5	77.0	(27.9)	15.1
<b>Total Net Assets</b>	\$ 456.9	\$ 450.5	1.4	\$ 101.7

For more detailed information see the statement of net assets.

At June 30, 2004, the University's net capital assets totaled \$451.8 million compared to \$398.3 million at June 30, 2003. The increase resulted mainly from an increase of \$43.5 million in construction work in progress capitalized during the 2003-04 fiscal year. Also, buildings, furniture and equipment, property under capital leases, and library resources contributed to the increase. Funding for the construction of buildings on campus is provided from Public Education Capital Outlay (PECO) funds, Capital Facilities Matching Trust Fund, auxiliary enterprises, and bond proceeds. The University's capital assets are shown in the following table:

<b>Net Capital Assets (In Millions)</b>		
	<u>2004</u>	<u>2003</u>
<b>Capital Assets</b>		
Buildings	\$ 369.8	\$ 358.8
Furniture and Equipment	113.2	108.3
Library Resources	71.7	66.8
Property Under Capital Leases	9.2	
Construction in Progress	51.7	8.2
Land	28.4	26.7
Other	14.5	13.9
	<u>658.5</u>	<u>582.7</u>
<b>Total</b>	658.5	582.7
Less, Accumulated Depreciation	<u>206.7</u>	<u>184.4</u>
<b>Net Capital Assets</b>	<u><u>\$ 451.8</u></u>	<u><u>\$ 398.3</u></u>

### THE STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS

The statement of revenues, expenses, and changes in net assets is the operating statement of the University and, as such, it reports all the revenues and expenses. Operating revenues are reported by major sources and tuition and fees are reported net of scholarship allowances. Operating expenses are reported by natural classification. The statement reports revenues and expenses under the operating and nonoperating classifications. Other revenues, expenses, gains, or losses are also reported separately.

Revenues totaled \$449.7 million for the 2003-04 fiscal year. This represents a 9.6 percent increase over the 2002-03 fiscal year due to increases in capital appropriations, tuition and fees, and Federal grants and contracts. Education and General Fund's revenue constituted the largest component of revenue (\$250.1 million) and consisted primarily of General Revenue appropriated by the Legislature, revenues from the State lottery system, and revenues generated by the University through student tuition and fees. Revenues from Federal, State, and private grants totaled \$93.6 million for the 2003-04 fiscal year, as compared to \$89.2 million for the 2002-03 fiscal year.

Expenses totaled \$443.4 million for the 2003-04 fiscal year, representing an increase of 7.7 percent over the 2002-03 fiscal year. This increase was primarily due to an increase in personnel services of \$21.1 million and the settlement with the Federal Government of questioned costs totaling \$11.5 million relating to Federal grants. Beginning this year, several expense classifications were grouped into one main class, services and supplies. This grouping is made up of contractual services, materials and supplies, repairs and maintenance, and other operating expenses. There was a reduction of \$14.3 million in this category when comparing the 2003-04 fiscal year to 2002-03 fiscal year. Total operating expenses were \$422.6 million. Operating expenses are classified into various categories of which instruction, research, and academic support are the major components. Depreciation expense of \$29.6 million is also included in the total operating expenses.

The component unit's net operating income for the fiscal year ended June 30, 2004, totaled \$7.5 million. This is an increase of \$2.5 million, or 50.3 percent. This was attributed to an additional \$4.5 million in contributions. Nonoperating activities net revenues totaled \$9.9 million. Investment income totaled \$1.7 million and net unrealized investment gains amounted to \$8.2 million.

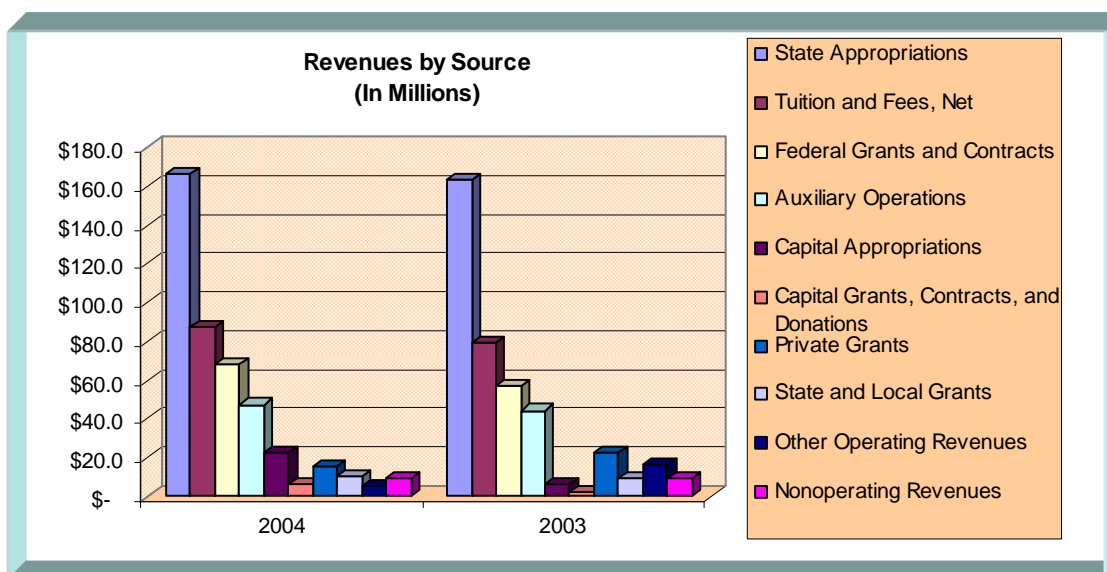
A summary of revenues and expenses of the University and its component unit is presented in the following table:

<b>Operating Results for the Year Ended (In Millions)</b>				
	<u>University</u>		<u>Change</u>	<u>Component Unit</u>
	<u>2003-04</u>	<u>2002-03</u>		<u>2003-04</u>
Operating Revenues	\$ 249.1	\$ 228.9	\$ 20.2	\$ 19.3
Less, Operating Expenses	<u>422.5</u>	<u>406.0</u>	<u>16.5</u>	<u>11.8</u>
<b>Total Operating Income (Loss)</b>	(173.4)	(177.1)	3.7	7.5
Net Nonoperating Revenues	<u>151.3</u>	<u>167.5</u>	<u>(16.2)</u>	<u>9.9</u>
<b>Income (Loss) Before Other Revenues, Expenses, Gains or Losses</b>	(22.1)	(9.6)	(12.5)	17.4
Capital Appropriations	22.3	6.1	16.2	
Capital Grants, Contracts, and Donations	<u>6.2</u>	<u>2.2</u>	<u>4.0</u>	
<b>Change in Net Assets</b>	6.4	(1.3)	7.7	17.4
Restated Net Assets, Beginning of Year	<u>450.5</u>	<u>451.8</u>	<u>(1.3)</u>	<u>84.3</u>
<b>Net Assets, End of Year</b>	<u><u>\$ 456.9</u></u>	<u><u>\$ 450.5</u></u>	<u><u>\$ 6.4</u></u>	<u><u>\$101.7</u></u>

For more detailed information, see the statement of revenues, expenses, and changes in net assets.

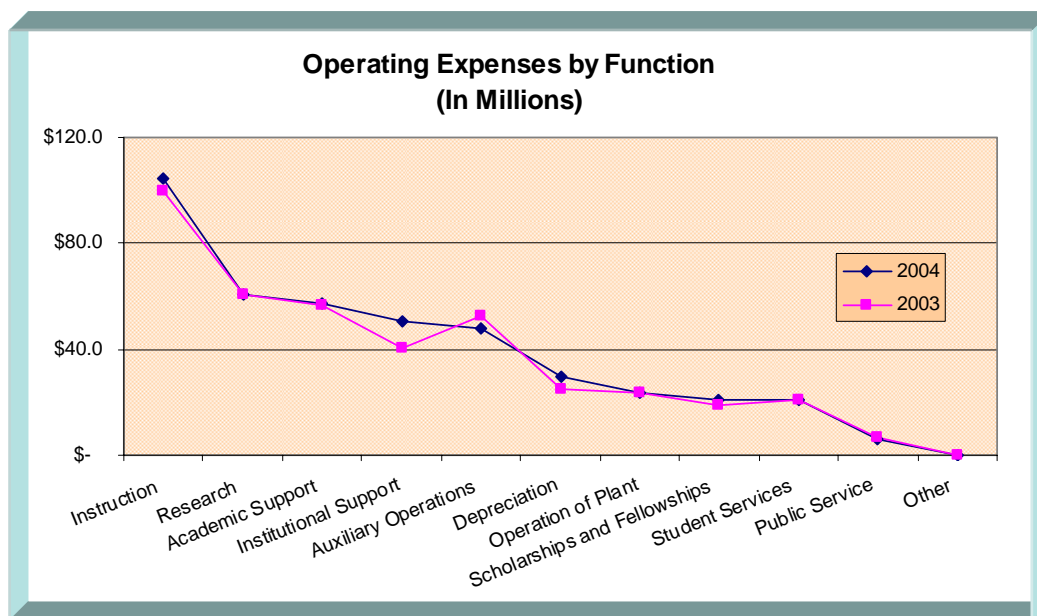
The following are graphic illustrations of revenue by source for the University for the 2003-04 and 2002-03 fiscal years:

<b>Revenues by Source (In Millions)</b>		
	<u>2004</u>	<u>2003</u>
State Appropriations	\$ 166.6	\$ 163.6
Tuition and Fees, Net	87.3	79.0
Federal Grants and Contracts	68.3	57.4
Auxiliary Operations	47.4	44.4
Capital Appropriations	22.3	6.1
Capital Grants and Contracts	2.0	2.2
Private Grants	15.2	22.2
State and Local Grants	10.1	9.6
Other Operating Revenues	20.8	16.3
Nonoperating Revenues	<u>9.7</u>	<u>9.6</u>
<b>Total</b>	<u><u>\$ 449.7</u></u>	<u><u>\$ 410.4</u></u>



The following are graphic illustrations of operating expenses by function for the University for the 2003-04 and 2002-03 fiscal years:

<b>Operating Expenses by Function (In Millions)</b>		
	<u>2004</u>	<u>2003</u>
Instruction	\$ 104.4	\$ 100.1
Research	60.8	60.9
Academic Support	57.0	56.8
Institutional Support	50.6	40.5
Auxiliary Operations	48.0	52.3
Depreciation	29.6	24.9
Operation of Plant	23.9	23.9
Scholarships and Fellowships	21.1	18.6
Student Services	20.8	20.8
Public Service	6.4	6.9
Other		0.3
<b>Total</b>	<u><u>\$ 422.6</u></u>	<u><u>\$ 406.0</u></u>



For more detailed information see the statement of revenues, expenses, and changes in net assets.

### THE STATEMENT OF CASH FLOWS

The purpose of the statement of cash flows is to provide relevant information about the cash receipts and cash payments of the University. The statement reports how cash and cash equivalents were affected by the University's operations, noncapital financing activities, capital and related financing activities, and investing activities. The statement shows that cash and cash equivalents decreased by \$40.7 million for the fiscal year ended June 30, 2004, as compared to an increase in the 2002-03 fiscal year of \$17.8 million.

The statement of cash flows reports cash and cash equivalents totaling \$13 million at June 30, 2004. Cash used for operating activities consisted primarily of amounts paid to employees of \$256.3 million and payments to suppliers of goods and services for \$110.8 million. Cash received for noncapital financing activities included State appropriations of \$166.6 million. Cash received from capital and related financing activities included capital appropriations of \$29.3 million and were impacted by purchases and construction of capital assets totaling \$70.8 million. A summary to the University's cash flows for the fiscal years ended June 30, 2004, and June 30, 2003, is shown in the following table:

<b>Cash Flows (In Millions)</b>			
	<u>2004</u>	<u>2003</u>	<u>Change</u>
<b>Cash Provided (Used) By:</b>			
Operating Activities	\$ (142.2)	\$ (141.9)	\$ (0.3)
Noncapital Financing Activities	164.9	165.2	(0.3)
Capital and Related Financing Activities	(59.3)	15.3	(74.6)
Investing Activities	<u>(4.1)</u>	<u>(20.8)</u>	<u>16.7</u>
<b>Net Increase (Decrease) in Cash and Cash Equivalents</b>	(40.7)	17.8	(58.5)
Cash and Cash Equivalents, Beginning of Year	<u>53.7</u>	<u>35.9</u>	<u>17.8</u>
<b>Cash and Cash Equivalents, End of Year</b>	<u><u>\$ 13.0</u></u>	<u><u>\$ 53.7</u></u>	<u><u>\$ (40.7)</u></u>

For more detailed information see the statement of cash flows.

## ANALYSIS BY SOURCE OF FUNDS

### Education and General

The major funding source of the University is derived from Educational and General Funds, consisting of General Revenue appropriated by the Legislature from tax collections, Educational Enhancement Trust Funds from proceeds of the State Lottery System, and the Student Fee Trust Fund from revenues generated by the University through student fees. During the 2003-04 fiscal year, funds received from these sources amounted to \$250.1 million, or 55.6 percent of total revenue. Tuition and other registration fees collected from the students totaled \$119.4 million and were reduced by scholarship allowances of \$32.1 million. The undergraduate tuition fees increased six percent for resident and fourteen percent for nonresident students. The graduate and law tuition fees increased fourteen percent for residents and sixteen percent for nonresident students. Moneys in the Student Fee Trust Fund (formerly, Incidental Trust Fund) are no longer appropriated. As a result, the University is in control of these funds and if the collections exceed the budget, the University can spend these funds on priorities recommended to and approved by the Board of Trustees. On the downside, if collections are below the budget, a budget reduction has to be made. During the 2003-04 academic year, the per credit hour fees were as follows:

	<u>Undergraduate</u>	<u>Graduate</u>	<u>Law</u>
Resident	\$ 88.93	\$ 201.51	\$ 225.96
Nonresident	456.63	770.78	818.92

A health fee of \$54 and an athletic fee of \$10 were also assessed on a per-student basis.

### Sponsored Research

Sponsored Research funds are awarded by Federal, State, and private agencies to conduct research and training. The University continues to strengthen its efforts as a Research I university. This year, the University received an



additional \$7.9 million in revenue over the 2002-03 fiscal year. On February 10, 2005, the University settled questioned costs of \$11.5 million with the United States Department of Energy (USDOE). The questioned costs were determined through Federal audits conducted on USDOE grants awarded to the University's Hemispheric Center for Environmental Technology. See note 18 to the financial statements.

### **Auxiliaries**

Auxiliary enterprises are self-supported activities providing services to students, faculty, and staff. These services are essential to the operations of the University, and include activities such as student housing, parking, student health services, and central stores. Auxiliary enterprises revenues increased to \$47.4 million from \$44.4 million in the 2002-03 fiscal year. Auxiliary operations accounted for 19 percent of the University's total operating revenues for the 2003-04 fiscal year.

### **Construction Funds**

The University's focus on growth and quality is reflected in the number of construction projects underway. The University continues to have an active construction program. These projects are essential to accommodate the growth in enrollment and programs experienced by the University. Funding for the construction of buildings on campus is provided from PECO funds, the Capital Facilities Matching Trust Fund, auxiliary enterprises, and bond proceeds. PECO funds were the primary source of funding for construction projects, amounting to over \$29.3 million during the 2003-04 fiscal year.

### **Loan Funds**

Loan funds are used to issue loans to students. The terms of the loan agreements usually specify that the money operate on a revolving basis, i.e., repayment of principal and interest are loaned to other individuals. At June 30, 2004, the University had approximately \$3.7 million in outstanding loans to students.

### **Agency Funds**

The University holds funds as custodians or fiscal agents for others. These funds include, but are not limited to; organization accounts, student deposits, professional clubs, student clubs, and student fees. Deposits payable held for these purposes at June 30, 2004, totaled approximately \$2.4 million, a decrease of \$1.4 million over the 2002-03 fiscal year.

## **ECONOMIC FACTORS THAT WILL AFFECT THE FUTURE**

While the budget for the current 2003-04 fiscal year gives cause for optimism, the realities of the near future and beyond present a much different picture. The economic growth of the University is closely tied to that of the State. Any slow down, which would affect the State, would also impact the University. The Board of Trustees, working with the University administration, will continue their efforts to seek funding equity for the University.

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**FINANCIAL SECTION**


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**FLORIDA INTERNATIONAL UNIVERSITY  
A COMPONENT UNIT OF THE STATE OF FLORIDA  
STATEMENT OF NET ASSETS  
As of June 30, 2004**

	<u>University</u>	<u>Component Unit</u>
<b>ASSETS</b>		
Current Assets:		
Cash and Cash Equivalents	\$ 4,484,395	\$ 5,004,293
Investments with State	124,074,577	
Other Investments		19,637,644
Accounts Receivable, Net	20,450,764	18,567,803
Due From State	83,183,152	
Notes Receivable, Net	592,329	
Inventories	504,637	
Other Assets	793,896	389,149
<b>Total Current Assets</b>	<u>234,083,750</u>	<u>43,598,889</u>
Noncurrent Assets:		
Restricted Cash and Cash Equivalents	8,518,112	7,514,890
Restricted Investments with the State	21,126,524	
Other Restricted Investments	162	49,756,095
Loans and Notes Receivable, Net	1,953,214	
Depreciable Capital Assets, Net	369,013,882	12,594,154
Land and Other Nondepreciable Capital Assets	82,774,204	702,500
Other Assets	317,435	
<b>Total Noncurrent Assets</b>	<u>483,703,533</u>	<u>70,567,639</u>
<b>TOTAL ASSETS</b>	<u><u>\$717,787,283</u></u>	<u><u>\$ 114,166,528</u></u>
<b>LIABILITIES</b>		
Current Liabilities:		
Accounts Payable	\$ 3,074,118	\$ 304,633
Accrued Salaries and Wages	8,177,522	
Construction Contracts Payable	4,499,689	
Due to State	76,518	
Due to Federal Government	11,500,000	
Deferred Revenue	59,358,667	159,031
Deposits Payable	3,138,504	
Obligations Under Securities Lending and Reverse Repurchase Agreements	28,655,725	
Long-Term Liabilities - Current Portion:		
Bonds and Revenue Certificates Payable	3,519,518	
Notes Payable	1,170,943	425,000
Capital Leases Payable	2,102,537	
Compensated Absences Payable	1,136,401	
<b>Total Current Liabilities</b>	<u>126,410,142</u>	<u>888,664</u>
Noncurrent Liabilities:		
Bonds and Revenue Certificates Payable	89,238,428	
Notes Payable	19,583,345	11,195,000
Capital Leases Payable	3,028,024	
Compensated Absences Payable	22,670,877	
Other Long-Term Liabilities		400,130
<b>Total Noncurrent Liabilities</b>	<u>134,520,674</u>	<u>11,595,130</u>
<b>TOTAL LIABILITIES</b>	<u><u>260,930,816</u></u>	<u><u>12,483,794</u></u>

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**STATEMENT OF NET ASSETS (Continued)**  
**As of June 30, 2004**

	<u>University</u>	<u>Component Unit</u>
<b>NET ASSETS</b>		
Invested in Capital Assets, Net of Related Debt	\$372,588,073	\$
Restricted:		
Nonexpendable:		
Endowment		65,948,739
Expendable:		
Endowment		
Loans	4,860,903	
Capital Projects	5,441,579	
Debt Service	370,622	
Other Restricted Net Assets	18,136,329	20,670,833
Unrestricted	<u>55,458,961</u>	<u>15,063,162</u>
<b>Total Net Assets</b>	<u>456,856,467</u>	<u>101,682,734</u>
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<u>\$717,787,283</u>	<u>\$ 114,166,528</u>

The accompanying notes to the financial statements are an integral part of this statement.

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET ASSETS**  
**FOR THE PERIOD ENDING JUNE 30, 2004**

	<u>University</u>	<u>Component Unit</u>
<b>REVENUES</b>		
Operating Revenues:		
Student Tuition and Fees, Net of Scholarship Allowances of \$32,068,465	\$ 87,283,814	\$
Federal Grants and Contracts	68,293,863	
State and Local Grants and Contracts	10,072,834	
Nongovernmental Grants and Contracts	15,195,661	
Sales and Services of Auxiliary Enterprises	47,355,127	
Gifts and Donations		15,983,391
Interest on Loans Receivable	79,020	
Other Operating Revenues	<u>20,828,279</u>	<u>3,297,451</u>
<b>Total Operating Revenues</b>	<u>249,108,598</u>	<u>19,280,842</u>
<b>EXPENSES</b>		
Operating Expenses:		
Compensation and Employee Benefits	261,912,514	
Services and Supplies	100,804,640	
Utilities	11,458,522	
Scholarships and Fellowships	18,756,833	
Depreciation Expense	29,624,685	
Other Operating Expenses		<u>11,830,536</u>
<b>Total Operating Expenses</b>	<u>422,557,194</u>	<u>11,830,536</u>
<b>Operating Income (Loss)</b>	<u>(173,448,596)</u>	<u>7,450,306</u>
<b>NONOPERATING REVENUES (EXPENSES)</b>		
State Appropriations	166,595,904	
Investment Income	3,207,440	1,730,568
Other Nonoperating Revenue	2,385,529	
Interest on Asset-Related Debt	(5,820,100)	
Other Nonoperating Expenses	(15,042,348)	
Net Unrealized Gains on Investments		<u>8,207,512</u>
<b>Net Nonoperating Revenues</b>	<u>151,326,425</u>	<u>9,938,080</u>
<b>Income (Loss) Before Other Revenues, Expenses, Gains, or Losses</b>	<u>(22,122,171)</u>	<u>17,388,386</u>
Capital Appropriations	22,291,385	
Capital Grants, Contracts and Donations	<u>6,149,910</u>	
<b>Total Other Revenues</b>	<u>28,441,295</u>	
<b>Increase in Net Assets</b>	<u>6,319,124</u>	<u>17,388,386</u>
Net Assets, Beginning of Year	450,537,343	88,012,313
Adjustment to Beginning Net Assets		<u>(3,717,965)</u>
<b>Restated Net Assets, Beginning of Year</b>	<u>450,537,343</u>	<u>84,294,348</u>
<b>Net Assets, End of Year</b>	<u>\$456,856,467</u>	<u>\$ 101,682,734</u>

The accompanying notes to the financial statements are an integral part of this statement.

**FLORIDA INTERNATIONAL UNIVERSITY  
A COMPONENT UNIT OF THE STATE OF FLORIDA  
STATEMENT OF CASH FLOWS  
For the Fiscal Year Ended June 30, 2004**

	<u>University</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>	
Tuition and Fees	\$ 84,685,034
Grants and Contracts	91,626,902
Sales and Services of Auxiliary Enterprises	46,604,920
Interest on Loans Receivable	224,603
Other Operating Receipts	20,565,905
Payments to Employees	(256,261,227)
Payments to Suppliers for Goods and Services	(110,795,337)
Payments for Scholarships and Fellowships	(18,756,833)
Net Loans Issued to Students	(50,498)
<b>Net Cash Used by Operating Activities</b>	<u>(142,156,531)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>	
State Appropriations	166,595,904
Operating Subsidies and Transfers	349,090
Funds Held for Others	(1,366,330)
Other Expenses	(712,714)
<b>Net Cash Provided by Noncapital Financing Activities</b>	<u>164,865,950</u>
<b>CASH FLOWS FROM CAPITAL AND RELATED FINANCING</b>	
Capital Grants and Contracts	2,049,910
Capital Appropriations	29,322,116
Capital Subsidies and Transfers	(7,850,971)
Other Receipts for Capital Projects	179,182
Purchases of Capital Assets	(70,808,324)
Principal Paid on Capital Debt and Leases	(6,403,703)
Interest Paid on Capital Debt and Leases	(5,774,028)
<b>Net Cash Used by Capital and Related Financing Activities</b>	<u>(59,285,818)</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>	
Purchases of Investments	(80,914,949)
Sales of Investments	68,371,213
Investment Income	8,407,034
<b>Net Cash Used by Investing Activities</b>	<u>(4,136,702)</u>
<b>Net Decrease in Cash and Cash Equivalents</b>	(40,713,101)
Cash and Cash Equivalents, Beginning of Year	<u>53,715,608</u>
<b>Cash and Cash Equivalents, End of Year</b>	<u><u>\$ 13,002,507</u></u>

**FLORIDA INTERNATIONAL UNIVERSITY  
A COMPONENT UNIT OF THE STATE OF FLORIDA  
STATEMENT OF CASH FLOWS (Continued)  
For the Fiscal Year Ended June 30, 2004**

	<u>University</u>
<b>RECONCILIATION OF NET OPERATING REVENUES</b>	
Operating Loss	\$(173,448,596)
Operating Activities	
Depreciation Expense	29,624,685
Changes in Assets and Liabilities:	
Receivables, Net	(5,354,409)
Inventories	(286,572)
Loans and Notes Receivable, Net	(50,498)
Other Assets	(79,365)
Accounts Payable	1,833,763
Salaries and Wages Payable	4,520,819
Deposits Payable	(46,826)
Compensated Absences	1,130,468
<b>NET CASH USED BY OPERATING ACTIVITIES</b>	<u><u>\$(142,156,531)</u></u>

**SUPPLEMENTAL DISCLOSURE OF NONCASH CAPITAL  
FINANCING ACTIVITIES**

The University acquired data processing equipment totaling \$9,248,513 through capital leases. The University received, as a donation, title to a building and land valued at \$4.1 million.

The accompanying notes to the financial statements are an integral part of this statement.

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2004**

**1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The significant accounting policies followed by the Florida International University are described below to enhance the usefulness of the financial statements.

**Reporting Entity.** The University is a separate public instrumentality that is part of a State university system of public universities. A constitutional amendment effective January 7, 2003, created a board of governors to be responsible for the management of the State university system. A separate board of trustees shall administer each public university.

The University Board of Trustees (Trustees) consists of thirteen members. The Governor appoints six citizen members and the Board of Governors appoints five citizen members. These members are confirmed by the Florida Senate and serve staggered terms of five years. The chair of the faculty senate and the president of the student body of the University also are members. The Board of Governors establishes the powers and duties of the Trustees. The Trustees are responsible for setting policies for the University, which provides governance in accordance with Florida law, State Board of Education rules, and the Board of Governors. The Trustees select the University President and the State Board of Education must ratify the candidate selected. The University President serves as the executive officer and the corporate secretary of the Trustees and is responsible for administering the policies prescribed by the Trustees for the University.

Criteria for defining the reporting entity are identified and described in the Governmental Accounting Standards Board's (GASB) *Codification of Governmental Accounting and Financial Reporting Standards*, Sections 2100 and 2600. Application of these criteria determines potential component units for which the primary government is financially accountable and other organizations for which the nature and significance of their relationship with the primary government are such that exclusion would cause the primary government's financial statements to be misleading or incomplete. Based on the application of these criteria, the University is a component unit of the State of Florida and its financial activity is reported in the State's Comprehensive Annual Financial Report by discrete presentation.

**Discretely Presented Component Unit.** Based on the application of the criteria for determining component units, the Florida International University Foundation, Inc., is included within the University's reporting entity as a discretely presented component unit. The University further categorizes this component unit as a direct-support organization.

**Direct-Support Organization.** The University's direct-support organization, as provided for in Section 1004.28, Florida Statutes, and State Board of Education Rule 6C-9.011, Florida Administrative Code, is considered a

**FLORIDA INTERNATIONAL UNIVERSITY  
A COMPONENT UNIT OF THE STATE OF FLORIDA  
NOTES TO FINANCIAL STATEMENTS (Continued)  
June 30, 2004**

component unit of the University and therefore the latest audited financial statements of this organization is included in the financial statements of the University by discrete presentation. This is a separate, not-for-profit corporation organized and operated exclusively to assist the University to achieve excellence by providing supplemental resources from private gifts and bequests, and valuable education support services. The Statute authorizes this organization to receive, hold, invest and administer property and to make expenditures to or for the benefit of the University. The purpose of Florida International University Foundation, Inc., is to encourage, solicit, receive and administer gifts and bequests of property and funds for the advancement of Florida International University. An annual audit of the organization's financial statements is conducted by independent certified public accountants. The annual report is submitted to the Auditor General and the University Board of Trustees. Additional information on the University's component unit, including copies of audit reports, is available by contacting the University Controller's Office.

**Basis of Presentation.** The University's accounting policies conform to generally accepted accounting principles applicable to public colleges and universities as prescribed by the Governmental Accounting Standards Board (GASB). The National Association of College and University Business Officers (NACUBO) also provides the University with recommendations prescribed in accordance with generally accepted accounting principles promulgated by GASB and the Financial Accounting Standards Board (FASB).

In November 1999, the GASB issued Statement No. 35, *Basic Financial Statements and Management's Discussion and Analysis for Public Colleges and Universities*. This Statement includes public colleges and universities within the financial reporting guidelines of GASB Statement No. 34, *Basic Financial Statements and Management's Discussion and Analysis for State and Local Governments*. GASB Statement No. 35 allows public colleges and universities the option of reporting as a special-purpose government engaged in only business-type activities, engaged in only governmental activities, or engaged in both governmental and business-type activities. The University has elected to report as an entity engaged in only business-type activities. This election requires the adoption of the accrual basis of accounting and entity-wide reporting including the following components:

- Management's Discussion and Analysis
- Basic Financial Statements:
  - Statement of Net Assets
  - Statement of Revenues, Expenses, and Changes in Net Assets



**FLORIDA INTERNATIONAL UNIVERSITY  
A COMPONENT UNIT OF THE STATE OF FLORIDA  
NOTES TO FINANCIAL STATEMENTS (Continued)  
June 30, 2004**

- Statement of Cash Flows
- Notes to Financial Statements

The University is a component unit of the State of Florida for financial reporting purposes. The financial balances and activities included in these financial statements are, therefore, also included in the State's Comprehensive Annual Financial Report.

**Basis of Accounting.** Basis of accounting refers to when revenues, expenses, and related assets and liabilities are recognized in the accounts and reported in the financial statements. Specifically, it relates to the timing of the measurements made, regardless of the measurement focus applied. The University's financial statements are presented using the economic resources measurement focus and the accrual basis of accounting. Revenues, expenses, gains, losses, assets, and liabilities resulting from exchange and exchange-like transactions are recognized when the exchange takes place. Revenues, expenses, gains, losses, assets, and liabilities resulting from nonexchange activities are generally recognized when all applicable eligibility requirements, including time requirements, are met.

Interdepartmental transactions of auxiliary service departments have been accounted for as reductions of expenses and not revenues of those departments.

The University's principal operating activities consist of instruction, research and public service. Operating revenues and expenses generally include all fiscal transactions directly related to these activities plus administration, operation and maintenance of plant assets, and depreciation on capital assets. Nonoperating revenues include State appropriations, investment income, and funding for capital construction projects. Interest on asset-related debts is a nonoperating expense.

The University follows FASB statements and interpretations issued on or before November 30, 1989, Accounting Principles Board Opinions, and Accounting Research Bulletins, unless those pronouncements conflict with GASB pronouncements.

The statement of net assets is presented in a classified format to distinguish between current and noncurrent assets and liabilities. When both restricted and unrestricted resources are available to fund certain programs, grants, etc., it is the University's policy to first apply the restricted resources to such programs followed by the use of the unrestricted resources.

The statement of revenues, expenses, and changes in net assets is presented by major sources and is reported net of tuition discounts and scholarship allowances. Tuition scholarship discounts and allowances are the differences between the stated charge for goods and services provided by the University and the amount that

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**NOTES TO FINANCIAL STATEMENTS (Continued)**  
**June 30, 2004**

is actually paid by the student or third party making payment on behalf of the student. The University applied "The Alternate Method" as prescribed in NACUBO Advisory Report 2000-05 to determine the net tuition discounts and allowances reported in the statement of revenues, expenses, and changes in net assets. Under this method, the University computes these amounts by allocating the cash payments to students, excluding payments for services, on a ratio of total aid to the aid not considered to be third-party aid.

The statement of cash flows is presented using the direct method and is in compliance with GASB Statement No. 9, *Reporting Cash Flow for Proprietary and Nonexpendable Trust Funds*.

**Capital Assets.** University capital assets consist of land, buildings, infrastructure and other improvements, furniture and equipment, property under capital leases, library resources, works of art and historical treasures, construction in progress, and other capital assets. These assets are capitalized and recorded at cost at the date of acquisition or at appraised value at the date received in the case of gifts or purchases of State surplus property. Additions, improvements, and other outlays that significantly extend the useful life of an asset are capitalized. Other costs incurred for repairs and maintenance are expensed as incurred. The University has a capitalization threshold of \$1,000 for all movable equipment items. Depreciation is computed on the straight-line basis over the estimated useful life of the related assets.

The following ranges of estimated useful lives were used to determine depreciation expense:

- Buildings and Improvements – 20 to 50 Years, Depending on Construction
- Infrastructure and Other Improvements – 15 Years
- Furniture and Equipment:
  - Equipment (Nonoffice) – 10 to 20 Years
  - Computer Equipment – 3 to 7 Years
  - Moveable Equipment – 3 to 20 Years
- Library Resources – 10 Years
- Property Under Capital Leases – 5 Years

## **2. CASH AND CASH EQUIVALENTS**

The amount reported as cash and cash equivalents consists of cash on hand, cash in demand accounts, and cash held in the State Board of Administration and State Treasury. Cash in demand accounts are held in banks qualified as a public depository in accordance with the provisions of Chapter 280, Florida Statutes. All such accounts are insured by Federal depository insurance, up to specified limits, or collateralized with

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**NOTES TO FINANCIAL STATEMENTS (Continued)**  
**June 30, 2004**

securities held in Florida's multiple financial institution collateral pool required by Chapter 280, Florida Statutes. Cash and cash equivalents that are externally restricted to make debt service payments, maintain sinking or reserve funds, and to purchase or construct capital or other restricted assets are classified as restricted.

### **3. INVESTMENTS**

The University participates in investment pools through the State Treasury and the State Board of Administration in accordance with the provisions of Sections 17.61 and 215.49, Florida Statutes. The investments conform with the guidelines established by Section 215.47, Florida Statutes, and are reported at market value of \$145,201,101.

Generally accepted accounting principles require the classification of credit risk of investments into the following three categories:

- Risk Category 1 – Insured or registered, or securities held by the entity or its agent in the entity's name.
- Risk Category 2 – Uninsured and unregistered, with securities held by the counterparty's trust department or agent in the entity's name.
- Risk Category 3 – Uninsured and unregistered, with securities held by the counterparty or by its trust department or agent but not in the entity's name.

University investments in investment pools managed by the State Treasury and the State Board of Administration cannot be categorized because the University's investments are not evidenced by specific, identifiable investment securities.

Under the State Treasury's authority to purchase and sell securities, it has entered into securities lending and reverse repurchase agreements. A securities lending agreement is a loan of securities for collateral with a simultaneous agreement to return the collateral for the same securities in the future. A reverse repurchase agreement is a sale of securities with a simultaneous agreement to repurchase them in the future at the same price plus a contract rate of interest. As required by generally accepted accounting principles, the University has reported investments and an offsetting current liability of \$28,655,725 in order to account for these transactions. Required note disclosures for these agreements are reported in the State's Comprehensive Annual Financial Report.

Investments held by the University's component unit included equity, debt, Federal agency securities, limited partnerships, and mutual funds. These investments are presented on the financial statements at fair value of \$69,393,739, and are not classified as to risk category.

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**NOTES TO FINANCIAL STATEMENTS (Continued)**  
**June 30, 2004**

**4. RECEIVABLES**

**Accounts Receivable.** Accounts receivable reported in the statement of net assets represent amounts for student fees and various student services provided by the University, various auxiliary services provided to students and third parties, grant reimbursements from third parties, and interest accrued on investments. Accounts receivable are reported net of an allowance of \$6,674,682.

**Loans and Notes Receivable.** Loans and notes receivable represent all amounts owed on promissory notes from debtors, including student loans made under the Federal Perkins Loan Program and other loan programs. Loans and notes receivable are reported net of an allowance for uncollectible loans and notes of \$1,202,968.

**Allowances for Uncollectible Receivables.** The University provides allowances for uncollectible accounts and loans and notes receivable based upon management's best estimate of uncollectible accounts and notes at fiscal year-end, considering type, age, collection history of receivables, and any other factors as considered appropriate.

**5. DUE FROM STATE**

This receivable includes \$77,434,917 of Public Education Capital Outlay allocations for construction of University facilities.

**6. INVENTORIES**

Inventories have been categorized into the following two types:

- Departmental Inventories – Those inventories maintained by departments and not available for resale. Departmental inventories are comprised of such items as classroom and laboratory supplies, teaching materials, and office supply items, which are consumed in the teaching and work process. These inventories are normally expensed when purchased and, therefore, are not reported on the statement of net assets.
- Merchandise Inventories – Those inventories maintained which are available for resale to individuals and other University departments, and are not expensed at the time of purchase. These inventories are reported on the statement of net assets, and are valued at cost using either the average cost method or the last invoice cost, which approximates the first-in, first-out method of inventory valuation.

**7. CAPITAL ASSETS**

The activity of the University's major classes of capital assets for the 2003-04 fiscal year is presented in the following table:

**FLORIDA INTERNATIONAL UNIVERSITY**  
**A COMPONENT UNIT OF THE STATE OF FLORIDA**  
**NOTES TO FINANCIAL STATEMENTS (Continued)**  
**June 30, 2004**

Description	Beginning Balance	Additions	Deletions	Ending Balance
Nondepreciable Capital Assets:				
Land	\$ 26,652,805	\$ 1,750,000	\$	\$ 28,402,805
Construction in Progress	8,241,808	51,256,271	7,780,662	51,717,417
Works of Art and Historical Treasures	2,324,081	329,901		2,653,982
<b>Total Nondepreciable Capital Assets</b>	<b>37,218,694</b>	<b>53,336,172</b>	<b>7,780,662</b>	<b>82,774,204</b>
Depreciable Capital Assets				
Buildings	358,765,758	11,022,662		369,788,420
Infrastructure and Other Improvements	10,063,920			10,063,920
Furniture and Equipment	108,344,355	12,293,616	7,435,081	113,202,890
Property Under Capital Leases		9,248,513		9,248,513
Library Resources	66,784,172	4,939,869	7,397	71,716,644
Other Capital Assets	1,522,886	193,916	17,493	1,699,309
<b>Total Depreciable Capital Assets</b>	<b>545,481,091</b>	<b>37,698,576</b>	<b>7,459,971</b>	<b>575,719,696</b>
Less, Accumulated Depreciation:				
Buildings	81,998,724	7,211,805		89,210,529
Infrastructure and Other Improvements	7,226,078	670,928		7,897,006
Furniture and Equipment	73,128,227	13,158,658	6,638,023	79,648,862
Property Under Capital Leases		3,702,540		3,702,540
Library Resources	20,964,604	4,027,604		24,992,208
Other Capital Assets	1,057,493	200,375	3,199	1,254,669
<b>Total Accumulated Depreciation</b>	<b>184,375,126</b>	<b>28,971,910</b>	<b>6,641,222</b>	<b>206,705,814</b>
<b>Total Depreciable Capital Assets, Net</b>	<b>361,105,965</b>	<b>8,726,666</b>	<b>818,749</b>	<b>369,013,882</b>
<b>Total Capital Assets, Net</b>	<b>\$ 398,324,659</b>	<b>\$ 62,062,838</b>	<b>\$ 8,599,411</b>	<b>\$ 451,788,086</b>

Depreciation expense reported on the statement of revenues, expenses, and changes in net assets includes net losses on disposition of capital assets and other minor adjustments totaling \$652,775.

## 8. DUE TO FEDERAL GOVERNMENT

The University's Hemispheric Center for Environmental Technology (HCET) was the subject of four Federal audits and investigations, all related to HCET's administration of the United States Department of Energy grants and other awards during the period of approximately 1995-2003. The audits were conducted by the Office of Audit Services of the Office of Inspector General, Department of Health and Human Services. The University Board of Trustees approved a settlement on February 10, 2005, between the University and the Federal Government whereby all audit claims were settled and the University agreed to pay \$11.5 million to the Federal Government. The University contends in the settlement that its conduct was appropriate under its approved policies, applicable law and regulation, and the terms of its sponsored agreements. The settlement amount of \$11.5 million is reported as a due to Federal government and a

**FLORIDA INTERNATIONAL UNIVERSITY  
A COMPONENT UNIT OF THE STATE OF FLORIDA  
NOTES TO FINANCIAL STATEMENTS (Continued)  
June 30, 2004**

nonoperating expense on the financial statements. The University paid \$2 million to the Federal government on February 14, 2005. The remaining unpaid balance of the settlement amount, \$9.5 million, shall accrue simple interest at the Federal funds rate from the date of the settlement agreement until the settlement amount is fully paid. The entire settlement amount, plus any interest accrued on the remaining balance, shall be paid in full no later than July 1, 2005. According to University management, the settlement leaves intact the University's favorable standing as a recipient of Federal research funds.

**9. DEFERRED REVENUES**

Deferred revenues include amounts received prior to the end of the fiscal year but related to subsequent accounting periods. As of June 30, 2004, the University reported \$59,358,667 of deferred revenues relating to Public Education Capital Outlay allocations.

**10. LONG-TERM LIABILITIES**

Long-term liabilities of the University include bonds and revenue certificates, notes, capital leases, and compensated absences.

The following table presents the University's long-term liabilities activity for the fiscal year ended June 30, 2004:

Description	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Bonds and Revenue Certificates Payable	\$ 96,133,030	\$	\$ 3,375,084	\$ 92,757,946	\$ 3,519,518
Notes Payable	21,825,232		1,070,944	20,754,288	1,170,943
Capital Leases Payable		7,042,166	1,911,605	5,130,561	2,102,537
Compensated Absences Liability	22,676,810	3,297,986	2,167,518	23,807,278	1,136,401
<b>Total Long-Term Liabilities</b>	<b>\$ 140,635,072</b>	<b>\$ 10,340,152</b>	<b>\$ 8,525,151</b>	<b>\$ 142,450,073</b>	<b>\$ 7,929,399</b>

**Bonds and Revenue Certificates Payable.** Bonds and revenue certificates were issued to construct University facilities, including parking garages, student housing, and academic and student service facilities. Bonds and revenue certificates outstanding, which include both term and serial bonds, are secured by a pledge of housing rental revenues, traffic and parking fees, and various student fee assessments. The building fee and capital improvement fee, collected as a part of tuition and remitted to the State Board of Education, is used to retire the revenue certificates for the academic and student service facilities.

A summary of pertinent information related to the University's bond indebtedness is presented in the following table:

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Type and Series	Amount of Original Issue	Amount Outstanding	Interest Rate (Percent)	Annual Maturity To
Student Housing and Parking:				
1995	\$ 7,780,000	\$ 5,538,320	4.70 - 5.375	2016
1998	26,525,000	24,410,997	4.30 - 6.30	2028
1999	7,530,000	6,376,962	4.40 - 5.625	2019
2000	14,605,000	13,712,527	4.40 - 5.75	2025
2002	22,915,000	21,724,014	2.60 - 4.60	2022
Academic and Student Services Facilities:				
1997	2,936,719	2,353,972	5.00 - 5.60	2022
1997A	4,360,924	4,029,600	4.25 - 5.00	2016
1998	5,643,367	4,726,955	4.00 - 5.00	2023
2001	5,566,922	5,162,932	4.00 - 5.00	2026
2003A	5,049,124	4,721,667	4.00 - 5.00	2013
<b>Total Bonds and Revenue Certificates Payable</b>	<b>\$ 102,912,056</b>	<b>\$ 92,757,946</b>		

Principal and interest requirements on the bonded debt outstanding as of June 30, 2004, are presented in the following table:

Fiscal Year Ending June 30	Principal	Interest	Total
2005	\$ 3,544,542	\$ 4,343,426	\$ 7,887,968
2006	3,697,052	4,186,015	7,883,067
2007	3,866,725	4,024,595	7,891,320
2008	4,031,573	3,852,613	7,884,186
2009	4,218,713	3,672,658	7,891,371
2010-2014	23,543,051	15,395,070	38,938,121
2015-2019	23,549,059	9,759,672	33,308,731
2020-2024	19,073,429	4,383,048	23,456,477
2025-2028	7,982,997	820,164	8,803,161
<b>Subtotal</b>	<b>93,507,141</b>	<b>50,437,261</b>	<b>143,944,402</b>
Bond Discounts	(1,015,606)		(1,015,606)
Bond Premium	436,510		436,510
Deferred Loss	(170,099)		(170,099)
<b>Total</b>	<b>\$ 92,757,946</b>	<b>\$ 50,437,261</b>	<b>\$ 143,195,207</b>

**Notes Payable - University.** During the 1993-94 fiscal year, the Dade County Educational Facilities Authority issued Dade County Educational Facilities Authority Revenue and Revenue Refunding Bonds, Series 1993, (Florida International University Project) in the amount of \$29,345,000. Proceeds from the sale of the bonds were loaned to the University under a loan agreement, dated October 15, 1993, and used with other moneys available to: (1) current refund, defease, and redeem the outstanding Dade County

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Educational Facilities Authority Dormitory Bonds, Series 1984; (2) advance refund and defease the outstanding Dade County Educational Facilities Authority Revenue Bonds, Series 1991; (3) reimburse the Florida International University Foundation, Inc., for an advance made in connection with the acquisition of the dormitories at the University Park campus; (4) acquire, construct and equip additional dormitories; and (5) pay certain expenses incurred in connection with the issuance of the Series 1993 Bonds. Pursuant to the loan agreement, the University makes loan payments to a Trustee in amounts sufficient to pay, when due, the principal and interest on the Dade County Educational Facilities Authority Revenue and Revenue Refunding, Series 1993.

Notes payable at June 30, 2004, consist of the following:

Type and Series	Amount of Original Issue	Amount Outstanding	Interest Rates (Percent)	Annual Maturity To
Student Housing and Parking: 1993	<u>\$ 29,345,000</u>	<u>\$ 20,754,288</u>	4.50 - 5.125	2017

Annual requirements to amortize the notes payable as of June 30, 2004, are shown in the following table:

Fiscal Year Ending June 30	Principal	Interest	Total
2005	\$ 1,195,000	\$ 1,022,610	\$ 2,217,610
2006	1,250,000	966,347	2,216,347
2007	1,310,000	905,533	2,215,533
2008	1,370,000	840,528	2,210,528
2009	1,440,000	770,962	2,210,962
2010-2014	8,370,000	2,645,200	11,015,200
2015-2017	<u>6,120,000</u>	<u>469,000</u>	<u>6,589,000</u>
<b>Subtotal</b>	21,055,000	7,620,180	28,675,180
Less, Unamortized Discount	<u>300,712</u>		<u>300,712</u>
<b>Total</b>	<u>\$ 20,754,288</u>	<u>\$ 7,620,180</u>	<u>\$ 28,374,468</u>

**Capital Leases Payable.** The University is acquiring data processing equipment totaling \$9,248,513 under capital leases.

Principal and interest requirements on the capital leases outstanding as of June 30, 2004, are presented in the following table:



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<u>Fiscal Year Ending June 30</u>	<u>Principal</u>	<u>Interest</u>	<u>Total</u>
2005	\$ 2,102,537	\$ 161,282	\$ 2,263,819
2006	1,841,357	90,492	1,931,849
2007	834,396	26,247	860,643
2008	352,271	4,282	356,553
<b>Total</b>	<b>\$ 5,130,561</b>	<b>\$ 282,303</b>	<b>\$ 5,412,864</b>

The stated interest rates range from 2.25 to 4.83 percent.

**Compensated Absences Liability.** Employees earn the right to be compensated during absences for annual leave (vacation) and sick leave earned pursuant to State Board of Education Rule 6C-5.920, Florida Administrative Code, and pursuant to bargaining agreements between the Florida Board of Education and the United Faculty of Florida. Leave earned is accrued to the credit of the employee, and records are kept on each employee's unpaid (unused) leave balance. GASB Statement No. 16 requires that the University accrue a liability in the statement of net assets for employees' vested right to receive compensation for future absences when certain conditions are met, whereas appropriations fund only the portion of accrued leave that is used or paid in the current fiscal year. Although the University expects the liability to be funded primarily from future appropriations, generally accepted accounting principles do not permit the recording of a receivable in anticipation of future appropriations. Consequently, the recording of the liability for compensated absences, without the corresponding recognition of such future resources, results in the appearance of a reduced ability to meet current obligations. At June 30, 2004, the total estimated liability for annual and sick leave, which includes the University's share of the Florida Retirement System and FICA contributions, was \$13,665,670 and \$10,141,608, respectively. The current portion of the compensated absences liability is based on actual payouts over the last three years, calculated as a percentage of those years' total compensated absences liability. The University's total net assets balance at June 30, 2004, of \$456,856,467 would have been \$480,663,745 had the liability for compensated absences not been applied against it.

#### **11. NOTES PAYABLE – COMPONENT UNIT**

On January 20, 2000, the Miami-Dade County Educational Facilities Authority (the "Authority") issued \$13,000,000 tax-exempt revenue bonds (Florida International University Foundation Project – Series 1999). These bonds are payable from and secured by a pledge of payments to be made to the Authority under a loan agreement dated December 1, 1999, between the Florida International University Foundation, Inc. and the Authority. The bonds will also be payable from an irrevocable letter of credit issued by a commercial

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bank which will expire on February 5, 2005. The Foundation will finance the payments to the Authority under the loan agreement with lease payments received from the University under an operating lease. Of the \$13,000,000 principal amount, \$6,500,000 are fixed term bonds issued at a fixed rate of 5.03 percent under a 10 year interest rate swap agreement with a commercial bank, and the remaining \$6,500,000 are variable term bonds issued at a variable rate, with final maturity of May 1, 2022. The bond proceeds are being used to acquire, construct and equip a multi-function support complex located on the University Park campus and to pay issuance costs. As of June 30, 2004, the outstanding principal balance due under this note payable was \$11,620,000.

On December 1, 1999, the Foundation entered into a letter of credit agreement with a commercial bank that permits the Foundation to borrow through February 15, 2005, up to \$13,000,000, bearing interest at the prime rate plus 2 percent. The Foundation must pay an annual commitment fee of 0.45 percent on the unused portion of the commitment. Borrowings under the financing agreement mature 90 days after the date of the borrowing.

Under the letter of credit agreement and loan agreement noted above, the Foundation is obligated under debt covenants.

The aggregate maturities of the notes payable, as of June 30, 2004, are shown in the following table:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2005	\$ 425,000
2006	450,000
2007	470,000
2008	495,000
2009	520,000
Thereafter	<u>9,260,000</u>
<b>Total</b>	<b><u>\$ 11,620,000</u></b>

## **12. OPERATING LEASE COMMITMENT – RELATED PARTY TRANSACTION**

On December 1, 1999, the former Board of Regents of the State University System of the State of Florida for and on behalf of the University entered into a ground lease agreement with the Florida International University Foundation, Inc. (Foundation). Under this agreement, the Foundation leases from the University the grounds on which a multi-function support complex facility was built on the University Park campus. The consideration required to be paid by the Foundation is \$10 annually. The ground lease will expire on December 31, 2024, or on the date the Foundation makes its final payment under a letter of credit agreement related to the financing of the facility. On December 1, 1999, the former Board of Regents on

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behalf of the University also entered into a 20 year operating lease agreement with the Foundation for the multi-function support complex facility. Under the terms of the operating lease, the University will pay the Foundation rent in the amount equal to all amounts due and payable by the Foundation under the letter of credit agreement, if any, and loan agreement related to the financing of the facility. The payments also include any costs of operating and maintaining the facility. The lease will terminate on the date on which all amounts due and owing by the Foundation under the letter of credit agreement and loan agreement are paid in full.

The facility under the above operating lease is not recorded as an asset on the statement of net assets; however, the operational lease payments are recorded as expenses in the statement of revenues, expenses, and changes in net assets when paid or incurred. The following schedule by years presents management's best estimate of future minimum rental payments for this noncancelable operating lease as of June 30, 2004:

<u>Fiscal Year Ending June 30</u>	<u>Amount</u>
2005	\$ 1,575,000
2006	1,575,000
2007	1,575,000
2008	1,638,000
2009	1,638,000
2010-2014	8,321,040
2015-2019	8,653,882
2020-2023	<u>5,314,983</u>
<b>Total Remaining Commitment</b>	<b><u><u>\$ 30,290,905</u></u></b>

### 13. FUNCTIONAL DISTRIBUTION OF OPERATING EXPENSES

The functional classification (instruction, research, etc.) is assigned to a department based on the nature of the activity, which represents the material portion of the activity attributable to the department. For example, activities of academic departments for which the primary departmental function is instruction may include some activities other than direct instruction such as research and public service. However, when the primary mission of the department consists of instructional program elements, all expenses of the department are reported under the instruction classification. The operating expenses on the statement of revenues, expenses, and changes in net assets are presented in the natural classifications. The following table presents those same expenses in functional classifications as recommended by NACUBO:

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Function	Amount
Instruction	\$ 104,385,593
Research	60,806,562
Public Service	6,438,615
Academic Support	56,982,082
Student Services	20,759,676
Institutional Support	50,561,814
Operations and Maintenance of Plant	23,902,375
Scholarships and Fellowships	21,078,364
Auxiliary Operations	47,971,166
Loan Operating Expenses	46,262
Depreciation	29,624,685
<b>Total Operating Expenses</b>	<b>\$ 422,557,194</b>

#### 14. CONSTRUCTION COMMITMENTS

A summary of major construction commitments (\$3 million or more) at June 30, 2004, is presented in the following table:

Project Name	Current Commitment	Expenses	Commitment Balance
Law School Building	\$ 31,774,112	\$ 893,083	\$ 30,881,029
Health and Life Sciences Expansion - Phase II	19,746,830	11,546,115	8,200,715
Graduate School of Business - Office/Classroom	18,094,823	378,618	17,716,205
Marine Biology Building - BBC Science/Classroom	13,100,000	597,490	12,502,510
Parking Garage IV	12,912,963	11,462,276	1,450,687
Parking Garage III	12,778,182	9,985,234	2,792,948
Art Museum	11,597,903	422,567	11,175,336
Recreation Center, Phase I	8,983,721	3,901,867	5,081,854
University Park Central Utility Plant	8,982,630	1,409,474	7,573,156
Graham Center Expansion	6,543,145	5,079,819	1,463,326
Wolfe University Center Expansion	3,666,872	170,133	3,496,739
<b>Total</b>	<b>\$ 148,181,181</b>	<b>\$ 45,846,676</b>	<b>\$ 102,334,505</b>

#### 15. RETIREMENT PLANS

**Florida Retirement System.** Most employees working in regularly established positions of the University are covered by the Florida Retirement System, a State-administered, cost-sharing, multiple-employer, public employee defined benefit retirement plan (Plan). Plan provisions are established by Chapters 121 and 122, Florida Statutes; Chapter 112, Part IV, Florida Statutes; Chapter 238, Florida Statutes; and Florida Retirement System Rules, Chapter 60S, Florida Administrative Code, wherein plan eligibility, contributions, and benefits are defined and described in detail. Participating employers include all State departments,

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counties, district school boards, universities and community colleges. Many municipalities and special districts have elected to be participating employers. Essentially, all regular employees of participating employers are eligible to enroll as members of the Plan.

The Florida Legislature has reduced the vesting period from 10 to 6 years of service. Any member employed in a regularly established position on July 1, 2001, with a total of 6 or more years of creditable service will be considered vested. Former members who are not employed with a participating Plan employer on July 1, 2001, must return to covered employment for one year to become eligible for the six-year vesting provision. An exception to this one-year requirement applies to former members who are within one year of vesting under the pre-2001 vesting requirements. These members will only be required to work the lesser of one year or the amount of time it would have taken to vest in their class of membership prior to July 1, 2001. All members are eligible for normal retirement benefits at age 62 or at any age after 30 years of service, which may include up to 4 years of credit for military service. The Plan also includes an early retirement provision, but imposes a penalty for each year a member retires before the specified retirement age. The Plan provides retirement, disability, and death benefits, and annual cost-of-living adjustments, as well as supplements for certain employees to cover social security benefits lost by virtue of retirement system membership.

A Deferred Retirement Option Program (DROP), subject to provisions of Section 121.091, Florida Statutes, permits employees eligible for normal retirement under the Plan to defer receipt of monthly retirement benefit payments while continuing employment with a Florida Retirement System employer. An employee may participate in the DROP for a period not to exceed 60 months after the participation election date. During DROP participation, the deferred monthly benefit accruing on behalf of the participant, plus interest compounded monthly, is held in the Florida Retirement System Trust Fund. Upon termination of employment, the participant receives the total DROP benefits and begins to receive previously determined retirement benefits.

The Plan's financial statements and other supplemental information are included in the State's Comprehensive Annual Financial Report, which is available from the Florida Department of Financial Services in Tallahassee, Florida. An annual report on the Plan, which includes its financial statements, required supplemental information, actuarial report, and other relevant information, is available from the Florida Department of Management Services, Division of Retirement in Tallahassee, Florida.

The State of Florida establishes contribution rates for Plan members. The following table presents the contribution rates for the employer during the 2003-04 fiscal year:

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Class or Plan	Percent of Gross Salary	
	Employee	Employer (A)
Florida Retirement System, Regular	0.00	7.39
Florida Retirement System, Senior Management Service	0.00	9.37
Florida Retirement System, Special Risk	0.00	18.53
Teachers' Retirement System, Plan E	6.25	11.35
Deferred Retirement Option Program - Applicable to Members from All of the Above Classes or Plans	0.00	9.11
Florida Retirement System, Reemployed Retiree	(B)	(B)

Notes: (A) Employer rates include 1.11 percent for the post-employment health insurance supplement and .10 percent for administrative costs of the Public Employee Optional Retirement Program.

(B) Contribution rates are dependent upon the retirement class in which reemployed.

The University's liability for participation in the Plan is limited to the payment of the required contribution at the rates and frequencies established by law on future payrolls of the University. The University's total contributions made to the Plan (none from employees) for fiscal years ended June 30, 2002, June 30, 2003, and June 30, 2004, totaled \$5,568,117, \$4,441,483, and \$5,412,463, respectively, which were equal to the required contributions for each fiscal year.

**State University System Optional Retirement Program.** Pursuant to Section 121.35, Florida Statutes, the Florida Legislature created an Optional Retirement Program (Program) for eligible State University System faculty and administrators. The Program, which became effective July 1, 1984, was expanded in 1988 to include the State University System Executive Service. The Program is designed to aid the university system in recruiting employees by offering more portability to those employees who are not expected to remain in the Florida Retirement System for six or more years.

The Program is a defined contribution plan, which provides full and immediate vesting of all contributions submitted to the participating companies on behalf of the participant. Employees in eligible positions can make an irrevocable election to participate in the Program rather than the Florida Retirement System, and purchase retirement and death benefits through contracts provided by certain insurance carriers. The employing university contributes on behalf of the participant an amount equal to 10.43 percent of the participant's gross monthly compensation. A small amount remains in the Optional Retirement Program Trust Fund for program administrative costs. The remaining contribution is invested in the company or companies selected by the participant to create a fund for the purchase of annuities at retirement. The participant may contribute by salary deduction an amount not to exceed the percentage contributed by the University to the participant's annuity account.

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There were 1,423 University participants during the 2003-04 fiscal year. Required contributions made to the Program totaled \$9,836,664, including \$3,752,358 from employee contributions.

**Public Employee Optional Retirement Program.** Pursuant to Section 121.4501, Florida Statutes, effective June 1, 2002, the Florida Legislature created a Public Employee Optional Retirement Program (PEORP), also known as the Florida Retirement System (FRS) Investment Program. The PEORP is a defined contribution plan, sponsored by the State of Florida, available as an option to the FRS, and is self-directed by the employee. University employees already participating in the State University System Optional Retirement Program or the DROP are not eligible to participate in this program. With each pay period, the University contributes a percentage (same as FRS Rate) of the participating employees' earnings to an annuity plan. Pension benefits are determined by the dollars in the account at the time of retirement.

There were 108 University participants during the 2003-04 fiscal year. Required contributions made to the PEORP totaled \$225,367.

**16. POST-EMPLOYMENT BENEFITS**

Pursuant to Section 112.363, Florida Statutes, the Florida Legislature established the Retiree Health Insurance Subsidy (HIS) to assist retirees of all State-administered retirement systems in paying health insurance costs. During the 2003-04 fiscal year, the HIS program was funded by required contributions consisting of 1.11 percent assessed against the payroll for all active employees covered in State-administered retirement systems. This assessment is included in the Florida Retirement System contribution rates presented in note 15.

Eligible retirees, spouses, or financial dependents under any State-administered retirement system must provide proof of health insurance coverage, which can include Medicare. During the 2003-04 fiscal year, participants received an extra \$5 per month for each year of creditable service completed at the time of retirement; however, no eligible retiree or beneficiary may receive a subsidy payment of more than \$150 or less than \$30. If contributions fail to provide full subsidy benefits to all participants, the subsidy payments may be reduced or canceled.

**17. RISK MANAGEMENT PROGRAMS**

**State Self-Insurance Fund.** In accordance with a program for central insurance purchases adopted by the Florida Cabinet in 1969, the Department of Management Services has authority to purchase insurance on behalf of all State agencies. This authority was granted with the enactment of Section 287.022, Florida Statutes. Other actions by the Legislature have resulted in the development of State self-insurance funds

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providing hazard insurance for property and casualty insurance for State employees workers' compensation, general liability, and fleet automotive liability. The University participates in these programs. Property losses in excess of \$2 million are commercially insured up to \$200 million per loss event. Payments on tort claims are limited to \$100,000 per person and \$200,000 per occurrence as set by Section 768.28, Florida Statutes. Calculations of premiums consider the cash needs of the program and the amount of risk exposure for each participant. There have been no significant reductions in insurance coverage from the prior year coverage. Settlements have not exceeded insurance coverage during the past three years.

University employees may obtain health care services through participation in the State's group health insurance plan or through membership in a health maintenance organization plan under contract with the State. The State's risk financing activities associated with State group health insurance, such as risk of loss related to medical and prescription drug claims, are administered through the State Employees Group Health Insurance Trust Fund. It is the practice of the State not to purchase commercial coverage for the risk of loss covered by this Fund. Additional information on the State's group health insurance plan, including the actuarial report, is available from the Florida Department of Management Services, Division of State Group Insurance in Tallahassee, Florida.

**18. CONTINGENT LIABILITIES**

The University is involved in several pending and threatened legal actions. The range of potential loss from all such claims and actions, as estimated by the University's attorney and management, should not materially affect future operations and the financial condition of the University.

**19. PRIOR PERIOD ADJUSTMENT – COMPONENT UNIT**

Adjustments to beginning net assets were reported only when amounts were considered material in accordance with Accounting Principles Board Opinions Nos. 9 and 20 and FASB Statement No. 16. All other nonmaterial adjustments were reported through current year operations. The following table summarizes the total adjustments to beginning net assets reported in the statement of revenues, expenses, and changes in net assets:

<u>Description</u>	<u>Amount</u>
To Decrease the Component Unit's Beginning Net Asset Balance for the Transfer of Title of the Wolfsonian Museum Building and Land to the Board of Trustees of Internal Improvement Trust Fund of Florida	<u>\$ (3,717,965)</u>



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**20. SEGMENT INFORMATION**

A segment is an identifiable activity (or grouping of activities), that has one or more bonds or other debt instruments outstanding, with a revenue stream pledged in support of that debt. In addition, the activity's revenues, expenses, gains and losses, assets, and liabilities are required to be accounted for separately. The requirement for separate reporting should be imposed by a third party (i.e., accounting and reporting set forth in bond indenture). The University reports two segments:

The housing facility provides on-campus living accommodations for students and the parking operations provides on-campus parking for faculty, staff, students, and visitors. The following is condensed financial information for the 2003-04 fiscal year for the segments:

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**Condensed Statement of Net Assets**

	<u>Housing</u>	<u>Parking</u>
<b>Assets</b>		
Current Assets	\$ 11,007,243	\$ 10,662,557
Capital Assets, Net	60,608,063	36,120,441
Other Noncurrent Assets	<u>1,631,289</u>	<u>2,543,529</u>
<b>Total Assets</b>	<u>73,246,595</u>	<u>49,326,527</u>
<b>Liabilities</b>		
Current Liabilities	5,154,970	4,393,843
Noncurrent Liabilities	<u>56,969,820</u>	<u>32,156,586</u>
<b>Total Liabilities</b>	<u>62,124,790</u>	<u>36,550,429</u>
<b>Net Assets</b>		
Restricted	2,195,482	173,669
Unrestricted	7,196,072	7,732,381
Invested in Capital Assets, Net of Related Debt	<u>1,730,251</u>	<u>4,870,048</u>
<b>Total Net Assets</b>	<u>\$ 11,121,805</u>	<u>\$ 12,776,098</u>

**Condensed Statement of Revenues, Expenses, and Changes in Net Assets**

	<u>Housing</u>	<u>Parking</u>
Operating Income:		
Housing Rental and Parking Fees	\$ 12,604,569	\$ 5,377,032
Depreciation Expenses	(1,384,224)	(438,245)
Other Operating Expenses	<u>(4,890,960)</u>	<u>(2,783,733)</u>
<b>Net Operating Income</b>	<u>6,329,385</u>	<u>2,155,054</u>
Nonoperating Revenues (Expenses):		
Investment Income	272,194	672,610
Other Nonoperating Revenues	2,685,846	10,885
Interest on Asset-Related Debt	(2,989,245)	(1,522,194)
Other Nonoperating Expenses	<u>(55,442)</u>	<u>(1,518,229)</u>
<b>Net Nonoperating Expenses</b>	<u>(86,647)</u>	<u>(2,356,928)</u>
<b>Income (Loss) Before Transfers-Out</b>	<u>6,242,738</u>	<u>(201,874)</u>
Transfers-Out	<u>(1,115,519)</u>	<u>(130,360)</u>
<b>Change in Net Assets</b>	<u>5,127,219</u>	<u>(332,234)</u>
Net Assets, Beginning of Year	<u>5,994,586</u>	<u>13,108,332</u>
<b>Net Assets, End of Year</b>	<u>\$ 11,121,805</u>	<u>\$ 12,776,098</u>

**Condensed Statement of Cash Flows**

	<u>Housing</u>	<u>Parking</u>
Net Cash Provided (Used) by:		
Operating Activities	\$ 7,759,757	\$ 2,315,678
Capital and Related Financing Activities	(3,629,868)	(25,625,738)
Investing Activities	<u>(7,175,855)</u>	<u>23,099,398</u>
<b>Net Decrease in Cash and Cash Equivalents</b>	<u>(3,045,966)</u>	<u>(210,662)</u>
Cash and Cash Equivalents, Beginning of Year	<u>3,140,966</u>	<u>249,962</u>
<b>Cash and Cash Equivalents, End of Year</b>	<u>\$ 95,000</u>	<u>\$ 39,300</u>



**AUDITOR GENERAL**  
**WILLIAM O. MONROE, CPA**



**STATE OF FLORIDA**  
**COMPLIANCE AND INTERNAL CONTROLS OVER**  
**FINANCIAL REPORTING AND FEDERAL AWARDS**

In Accordance With Government Auditing  
Standards and OMB Circular A-133

For the Fiscal Year Ended June 30, 2004

**STATE UNIVERSITIES AND COMMUNITY COLLEGES**  
**SUMMARY OF QUESTIONED COSTS**  
*For the Fiscal Year Ended June 30, 2004*

<b>Compliance Requirement/ Institutions</b>	<b>Total Questioned Costs</b>	<b>Questioned Costs Restored</b>	<b>Net Questioned Costs</b>
<b>Student Financial Assistance Cluster</b>			
<b>ELIGIBILITY - Finding No. FA 04-090/091</b>			
Overawards:			
University of West Florida	\$ 7,451	\$ 7,451	\$ -
St. Johns River Community College	20,512	20,512	-
<b>Total</b>	<b>27,963</b>	<b>27,963</b>	<b>-</b>
<b>CASH MANAGEMENT - Finding No. FA 04-092</b>			
Prohibition on Escheating of Title IV Funds:			
Florida Agricultural and Mechanical University	unknown		unknown
Florida Atlantic University	unknown		unknown
Florida International University	113,960	-	113,960
Florida State University	28,002	-	28,002
University of Central Florida	12,629	348	12,281
University of South Florida	18,530	-	18,530
University of West Florida	19,656	-	19,656
Broward Community College	7,373	-	7,373
Central Florida Community College	642	-	642
Edison College	2,510	-	2,510
Gulf Coast Community College	1,612	-	1,612
Hillsborough Community College	10,052	-	10,052
Lake-Sumter Community College	4,865	-	4,865
Manatee Community College	5,231	-	5,231
Miami Dade College	28,851	-	28,851
North Florida Community College	794	-	794
St. Petersburg College	4,834	-	4,834
Valencia Community College	2,784	-	2,784
<b>Total</b>	<b>262,325</b>	<b>348</b>	<b>261,977</b>
<b>CASH MANAGEMENT - Finding No. FA 04-096</b>			
FPL - Other Earnings			
Florida Agricultural and Mechanical University	6,984	-	6,984
<b>SPECIAL TESTS AND PROVISIONS - Finding No. FA 04-099</b>			
Return of Title IV HEA Funds (Official Withdrawals):			
Florida Agricultural and Mechanical University	2,987	-	2,987
Hillsborough Community College	628	-	628
Miami Dade College	1,389	1,389	-
St. Petersburg College	3,295	1,543	1,752
<b>Total</b>	<b>8,299</b>	<b>2,932</b>	<b>5,367</b>
<b>SPECIAL TESTS AND PROVISIONS - Finding No. FA 04-100</b>			
Return of Title IV HEA Funds (Unofficial Withdrawals):			
Florida Agricultural and Mechanical University	729	-	729
Florida Atlantic University	3,533	3,533	-
Florida State University	2,808	-	2,808
University of Central Florida	82	82	-
University of North Florida	3,180	3,180	-
University of West Florida	2,814	2,814	-
Central Florida Community College	3,050	3,050	-
Gulf Coast Community College	6,907	6,907	-
Hillsborough Community College	7,372	6,934	438
Lake-Sumter Community College	91	91	-
Miami Dade College	436	436	-
Polk Community College	3,232	3,232	-
Seminole Community College	565	-	565
<b>Total</b>	<b>34,799</b>	<b>30,259</b>	<b>4,540</b>
<b>SPECIAL TESTS AND PROVISIONS - Finding No. FA 04-101</b>			
Non Attendance:			
University of Central Florida	17,138	4,586	12,552
<b>Total (SFA)</b>	<b>\$ 357,508</b>	<b>\$ 66,088</b>	<b>\$ 291,420</b>

	and to ensure that proper due diligence is performed in an effort to get the funds in the hands of the student/parent.
<b>FAMU Contact and Telephone Number</b>	Dr. Castell V. Bryant, President (850) 599-3225
<b>Estimated Corrective Action Date</b>	April 30, 2005

#### **Florida Atlantic University (FAU)**

<b>Condition</b>	In April 2004, the institution escheated \$83,733, representing unclaimed net checks written in calendar year 2002 to the State as unclaimed property. The \$83,733 came from a listing of 366 unclaimed net checks that may or may not have included Title IV HEA funds. The institution had not identified the Title IV HEA funds prior to escheating the funds to the State. In November 2004, the institution began developing and implementing procedures to identify stale-dated Title IV HEA funds net checks and will return future Title IV HEA funds to the applicable Federal programs.
<b>Cause</b>	The institution was unaware of the regulation requiring the funds to be returned to Title IV HEA programs.
<b>Recommendation</b>	We recommend that the institution continue its efforts to implement procedures to identify stale-dated checks with Title IV HEA funds and return those funds to the Title IV HEA programs before the date the funds would otherwise escheat, or no later than the date a check to the student would cease to be negotiable (usually 180 days). We also recommend that the institution determine the amount of Title IV HEA funds included in the \$83,733 previously escheated and return the funds to the applicable Federal programs and lenders.
<b>FAU Response and Corrective Action Plan</b>	The University agrees with the finding and as of November 2004 has developed a policy relating to the return of Title IV funds to the applicable program.
<b>FAU Contact and Telephone Number</b>	Stacey Medeiros (561) 297-3102
<b>Estimated Corrective Action Date</b>	March 2005

#### **Florida International University (FIU)**

<b>Condition</b>	We reviewed the institution's procedures for returning Title IV HEA funds included in unclaimed net checks. Our review of unclaimed net checks for the fiscal year 2003-04, disclosed unclaimed net checks totaling \$113,960 (\$78,552 FFEL, \$692 FSEOG, and \$34,716 PELL).
<b>Cause</b>	The institution did not have adequate procedures to identify unnegotiated checks containing Title IV HEA funds and return the funds to the applicable Title IV HEA program.
<b>Recommendation</b>	We recommend that the institution enhance procedures to identify unnegotiated Title IV HEA credit balance checks and return those funds to the Title IV HEA programs before the date the funds would otherwise escheat, or no later than the date a check to the student would cease to be negotiable (usually 180 days). We also recommend that the institution return the above \$113,960 (\$78,552 FFEL, \$692 FSEOG, and \$34,716 PELL) to the applicable Federal programs and lenders.
<b>FIU Response and Corrective Action Plan</b>	The actions taken by the University as it pertains to your finding are as follows:  FFEL - \$21,002.80 were returned to the lenders to be credited to the students loan balances, \$57,549.05 were reissued to the students, out of which \$7,693.30 were applied outstanding receivables. Total amount \$78,551.85.

Pell Grant - \$10,122.28 were returned to the Pell account and \$24,594.21 were reissued to the students for a total of \$34,716.49.

FSEOG - The University reissued \$300 to the student per her request. The remaining \$392 were not returned to the FSEOG account because the University matched the SEOG funds with institutional funds. Therefore, these funds were awarded in excess of federal funds.

The institution will establish a process to identify any credit balance that remains on a student's account or is undelivered to the student. The University will make every effort to contact the student prior to the expiration date of the check. Otherwise, the funds will be returned to the FSA programs on behalf of the student. A process will be instituted to recognize these unclaimed funds before they cease to be negotiable (usually 180 days).

It is important to note that regulation #34 CFR 668 Subpart K, SFA Handbook Volume 2 Chapter (2003-04) refers to the procedures for the initial disbursement of funds to students. Based on the University's assessment this regulation does not appear to address the return of unclaimed checks. In addition, the Department of Education for the first time issued a policy relating to escheating on the 04-05 Financial Aid Handbook, Volume 4, Pg. 44.).

**FIU Contact and  
Telephone Number**

Ana R. Sarasti, Director of Financial Aid  
(305) 348-2333, Suncom 441-2333

**Estimated Corrective  
Action Date**

New procedures will be in effect for the 04-05 academic year.

**Florida State University (FSU)**

**Condition**

We reviewed the March 2004 Agency Fund outstanding check list for net checks payable to students on or before September 30, 2003. Of the 106 net checks listed in this period, we determined that 45 net checks in the amount of \$28,002 (\$963 PELL, \$11,084 FFEL subsidized, \$15,594 FFEL unsubsidized, \$361 FPL) were Title IV HEA funds which should have been returned to the Federal programs as noted above.

**Cause**

The institution does not have procedures to return unnegotiated net checks to the applicable Title IV HEA programs.

**Recommendation**

We recommend that the institution establish procedures to return unnegotiated Title IV HEA net checks to the Title IV HEA programs before the date the funds would otherwise escheat, or no later than the date a check to the student would cease to be negotiable (usually 180 days). We also recommend that the institution return the \$28,002 (\$963 PELL, \$11,084 FFEL subsidized, \$15,594 FFEL unsubsidized, \$361 FPL) to the applicable Federal program accounts and lenders.

**FSU Response and  
Corrective Action Plan**

Florida State University is in the process of developing procedures to return Title IV funds from unnegotiated net checks to the appropriate Title IV programs. The university will return all or a portion of the \$28,002 identified in the audit finding once the university completes its review of student accounts and agrees the amounts identified in the audit finding are correct.

**FSU Contact and  
Telephone Number**

Darryl Marshall, Director, Florida State University, Office of Financial Aid,  
4400-A University Center, Tallahassee, FL 32306

**Estimated Corrective  
Action Date**

September, 2005

**University of Central Florida (UCF)**

**Condition**

The institution transfers unnegotiated checks that are greater than six months (180 days) old into an unclaimed property account. However, the institution had

**STATE UNIVERSITIES AND COMMUNITY COLLEGES  
SUMMARY OF QUESTIONED COSTS  
For the Fiscal Year Ended June 30, 2004**

Compliance Requirement/ Institutions	Total Questioned Costs
<b><u>Research and Development Cluster (R&amp;D)</u></b>	
<b><u>ALLOWABLE COSTS/COST PRINCIPLES - Finding Nos. FA 04-107, 108, 114/115</u></b>	
Florida Agricultural and Mechanical University	\$ 7,251
University of Central Florida	1,676,400
University of South Florida	178,616
University of West Florida	14,820
<b>Total</b>	<b><u>1,877,087</u></b>
 <b><u>MATCHING, LOE, and/or EARMARKING - Finding Nos. FA 04-117/120</u></b>	
Florida Atlantic University	52,871
Florida International University	unknown
University of Central Florida	718,445
University of North Florida	65,932
<b>Total</b>	<b><u>837,248</u></b>
 <b><u>DISCLOSURES - Finding Nos. FA 04-108/109</u></b>	
Federal Investigation:	
University of Central Florida (USDOJ)	<u>909,534</u>
 <b>Total (R&amp;D)</b>	 <b><u>\$ 3,623,869</u></b>
 <b><u>Cooperative Extension Services (CFDA No. 10.500)</u></b>	
<b><u>ALLOWABLE COSTS/COST PRINCIPLES - Finding No. FA 04-001</u></b>	
Florida Agricultural and Mechanical University	<u>\$ 15,843</u>
 <b><u>Adult Education (CFDA No. 84.022)</u></b>	
<b><u>ALLOWABLE COSTS/COST PRINCIPLES - Finding No. FA 04-023</u></b>	
Daytona Beach Community College	<u>\$ 195,534</u>
 <b><u>Vocational Education (CFDA No. 84.048)</u></b>	
<b><u>ALLOWABLE COSTS/COST PRINCIPLES - Finding Nos. FA 04-028/030</u></b>	
Broward Community College	\$ 119,652
Daytona Beach Community College	181,220
Miami Dade College	375,732
<b>Total</b>	<b><u>\$ 676,604</u></b>
 <b><u>Center for Disease Control and Prevention (CFDA No. 93.283)</u></b>	
<b><u>ALLOWABLE COSTS/COST PRINCIPLES - Finding Nos. FA 04-043/044</u></b>	
Florida Agricultural and Mechanical University	\$ 260,155
Tallahassee Community College	485,315
<b>Total</b>	<b><u>\$ 745,470</u></b>
 <b><u>State Children's Insurance Program, Social Services Block Grant, Maternal and Child Health Block Grant (CFDA Nos. 93.767, 93.667, and 93.994)</u></b>	
<b><u>ALLOWABLE COSTS/COST PRINCIPLES - Finding No. FA 04-068</u></b>	
University of Florida	<u>\$ 168,590</u>

## U.S. DEPARTMENT OF ENERGY

<b>Finding Number</b>	<b>FA 04-108</b>
<b>CFDA Number</b>	81.999
<b>Program Title</b>	<b>Research and Development Cluster (R&amp;D)</b> Hemispheric Center for Environmental Technology (HCET)
<b>Compliance Requirement</b>	Allowable Costs/Cost Principles
<b>State Educational Entity</b>	<b>Florida International University (FIU)</b>
<b>Federal Grant/ Contract Number and Grant Year</b>	1) USDOE Contract No. DE-FC04-90AL66158, FIU Subcontract No. OSP-90-10-668-020; October 1, 1991 – March 31, 2002 2) USDOE Contract No. DE-AC24-920R21972, FIU Subcontract No. 98WC001742; March 31, 1998 – September 30, 2002 3) USDOE Contract No. DE-AC24-920R21972, Clark Atlanta University Subcontract No. N2424320-30-T007, transferred to FIU, July 28, 1998 4) USDOE Contract No. DE-FG01-95EW55094; August 21, 1995 – to, as extended, November 20, 2000
<b>Finding Type</b>	Other \$11.5 million per USDHHS Audit Settlement Amount
<b>Finding</b>	<p>The United States Department of Health and Human Services (USDHHS), Office of Inspector General (OIG) conducted four audits of the HCET. The focus of the audits pertained to HCET's costs claimed for reimbursement as they related to selected task orders and subcontracts funded under four United States Department of Energy (USDOE) awards. Three of the audits, released during the 2001-02 fiscal year, indicated questioned costs totaling \$994,155, with an additional \$2,261,183 to be set aside for adjudication with USDOE, the granting agency.</p> <p>The USDHHS OIG completed the fieldwork for the fourth audit during the 2002-03 fiscal year. The USDHHS audit findings relating to this fourth audit indicated that the institution may be responsible for questioned costs totaling \$12,350,362, with an additional \$21,156,569 to be set aside for adjudication with the USDOE.</p> <p>A final Settlement Agreement between the Federal government and the institution was signed February 10, 2005. The institution agreed to pay the Federal government \$11.5 million. Within four calendar days after signing the Agreement, the institution is to pay \$2 million, with the remaining balance (\$9.5 million) to accrue simple interest at the Federal Funds rate from the date of execution of the Agreement until the settlement amount is paid in full by July 1, 2005.</p>
<b>Condition</b>	The audits concerned various cost reimbursements of the HCET at the institution during 1991 through 2002. The institution settled on February 10, 2005, for \$11.5 million. Additionally, the institution waived its right to recover and will forego submission or resubmission of any other costs incurred and not already paid. These foregone costs total approximately \$1.7 million and some portion of another \$590,000.
<b>Effect</b>	USDOE required repayment of questioned costs totaling \$11.5 million with some additional charges foregone.
<b>Recommendation</b>	We recommend that the institution keep us apprised of payments made.
<b>FIU Response and Corrective Action Plan</b>	You recommended that FIU keep you apprised of any status changes that might occur as a result of the DHHS audits of HCET. On February 10, 2005, FIU resolved the four audits referenced in your report. Under the terms of the settlement, FIU agreed to return to the Government \$11.5 million of the over \$50 million of Federal funding received by HCET. FIU admitted no



wrongdoing or liability and will not be excluded from any Federal programs as a result of the HCET matter. FIU made the first required payment of \$2 million within the stipulated timeframe.

**FIU Contact and  
Telephone Number**

Aime Martinez, Associate Controller  
(305) 348-2679

**Estimated Corrective  
Action Date**

July 1, 2005

## U.S. DEPARTMENT OF ENERGY

<b>Finding Number</b>	<b>FA 04-118</b>
<b>CFDA Number</b>	81.999
<b>Program Title</b>	<b>Research and Development Cluster (R&amp;D)</b> Hemispheric Center For Environmental Technology (HCET)
<b>Compliance Requirement</b>	Matching, Level of Effort, and Earmarking
<b>State Educational Entity</b>	<b>Florida International University (FIU)</b>
<b>Federal Grant/Contract Number and Grant Year</b>	DE-FG01-03EW15334, November 21, 2000 – November 20, 2005
<b>Finding Type</b>	Material Noncompliance Questioned Costs – Unknown
<b>Finding</b>	The institution did not satisfy the required matching for HCET grant DE-FG01-03EW15334.
<b>Criteria</b>	OMB Circular A-110, Section C .23 and Section II – Special Terms and Conditions of the Grant Agreement
<b>Condition</b>	<p>The institution has an agreement to provide matching in the amount of \$11,756,763 during the life of the HCET grant DE-FG01-03EW15334. Based on our review of the award agreement and our analysis of the institution's matching requirements, the cumulative matching requirements as of June 30, 2004, were approximately \$8,120,771. According to the institution's Request for Advance or Reimbursement as of June 30, 2004, the non-Federal share of expenditures totaled \$5,993,702. However, the institution was unable to provide accounting records to support this amount. Therefore, the institution had not met the matching requirements as of June 30, 2004, by at least \$2,127,069. Of this amount, \$2,022,450 represents prior budget years' requirements and \$104,619 represents the current budget year's requirements.</p> <p>A similar finding was noted in report No. 2004-168, finding No. FA 03-92. The institution's response to the prior audit finding concurred with our recommendation to seek USDOE approval to prorate the matching. However, the institution has not yet obtained USDOE approval.</p>
<b>Cause</b>	The institution calculated their matching amount based on prorating the amount of expenditures between Federal and non-Federal monies. However, the award agreement specifies yearly matching amounts, not prorated amounts.
<b>Effect</b>	When matching requirements are not met, the institution may be subject to the disallowance of some Federal costs charged to the grant.
<b>Recommendation</b>	We again recommend that the institution provide the additional \$2,127,069 matching as required and specified in the award agreement, or obtain written approval from USDOE to prorate the matching expenditures. In addition, procedures should be enhanced to ensure that amounts reported as matching are supported in the accounting records.
<b>FIU Response and Corrective Action Plan</b>	<p>This tentative finding concludes that, as of June 30, 2004, FIU has not met its cost matching obligation under Department of Energy (DOE) Grant No. DE-FG01-03EW15334. This finding is essentially the same as that noted in Report No. 2004-168. As was the case with the previous finding, the current finding mischaracterizes FIU's cost matching obligation under the grant. FIU also disagrees with the Audit Report's tentative finding that it is currently in default of its cost matching obligation.</p> <p>1. Overview of FIU's Cost Matching Arrangement</p> <p>As FIU explained in its previous response, its cost matching obligation to DOE is a five-year obligation that is directly tied to the amount of funding that the</p>

University receives from DOE. Therefore, if the actual level of DOE funding FIU receives is less than the budgeted amount, FIU's cost matching obligation proportionally decreases. The reason for this proportional relationship is that there are several components of FIU's current cost matching arrangement with DOE that are directly tied to the amount of funding received.

First, FIU has agreed to waive a portion of the F&A recovery it would otherwise be entitled to receive with respect to direct charges to the grant. Second, FIU has pledged to place the F&A costs that it does recover into a "cost matching account" that will be used to further the grant's objectives and for HCET's infrastructure. Third, FIU has agreed to waive F&A costs for expenditures made from the cost matching account. Each of these elements of the current cost matching arrangement is directly tied to the amount of direct funding FIU receives from DOE and each necessarily decreases if the actual funding is less than the budgeted amount.

## 2. The Current Status of FIU's Cost Matching Obligation

Through June 30, 2004, the actual funding received from DOE was substantially below the budgeted amount. As we noted in our previous response, funding received through November 20, 2003—the end of grant Year 3—was approximately 17% below the budgeted amount. Moreover, DOE held Year 4 funding in abeyance during the period when FIU and the Government were negotiating a resolution to several Federal audits conducted by the Department of Health and Human Services (DHHS), one of which involved the first three years of the grant. DOE's decision in that regard resulted in a holdback of over \$7 million of budgeted support. Additionally, as part of the recent resolution of the DHHS audits, FIU agreed to return to the Government a portion of the support it received for costs incurred on the grant through November 20, 2003 and the Government agreed that the amount of the payback would be taken into account when calculating FIU's cost matching obligation under the grant. <sup>1</sup>

In summary, in addition to the 17% funding decrease through the first three years of the grant, FIU has not received Year 4 funding. As a result of those funding decreases, FIU has received approximately \$23 million of support from DOE through June 30, 2004. That amount was subject to a further downward adjustment as a result of FIU's recent resolution of the DHHS audits.

Based on an analysis that is still being finalized, FIU believes that its cost matching obligation through January 31, 2005 is approximately \$5 million, as opposed to the \$8.2 million referenced in the Audit Report. Moreover, based on the tentative results of its analysis, FIU believes that it has incurred eligible cost matching expenses in excess of its current obligation and that it is therefore not in default to DOE.

## 3. FIU's Current Discussions With DOE

Having resolved the DHHS audits, FIU has recently submitted an application to DOE for the grant's Year 5 program and associated funding. In that application, FIU proposed that DOE accept the cost matching generated to date in full settlement of FIU's obligation under the grant. FIU believes that its Year 5 funding discussions with DOE will resolve any outstanding issues concerning cost matching.

## 4. FIU's Accounting Procedures

With respect to your recommendation that FIU enhance its accounting procedures to ensure that amounts reported as cost matching are supported in accounting records, FIU has recently implemented several new policies and procedures intended to improve its financial management systems. FIU has informed DOE of these improvements, and has received a letter in return stating that FIU's improvements are consistent with DOE's view of a responsible financial

assistance recipient.

#### 5. Conclusion

FIU does not believe that it is currently in default of its cost matching obligation. FIU has also recently begun discussions with DOE on Year 5 funding. Those discussions will include the extent, if any, of FIU's remaining cost matching obligation under the grant.

Footnote 1: In and of itself, this agreement reflects the Government's acknowledgement that FIU's cost matching obligation is not a fixed amount but is instead directly related to the amount of support received.

**FIU Contact and  
Telephone Number**

Aime Martinez, Associate Controller  
(305) 348-2679

**Estimated Corrective  
Action Date**

Completed

## U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

<b>Finding Number</b>	<b>FA 04-123</b>
<b>CFDA Number</b>	93.375
<b>Program Title</b>	<b>Research and Development Cluster (R&amp;D)</b> Minority Biomedical Research Support (MBRS)
<b>Compliance Requirement</b>	Reporting
<b>State Educational Entity</b>	<b>Florida International University (FIU)</b>
<b>Federal Grant/Contract Number and Grant Year</b>	NIH 5 S06 GM08205-17, April 1, 2002 – March 31, 2003
<b>Finding Type</b>	Reportable Condition
<b>Finding</b>	The institution was unable to provide a complete final Financial Status Report (FSR) submitted to the National Institute of Health (NIH) with the related supporting documentation. Subsequent to our inquiries, the institution personnel provided us with a partial copy of the FSR that was received from the grantor at the institution's request.
<b>Criteria</b>	45 CFR 74.71 and Notice of Grant Award, Section III
<b>Condition</b>	The institution was awarded the Minority Biomedical Research Support (MBRS) grant by NIH for the April 1, 2002, through March 31, 2003, budget period, in the amount of \$1,241,403. The grant required that the recipient submit, within 90 calendar days after the completion of the contract, all financial, performance, and other reports as required by the terms and conditions of the grant. The grant was closed during the 2003-04 fiscal year, however, the institution was unable to provide a complete final Financial Status Report with the related supporting documentation for our review.
<b>Cause</b>	The institution could not locate and provide their copy of the final Financial Status Report with the related supporting documentation.
<b>Effect</b>	The institution was unable to provide documentation that the final close-out FSR was completed and submitted to the Federal grantor agency.
<b>Recommendation</b>	We recommend that the institution enhance their procedures to properly retain required grant documentation.
<b>FIU Response and Corrective Action Plan</b>	As required by the grant, a Financial Status Report (FSR) was prepared and submitted to the National Institute of Health (NIH) appropriately. At the time that this document was requested the office of the Minority Biomedical Research Support (MBRS) grant was in the process of moving physical locations. This circumstance created delays in providing the requested documentation. FIU is in process of revising and strengthening its Post Award Policies and Procedures along with its document filing process.
<b>FIU Contact and Telephone Number</b>	Charlie Tardivo, Acting Assoc Vice President for Research Administration (305) 348-4050
<b>Estimated Corrective Action Date</b>	July 1, 2005

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM**

**CURRENT FUNDS  
FINANCIAL STATEMENTS**

**JUNE 30, 2004 AND 2003**

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
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## INDEPENDENT AUDITORS' REPORT

Dr. Modesto Maidique, President  
Florida International University:

We have audited the accompanying special-purpose current funds statements of assets, liabilities and fund balance of the Florida International University Intercollegiate Athletics Program as of June 30, 2004 and 2003, and the related special-purpose current funds statements of revenues, expenditures and changes in fund balance and cash flows for the years then ended. These financial statements are the responsibility of the management of Florida International University and the Intercollegiate Athletics Program. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

The accompanying special-purpose current funds financial statements of the Florida International University Intercollegiate Athletics Program were prepared for the purpose of complying with Chancellor's Memorandum CM-H-02.00-08/96, under the authority of Rule 6C-9.012, Florida Administrative Code, as discussed in Note 1, and are not intended to be a presentation in conformity with accounting principles generally accepted in the United States of America.

In our opinion, the special-purpose financial statements referred to above present fairly, in all material respects, the assets and liabilities of the current funds of the Florida International University Intercollegiate Athletics Program as of June 30, 2004 and 2003, and the current funds revenue and expenditures and changes in fund balance and cash flows for the years then ended, on the basis of accounting described in Note 1.

In accordance with *Government Auditing Standards*, we have also issued our report dated November 4, 2004, on our consideration of Florida International University Intercollegiate Athletics Program's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grants. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be read in conjunction with this report in considering the results of our audit.



This report is intended solely for the information and use of the management of Florida International University, the Program, the Florida International University Board of Trustees, the State of Florida Board of Education, and the National Collegiate Athletic Association, and is not intended to be and should not be used by anyone other than these specified parties.

Gainesville, Florida  
November 4, 2004

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
CURRENT FUNDS  
STATEMENTS OF ASSETS, LIABILITIES AND FUND BALANCE  
JUNE 30, 2004 AND 2003**

	<u>2004</u>	<u>2003</u>
<b><u>ASSETS</u></b>		
Cash and cash equivalents	\$ 1,634,294	\$ 2,562,163
Accounts receivable, net	677,448	209,347
Accrued interest receivable	-	144,493
Due from the Florida International University Foundation, Inc.	774	38,554
Due from other funds	5,556	5,556
Prepaid expenses	8,440	2,560
<b>Total Assets</b>	<u><u>\$ 2,326,512</u></u>	<u><u>\$ 2,962,673</u></u>
<b><u>LIABILITIES AND FUND BALANCE</u></b>		
<b>Liabilities</b>		
Accounts payable and accrued expenses	\$ 127,498	\$ 132,651
Compensated absences liability	512,930	499,866
Deferred revenue	39,380	68,148
Due to other funds	65,120	21,573
Total current liabilities	<u>744,928</u>	<u>722,238</u>
<b>Fund balance</b>		
Unallocated	1,234,038	1,392,972
Reserved	<u>347,546</u>	<u>847,463</u>
Total fund balance	<u>1,581,584</u>	<u>2,240,435</u>
<b>Total Liabilities and Fund Balance</b>	<u><u>\$ 2,326,512</u></u>	<u><u>\$ 2,962,673</u></u>

The accompanying notes to financial statements  
are an integral part of these statements.

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
CURRENT FUNDS  
STATEMENTS OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCE  
FOR THE YEARS ENDED JUNE 30, 2004 AND 2003**

	<u>2004</u>	<u>2003</u>
<b>Revenues</b>		
Separate athletic and service fees	\$ 7,624,666	\$ 7,431,465
Educational and general appropriations	425,547	401,376
NCAA and Conference distributions	317,898	173,530
Athletic event tickets	273,166	370,512
Sales tax on athletic event tickets	13,180	23,026
Contributions	677,697	115,082
Game guarantee revenue	305,000	110,000
Interest	49,079	134,088
General scholarship support from Florida International University	200,000	200,000
Out-of-state fee waivers	419,070	350,371
Other	333,030	171,911
Total revenues	<u>10,638,333</u>	<u>9,481,361</u>
<b>Expenditures</b>		
Salaries and benefits	3,369,699	3,007,733
Other personnel services	537,870	625,126
Independent contractors	388,618	451,168
Game officials	232,725	139,971
Out-of-state fee waivers	419,070	350,371
Scholarships	2,397,251	2,262,305
Team and recruiting travel	1,157,582	976,578
Other travel	63,992	112,937
Game guarantee expense	269,742	348,784
Telephone and utilities	299,195	325,526
Repairs and maintenance	102,551	167,892
Facilities and equipment rent	166,081	235,630
Florida International University overhead	316,470	324,917
Player supplies	440,320	484,962
Printing	151,402	151,393
Insurance	142,574	120,056
Conference membership and dues	95,000	80,000
Capital expenditures	351,393	104,358
Other expenditures	395,649	413,081
Total expenditures	<u>11,297,184</u>	<u>10,682,788</u>
<b>Deficiency of revenues under expenditures</b>	<u>(658,851)</u>	<u>(1,201,427)</u>
<b>Fund balance, beginning of year</b>	2,240,435	3,441,862
<b>Fund balance, end of year</b>	<u><u>\$ 1,581,584</u></u>	<u><u>\$ 2,240,435</u></u>

The accompanying notes to financial statements  
are an integral part of these statements.

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
CURRENT FUNDS  
STATEMENTS OF CASH FLOWS  
FOR THE YEARS ENDED JUNE 30, 2004 AND 2003  
Increase (Decrease) in Cash and Cash Equivalents**

	<u>2004</u>	<u>2003</u>
<b>Cash flows from operating activities</b>		
Deficiency of revenues under expenditures	\$ (658,851)	\$ (1,201,427)
Adjustments to reconcile deficiency of revenues under expenditures to net cash provided by (used in) operating activities:		
Increase in accounts receivable	(468,101)	(65,351)
(Increase) decrease in accrued interest receivable	144,493	(134,088)
(Increase) decrease in due from Florida International University Foundation, Inc.	37,780	(38,554)
(Increase) decrease in prepaid expenses	(5,880)	2,280
Decrease in accounts payable and accrued expenses	(5,153)	(45,897)
Increase in compensated absences liability	13,064	78,525
Increase in due to other funds	43,547	5,958
Decrease in deferred revenue	(28,768)	(25,312)
Total adjustments	<u>(269,018)</u>	<u>(222,439)</u>
<b>Net cash used in operating activities</b>	<u>(927,869)</u>	<u>(1,423,866)</u>
<b>Cash and cash equivalents, beginning of year</b>	2,562,163	3,986,029
<b>Cash and cash equivalents, end of year</b>	<u><u>\$ 1,634,294</u></u>	<u><u>\$ 2,562,163</u></u>

The accompanying notes to financial statements  
are an integral part of these statements.

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
NOTES TO CURRENT FUNDS FINANCIAL STATEMENTS  
JUNE 30, 2004 AND 2003**

**(1) Summary of Significant Accounting Policies:**

The special-purpose current funds financial statements of the Florida International University Intercollegiate Athletics Program (the Program) have been prepared in accordance with Chancellor's Memorandum CM-H-02.00-08/96. The significant accounting policies followed are described below to enhance the usefulness of the financial statements to the reader.

(a) **Reporting entity**—The Program is an auxiliary enterprise of Florida International University (the University) located in Miami, Florida and conducts various intercollegiate athletic programs. The University is part of the State University System of Florida.

(b) **Basis of accounting**—The Program has prepared its special-purpose current funds financial statements in accordance with the presentation requirements as prescribed by Chancellor's Memorandum CM-H-02.00-08/96, (the Memorandum) under the authority of Rule 6C-9.012, Florida Administrative Code. The Memorandum requires financial statements to include, at a minimum, a statement of assets, liabilities and fund balance (current funds), a statement of revenues, expenditures and changes in fund balance (current funds), a statement of cash flows (current funds), and notes. Since only the current funds, as prescribed by the Memorandum, are presented, the accompanying financial statements are not intended to, and do not, present the financial position, revenues, expenditures and changes in fund balance and cash flows of the Program or of the University, as a whole, in conformity with accounting principles generally accepted in the United States of America.

To ensure observance of limitations and restrictions placed on the use of resources available to the Program, the accounts of the Program are maintained in accordance with the principles of fund accounting. This is the procedure by which resources for various purposes are classified for accounting and reporting purposes into funds established according to their nature and purposes. Separate accounts are maintained for each fund; however, in the accompanying financial statements, all current funds have been combined into a single fund group since such funds have similar characteristics. Accordingly, all financial transactions of the current funds have been recorded and reported in this fund group.

The current fund assets, liabilities and fund balance of the Program are reported in one self-balancing fund group as follows:

Current operating funds, which include unrestricted and restricted resources, represent the portion of expendable funds that are available for support of Program operations. To the extent that current funds are used to finance property and equipment acquisitions, the amounts are accounted for as expenditures in the statement of current funds revenues, expenditures, and changes in fund balance. Capitalized property and equipment are recorded in the University plant funds and are not recorded in the Program current fund. Restricted current funds are reported as revenues and expenditures when expended for current operating purposes.

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
NOTES TO CURRENT FUNDS FINANCIAL STATEMENTS  
JUNE 30, 2004 AND 2003**

(1) **Summary of Significant Accounting Policies:** (Continued)

(c) **Cash and cash equivalents**—For purposes of reporting cash flows, cash and cash equivalents include only investments with original maturities of three months or less and funds held for the Program in an agency bank account of the University, and the Program's equity in the University's investment pool. Investments in the investment pool are stated at cost of \$1,037,418 and \$1,348,750, at June 30, 2004 and 2003, respectively. Investments consist primarily of deposits with the State Board of Administration Local Government Pool, which are collateralized by U.S. Treasury bills and bonds, certificates of deposit and repurchase agreements. Interest earned on the investments is transferred to the University's scholarship fund.

(d) **Accounts receivable**—Accounts receivable are stated at the amount management expects to collect from balances at year-end. Based on management's assessment of the credit history with organizations having outstanding balances and current relationships with them, it has concluded that realization losses on balances outstanding at year-end will be immaterial.

(e) **Income taxes**—The Program is an auxiliary enterprise of the University which is a part of the State University System of Florida. Accordingly, substantially all income generated by the Program is exempt from federal and state income taxes.

(f) **Athletic fees**—The University charges an athletic fee to students for each semester enrolled and for each enrolled credit hour. Athletic fees for semesters which cross fiscal years are recognized during the year in which the semester is predominantly conducted. Approximately 72% and 80% of total revenues were derived from athletic fees during the years ended June 30, 2004 and 2003, respectively.

(g) **Sales tax on athletic event tickets**—In accordance with Chapter 1006, section 71 of the Florida Statutes, the Program retains an amount equal to the sales taxes collected from ticket sales to athletic events for use in the support of women's athletic programs.

(h) **Deferred revenue**—Deferred revenue consists of advance sales of athletic event tickets. Ticket revenue is recognized in the period the athletic event occurs.

(i) **Use of estimates**—The preparation of financial statements in conformity with the Memorandum requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the year. Actual results could differ from those estimates.

(j) **Advertising costs**—Advertising costs are recorded as expenditures when incurred. Total advertising costs for the years ended June 30, 2004 and 2003, were approximately \$12,000 and \$125,000, respectively.

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
NOTES TO CURRENT FUNDS FINANCIAL STATEMENTS  
JUNE 30, 2004 AND 2003**

**(2) Retirement Plans:**

**General Employees' Retirement System**

**Plan Descriptions**—The Program contributes to a cost sharing multiple - employer defined benefit pension plan administered by the State of Florida. The defined benefit plan provides retirement and disability benefits, annual cost-of-living adjustments, and death benefits to plan members and beneficiaries. The Program also participates in an optional retirement program which is a defined contribution pension plan in which employees may elect to participate rather than the defined benefit plan. Employees participating in this program are immediately vested in contributions made to their accounts. The State of Florida issues a publicly available financial report that may be obtained by writing to the State of Florida, Division of Retirement, Cedars Executive Center, 2639-C, North Monroe Street, Tallahassee, FL 32399, or by calling (850) 488-5706.

**Funding Policy**—As required by statute, participating entities were required under the defined benefit pension plan to contribute 7.39% and 5.76% of annual covered salaries for participating employees for the years ended June 30, 2004 and 2003, respectively, and under the defined contribution pension plan to contribute 10.43% of annual covered salaries for participating employees for the years ended June 30, 2004 and 2003. The Program's contributions to the plan for the years ending June 30, 2004, 2003, and 2002, were approximately \$235,000, \$200,000 and \$195,000, respectively, equal to the required contributions for each year.

**(3) Compensated Absences:**

Employees earn the right to be compensated during absences for annual leave (vacation) and sick leave pursuant to Section 6C-5.920 Florida Administrative Code. Leave earned is accrued to the credit of the employee and records are kept on each employee's unpaid (unused) leave balance. The Program has recorded an accrual for the liability in the unrestricted current funds for the employee's right to receive compensation for future absences.

**(4) Concentrations of Credit Risk:**

(a) **Cash and cash equivalents**—Cash held in the agency account of the University is federally insured up to \$100,000 by FDIC protection. Any cash held in the agency fund in excess of \$100,000 is secured by collateral which is pledged to the State of Florida Public Deposits Trust Fund.

(b) **Accounts receivable**—The Program has no policy requiring collateral or other security to support its accounts receivable. Concentrations of receivables at June 30, 2004 and 2003, are as follows:

	<u>2004</u>	<u>2003</u>
NCAA	\$ 230,926	\$ 116,137
Sunbelt Conference	51,828	57,394
Student fees and other, net of allowance of \$11,000 and \$12,000 at June 30, 2004 and 2003, respectively	334,014	35,816
Other	60,680	-
	<u>\$ 677,448</u>	<u>\$ 209,347</u>

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
NOTES TO CURRENT FUNDS FINANCIAL STATEMENTS  
JUNE 30, 2004 AND 2003**

**(5) Athletic and Service Fees:**

Athletic and service fees collected for the fiscal years ended June 30, 2004 and 2003 are as follows:

	<u>2004</u>	<u>2003</u>
Regular activity and service fees	\$ 5,488,133	\$ 5,334,537
Football program activities and service fees	994,225	972,945
Women's program activities and service fees	238,614	233,490
Athletic flat fee per student (\$10)	903,694	890,493
Total athletic fees	<u>\$ 7,624,666</u>	<u>\$ 7,431,465</u>

**(6) Related Party Transactions:**

The Program was assessed an overhead charge by the University equal to 4% of certain expenditures during the years ended June 30, 2004 and 2003, respectively. The amount of overhead charged was \$316,470 and \$324,917, for the years ended June 30, 2004 and 2003, respectively.

**(7) Reserved Fund Balance:**

At June 30, 2004, the Program has a reserved fund balance of \$347,546, which is reserved specifically for the development and use in its intercollegiate football program and consists of the net accumulated excess of football program revenue and fees over expenses since July 1, 1999.

**(8) Leases:**

The Program has entered into a noncancellable operating lease agreement for the rental of grandstands for the football stadium expiring in 2005. The lease payments are \$66,128 per month for a three-month period each year. Total minimum lease payments for 2005 are \$198,386.

**(9) Florida International University Foundation, Inc.:**

The Florida International University Foundation, Inc. (the Foundation), serves as the conduit for the acceptance, investment, and distribution of private gifts in support of the activities and programs of the University. Through the Golden Panthers Club, a part of the Foundation, the Foundation expends significant resources on behalf of the Program. Funds are available and may be transferred from the Foundation in support of the Program's budget as needed. During the years ended June 30, 2004 and 2003 the Foundation transferred \$677,697 and \$115,082, respectively, to the Program. Expenditures (other than transfers) for or on behalf of the Program do not flow through the accounts of the Program and these activities are not included in the records of the Program. The following is a summary of



**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM  
NOTES TO CURRENT FUNDS FINANCIAL STATEMENTS  
JUNE 30, 2004 AND 2003**

(9) **Florida International University Foundation, Inc.:** (Continued)

activity of the Golden Panthers Club for the year ended June 30, 2004, which represents expenditures made directly for or on behalf of the Program. This information has been provided by the Program and is unaudited:

	<b>Men's Programs</b>	<b>Women's Programs</b>	<b>Total</b>
Professional fees	\$ 10,633	\$ 15,708	\$ 26,341
Team travel	34,983	421	35,404
Transfers to Program for general budgetary support	641,648	8,746	650,394
Transfers to Program for scholarship support	16,668	10,635	27,303
Other expenditures	221,415	88,535	309,950
Total	<u>\$ 925,347</u>	<u>\$ 124,045</u>	<u>\$ 1,049,392</u>

The changes in the Golden Panthers Club's net assets for the year ending June 30, 2004, are summarized as follows:

	<b>Unrestricted</b>	<b>Temporarily Restricted</b>	<b>Permanently Restricted</b>	<b>Total</b>
<b>Net assets, beginning of year</b>	\$ 996,389	\$ 218,855	\$ 469,627	\$ 1,684,871
Revenues earned on behalf of the Program	594,005	103,480	33,494	730,979
Release of restrictions	40,119	(40,119)	-	-
Expenditures on behalf of the Program	(1,049,392)	-	-	(1,049,392)
Change in net assets	(415,268)	63,361	33,494	(318,413)
<b>Net assets, end of year</b>	<u>\$ 581,121</u>	<u>\$ 282,216</u>	<u>\$ 503,121</u>	<u>\$ 1,366,458</u>

**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE AND ON INTERNAL CONTROL  
OVER FINANCIAL REPORTING BASED ON AN AUDIT OF FINANCIAL STATEMENTS  
PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

Dr. Modesto A. Maidique, President  
Florida International University:

We have audited the special-purpose current funds financial statements of Florida International University Intercollegiate Athletics Program, as of and for the year ended June 30, 2004, and have issued our report thereon dated November 4, 2004. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

**Compliance**

As part of obtaining reasonable assurance about whether the Florida International University Intercollegiate Athletics Program special-purpose current funds financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grants, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance that are required to be reported under *Government Auditing Standards*.

**Internal Control Over Financial Reporting**

In planning and performing our audit, we considered Florida International University Intercollegiate Athletics Program's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinion on the special-purpose financial statements and not to provide assurance on the internal control over financial reporting. Our consideration of the internal control over financial reporting would not necessarily disclose all matters in the internal control that might be material weaknesses. A material weakness is a condition in which the design or operation of one or more of the internal control components does not reduce to a relatively low level the risk that misstatements in amounts that would be material in relation to the special-purpose financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over financial reporting that we consider to be material weaknesses. However, we noted a matter involving the internal control over financial reporting, which we have reported to management of the Program in a separate letter dated November 4, 2004.

This report is intended solely for the information and use of the management of Florida International University, the Program, the Florida International University Board of Trustees, the State of Florida Board of Education, and the National Collegiate Athletic Association, and is not intended to be and should not be used by anyone other than these specified parties.

Gainesville, Florida  
November 4, 2004

## MANAGEMENT LETTER

Dr. Modesto A. Maidique, President  
Florida International University:

In planning and performing our audit of the special-purpose current funds financial statements of the Florida International University Intercollegiate Athletics Program (the Program) for the year ended June 30, 2004, we considered its internal control in order to determine our auditing procedures for the purpose of expressing our opinion on the special-purpose current funds financial statements and not to provide assurance on the internal control.

However, we noted a matter involving internal control and its operation that, although was not considered by us to be a reportable condition, is an opportunity for strengthening internal control. This letter summarizes our comment and suggestion concerning this matter. This letter does not affect our report dated November 4, 2004, on the special-purpose current funds financial statements of the Program.

**Athletic fees** – In performing procedures related to the reasonableness of athletic fees, we noted that management of the Program and the University's Controller's office were initially unable to reconcile athletic fees, based upon actual credit hours and student headcount, by term and agree the calculated amounts to the Program's general ledger. This reconciliation was eventually prepared and reconciled against the Program's general ledger, however, the process for preparing the reconciliation took several months. We understand that the primary cause for this delay was the transition to a new accounting and information system. We recommend that the Program and the University Controller's office develop procedures to prepare student athletic fee reconciliations in a more timely manner.

This report is intended solely for the information and use of management of Florida International University, the Program, the Florida International University Board of Trustees, and the State of Florida Board of Education, and is not intended to be and should not be used by anyone other than these specified parties.

Gainesville, Florida  
November 4, 2004

**FLORIDA INTERNATIONAL UNIVERSITY  
INTERCOLLEGIATE ATHLETICS PROGRAM**

**INDEPENDENT ACCOUNTANTS' REPORT  
ON AGREED-UPON PROCEDURES**

**FOR THE YEAR ENDED JUNE 30, 2004**

## INDEPENDENT ACCOUNTANTS' REPORT ON AGREED-UPON PROCEDURES

Dr. Modesto Maidique, President  
Florida International University:

We have performed the procedures enumerated below, which were prescribed by the National Collegiate Athletic Association (NCAA) and agreed to by the management of the Florida International University Intercollegiate Athletics Program (the Program), solely to assist you with respect to the revenues and expenditures for or on behalf of the Program by outside organizations not under the institution's accounting control. This engagement to apply agreed-upon procedures was performed in accordance with attestation standards established by the American Institute of Certified Public Accountants. The sufficiency of the procedures is solely the responsibility of the specified users of the report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose.

The procedures and associated findings are as follows:

**Procedure:** Identify all outside organizations not under the control of Florida International University which make expenditures for, or on behalf of the Program and obtain copies of the organizations' statements of revenues and expenditures and agree these amounts with the Program's accounting records or, alternatively, confirm revenues and expenditures directly with a responsible official of the organization.

**Findings:** The Program identified Florida International University Foundation, Inc. (the Foundation) as the only outside organization making expenditures for, or on behalf of the Program or its employees. The Foundation serves as the official legal conduit for the acceptance, investment, and distribution of private gifts in support of the activities and programs of Florida International University. Included in the Program's Foundation accounts are the accounts of the Golden Panther Club. Expenditures for, or on behalf of the Program or its employees are made directly from the Foundation.

We obtained the statement of changes in net assets of the Foundation account held for the Program for the year ended June 30, 2004 which represents revenues and expenditures on behalf of the Program. This information was obtained by direct confirmation with the Foundation. The following is a summary of the changes in net assets for the year:

Increases in net assets	\$ 730,979
Decreases in net assets	(1,049,392)
Change in net assets	<u>\$ (318,413)</u>

**Procedure:** Obtain and read the audited financial statements of the outside organization and any reports to management regarding matters related to internal control and inquire of institutional and outside organization management as to corrective action taken in response to comments concerning internal control matters.

**Findings:** We obtained and read the audited financial statements of the Foundation for the year ended June 30, 2004 and the related report on compliance and on internal control. The results of this procedure disclosed that the independent auditors expressed an unqualified opinion on the financial statements of the Foundation. The independent auditors noted no matters involving internal control over financial reporting and its operation that were considered material weaknesses.

**Procedure:** Obtain a schedule of expenditures by the outside organization for, or on behalf of the Program and reconcile to the amounts recorded in the Program's accounting records.

**Findings:** We obtained from the Program, a schedule of expenditures by the Foundation for, or on behalf of the Program or its employees and reconciled the schedule to the Foundation. Transfers received from the Foundation in support of the Program's budget amounted to \$677,697 for the year ended June 30, 2004.

Expenditures on behalf of the Program by the Foundation are not included in the accounts of Florida International University and those activities are not included in the records of the Program.

The following is a summary of the Golden Panthers Club expenditures for, or on behalf of, the Program for the year ended June 30, 2004. This information has been provided by the Program and is unaudited.

	<u>Men's Programs</u>	<u>Women's Programs</u>	<u>Total</u>
Professional fees	\$ 10,633	\$ 15,708	\$ 26,341
Team travel	34,983	421	35,404
Transfers to Program for general budgetary support	641,648	8,746	650,394
Transfers to Program for scholarship support	16,668	10,635	27,303
Other expenditures	221,415	88,535	309,950
Total	<u>\$ 925,347</u>	<u>\$ 124,045</u>	<u>\$ 1,049,392</u>

The changes in the Golden Panthers Club net assets held by the Foundation for the year ended June 30, 2004 are summarized as follows:

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total</u>
Net assets, beginning of year	\$ 996,389	\$ 218,855	\$ 469,627	\$ 1,684,871
Revenues earned on behalf of the Program	594,005	103,480	33,494	730,979
Release of restrictions	40,119	(40,119)	-	-
Expenditures on behalf of the Program	(1,049,392)	-	-	(1,049,392)
Change in net assets	(415,268)	63,361	33,494	(318,413)
Net assets, end of year	<u>\$ 581,121</u>	<u>\$ 282,216</u>	<u>\$ 503,121</u>	<u>\$ 1,366,458</u>

Summarized combining balance sheet information relative to the Program and Golden Panthers Club as of June 30, 2004 is as follows and is unaudited:

	<u>Program</u>	<u>Golden Panthers Club</u>	<u>Eliminations</u>	<u>Total</u>
Program assets (as reported in current funds financial statements)	\$ 2,326,512	\$ -	\$ (774)	\$ 2,325,738
Golden Panthers Club assets	-	1,366,458	774	1,367,232
Total assets	<u>\$ 2,326,512</u>	<u>\$ 1,366,458</u>	<u>\$ -</u>	<u>\$ 3,692,970</u>
Program liabilities (as reported in current funds financial statements)	\$ 744,928	\$ -	\$ -	\$ 744,928
Golden Panthers Club liabilities	-	-	-	-
Total liabilities	<u>744,928</u>	<u>-</u>	<u>-</u>	<u>744,928</u>
Fund balance/net assets	1,581,584	1,366,458	-	2,948,042
Total liabilities and fund balance/net assets	<u>\$ 2,326,812</u>	<u>\$ 1,366,458</u>	<u>\$ -</u>	<u>\$ 3,692,970</u>

Summarized combining information relative to the Program and Golden Panthers Club revenues and expenditures for the year ended June 30, 2004 is as follows and is unaudited:

	<u>Program</u>	<u>Golden Panthers Club</u>	<u>Eliminations</u>	<u>Total</u>
Revenues (as reported in current funds financial statements)	\$ 10,638,333	\$ -	\$ (677,697)	\$ 9,960,636
Contributions and other income	-	730,979	-	730,979
Total revenues, contributions and other income	<u>10,638,333</u>	<u>730,979</u>	<u>(677,697)</u>	<u>10,691,615</u>
Expenditures (as reported in current funds financial statements)	11,297,184	-	-	11,297,184
Expenditures on behalf of the Program	-	1,049,392	(677,697)	371,695
Total expenditures and transfers	<u>11,297,184</u>	<u>1,049,392</u>	<u>(677,697)</u>	<u>11,668,879</u>
Excess (deficiency) of revenues over expenditures	<u>\$ (658,851)</u>	<u>\$ (318,413)</u>	<u>\$ -</u>	<u>\$ (977,264)</u>



We were not engaged to, and did not, perform an audit, the objective of which would be the expression of an opinion on the specified elements, accounts, or items. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of the management of Florida International University, the Program, the Florida International University Board of Trustees, the State of Florida Board of Education, and the National Collegiate Athletic Association, and is not intended to be and should not be used by anyone other than these specified parties.

Gainesville, Florida  
November 4, 2004



WILLIAM O. MONROE, CPA  
AUDITOR GENERAL

# AUDITOR GENERAL

## STATE OF FLORIDA

G74 Claude Pepper Building  
111 West Madison Street  
Tallahassee, Florida 32399-1450



PH: 488-5534/SC 278-5534  
FAX: 488-6975/SC 278-6975

April 15, 2005

Ms. Mayra Beers, Associate Corporate Secretary  
Florida International University  
University Park, PC 528  
11200 Southwest Eighth Street  
Miami, Florida 33199

Dear Ms. Beers:

Enclosed is a copy of Report No. 2005-170, an Operational Audit of the Florida Bright Futures Scholarship Program for the fiscal year ended June 30, 2004.

Sincerely,

William O. Monroe

Enclosure



# AUDITOR GENERAL

WILLIAM O. MONROE, CPA



## FLORIDA BRIGHT FUTURES SCHOLARSHIP PROGRAM

### Operational Audit

#### SUMMARY

The objective of our audit was to determine the extent to which Florida's public universities and community colleges (institutions) implemented procedures to administer the Florida Bright Futures Scholarship Program (Program) for the fiscal year ended June 30, 2004.

**Finding No. 1:** We noted over and under awards totaling \$4,298 at four institutions.

**Finding No. 2:** Two institutions did not timely reconcile scholarship award disbursements to students shown on their records with the disbursements reported to the Department of Education. Unidentified differences ranged from \$1,025 to \$4,438.

**Finding No. 3:** Three institutions did not accurately calculate and report to the Department of Education the grade point average or credit hours earned for three students.

**Finding No. 4:** One institution could not document the residency requirement for seven students.

**Prior Audit Findings:** As part of our current audit, we determined that the universities and community colleges had substantially corrected the deficiencies noted in report No. 2004-142, except as noted in findings Nos. 1, 2, and 3 of this report.

#### BACKGROUND

The Florida Bright Futures Scholarship Program was established by the Florida Legislature to provide lottery-funded scholarships to reward Florida high school graduates who merit recognition of their academic achievement, and enroll in an eligible Florida public or private postsecondary educational institution within three years of high school graduation. The Florida Bright Futures Scholarship Program (Program) is the

umbrella program for State-funded scholarships based on academic achievement of high school students. The Program consists of three types of awards, the Florida Academic Scholarship, the Florida Medallion Scholarship, and the Florida Gold Seal Vocational Scholarship. The Top Scholars Award is also funded from Program moneys, and is an additional annual award for college-related expenses that is given to the student with the highest academic ranking in each school district. During the 2003-04 fiscal year, disbursements of awards from the Program to students enrolled in Florida's public universities and community colleges were \$183,000,757 and \$22,066,953, respectively, for a total of \$205,067,710. A summary of advances and disbursements by university and college (institution) is presented as Exhibit 1.

The Florida Department of Education (DOE) determines student eligibility for awards. Students must meet general criteria to qualify for any of the types of scholarship awards from the Program. In addition to the general criteria, each of the three scholarship awards within the Program has specific criteria that must be met. After initial qualification for an award, students must continue to meet the eligibility criteria to receive additional awards.

DOE is responsible for administering the Program disbursement and reconciliation process. Each term, DOE provides a list of eligible students to the institutions and advances scholarship moneys to the institutions for disbursement to the students who enroll at that institution. The institutions are required to verify that the student has enrolled in the required number of hours to receive the scholarship, calculate the amount of the disbursement based on the type of scholarship for

which the student was eligible, and disburse the money to the student. Any moneys not disbursed to eligible students must be returned to DOE within 60 days after the end of regular registration. The institutions are also required to report disbursements, enrolled hours, and grade point averages to the DOE.

## FINDINGS AND RECOMMENDATIONS

### Finding No. 1: Over and Under Awards

Sections 1009.534(2), 1009.535(2), and 1009.536(2), Florida Statutes, for the Florida Academic Scholars Award, Florida Medallion Scholars Award, and Florida Gold Seal Vocational Scholars Award, respectively, provide that qualifying students receive 100 percent of tuition and fees plus an annual allowance of \$600 for college-related expenses for the Academic Scholars Award, or receive 75 percent of tuition and fees for the Florida Medallion Scholars or the Florida Gold Seal Vocational Scholars Award. The institutions are required to verify that the student has enrolled in the required number of hours to receive the scholarship, calculate the amount of the disbursement based on the type of scholarship for which the student was eligible, and disburse the money to the student.

Our tests disclosed over and under awards totaling \$4,298 at four institutions. The following chart summarizes the results of our tests:

Summary of Over and Under Awards		
Institution	Number of Instances	Total Amount of Over (Under) Awards
Edison College	1	\$ 131
Lake City Community College (1)	1	137
St. Petersburg College (1)	3	716
St. Petersburg College	1	(61)
Valencia Community College (1)	180	3,375
<b>Total</b>	<b>186</b>	<b>\$ 4,298</b>
Note: (1) Similar deficiencies were noted in report No. 2004-142.		

The over awards for Valencia Community College resulted from the College paying an ineligible preparatory class fee in error. The College has identified the students affected by the error and refunded the total amount of the over awards to the Department of Education.

**Recommendation:** We recommend that the institutions ensure that scholarship award

disbursements to students are accurately calculated.

### Finding No. 2: Reconciliation of Program Funds

The institutions can access DOE's database and print a Bright Futures Reconciliation Report of Awarded Students at any date. This report presents total Program funds advanced to the institution, total scholarship awards disbursed to students, and calculates either an amount to be refunded to DOE or an amount owed to the institution for each semester. Total scholarship awards disbursed to students are reported by each institution to DOE on the Disbursement Eligibility Report.

DOE's recommended reconciliation procedures encourage the institutions to reconcile their scholarship awards disbursement records each term, as opposed to waiting until the end of the academic year (June 30). Our review disclosed that two institutions had not reconciled their scholarship awards disbursement records (accounting records and financial aid records) with the disbursements reported to DOE for either the Fall 2003 or Spring 2004 Terms. These institutions and the unreconciled differences are shown in the following chart:

Unreconciled Program Funds			
Institution	Institution Records	Reported to DOE	Difference
Manatee Community College (1)	\$ 801,391	\$ 805,829	\$ (4,438)
Seminole Community College	792,060	793,085	(1,025)
<b>Total</b>	<b>\$ 1,593,451</b>	<b>\$ 1,598,914</b>	<b>\$ (5,463)</b>
Note: (1) Similar deficiencies were noted in report No. 2004-142.			

**Recommendation:** We recommend that the institutions improve their efforts to account for Program funds by timely reconciling their scholarship awards disbursement records with disbursements reported to DOE and with DOE's Bright Futures Reconciliation Report of Awarded Students.

### Finding No. 3: Grade Point Average and Credit Hours Earned Reporting

Our review disclosed that three institutions did not accurately calculate and report to DOE either the grade point average or credit hours earned. The reporting errors resulted in the institutions incorrectly reporting



the eligibility for future funding for three students. These instances are shown in the following chart:

Errors in Reporting Grade Point Average and Credit Hours Earned				
Institution	Grade Point Average		Credit Hours Earned	
	Number of Instances	Amount of Error	Number of Instances	Amount of Error
Florida A&M University			1	5 Hours
Florida Keys Community College (1)			1	12 Hours
Hillsborough Community College	1	3.63		
<b>Total</b>	<b>1</b>		<b>2</b>	

Note: (1) Similar deficiencies were noted in report No. 2004-142.

Note: (1) Similar deficiencies were noted in report No. 2004-142.

**Recommendation:** We recommend that the institutions ensure that the correct grade point average and credit hours earned are reported to DOE.

#### Finding No. 4: Residency Requirements

Section 1009.531, Florida Statutes, requires that to be eligible for an initial Florida Bright Futures Scholarship Program award, a student must be a Florida resident. Our review disclosed one institution (South Florida Community College) recorded in its database residency information from students' original applications and high school transcripts. Many of these original documents were subsequently scanned into the institution's imaging system and destroyed. However, the scanned documents, in many instances, were unusable because of problems encountered with the scanning process (information could not be matched to a student). As a result, the institution was unable to document residency for 7 of the 30 students tested. Our tests indicated that the residency requirement was met for the students in which original applications and high school transcripts were available.

**Recommendation:** We recommend that, before future documents are destroyed, the institution ensures the original documents can be identified, retrieved, and stored.

#### SCOPE, OBJECTIVES, AND METHODOLOGY

The audit was conducted pursuant to Section 1009.53(5)(c), Florida Statutes. This operational audit focused on the administration of the Florida Bright

Futures Scholarship Program (Program) by Florida's 11 public universities and 28 community colleges for the fiscal year ended June 30, 2004. The objectives of this audit were to determine that the universities and community colleges administered Program moneys in accordance with the governing provisions of laws, administrative rules, and other guidelines, and properly accounted for the moneys received and distributed through the Program. In conducting our audit, we reviewed governing laws, rules, and other guidelines. We also reviewed and observed management controls at the universities and community colleges for the purpose of determining the extent to which management controls promoted and encouraged achievement of management's objective in the categories of compliance with applicable laws, administrative rules, and other guidelines relating to the Program; the reliability of financial records and reports; and the safeguarding of assets relating to the Program.

#### PRIOR AUDIT FINDINGS

Our previous audits have addressed the administration of the Florida Bright Futures Scholarship Program by Florida's public universities and community colleges. As part of our current audit, we determined that the universities and community colleges had substantially corrected the deficiencies noted in report No. 2004-142, except as noted in findings Nos. 1, 2, and 3 of this report.

#### AUTHORITY

Pursuant to the provisions of Section 11.45, Florida Statutes, I have directed that this report be prepared to present the results of our operational audit.

*William O. Monroe*

William O. Monroe, CPA  
Auditor General

#### AUDITEE RESPONSE

The institutions' responses are included as Exhibit 2.

This operational audit was made in accordance with applicable *Government Auditing Standards* issued by the Comptroller General of the United States. This audit was coordinated by Richard E. Givens, CPA, and supervised by Alan M. Sands, CPA. Please address inquiries regarding this report to Jim Raulerson, CPA, Audit Manager, via e-mail at [jimraulerson@aud.state.fl.us](mailto:jimraulerson@aud.state.fl.us) or by telephone at (850) 487-4468.

This audit report, as well as other audit reports prepared by the Auditor General, can be obtained on our Web site at [www.state.fl.us/audgen](http://www.state.fl.us/audgen); by telephone at (850) 487-9024; or by mail at G74 Claude Pepper Building, 111 West Madison Street, Tallahassee, Florida 32399-1450.

**EXHIBIT 1**  
**FLORIDA BRIGHT FUTURES SCHOLARSHIP PROGRAM**  
**STATE UNIVERSITIES AND COMMUNITY COLLEGES**  
**SUMMARY OF ADVANCES AND DISBURSEMENTS**  
**For the Fiscal Year Ended June 30, 2004**

Institution (1)	Advances	Disbursements		
	From Department	Scholarship Awards to Students	Refunds to Department	Total Disbursements
Florida A&M University	\$ 2,903,313	\$ 2,903,313	\$	\$ 2,903,313
Florida Atlantic University	6,867,977	6,831,698	36,279	6,867,977
Florida Gulf Coast University	3,068,998	3,058,917	10,081	3,068,998
Florida International University	11,579,767	11,572,381	7,386	11,579,767
Florida State University	31,782,380	31,076,965	705,415	31,782,380
New College of Florida	1,399,621	1,255,322	144,299	1,399,621
University of Central Florida	34,226,270	34,220,355	5,915	34,226,270
University of Florida	57,582,431	56,577,141	1,005,290	57,582,431
University of North Florida	8,421,561	8,357,824	63,737	8,421,561
University of South Florida	22,749,211	22,746,079	3,132	22,749,211
University of West Florida	4,402,201	4,400,762	1,439	4,402,201
<b>Total Public State Universities</b>	<b>184,983,730</b>	<b>183,000,757</b>	<b>1,982,973</b>	<b>184,983,730</b>
Brevard Community College	1,277,751	1,271,455	6,296	1,277,751
Broward Community College	1,017,946	916,338	101,608	1,017,946
Central Florida Community College	662,075	662,075		662,075
Chipola College	513,000	510,090	2,910	513,000
Daytona Beach Community College	1,016,256	994,271	21,985	1,016,256
Edison College	670,585	670,454	131	670,585
Florida Community College at Jacksonville	959,699	951,709	7,990	959,699
Florida Keys Community College	39,704	34,492	5,212	39,704
Gulf Coast Community College	646,999	625,428	21,571	646,999
Hillsborough Community College	922,331	922,331		922,331
Indian River Community College	778,396	778,314	82	778,396
Lake City Community College	330,689	321,743	8,946	330,689
Lake-Sumter Community College	417,445	412,900	4,545	417,445
Manatee Community College	805,829	805,829		805,829
Miami Dade College	826,767	826,767		826,767
North Florida Community College	161,033	141,445	19,588	161,033
Okaloosa-Walton College	653,444	625,001	28,443	653,444
Palm Beach Community College	838,810	837,741	1,069	838,810
Pasco-Hernando Community College	459,026	448,881	10,145	459,026
Pensacola Junior College	995,824	972,159	23,665	995,824
Polk Community College	616,159	616,159		616,159
St. Johns River Community College	443,207	421,713	21,494	443,207
St. Petersburg College	1,406,425	1,396,919	9,506	1,406,425
Santa Fe Community College	2,065,591	2,065,591		2,065,591
Seminole Community College	799,164	793,085	6,079	799,164
South Florida Community College	226,003	215,528	10,475	226,003
Tallahassee Community College	755,010	750,143	4,867	755,010
Valencia Community College	2,118,116	2,078,392	39,724	2,118,116
<b>Total Public Community Colleges</b>	<b>22,423,284</b>	<b>22,066,953</b>	<b>356,331</b>	<b>22,423,284</b>
<b>Total</b>	<b>\$ 207,407,014</b>	<b>\$ 205,067,710</b>	<b>\$ 2,339,304</b>	<b>\$ 207,407,014</b>

Note: (1) Amounts reported by the institution as of December 31, 2004.

**THE FLORIDA INTERNATIONAL UNIVERSITY**  
**BOARD OF TRUSTEES**  
**BOARD MEETING**

**29 JUNE 2005**

**SUBJECT: GOVERNMENTAL RELATIONS COMMITTEE REPORT**

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**PROPOSED BOARD ACTION:**

None. Discussion Item.

**REPORTS:**

- Minutes 16 May committee meeting
- 2005 State Legislative Session
- 2006 Federal Legislative Priorities
- FIU Day at the Capitol 2006

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- COMMITTEE MEETING MINUTES FOR 16 MAY COMMITTEE MEETING
- 2005 STATE LEGISLATIVE SESSION
- 2006 FEDERAL LEGISLATIVE PRIORITIES
- FIU DAY AT THE CAPITOL 2006

**FACILITATOR/PRESENTER:**

- MIRIAM LOPEZ

DRAFT

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES**



**GOVERNMENTAL RELATIONS COMMITTEE  
MINUTES  
16 MAY 2005  
VIA CONFERENCE CALL**

**I. Call to Order**

The Florida International University Board of Trustees' Governmental Relations Committee meeting was called to order on Monday, 16 May 2005, by Chair Miriam Lopez at 11:01 a.m., via conference call.

The following attendance was recorded:

***Present:***

Miriam López, *Chair*  
Sergio Pino, *Vice-Chair*  
Alex Prado  
Bruce Hauptli

***Excused:***

Claudia Puig, *Vice Chair*

Trustees Betsy Atkins and Albert Dotson also participated in the meeting.  
Casandra Roache took a silent roll.

**II. Approval of Minutes**

Committee Chair Miriam Lopez asked if there were any additions or corrections to the minutes of the 31 January 2005, Governmental Relations Committee meeting. Hearing none, the Committee adopted the following:

RESOLVED that the minutes of the meeting of the Governmental Relations Committee, held on 31 January 2005, and attached to this Resolution as Exhibit "A," are hereby approved.

**III. Chair's Remarks**

Committee Chair Lopez welcomed all Trustees and guests to the meeting. She welcomed Trustee Bruce Hauptli who is recovering from recent knee surgery and expressed appreciation for Trustee Sergio Pino's active role in Tallahassee. Chair Lopez commended President Maidique for his work in securing legislative approval of a 3.6% across-the-board raise for Florida state employees.



#### **IV. Reports to the Committee**

##### *1. FIU Day at the Capitol - Tallahassee*

VP Steve Sauls reported that FIU Day at the Capitol 2005 was a success and FIU had the opportunity to interact with many members of the legislation. He added that plans were well underway for the third annual FIU Day at the Capitol, scheduled for 8 March 2006, in Tallahassee, during the 2007 legislative session.

##### *2. Proposed State Priorities, 2005-2006*

VP Steve Sauls reported on the results of the legislative session, including FIU's excellent performance in securing PECO funding. He noted that Debbi Gallay and President Maidique were instrumental in gaining legislative approval for a 3.6% raise for all State employees. VP Sauls added that Debbi Gallay's role was a key factor in securing raises for State employees for the past three years. Trustee Lopez thanked Fausto Gomez for his important role in promoting FIU issues. She also thanked community leader and former BOT chairman Armando Codina, all Trustees who worked to promote FIU issues, and the entire Tallahassee team for their dedication.

##### *3. Proposed Federal Priorities, 2005-2006*

VP Sauls reported on the status of the Trustee-approved Federal priorities. He noted the work of Susan Moya in securing the support of 120 members of Congress for one of our federal priorities. He added that in about one week, Student Trustee, Alex Prado, would lead a team of students to Washington, D.C., to meet with legislators. VP Sauls also recognized the hard work of FIU's D.C. delegation.

#### **VI. Other Business**

Trustee Lopez thanked Steve Sauls, Susan Moya, Fausto Gomez, Debbie Gallay, and Michelle Palacio for a job well done in both Tallahassee and D.C. She also congratulated Anitere Flores on her inaugural year as part of the Dade delegation in Tallahassee.

#### **VII. Adjournment**

With no other business, Chair Lopez adjourned the meeting at 11:34 a.m.

#### ***Trustee Requests***

*1. Steve Sauls will facilitate Trustee correspondence thanking appropriate members of the Legislature for their support during the 2005 session.*

*Attachments: Exhibit "A"*

# 2005 Legislature Education Conference Report

10 May 2005

ISSUE		CONFERENCE FINAL (in millions of dollars)
Cost to Continue		1.70
Enrollment Growth		7.00
Mix		0
Tuition		5.80
Law		.656
Incidental Fee Adjustment		3.00
Base Tuition Increase		4.20 (+5%)
Salary Increase (+3.6%)		5.80 of \$6.5 annualized
Retirement Rate Adjustment		.294
<b>Subtotal</b>		<b>28.45</b>
<b>SPECIALS</b>		
Residency Expansion		1.00
Health & Life Sciences		.376
Columbian Studies		.05
Urban Reading		.05
Nursing*		
University Museum Digitization**		
<b>Subtotal</b>		<b>1.48</b>
<b>TOTAL</b>		<b>\$29.93</b>

\* \$5 million split among public and private nursing programs

\*\* \$500,000 split among 7 museums, including Wolfsonian and Frost

## **Bill Report for the 2005 Session**

### **BILLS WITH LEGISLATIVE APPROVAL**

**CS/HB 193 Hazing** - This bill creates new criminal offenses specific to hazing at the high school or college level. The bill provides that it is a first-degree misdemeanor to commit an act of hazing that creates a substantial risk of physical injury or death. The offense level increases to a third degree felony if the act of hazing actually results in serious bodily injury or death. Effective date is July 1, 2005.

**CS/HB 517 University Campus Master Plans and Campus Development** - This bill clarifies procedures for adoption of university campus master plans and procedures for challenges to the plans. It allows for university master plans to be made available electronically and specifies that the master plan must identify general location of structures rather than the tentative location of structures. CS/HB 517 limits the standing of persons that may challenge the adoption of university campus master plans and the subject matter they may challenge. The bill transfers rule-making authority from the State Board of Education to the university board of trustees of each university. An amendment was added which permits Florida Gulf Coast University to establish a College of Engineering subject to approval by the Board of Governors. Effective date is July 1, 2005.

**HB 1001 Governance of the State University System** - HB1001 defines the constitutional duties of the Board of Governors of the State University System and the Legislature with respect to operation of the State University System. State universities are defined as state agencies for purposes of the delineation of constitutional authority. It preserves, however, university exemptions such as purchasing and procurement from the state agency requirements that predate the bill. The bill expresses Legislative intent to reenact laws relating to the postsecondary education system in accordance with the bill. The bill takes effect upon becoming law.

The Board of Governors responsibilities outlined in the bill include:

- Operating, regulating, controlling and being fully responsible for the management of the SUS;
- Defining the distinctive mission of each constituent university;
- Defining the articulation of each constituent university in conjunction with the Legislature's authority over public schools and community colleges;
- Ensuring the well-planned coordination and operation of the SUS;
- Avoid wasteful duplication of facilities or programs within the SUS;
- Accounting for expenditure of appropriated funds for the SUS
- Submitting a budget request for legislative appropriations for the institutions under the supervision of the board;
- Adopting strategic plans for the SUS and each constituent university;
- Adopting, reviewing, and terminating SUS degree programs;

- Governing admissions to the state universities;
- Serving as the public employer with respect to all public employees of state universities for collective bargaining purposes;
- Establishing a personnel system for all state university employees with certain exceptions
- For statewide programs that administered by DMS;
- Complying with, and enforcing for institutions under the BOG's jurisdiction, all applicable local, state, and federal laws.

HB1001 authorizes the Board of Governors to delegate these responsibilities listed above to a designee.

The legislative responsibilities outlined in HB 1001 include:

- Making provisions for the establishment, maintenance, and operation of institutions of higher learning and other public education programs that are determined needed;
- Appropriating all state funds through the General Appropriations Act or other law;
- Establishing tuition and fees;
- Establishing policies related to need-based and merit student financial aid;
- Establishing policies relating to expenditure of, accountability for, and management of funds appropriated by the Legislature or revenues authorized by the Legislature;
- Maintaining the actuarial and fiscal soundness of centrally administered state systems by
- Requiring state universities to continue to participate in programs such as the Florida Retirement System, the state group health insurance programs, the state telecommunications and data network, and the state casualty insurance program;
- Establishing and regulating the use of state powers and protections;
- Establishing policies relating to the health, safety, and welfare of students, employees, and the public while they are present on the campuses of institutions of higher learning.

A lawsuit was filed on December 21, 2004, against the Board of Governors and the State Board of Education seeking a declaratory action, among other things, regarding the Board of Governors powers and duties with respect to the state university system. The results of this lawsuit may have an impact on HB 1001 with respect to state universities.

**CS/CS/SB 2236 Excess Hours and University Tuition Flexibility** - To discourage undergraduates from exceeding the number of credit hours required to complete the students' degree program a student must pay 75 percent over the in-state tuition for any credit hours that the student takes in excess of 120 percent of the number of credit hours required for the degree regardless of whether those hours were taken while enrolled at a community college, a state university, or any private university if the student received state funds while enrolled at the private postsecondary institution. Credit hours earned under the following circumstances are exempted from the excess calculation:

- (a) college credit earned through an accelerated mechanism
- (b) credit hours earned through internship programs
- (c) credit hours required for certification, re-certification, or certificate degrees

- (d) credit hours in courses from which a student must withdraw due to reasons of medical or personal hardship
- (e) credit hours taken by active military personnel
- (f) credit hours taken to achieve a dual major undertaken while pursuing a degree
- (g) remedial and English as a Second Language credit hours
- (h) credit hours earned in military science courses (R.O.T.C.)

Each school must notify students of the excess hour policy at the time of initial enrollment and again at the time the student has earned the credit hours to complete the degree program in which he or she is enrolled.

The excess hour portion of this law applies to freshman enrolled in the fall of 2005 and all freshmen thereafter.

CS/CS/SB 2236 addresses tuition flexibility by permitting each board of trustees to set tuition and fees for graduate, graduate professional and non-resident students unless otherwise provided by law. In addition, the 40 percent cap on fees does not apply to the graduate, graduate professional and non-resident students the boards of trustees are allowed to set tuition and fees for. It applies only to in-state undergraduates in this bill. The 40% cap refers to “the sum of the activity and service, health and athletic fees a student is required to pay to register for a course shall not exceed 40 percent of the tuition established in law or the General Appropriations Act” (1009.24).

Undergraduate tuition and fees for state university resident students are established within proviso in the General Appropriations Act. The tuition and fees for graduate, graduate professional, and nonresident students may not exceed the average full-time tuition and fees for corresponding programs at public members of the Association of American Universities (AAU). The annual percentage increase for students enrolled prior to the fall of 2005 may not exceed the annual percentage increase approved by the legislature for in state undergraduates. At least 20 percent of the tuition increase imposed by the universities boards of trustees must be allocated to each university for need-based financial aid for students.

CS/CS/SB 2236 takes effect July 1, 2005

The lawsuit filed on December 21, 2004 could have an impact on this bill with respect to universities.

#### **CS/CS/SB 2264 Instructional Costs for Students, Determination of Residency, Tuition and Fee Flexibility.**

Section 1 of this bill revises the definition of “dependent child” to mean any person, whether living with his or her parent, who is eligible to be claimed by his or her parent as a dependent under the federal income tax code and who receives at least 51% of the true cost-of-living expenses from his or her parent. Additionally, the bill requires each postsecondary institution to

determine whether an applicant who has been granted admission to that institution is a dependent child. The bill revises the residency determination procedure to require that person, or that person's parent if the person is a dependent child, to establish and maintain legal residency for at least 12 consecutive months immediately before initial enrollment (first day of class) in a postsecondary institution. The bill also provides that a student is not eligible for classification as a resident for tuition purposes until he or she has provided evidence related to legal residence and its duration as well as documentation. The bill establishes reclassification requirements.

Section 2 amends s.1009.24, F.S. clarifying that the Legislature has the responsibility to establish tuition and fees and provides that:

Undergraduate tuition and fees for state university resident students are established within proviso in the General Appropriations Act or law, and except as provided by law, each board of trustees shall set university tuition and fees for graduate, graduate professional, and nonresident students under the same terms as are reported in CS/CS/SB 2236. Section 3 revises general requirements for student eligibility for state financial aid regarding residency for those students at private postsecondary institutions in Florida. Finally CS/CS/SB 2264 prohibits a student attending a private postsecondary institution from receiving more than one state tuition assistance grant during a single semester. The effective date is July 1, 2005.

The lawsuit filed on December 21, 2004 may have an impact on this bill with respect to universities

### **MAJOR UNIVERSITY BILLS THAT DID NOT PASS BOTH HOUSES OF THE LEGISLATURE**

1. Academic Freedom for Students and Faculty (HB 837, SB 2126)
2. Revisions to the Major Gift Trust Fund (HB 67 and SB 528)
3. Exemptions to sales tax on research and development, sales tax machinery and equipment and taxes relating to research and development costs (HB 27, HB 81, SB 582, SB 616, SB 2312 SB 1200, SB 2362)
4. Naming Bills for State University Buildings (SB 90, SB 1968, HB 219)
5. Eligibility criteria for students who are not permanent residents of the U.S. for exemption from payment of non-resident tuition. (HB 119)
6. Center of Excellence (HB 131, SB 1444)
7. Community College Baccalaureate Degrees (HB 167, SB 2254)
8. Redirecting state and student fee financial aid from foreign students to need-based aid for in-state students (HB 21, SB 866)
9. Targeted Programs, SUCCEED, Nursing (HB 437, SB 1260, HB 1853)
10. Highway signs for colleges/universities (HB 553, SB 1648)
11. Ticket/Resale for Sporting Events exemptions from 'scalping' prohibitions in certain situations (SB 2472)
12. Florida Independent Collegiate Assistance Program (HB 943 and SB 1256)

## 2005 Legislative Session Report

The 2005 Session came to a close on Friday, May 6, 2005 at 11:49 P.M. After all was said and done, it became clear that Florida International University was one of Miami-Dade County's biggest winners. FIU's advocates in the Miami-Dade Delegation worked hard to bring home the funding for those programs most critical to the university.

Prior to the 2005 Session, the FIU Board of Trustees adopted seven priorities critical to the university. This is how we fared:

1. **Enrollment Growth** – Funded by the Legislature, providing **\$7 million** for 1,525 FTE's at the university using the **new funding formula**.
2. **Parity Funding / Faculty Salaries** – Big Win! FIU's faculty and staff are included in the 3.6 percent pay increase provided for the in-state pay package. That translates into **\$5.8 million** for FIU.
3. **Fixed Capital Outlay** - The Legislature funded the completion of two new buildings at FIU, and provided **\$5 million** in maintenance funds. The funded projects for FIU are: **\$8,418,634** for our Molecular Biology building and **\$13,466,007** for our Social Sciences Building.
4. **Major Gifts Matching Program** – The Legislature fully funded the Matching Gifts program, providing **\$1,540,002** in matches for FIU.
5. **UBOT Tuition and Fee Authority** – Proviso language only – The Legislature has authorized the UBOT'S to set tuition and fees for graduate, graduate professional and non-resident students. Tuition and fees for the graduate, graduate professional and non-resident students may not exceed the average tuition and fees for corresponding programs at public institutions that are members of AAU. If a graduate, graduate professional or non-resident student was enrolled prior to the Fall of 2005, an increase no greater than 5% may be levied on those students. In addition, UBOT **may** increase resident undergraduate tuition **up to 5%**.
6. **Enhancement Funds** - The Florida Legislature funded \$10 million for Nursing grants to address the state's critical needs. The FIU School of Nursing will be submitting several grant applications to compete for a portion of the statewide funds. In addition, the Legislature funded FIU **\$376,554** for Life Sciences, **\$250,000** for Hispanic Crime Initiative, **\$50,000** for Columbian Studies Research and **\$50,000** for our Urban Reading Research Literacy Center. Lastly, the Legislature funded \$500,000 for seven State University Museums to participate in the Cultural Institutions Grant Program to digitize their collections. FIU's Frost and Wolfsonian Museums qualify for this grant program.

7. **Medical School** – FIU received much needed support for a program that will lay the ground work for a medical school at FIU. The Legislature funded an additional **\$1 million** for our current medical partnership between the FIU Honors College and the University of South Florida's medical school.

As is evident from the above summary, and the attached documents, FIU had an exemplary 2005 Session. This year we have laid the groundwork for the future of FIU's undergraduate, graduate, and professional students. FIU will be able to reward its faculty and staff with a well-earned pay increase.

FIU's interests were well represented in Tallahassee this year. The Office of Governmental Relations continues to improve the relationships we have built with numerous legislators, their staff, and staff all around the Capitol.



<b>NON-OPERATIONAL FUNDS</b>		<i>(in millions of dollars)</i>
PECO		26.8
Courtelis Facilities Matches		3.3
Challenge Grant Matches		1.54
<b>Subtotal</b>		<b>31.64</b>
Capital Improvement Fee Projects		12.5
Capital Renewal		2.2 <i>estimate</i>
<b>SESSION TOTAL</b>		<b>\$ 76.266 Million</b>
<u>Plus authorizations for:</u>		
EC Classroom Expansion		
Artist Studio		
Community Stadium Renovation and Expansion		
Parking Garage V		
Parking Garage VI		
Lakeview Housing		

# Florida International University

## 2005 Government Relations Priorities

### Federal Priority Issues for FY '06

1) **Florida Hurricane Alliance (Continuation):** The Florida Hurricane Alliance, led by Florida International University, with eight additional Florida public research universities, is seeking \$7.5 million in support of a third year of continued and expanded hurricane mitigation research.

Already the Alliance has accomplished real-time hurricane track forecasts, and real-time ground-level wind speed data using meteorological towers that recorded the first-ever eye wall of a land-falling hurricane. These data were used by the National Hurricane Center during the multiple hurricanes that struck Florida and elsewhere last year. These and other solutions developed by the Alliance benefits not only Florida, but also every hurricane-vulnerable community in the country and abroad.

The Alliance, which has the single focused goal of reducing the cost of hurricanes to federal, state and local government, as well as to businesses and households, will continue to develop credible data on the effectiveness of various methods and techniques for hurricane damage reduction, and to transfer the knowledge gained to policy-makers, practitioners and the community through programs of education and outreach.

Hurricanes are by far the most devastating and damaging natural hazards impacting the United States, causing an average of \$5 billion in property damage per year. Hurricanes and other natural disasters caused 65 percent of insured losses over the past 50 years. Despite this, hurricane mitigation research has been minimal.

2) **Bio/Nano Electronic Devices and Sensors (Continuation):** Work undertaken by FIU in the area of bio/nano electronic devices and sensors has the ability to significantly improve our nation's warfare technological base and help the U.S. Air Force Office's of Scientific Research build and sustain the Air Force's effectiveness. FIU is seeking \$5 million to continue its efforts in the following areas, employing its new, state-of-the art nano fabrication facility: (a) high-power microwave emitters for U.S. communication purposes and for high-power weapons systems; (b) carbon nanotube sensors, such as environmental sensors, that would enable the Air Force to detect chemicals under war-time conditions at much smaller molecular levels, faster, and with greater efficiency, resulting in faster response times and lives saved; (c) the development of highly fuel flexible fuel cells that the Air Force can use as free-standing devices in the field; and (d) 3-D magnetic recording devices that would enable the Air Force to manage, store, and retrieve information 10 times better than with devices now available.

The research would also lead to significant ancillary benefits in the electronic, healthcare, and environmental pollution sectors.

3) **Western Hemisphere Information Exchange Program (Continuation):** FIU is seeking \$5 million to augment and accelerate its existing agreement between its Western Hemisphere Information Exchange (WHIX) program and the Department of the Army. WHIX now supports the Army's International Activities Plan and NORTHCOM's and SOUTHCOM's security cooperation goals. These goals include strengthening partnership and alliances, advancing regional security and stability and enhancing environmental sustainability and stewardship. WHIX helps the Army to increase its readiness and military interoperability by encouraging improved capability and willingness on the part of Western Hemisphere allies to operate in coalition with the

U.S. military. WHIX is currently developing pilot “in-country” projects in Brazil, Columbia, El Salvador, Mexico and Panama, and is demonstrating and validating innovative technologies for wastewater treatment using bio-remediation and distributed biomass energy production for military facilities. These technologies provide solutions to common issues shared by both the U.S. military and partnered military organizations within the Western Hemisphere.

In 2003, FIU received \$5 million to begin the program, and received earmarks in FY '04 and '05 totaling \$5 million. The new funds will enable the program to include more of the countries of interest to US military needs and to develop agreements and information exchange projects for many of the countries not currently included.

#### **4) National Center for Transportation Needs of Special Populations (TRANSPON) (Continuation):**

FIU's goal is to establish a permanent center for researching, collecting and disseminating information about the unique transportation needs of special populations due to their physical, physiological, language, social-economic and cultural barriers. These populations include seniors, the physically impaired, school-age children, young drivers, immigrants, foreign visitors, and the economically disadvantaged. In FY '04 and FY '05, FIU received a total of \$1 million in earmarks for this research.

Working in partnership with the University of Miami, the universities are seeking \$1.5 million in FY '06 to continue work with the Federal Transit Administration (FTA) on improving coordination of specialized transportation services, and conducting additional research identified by the FTA, including the evacuation of special populations during hurricanes. Additionally, the Center would continue its research, education, and technology transfer activities in the areas of emergency preparedness, transit accessibility, highway safety, highway design, economic development, emerging technologies, environmental justice and urban planning.

#### **5) Western Hemisphere Energy Cooperation (New):**

In September 2002 FIU submitted an unsolicited proposal to the US Department of Energy to establish a western hemispheric center for energy technology, called the Center for Energy Technology of the Americas (CETA). FIU was awarded \$1.3 million for 5 years to focus on the solution of developing reliable and adequately priced energy supplies to provide economic growth, job creation and national security.

Senator Nelson was successful in the 108<sup>th</sup> Congress in getting language included in the comprehensive energy bill establishing a Western Hemisphere Energy Coordination program modeled after CETA. Congress is still considering this legislation, and FIU will continue to seek passage of authorizing language in the new bill, followed by efforts to get congressional appropriators to include funding for the DOE program in its FY '06 Energy and Water appropriation.

FIU will continue to make the case that reliance on supplies of oil from the Middle East and former Soviet Union amplifies the political and economic risks the U.S. faces today. While there is the potential to mitigate these risks through increased energy supplies from countries of the Western Hemisphere, many hurdles must first be overcome, such as inadequate regulatory and tax frameworks, rights of way and permitting, access to capital markets, political and social instability and the obvious, and very relevant, technological challenges. CETA affords DOE with one-stop shopping for energy policy, energy technology and energy-cooperation support.

#### **6) GlobalNetBienestar (GlobalNetWellness) (NEW)**

The State of Florida, and especially the South Florida region, is experiencing increased migration of Hispanics and Haitians, many of whom are low-income with minimal education, with other cultural variations that are not accounted for by typical health information literature. FIU, is proposing a partnership with the Miami-Dade school system, and is seeking \$1.5 million to create an innovative web-based information resource that promotes healthy lifestyles, addresses region specific health issues (for example, HIV/AIDS, aging and nutrition, lead poisoning, and obesity), and empowers the population to take control of their personal health as well as the health of their families.

The major goal of the GlobalNetBienestar project will be to create a web-based information resource that will be available in 24/7/365, easily accessible, confidential, anonymous and timely. The project includes: the establishment of an advisory board of health professional and community leaders in Florida; availability of professional staff dedicated to recruit volunteer expert health care professionals who can provide evidence-based information; an interactive questions/answers feature, with questions asked anonymously and responses posted on the website within 72 hours; links to globally available, credible health information links in Spanish and Creole; and dedicated computers for the project at participating schools and neighborhood health centers.

# **SAVE THE DATE**

**March 8, 2006**

**“FIU Day at the Capitol 2006”**

