



Northern Illinois University

Office of the President

October 1, 2019

Dear Chair Barsema and Members of the Northern Illinois University (NIU) Board of Trustees:

I appreciate the opportunity to submit this executive summary as part of my first evaluation as NIU's 13th president. As you will see, the university has been able to build upon the successes and lessons learned from FY18, because our faculty, staff and students are talented, conscientious and committed to pursuing and achieving excellence in all aspects of NIU's mission. In the following sections, I highlight our significant progress across five areas of focus: enrollment; diversity, equity and inclusion; research, artistry, innovation and regional engagement; key leadership initiatives; and fiscal sustainability. I conclude by linking NIU's FY19 performance to our FY20 goals.

Enrollment:

I noted last year how downward trends in student recruitment and student success would be addressed using approaches responsive to changing demographics, evolving student expectations, and the prevalence of technology in our world. Accordingly, in January 2019, NIU introduced [Strategic Enrollment Management \(SEM\) goals, strategies and objectives](#), along with an [accountability framework](#). Our SEM plan maps out a multiyear approach aimed at creating a sustainable enrollment at NIU while respecting the university's mission and values, and it formed the basis for the [FY19 goals](#). I am proud of the way that our university community has come together to support our enrollment plan and impressed by the progress to date.

The Fall 2019 10-day student census affirmed not only that our enrollment trend analysis and projections are realistic, but also that our enhanced recruitment strategies are succeeding in attracting excellent students from diverse backgrounds to NIU. The number of applications received was up 10.8% over last fall – the largest since 2015. The university welcomed increased numbers of new freshmen, transfer students, and graduate and professional students, up 2% overall. The high school grade point average of this year's freshman class (3.36) is the highest in 15 years. Moreover, the incoming class was quite diverse. More than half of all new freshman and transfer students are from traditionally underrepresented groups, and the number of freshman from out-of-state increased by 37.8% over last fall. The excellence and diversity of the Fall 2019 incoming class will strengthen and enrich our learning environment, and the NIU community celebrates their arrival.

It is gratifying to see that the changes proposed in the SEM plan are producing the intended results. We expanded our approach to connecting with students. We engaged strategic partners. We invested in technology and used new sources of data to inform our actions. We recognized the importance of strengthening the support services provided to online/off-campus students. To summarize, we did things differently, and it made it a difference.

Going forward, we must also think and act differently as we implement the SEM plan strategies designed to improve undergraduate retention and graduation rates. To this end, we have joined two formal collaborations

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with higher education institutions that share our commitment to diminishing achievement gaps and promoting student success. Our participation in the Partnership for College Completion initiative, IL Equity in Attainment ([ILEA](#)), and the Association for Public and Land-grant Universities initiative, [Powered by Publics](#), will help us to identify, contextualize and scale evidence-based practices that advance equity in college completion.

Diversity, Equity and Inclusion:

NIU's [core values](#) include equity and inclusion. They affirm that we seek and are strengthened by the diverse perspectives of our university community members; use an inclusive decision-making process in all that we do; and appreciate and respect every member of our community. The FY19 goals were designed to foster an equity-minded learning environment and culturally competent community where students, faculty and staff from a wide range of backgrounds flourish.

Our commitment to equitable access, opportunity and success for all students is evident in the institutional strategies that NIU is implementing to reduce academic equity gaps. These include: providing focused academic support inside and outside the classroom; building capacity in mentoring programs for students from underserved populations; leveraging financial aid to support affordability; revising biased practices that hinder access to financial aid and influence admissions decisions; promoting financial literacy; investing in an inclusive teaching and learning model that promotes curricular redesign, culturally responsive teaching strategies and innovative professional development. In this context, our progress is being accelerated through inter-institutional collaborations that provide decision support and facilitate the sharing and scaling of effective practices.

Our intentional focus on improving the faculty recruitment processes was productive, resulting in the hire of 15 faculty of color. This outcome was possible because NIU faculty, staff and administration worked together to produce new print and web-based materials, improve our implicit bias training protocols, and make resources available to colleges and departments to enhance the diversity of the candidates interviewed on campus. The progress achieved with this multi-faceted approach is significant and encouraging, and we will continue to improve our search processes with the goals of reducing bias, achieving diverse applicant pools and ensuring fair evaluation of all candidates.

Going forward, it is imperative that the NIU community support the success of the talented scholars who have chosen to become new colleagues. To this end, we are implementing a mentoring program for faculty of color as we continue to work across the university to identify and eliminate exclusionary systems and practices. These initiatives will be informed by the experiences and perceptions of faculty in our community, specifically the results of the APLU INCLUDES assessment incorporated into this year's goals and the IDEA (Inclusion, Diversity, Equity and Access) survey conducted in 2019. We are committed to enhancing faculty success by building on our institutional strengths and addressing our areas for improvement.

Research, Artistry, Innovation and Regional Engagement:

NIU's commitment to preparing society for a century of change is supported by research, scholarly and creative activities in four emphasis areas: addressing climate change; advancing technology; preparing for shifting demographics; and interpreting the world around us. This vision was reviewed by the Board's Research and Innovation, Legal and Legislative Affairs Committee on November 16, 2017. To advance this vision, the university agreed to initiate new doctoral programs and research centers that build on the strengths and interests of our faculty. During the course of the FY18 presidential goal-setting and evaluation processes, we put forward a plan to initiate at least one research cluster per year in FY19 and FY20, as well as, see two new doctoral programs moved through the NIU curricular process and proposed to the Illinois Board of Higher Education (IBHE) by the

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end of the 2018-19 academic year. I am excited that we have exceeded expectations by initiating two centers and receiving approval for four new doctoral programs.

With respect to the initiation of research clusters, the vision for the Center for Cross-disciplinary Research on Engaging Advanced Technology for Education ([CREATE](#)) was described in FY18 and implemented successfully over the course of the past fiscal year. The concept for the Northern Illinois Center for Community Sustainability ([NICCS](#)) was shared publicly in October 2018 when NIU was announced as the fourth hub of the Illinois Innovation Network (IIN). We are working with the IIN to facilitate the release of appropriated funding. We are also engaging our faculty and staff on the design of NICCS facilities and programs.

These two research centers differ in their subject matter expertise, but both will use interdisciplinary approaches to tackle global challenges related to our rapidly changing society. NICCS will respond to challenges associated with climate change. Both NICCS and CREATE will address other elements of our research vision – advancing technology, preparing for shifting demographics and interpreting the world around us. Given the excellence of our faculty and staff, and the strong commitment of the trustees to NIU’s research and engagement missions, I have confidence that these centers will flourish and provide significant academic, cultural and economic benefits to the students and communities that we serve.

In this context, it is also significant that the IBHE approved a new doctoral program in computer science in March 2018 and three new doctoral programs in engineering in September 2019. These programs will provide students with advanced skills to design and conduct independent research in the public or private sectors by drawing upon faculty and industry expertise. In addition, these doctoral programs will strengthen faculty research at NIU by enabling investigators to tackle more complex projects, facilitating inter-institutional collaborations in science and engineering, and enhancing the recruitment and retention of research-active faculty. Finally, these programs will also help Illinois grow and be more competitive by meeting the significant projected needs for computer scientists and engineers.

Key Leadership Initiatives:

In FY19, with leadership from a task force composed of members from the shared governance bodies responsible for periodic review and update of the university mission, NIU crafted and adopted [new vision, mission and values statements](#) that speak to who we are and who we aspire to be, both as an institution and as proud Huskies. These statements are being used to recruit and onboard new faculty and staff, and the impact is apparent in the diversity, interests and espoused values of our recent hires, including our Executive Vice President and Provost, Beth Ingram, and General Counsel, Bryan Perry, who both joined the Huskie family last spring.

Over the summer, members of the university leadership team considered these statements, along with existing university, college and division plans and priorities. We extracted six strategic themes that should allow all members of our community to see the myriad ways that they already support and contribute to NIU’s success, as well as new opportunities to make a difference:

- Student Recruitment and Student Success
- Academic Excellence and Curriculum Innovation
- Diversity /Equity/Inclusion
- Empowerment and Shared Responsibility
- Research, Artistry and Engagement
- Resource Development and Fiscal Responsibility

These themes will serve as the framework for development of local action plans that advance our shared priorities.

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This approach was chosen because of the desire to respect thoughtful action plans already in place, while also creating space for new ideas and perspectives.

Fiscal Sustainability:

In FY19, despite resource constraints, we managed a balanced budget that not only supported NIU operational needs, but also permitted investment in strategic priorities related to our long-term fiscal health. For example, critical investments were made in recruitment and student success initiatives per our SEM plan. Some of these, such as engaging a partner to provide marketing and concierge services for online programs, have already had a positive impact. Others, such as increasing targeted advertising to high school juniors and their parents, will start to exert a positive influence in future fiscal years.

Philanthropic performance improved significantly in FY19, both in terms of overall philanthropy and number of donors. The goal of \$17.5 million was exceeded by \$4.3M or 25%, and the size of the donor base increased by 736 or 6%. Of significant note was the FY19 performance of The Northern Fund, which experienced an increase of 26% from \$2.5M in FY18 to over \$3.2M, accompanied by a 6.5% rise in overall donors. This increase in donors is significant, as it is the first in several years. The Northern Fund launched its first-ever Day of Giving in May, which raised \$771,000 from 1,402 gifts, far exceeding initial goals and projections. This university-wide initiative significantly enhanced our philanthropic culture and energized our community. I am looking forward to expanding on this success in FY20 and beyond.

Looking Forward:

As NIU's President, I am committed to driving progress at NIU. The FY20 goals approved by the NIU Board of Trustees at its June 2019 meeting build upon both the successes and the lessons learned over the course of this past year. Going forward, we will continue to be guided by our vision, mission and values as we advance our equity and inclusion imperatives, support scholarship and the development of emerging research initiatives, and plan for our future.

Future planning must ensure NIU's long-term fiscal sustainability. Accordingly, the FY20 budget process, and the identified opportunities to increase revenue and decrease expenses, will be the basis for a multi-year budget strategy designed to produce a structurally balanced budget by FY24. We will continue to execute our 2019-23 Strategic Enrollment Management Plan, improve operational efficiency and grow philanthropic support. I am confident that we will be successful in closing the gap that currently exists between our ambitions and our resources, because of the ingenuity and dedication of NIU's leadership team, faculty, staff, students, alumni, donors and partners.

We are Huskies – and Huskies never quit. Together, we will continue to move our beloved NIU forward.

Sincerely,



Lisa C. Freeman, D.V.M., Ph.D.
President

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University

FY19 PRESIDENTIAL GOALS

Summary of Results and Comments

SUMMARY OF RESULTS AND COMMENTS

Presidential/Institutional Goal	FY19 Results and Comments
Enrollment	
Stabilize total enrollment at approximately 16,750. (Lack of progress is indicated by 15,715 or fewer. Significant progress is indicated by 16,230, and expectations are met by 16,750.)	<p><u>Results:</u> Total enrollment = 16,609</p> <p>Total enrollment was slightly below but within 1% of the benchmark for meeting expectations. There is no single factor to which this variance can be attributed.</p>
Sustain main campus undergraduate enrollment at or above 11,700 with new freshman enrollment at or above 1,850 and new transfer enrollment at or above 1,575. (Lack of progress is indicated by 11,500 or fewer. Significant progress is indicated by 11,600 and expectations are met by 11,700.)	<p><u>Results:</u> Total undergraduate (UG) = 12,131</p> <p>Main campus UG = 11,799 New freshman = 1,897 New transfer = 1,611</p>
Grow online enrollment so that total online enrollment exceeds 950 students, approximately 60% graduate and 40% undergraduate. (Lack of progress is indicated by 775 or fewer. Significant progress is indicated by 865, and expectations are met by 950.)	<p><u>Results:</u> The number of online students in Fall 2019 is 1,091.</p> <p>673 were graduate students (62%) and 417 were UG (38%).</p> <p>Notably, actual enrollments exceeded our expectations for the six online programs (five master's and one degree completion program) marketed by Wiley with 480 students actually enrolled for 3,124 credit hours, compared to our objective of 343 students and 1,985 credit hours.</p>
Increase the number of new undergraduate Hispanic/Latinx students to 800, in support of long term goal of achieving status as an Hispanic Serving Institution. (Lack of progress is indicated by 730 or fewer. Significant progress is indicated by 765, expectations are met by 800.)	<p><u>Results:</u> The number of new Latinx undergraduates for Fall 2019 is 734, a 1% increase compared to 2018. In this context, the number of Hispanic/Latinx new freshman decreased by 2.8%, whereas the number of Latinx new transfers increased by 5.3%.</p> <p>A number of initiatives are now in place to enhance recruitment of Latinx students as the result of FY19 efforts driven by activation of the Strategic Enrollment Management (SEM) plan. For example:</p> <ul style="list-style-type: none"> • We have formed a working group focused on Latinx recruitment that is co-chaired by Director of Admissions and Director of the Latino Resource Center. • We have hired 3 Spanish-fluent admissions counselors, 1 Spanish-fluent admissions events coordinator, and 2 Spanish-fluent financial aid counselors.

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	<ul style="list-style-type: none"> We have increased the number of presentations, printed and online publications and phonecasts available in Spanish, and piloted Spanish-language NIU campus tours. We are working with a full-service Latinx marketing, advertising and public relations firm, and we have increased targeted advertising to Latinx students and parents (digital, print, radio, billboards and buses).
<p>Collaborate to close achievement gaps. Specifically, partner with state and national programs dedicated to closing equity gaps to identify, implement and scale effective practices. Formation of one such partnership indicates progress and formation of two or more such partnerships meets expectations.</p>	<p><u>Results:</u> NIU is participating in one state and one national initiative, as described below.</p> <p>NIU is collaborating with approximately 25 two-year and four-year, public and private non-profit colleges and universities across our state, as a partner in the Illinois Equity in Attainment Initiative (ILEA) spearheaded by the Chicago-based Partnership for College Completion (PCC). We are actively engaged with this learning community of institutions that share our core belief that racial and socioeconomic completion gaps are unacceptable, sharing data and striving to implement and scale effective, evidence-based practices to increase student persistence and completion.</p> <p>NIU is participating in the Powered by Publics Initiative of the Association for Public and Land Grant Universities (APLU), along with 130 public institutions who have organized into 16 “transformation clusters” focused on solving different pieces of the student success puzzle. Powered by Publics institutions are sharing key data within the clusters and will promulgate proven practices across the entire public higher education sector as the work progresses. NIU is in a cluster of eight High-Pell institutions, along with Northern Arizona University, Rutgers University-Newark, Texas State University, the University of Texas at El Paso, the University of Texas at San Antonio, the University of California-Merced and the University of North Texas. This cluster is focusing on two important topics that will support and encourage student success: financial literacy and textbook affordability. NIU is using this resource to design and develop a financial literacy model.</p> <p>Please note, NIU participation in these learning communities will support and inform work that is already in progress, and that is focused on enhancing academic support in and outside the classroom; leveraging financial aid to support affordability; promoting financial literacy;</p>

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	<p>and modeling inclusive teaching and learning strategies.</p> <p>NIU’s SEM Accountability Plan describes the tactics and activities that will be used to drive equitable access, opportunity and success for students from diverse backgrounds where diversity is defined broadly. Moreover, the SEM Plan establishes retention and graduation goals for 2023 to define longer term expectations for success.</p>
<p>Diversity, Equity and Inclusion</p>	
<p>Collaborate to close achievement gaps</p>	<p><u>Results:</u> NIU is participating in one state and one national initiative, as described in the previous section.</p>
<p>Improve NIU’s progress toward achieving the 20% aspirational goal in support of the State of Illinois Business Enterprise Program (BEP). In this context, \$925,000 signifies a lack of progress and \$2M meets annual expectations.</p>	<p><u>Results:</u> The FY19 results reflect a gain in BEP dollars achieved by the university. The \$4.3M achieved in FY19 is, in fact, the highest it has been in 12 years of reporting. Moreover, the numbers could increase as subcontractor data from Prime vendors are reported by Illinois Public Higher Education Cooperative (IPHEC) and factored into NIU’s performance.</p> <p>We remain committed to meeting the goal established for the university to buy at least 20% of goods and services from BEP businesses. We are steadily improving, and showed significant improvement in FY19 over FY18, increasing our BEP spend from 1% to just over 6%.</p>
<p>Complete APLU faculty diversity self-assessment and use to develop campus action plan</p>	<p><u>Results:</u> The APLU INCLUDES (Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science) Project is an NSF-funded Design, Development, Launch Pilot project aimed at expanding the diversity of STEM faculty. NIU’s INCLUDES assessment, which was expanded to consider best practices for non-STEM faculty, was completed in May 2019. The results for faculty of color are being shared with academic leadership, and recommendations are being used to develop and implement a larger faculty of color hiring plan.</p>
<p>Increase utilization of affirmative action data to enhance hiring methods</p>	<p><u>Results:</u> In FY19, implicit bias training was implemented as part of a larger leadership-driven plan to enhance faculty and staff diversity. There were 76 faculty searches with 548 faculty/staff who participated and reported that the bias training was informative and helpful. This year, NIU hired 15 tenure-track faculty of color who started in August 2019 (out of a total of approximately 30 tenure-track faculty hires). For comparison, in FY18 NIU hired one tenure-track faculty of color out of a total of approximately 45 tenure-track faculty hires.</p>

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	<p>In FY19, Academic Diversity Equity and Inclusion (ADEI) began working with Human Resource Services to enhance applicant tracking system functionality for the purposes of improving the utilization of affirmative action data to inform effective hiring practices, and supporting affirmative action data compliance as required by state and federal regulations (US Department of Labor, Office of Federal Contract Compliance Programs).</p>
<p>Establish stronger graduate student and post-doc fellowship pipelines</p>	<p><u>Results:</u> NIU’s Chief Diversity Officer was appointed to the board of directors of the Diversifying Higher Ed Faculty in Illinois program (DFI), and will be active in developing statewide strategies on how to increase the pipeline for DFI fellows to consider faculty and staff employment in the State of Illinois once they graduate with a Ph.D. or master’s from one of Illinois’ public universities.</p> <p>In partnership, ADEI and Research and Innovation Partnerships (RIPS) launched the NIU Diversity, Equity and Inclusion (DEI) Postdoctoral Fellowship in Fall 2018. The first NIU DEI post-doc started in August 2019 in Chemistry to support innovative instruction in CHEM 110.</p> <p>A faculty of color mentoring program was implemented in Fall 2019 to help the university retain these talented scholars. This program is being developed and led by a senior faculty mentor reporting to the vice provost for faculty affairs in the Provost Office.</p>
<p>Increase diversity recruitment materials and web presence, and diversify advertising network</p>	<p><u>Results:</u> An online diversity prospectus was developed in August 2018 to support colleges’ and divisions’ searches for prospective employees.</p> <p>NIU invested in two new diverse publications to broaden our advertising reach. Additionally, we are in the process of analyzing the university spend on job postings to determine how we can reduce spend and broaden the advertising network by leveraging job ad bundles at a reduced rate.</p>
<p>Have 25% of faculty and staff complete cultural competency training by end of FY19</p>	<p><u>Results:</u> We estimate that in FY19 more than 40% of our faculty and staff (~75% of our full- and part-time faculty and ~25% of our full- and part-time staff) completed cultural competency training. The basis for that estimate is as follows:</p> <p>In FY19, ADEI offered Americans with Disabilities Act (ADA), affirmative action search committee and implicit bias training, CODE (Conversations on Diversity + Equity) Institutes and Workshops, as well as LGBTQ, Trans and</p>

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	<p>Undocumented Ally Trainings to a total of 3,235 faculty, staff and students who completed at least one of these trainings. The 3,235 participants included: 29% faculty, 20% staff, 14% student employees and 37% student leaders.</p> <p>For comparison, in FY18, 2,450 faculty, staff and students completed at least one training, and those participants included: 0.1% faculty, 27% staff, 9% student employees and 64% student leaders.</p> <p>NIU's 2018-19 Data Book reports that in Fall 2018 the number of full- and part-time faculty was 1,213, and the number of full- and part-time staff (including Supportive Professional Staff and exempt, non-exempt and non-status civil service) was 2,467.</p>
Research, Artistry, Innovation and Regional Engagement	
<p>Implement the Northern Illinois Center for Community Sustainability (NICCS) as evidenced by establishment of oversight and advisory committees, progress on architectural engineering and design, as well as creation of a multi-year hiring plan</p>	<p><u>Result:</u> NICCS oversight and advisory committees have been appointed and are active.</p> <p>Four committees are envisaged as management components of NICCS. A charge for the Oversight and Strategy Group (OSG) was completed in October 2018. The OSG comprised of university vice presidents and chaired by the vice president of RIPS meets monthly. As stated in the charge, the OSG ensures NICCS facilities and programs will fulfill the academic, research and outreach-and-engagement missions of the university and are valuable and active components of the Illinois Innovation Network. Upon release of State of Illinois funding for NICCS, the OSG will convene a Facilities Working Group (FWG) and a Program Working Group (PWG) to assist with facilities design and with research, academic and outreach programs, respectively. Both the FWG and PWG will represent the full spectrum of university stakeholders. Currently, the OSG is accepting nominations for the committees. The fourth envisaged group, the External Advisory Committee (EAC), has yet to be convened, but a roster of potential candidates has been assembled. A mission and vision statement for NICCS has been drafted to serve as terms of reference for the FWG, PWG and EAC. The statement will be finalized with their input.</p> <p><u>Result:</u> Progress has been made with respect to architectural engineering and design for NICCS.</p>

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	<p>The university is poised to move forward upon release of appropriated funding from the State of Illinois. Although detailed design efforts await the funding distribution, NIU has developed conceptual options for the facility, including a fully built-out facility, a "white box" or shell approach offering future expansion and partnership within a pre-established structure, or a central facility capable of supporting wings for future expansion and partnership. In addition, procurement processes have been initiated to validate a set of architectural and engineering firms for engagement.</p> <p><u>Result:</u> Multiyear hiring plan to support NICCS has been initiated.</p> <p>Specifically, multiyear hiring for NICCS has been integrated into the provost's overall hiring plan for faculty. The departments of Biology, Anthropology and Geology have hired faculty with expertise to support the three NICCS research themes around food systems innovation, water resources, and ecosystem resiliency. A chief sustainability officer will be recruited to ensure university-wide integration with NICCS efforts. A NICCS director with overall responsibility for the program will be recruited with the distribution of the State of Illinois funds. The hiring plan will be adjusted and refined upon completion of the work by the PWG and the arrival of the director.</p>
<p>Further development of the FY18 Research Cluster CREATE, evidenced by a physical footprint and web presence, six submissions (proposals and/or publications), and one interdisciplinary initiative.</p>	<p><u>Results:</u> A website and footprint have been established for Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE). Center personnel have generated three refereed publications, one peer-reviewed book chapter, eight presentations, four workshops and four interdisciplinary proposals. Details are provided below.</p> <p>In FY19, both the website and footprint for CREATE were fully established. The website describes the activities and impacts of CREATE. The CREATE video offers a highlight of center activities. Renovations of the CREATE offices in Gabel Hall have been completed, and additional improvements are in progress.</p> <p>Since inception, CREATE personnel have produced three refereed publications, one peer-reviewed book chapter, eight presentations and four workshops. Publications include "Technology for Equity and Social Justice in</p>

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	<p>Education” in the <i>International Journal of Multicultural Education</i>; “Automatic Representation of Knowledge Structure: Enhancing Learning Through Knowledge Structure Reflection in an Online Course” in <i>Educational Technology Research and Development</i>; and “Designing for Young Children: Learning, Practice, and Decisions” in the <i>International Journal of Designs for Learning</i>. A peer-reviewed chapter titled “Using Technology to Facilitate Second Language Learning” appeared in <i>The Handbook of Educational Communications and Technology</i>. Eight presentations and four workshops were delivered or organized, respectively, at international and national venues.</p> <p>To date, CREATE has submitted four interdisciplinary proposals. Chronologically, these are: the STEM (Science, Technology, Engineering and Math) Talent Scholarship Initiative (National Science Foundation (NSF)); the Future of Work at the Human-Technology Frontier (FW-HTF) Theme: Collaborative Research: Technology Augmenting Team Efficacy (TATE) (NSF); Interplay between Perception, Action, and Emotion in an Ambiguous Navigation Task (Department of Defense); and The Development of Neuro-Cognition: Promoting Spatial Cognitive Skills Through Physical Activities for STEM Majors (NSF CAREER).</p>
<p>Move at least one of the three proposed CEET doctoral programs through the curricular and IBHE approval processes</p>	<p><u>Results:</u> Three new doctoral programs in the College of Engineering and Engineering Technology (CEET) received all the required curricular approvals at the department, college and university levels, and the concurrence of the provost. New degree programs require the approval of the Board of Trustees and the Illinois Board of Higher Education (IBHE).</p> <p>The NIU Board of Trustees approved new degree programs for three doctoral programs in CEET at its meeting on June 13, 2019 (Items 10.a.10 through 10.a.12). The proposed Ph.D. programs in Electrical Engineering, Industrial and Systems Engineering, and Mechanical Engineering share a distinctive feature, an Industry Fellows Program that will promote deep experiential learning within industrial environments and position graduates for private sector employment.</p> <p>The three engineering doctoral programs were considered and approved by the IBHE at its September 13, 2019 meeting.</p>

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<p>Establish plans for raising minimum stipend for full-time graduate students (0.5 FTE) to \$1,500/month, and for increasing the competitiveness of graduate student stipends in departments where levels most significantly lag disciplinary norms</p>	<p><u>Results:</u> A multiyear plan is in place for raising minimum graduate student stipends and the minimum stipend rate for full-time graduate assistants was set at \$1,500 per month effective Fall 2019.</p> <p>During AY18-19, a task force with representatives from all colleges and chaired by Drs. G.C. Blazey and B. Bond, developed a graduate stipend plan. Effective August 16, 2019, the minimum stipend rate for full-time graduate assistants was set at \$1,500 per month. The amount of funding that hiring units will receive will be based on the number of full-time assistants in place on October 28, 2018. The minimum stipend rate for less than full-time graduate assistants will not be changed.</p> <p>In FY 2021, select programs offering Ph.D. degrees will receive additional assistantship funding to increase stipends to 110% of the average stipend level established by the Oklahoma State University survey of graduate assistant stipends. These programs include Biological Sciences, Chemistry and Biochemistry, Physics and Psychology.</p> <p>The improvement of Ph.D. stipends will be completed in FY 2022 with all other Ph.D. and Ed.D. assistantships set to 100% of the Oklahoma survey. Total cost for these improvements is estimated at \$2.8M per annum.</p>
<p>No fewer than 410 new and sustained partnerships across the university</p>	<p><u>Results:</u> At the end of FY19, reported partnerships totaled 417, including new reports from Northern Illinois Center for Nonprofit Excellence (NICNE), NIU EIGER/<i>ab</i> and CEET.</p> <p>As background, the first institutional survey of partnerships was conducted in Fall 2018, and a total of 370 partnerships were self-reported by faculty and staff. Of these, 80% of partnerships were in place prior to the reporting year and 20% were new. The report of 417 at the end of FY19 suggests an increase over the course of the year consistent with the annual goal. However, with less than half of the campus responding, we are concerned that our reporting methodology might be failing to document the true number of partnerships in place.</p> <p>Before renewing our efforts to encourage reporting, we will look at whether the current reporting framework should be revised to increase its utility. We also will consider how documentation of institutional partnerships</p>

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	could be integrated with our efforts to advance engagement networks as an organizing structure.
Key Leadership Initiatives	
Vision, Mission and Values Statements- Revise and present to BoT for approval at June 2019 meeting	<u>Results:</u> The NIU Board of Trustees approved an update to the Northern Illinois University Vision, Mission and Values Statements on March 7, 2019 (Agenda Item 9.c.1).
Executive Vice President and Provost- Complete search by end of 2018-19 academic year	<u>Results:</u> The NIU Board of Trustees approved the university's request to appoint Beth Fisher Ingram as Executive Vice President and Provost on May 9, 2019 (Agenda Item 7.a).
General Counsel- Complete search by end of 2018-19 academic year	<u>Results:</u> The NIU Board of Trustees approved the university's request to appoint Bryan Perry as General Counsel on June 13, 2019 (Agenda Item 10.c.3).
University-wide Planning- Identify timeline and methodology for university-level strategic plan, including a facilities master plan that creates opportunities for investment in the DeKalb campus, and supports investment in the surrounding community	<p><u>Results:</u></p> <p>Strategic Planning Framework: During FY19, members of the university leadership team considered our revised mission, vision and values, along with the Board of Trustees priorities, the presidential/institutional goals, and the existing university, college and division strategic priorities and plans. From these, six strategic themes were extracted to serve as a framework that can be built out to allow all members of our community to see ways that they can and do support and contribute to NIU's success. The themes are:</p> <ul style="list-style-type: none"> • Student Recruitment and Student Success • Academic Excellence and Curriculum Innovation • Diversity/Equity/Inclusion • Empowerment and Shared Responsibility • Research, Artistry and Engagement • Resource Development and Fiscal Responsibility <p>Over the course of FY20, members of the NIU leadership team will share these themes with employees in their units to encourage the development of local action plans that advance shared priorities. When fully developed, these plans will include not only descriptions of desired outcomes, but also measures of success.</p> <p>This framework and approach were chosen because of our desire to respect thoughtful action plans that are already in place, while also creating space for both new ideas and perspectives on existing plans.</p> <p>Facilities Master Planning Framework: NIU is committed to developing a facilities master plan that will guide future investment and build on past planning efforts. In this context, the plan must respect fiscal realities; leverage</p>

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	<p>partnership opportunities; and maximize energy efficiencies and sustainability. The finished plan will deliver: 1) a prioritization of capital initiatives; 2) an assessment of space utilization; 3) an assessment of facilities condition; and 4) a land use plan.</p> <p>The next steps in the formal plan development process will be consideration of consultancy options, and refinement of scope and cost in accordance with available options; this phase is expected to take between four and six months.</p> <p>Concurrently, the university community and additional stakeholders will be asked to share their ideas regarding capital improvements to our teaching and learning spaces, and programming for the proposed Health Information Technology Center. NIU's Resource, Space and Budget Committee will review their input, and advise the president regarding goals and priorities.</p>
<p>Fiscal Sustainability</p>	
<p>Produce and manage a balanced budget that, in the face of funding pressures, continues to support the university's vision and its priorities with respect to program quality, student services, research support and community engagement</p>	<p><u>Results:</u> FY19 actuals indicate a positive net university operating result of \$644K, excluding depreciation and other GAAP (generally accepted accounting principles) adjustments. While revenues fell short of levels included in the balanced FY19 budget (\$408.8M versus \$424.9M), prudent fiscal management, including cost controls, generated an all-funds budget surplus. \$408.2M in FY19 expenses have been recorded against \$424.9M in budget.</p>
<p>Identify funding and implement an initiatives fund, within the university's budget, in support of areas of strategic importance</p>	<p><u>Results:</u> Execution of the Strategic Enrollment Management (SEM) Plan and student recruitment/retention efforts benefitted from nearly \$2 million in strategic funding in FY19. A total of \$1,970,946 was expended on SEM and recruitment/retention initiatives and activities, including implementation of an admissions chat bot, targeted advertising and a partnership with Wiley Education Services to provide market demand analysis, programmatic marketing, recruitment/lead generation and concierge online-student support services to support online enrollment growth.</p>
<p>Report total funds (inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate) raised on goal of \$17.5M with goal of increasing support for unrestricted scholarships</p>	<p><u>Results:</u> The goal of \$17.5 million was exceeded by \$4.3M. Unrestricted giving increased 15%. Total scholarship giving from all sources increased by 221% with an additional \$10.3M raised, including a \$7M deferred gift.</p>

SUMMARY OF RESULTS AND COMMENTS

Implement CHANCE 50th Anniversary Fund. (Lack of progress is indicated by \$25,000. Significant progress is indicated by \$50,000, and expectations are met by \$75,000)

Results: To date, the CHANCE 50th Anniversary Fund has raised \$26,600. An additional \$6,200 were given in FY19, designated to support student aid and programmatic resources for CHANCE students, with many of these gifts received as the result of the Day of Giving.

University Advancement is in the process of hiring a staff member to focus on fundraising efforts in support of ADEI; specifically, the cultural resource centers and the CHANCE program. The addition to our fundraising staff will enable these programs to receive the attention that they merit.



Northern Illinois
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December 5, 2019

MEMORANDUM

TO: Lisa Freeman, President
Northern Illinois University

FROM: Dennis Barsema, Board Chair
Eric Wasowicz, Vice Chair
Robert Pritchard, Board Secretary
Rita Athas
John Butler
Montel Gayles
Veronica Herrero
Madalynn Mershon

Subject: Annual Presidential Evaluation

This memorandum contains commentary by the members of the NIU Board of Trustees concerning the goals outlined by you for Fiscal Year 2019 (FY19). This correspondence, along with a self-appraisal of presidential performance and letter from you, will be posted on the Board of Trustee's website (<https://www.niu.edu/board/>) and shall collectively serve as a written record of your performance evaluation for FY19.

The Board finds that your overall performance in FY19 met or exceeded the vast majority of your FY19 goals. You had individual goals in five different categories:

1. Enrollment
2. Diversity, Equity and Inclusion
3. Research, Artistry, Innovation and Regional Engagement
4. Key Leadership Initiatives
5. Fiscal Sustainability

Below are Board of Trustee comments on each of the five primary goal categories.

Enrollment

Fall 2019 data indicates significant progress made to stabilize total enrollment, with results within 1% of the benchmark for meeting expectations. For this period, you also exceeded goals for main campus undergraduate enrollment, for new freshman and new transfers, and for the numbers of online students. While the targets for Latinx students and total student enrollment were not met, the Strategic Enrollment Management (SEM) plan (introduced in January 2019), and related Accountability Plan (introduced in March 2019) are guiding broad campus efforts to

achieve stated five-year enrollment objectives. We are confident that current efforts will produce desired success in 2020.

While noting that they were not specifically a part of your FY19 goals, the Board appreciates the important efforts to improve retention and graduation rates. We acknowledge the long-term importance of the investments that have been made in technology and student services, in the use of data, in strategic partnerships, and in collaborations with other universities to identify ways to improve retention and graduation of all students. On balance, you have positioned the university to take important strides in meeting the short- and long-term goals for enrollment, which will inherently include retention, and graduation rates. Furthermore, we are encouraged and commend the collaboration of the leadership team, faculty and staff for achieving the SEM plan objectives. We eagerly look forward over the coming years to having increasingly more students complete their degree work and experience the transformative experience of an NIU education and subsequent career success.

Diversity, Equity and Inclusion

Overall, you met or exceeded all Diversity, Equity and Inclusion goals. Two partnerships were forged to support NIU efforts to close achievement gaps, thus meeting the short-term goal for FY19. Through NIU participation in these collaborative partnerships and equity initiatives, NIU is now positioned to finalize and execute on an equity plan that outlines our commitment to equity and the strategies that will be employed to close or narrow achievement gaps between students of color and their white counterparts. We are pleased with this progress and the learning community that NIU is now a part of through the partner networks, and look forward to working with you to set and monitor progress of specific equity metrics and long-term student success outcomes.

While you exceeded your Business Enterprise Program (BEP) target, we still have much work to do to meet the State of Illinois' 20% aspirational BEP goal. This next year, we will work with you to understand how we can more significantly progress towards this aspirational goal. We fully understand the critical need to recruit, hire, and retain a community of faculty that is more representative of our student body. You have been a leader to your team in exploring new ways of finding talent of color, by collaborating with your current faculty on the INCLUDES assessment, which will inform a faculty of color hiring plan, training faculty and staff involved in faculty searches on implicit bias, the establishment of graduate student and post-doctoral fellowship pipelines internal and external to NIU, and diversify our advertising channels. It is through these changes that we were able to hire 15 new faculty members of color, representing approximately 50% of all new tenure-track faculty hires. This is a tremendous improvement from last year when only one faculty member of color was hired out of 45 hires. We are very pleased with these outcomes and believe these efforts will continue to pay off as we continue to improve and refine them, and as we begin to see the ripple effect they will have on student outcomes.

We also note that the Office of Academic Diversity, Equity and Inclusion offered a variety of cultural competency trainings for faculty and staff in FY19 and achieved a participation rate that was over 30% greater than in FY18. Approximately 40% of all faculty and staff completed a

training, which exceeds the target of 25%. Furthermore, approximately 75% of faculty members completed in at least one training – a vast improvement from the previous year.

Research, Artistry, Innovation and Regional Engagement

Overall, you have met or exceeded all Research, Artistry, Innovation and Engagement goals. Work on the Northern Illinois Center for Community Sustainability (NICCS) is moving forward on a positive tract. The Oversight and Advisory Committee is appointed and active, serving as a prime model of the continued commitment to shared governance, adherence to the mission, and emphasis on linkage to the Illinois Innovation Network. Additional committees are dependent on the release of State funds; however, positively, key steps have been taken which will allow efforts to move forward expeditiously when funds are available. We are excited to learn of the progress being made to development conceptual options for the facility and integration of a multiyear hiring plan (supporting the three research themes of NICCS) into the provost's overall hiring plan for the faculty.

The development of the research cluster, CREATE, has had significant progress on all tracts, website, video, publications and proposals, and renovations. As the Board continues to enhance its understanding of the academic research enterprise, we appreciate the detail you have provided concerning research productivity, and look forward to learning more about this important work of NIU faculty affiliated with the program.

The development of new doctoral programs, and progress addressing a graduate stipend plan have exceeded expectations. Three new key programs have been approved at all levels. The addition of these programs will greatly enhance the research efforts, and national reputation, of the university. Increased stipends for full time graduate students, effective August 16, 2019, and planning for targeted increases for select doctoral program are responsible and strategic. These measures will insure NIU's continued research excellence.

While the number of new partnerships is impressive, we agree that it is important frameworks for reporting engagement initiatives provides an accurate and useful representation. We appreciate your thoughtful reconsideration of this and other means of measuring engagement, greatly value this component of the university's mission, and look forward to working with you toward enhancing and refining this important priority.

Key Leadership Initiatives

Overall, you have met or exceeded all Key Leadership Initiative goals. The university experienced successful completion of these goals in FY19 as a result of the leadership, vision, discipline, and execution of you and your leadership team. You assembled a successful cross-discipline team of faculty, staff, and students to revise NIU's Vision, Mission and Values. The team developed a transparent and inclusive process that led to the Board's approval of the new Vision, Mission and Values in March, 2019. You also initiated searches, and successfully hired, two key members of your leadership team: Beth Ingram, as Executive Vice President and Provost, and Bryan Perry, as General Counsel. Dr. Ingram was approved by the Board on May 9, 2019, and Mr. Perry was approved on June 13, 2019. During FY19, the university also

successfully completed and rolled out the 5-year Strategic Enrollment Accountability Plan. The Board supported this plan as a realistic and comprehensive enrollment plan that will run through 2023. The Board recognizes also that, in FY19, a framework for the university-wide strategic planning, including the development of a Master Facilities Plan, was initiated. During FY20, six strategic themes will focus the leadership team's efforts, resulting in local action plans, complete with desired outcomes and measurements of success. We look forward to monitoring the unfolding components of this strategic planning activity for the benefit of the students, faculty, staff, and larger university community. In FY19, we were extremely pleased with the leadership demonstrated by you and your senior leadership team as it pertained to the Key Leadership Initiatives.

Fiscal Sustainability

Overall, you met or exceeded all Fiscal Sustainability goals apart from "implement CHANCE 50th Anniversary fund." Changes have been made to this effort, as noted below. For the goal of producing a balanced budget, the Board believes this goal has been met or exceeded by the university producing a positive net operating result of \$644,000. As in any business, we set goals for revenues and expenses. They do not always come in exactly the way we plan. We are happy that, even though the top-line revenue goal was not met, we exceeded the delta by cutting expenses by more than the shortfall in revenue. This shows good fiscal restraint and management.

You met or exceeded the goal of identifying and funding areas of strategic importance within the university. We were pleased to see the rollout of the first Strategic Enrollment Management Plan to address one of the greatest needs of the university – increasing enrollment, particularly among freshman and transfer students. The university invested approximately \$2 million to fulfill this plan in FY19 and it showed positive results with the increase of freshman and transfer students on a year-over-year enrollment basis, while the high school grade point average of the Fall 2019 freshman class is the highest in 15 years.

In the area of fundraising and support for unrestricted scholarships, the university exceeded expectations. It has been proven that scholarships help to increase enrollment and a 221% increase in this area is very positive. The NIU Foundation continues to set and achieve higher goals year after year. During this time, we note your extremely active role in fundraising activities and donor relations. You have proven to be a valuable partner to the Foundation. The goals associated with the CHANCE 50th Anniversary Fund were not met, with only minimal progress. While we are disappointed in the lack of progress toward this goal, we are very supportive of this initiative and hopeful additional dedicated resources will make a positive difference toward attainment of this targeted fundraising goal in the future.

The Board would like to recognize that you have been a tireless advocate of the interests of NIU students, faculty, administration and staff, alumni, and local communities. You have fostered great relationships with your peers on a local, state, and national level, which have proven beneficial for NIU in both the short and long term. You have demonstrated great respect for, and represented well, the values of the university. We look forward to the continued transformation and positive evolution of Northern Illinois University under your leadership.

FISCAL YEAR 2019 PRESIDENTIAL GOALS

FY2019 PRESIDENTIAL GOALS

SUMMARY

APPROVED at the December 6, 2018 BOT Meeting

<u>Category</u>	<u>Objective</u>	<u>Weight</u>	<u>Values</u>		
			No Progress	Progress	Met/Exceed
Enrollment (25%)	Stabilize total enrollment	6%	15,715	16,230	16,750
	Sustain main campus undergrad enrollment	5%	11,500	11,600	11,700
	New freshman enrollment		1800	1825	1850
	New transfer enrollment		1525	1550	1575
	Grow on-line enrollment	5%	775	865	950
	Increase new undergrad Hispanic/Latinx enrollment	5%	730	765	800
	Collaborate to close achievement gaps	4%	0 partners	1 partners	≥ 2 partners
Diversity, Equity and Inclusion (20%)	Collaborate to close achievement gaps	3%	0 partners	1 partner	≥2 partners
	Progress toward Business Enterprise Program	3%	\$925,000	\$1.5M	\$2M
	Complete APLU faculty diversity self-assessment	4%		Y/N	
	Increase utilization of affirmative action data	3%		Y/N	
	Stronger graduate student and post-doc pipelines	2%		Y/N	
	Increase diversity recruitment and web presence	2%		Y/N	
	Completion of cultural competency training	3%	10-15%	20%	25%
Research, Artistry, Innovation and Regional Engagement (20%)	Implement NICCS FY2019 Research Cluster	6%	No Progress	Progress	Met/Exceed Goals
	Continue progress CREATE FY2018 Research Cluster	3%	No Progress	Progress	Met/Exceed Goals
	At least one CEET doctoral program to IBHE	3%		Y/N	
	Develop and complete plans to increase graduate stipends	4%	No plans	Incomplete	Finalized
	New and sustained partnerships	4%	370	390	410
Key Leadership Initiatives (15%)	Revise Vision, Mission, Values statements	2%		Y/N	
	Complete Executive VP/Provost Search	2%		Y/N	
	Complete General Counsel Search	2%		Y/N	
	Identify time-line and methodology for strategic plan/facilities master plan	9%		Y/N	
Fiscal Sustainability (20%)	Production and management of balanced budget	7%		Y/N	
	Identify funding and implement initiatives fund	3%	\$250K	\$500K	\$1M
	Total funds raised- philanthropy	7%	\$10.8M	\$15M	\$17.5M
	Implement CHANCE 50 th Anniversary fund	3%	\$25,000	\$50,000	\$75,000