



Meeting
of the
Board of Trustees

September 13, 2018

A G E N D A

**BOARD OF TRUSTEES
of
NORTHERN ILLINOIS UNIVERSITY
9:00 a.m. – Thursday – September 13, 2018
Board of Trustees Room
315 Altgeld Hall**



1. Call to Order and Roll Call
2. Verification of Quorum and Appropriate Notification of Public Meeting
3. Meeting Agenda Approval *Action*.....i
4. Review and Approval of Minutes of August 16, 2018 *Action*.....1
5. Chair's Comments/Announcements
6. Public Comment*
7. Reports of Board Committees and Board Liaisons..... *Information*.....3
 - a. Academic Affairs, Student Affairs and Personnel Committee (AASAP)
 - b. Finance, Audit, Compliance, Facilities, and Operations Committee (FACFO)
 - c. Research and Innovation, Legal and Legislative Affairs Committee (RILLA)
 - d. Illinois Board of Higher Education
 - e. Northern Illinois University Foundation
 - f. Northern Illinois University Alumni Association
 - g. Northern Illinois Research Foundation
8. President's Report No. 126
 - a. University Recommendations Forwarded by the Board Committees
 - 1) Authorization to Retain Executive Search Firms to Support Selected Searches for the Division of Athletics *Action*.....6
 - 2) Fiscal Year 2020 Budget Request for State Funds..... *Action*.....8
 - 3) Fiscal Year 2020 IBHE Capital Budget Request..... *Action*..... 10
 - 4) Out-Lease with City of Sycamore (NIU as Lessor) *Action*..... 26
 - 5) Bowl Game Participation Expenses *Action*..... 27
 - 6) Delegation of Authority for Intellectual Property Litigation *Action*..... 28

b. University Reports Forwarded by the Board Committees	
1) 2017-2018 Faculty Emeritus Recognition	<i>Information</i> 30
2) Fiscal Year 2018 Report Tuition and Fee Waivers	<i>Information</i> 31
3) Fiscal Year 2018 Annual Report of Cash and Investments for Period Ending June 30, 2018	<i>Information</i> 32
4) Fiscal Year 2018 Annual Summary Report – Obligation of Financial Resources - Year Ended June 30, 2018	<i>Information</i> 36
5) Fiscal Year 2018 Quarterly Summary Report of Transactions in Excess of \$100,000 for the Period April 1, 2018 to June 30, 2018.....	<i>Information</i> 37
6) State Legislative Update	<i>Information</i> 42
7) Federal Relations Report	<i>Information</i> 47
8) Sponsored Programs Administration Report	<i>Information</i> 51
9) New Research and Innovation, Legal and Legislative Affairs Initiatives	<i>Information</i> 68
c. Items Directly from the President	
1) AFSCME Council 31, Local 963 Collective Bargaining Agreement	<i>Action</i> 70
2) Higher Learning Commission Assurance Update	<i>Information</i> 93
9. Chair’s Report No. 86	
a. Board of Trustees 2019 Meeting Dates Approval	<i>Action</i> 94
b. 2018 Annual Performance Review of Acting President Freeman	<i>Action</i> 95
10. Other Matters	
11. Closed Session	
12. Consideration Regarding Next Steps for Selecting NIU’s Next President	<i>Action</i> 173
13. Next Meeting Date	
14. Adjournment	

*Individuals wishing to make an appearance before the Board should consult the [Bylaws of the Board of Trustees of Northern Illinois University, Article II, Section 4 – Appearances before the Board](#). Appearance request forms will be available in the Board Room the day of the meeting. For more information contact Chelsea Duis, Recording Secretary to the Board of Trustees, Altgeld Hall 300, DeKalb, IL 60115, at cfrost1@niu.edu or (815) 753-1273.

Anyone needing special accommodations to participate in the NIU Board of Trustees meetings should contact Chelsea Duis, (815) 753-1273, as soon as possible.

Minutes of the
NIU Board of Trustees
Of Northern Illinois University
Special Meeting
August 16, 2018

1. CALL TO ORDER AND ROLL CALL

The meeting was called to order at 12:24 p.m. by Board Chair Wheeler Coleman in the Board of Trustees Room, 315 Altgeld Hall. Recording Secretary Chelsea Duis conducted a roll call. Members present were Trustees Dennis Barsema, John Butler, Nathan Hays, Veronica Herrero, Bob Pritchard, Tim Struthers, Eric Wasowicz, and Wheeler Coleman.

Also present were Acting President Lisa Freeman; Board Liaison Matt Streb; Acting General Counsel Greg Brady; Acting Executive Vice President and Provost Chris McCord; Vice President for Administration and Finance Sarah McGill; Vice President for Outreach, Engagement, and Regional Development Anne Kaplan; and University Advisory Council (UAC) Representatives Therese Arado and Catherine Doederlein.

2. VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING

Acting General Counsel Brady indicated the appropriate notification of the meeting had been provided pursuant to the Illinois Open Meetings Act. Mr. Brady also advised that a quorum was present.

3. MEETING AGENDA APPROVAL

Chair Coleman called for a motion to approve the meeting agenda as proposed. Trustee Eric Wasowicz so moved and Trustee Dennis Barsema seconded. The motion was approved.

4. REVIEW AND APPROVAL OF MINUTES OF JUNE 14, 2018 AND JULY 16, 2018

Chair Coleman called for a motion to approve the minutes of June 14, 2018. Trustee John Butler so moved and Trustee Tim Struthers seconded. The motion was approved.

Chair Coleman called for a motion to approve the minute of July 16, 2018. Trustee Dennis Barsema so moved and Trustee Veronica Herrero seconded. The motion was approved.

5. CHAIR'S COMMENTS/ANNOUNCEMENTS

There were no chair comments or comments from UAC representatives.

6. PUBLIC COMMENT

There were no public comment requests.

7. PRESIDENT'S REPORT 125

Agenda Item 7.a. Chicago-Based Office Leases for the Education Systems Center

Acting President Freeman presented agenda item 7.a. The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Chicago-Based Office Leases for the Education Systems Center. The Education Systems Center is in need of more space and the NIU Alumni Association has been leasing adjacent space that is underutilized and can meet the Center's needs. The additional space would raise the expense obligation from \$244,604 to approximately \$370,000. The lease modification would be in effect from September 1, 2018 to February 15, 2021.

Chair Coleman called for a motion to approve this agenda item. Trustee Veronica Herrero so moved and Trustee John Butler seconded. The motion was approved.

8. OTHER MATTERS

No other matters were discussed.

9. NEXT MEETING

The next Board of Trustees meeting will be held on September 13, 2018.

10. CLOSED SESSION

Chair Coleman called for a motion to close the public meeting to conduct an executive session to discuss the following subjects authorized by the Illinois Open Meetings Act, as amended: Personnel Matters as generally described under Sections 2(c)(1)(2)(3) and (21); Collective Bargaining Matters as generally described under Section 2(c)(2); Closed Session Minutes Matters as generally described under Section 2(c)(21) of the Open Meetings Act.

Trustee Eric Wasowicz so moved and Trustee John Butler seconded. A roll call vote of the Trustees to recess to Closed Session was as follows:

Trustee John Butler: Yes	Trustee Nathan Hays: Yes
Trustee Veronica Herrero: Yes	Trustee Bob Pritchard: Yes
Trustee Tim Struthers: Yes	Trustee Eric Wasowicz: Yes
Vice Chair Dennis Barsema: Yes	Board Chair Wheeler Coleman: Yes

The meeting is now closed and will re-open at the conclusion of the closed session. The Board adjourned for Closed Session at 12:30 p.m.

Reconvene Meeting:

The Board of Trustees of Northern Illinois University reconvened on August 16, 2018, at 3:22 p.m. Chair Coleman announced they were reconvening after the closed session and asked for a roll call. A roll call of the Trustees was as follows:

Vice Chair Dennis Barsema: Here	Trustee John Butler: Here
Trustee Nathan Hays: Here	Trustee Veronica Herrero: Here
Trustee Bob Pritchard: Here	Trustee Tim Struthers: Here
Trustee Eric Wasowicz: Here	Board Chair Wheeler Coleman: Here

11. ADJOURNMENT

Chair Coleman called for a motion to adjourn. Trustee Dennis Barsema so moved and Trustee John Butler seconded. The motion was approved. Meeting adjourned at 3:23 p.m.

Respectfully submitted,

Chelsea Duis
Recording Secretary

In compliance with Illinois Open Meetings Act 5 ILCS 120/1, et seq, a verbatim record of all Northern Illinois University Board of Trustees meetings is maintained by the Board Recording Secretary and is available for review upon request. The minutes contained herein represent a true and accurate summary of the Board proceedings.

REPORTS OF BOARD COMMITTEES AND BOARD LIAISONS

a. Academic Affairs, Student Affairs and Personnel Committee (AASAP)

The Academic Affairs, Student Affairs and Personnel Committee met on August 16, 2018. The Committee discussed and approved one item; authorization to retain executive search firms to support selected searches for the division of Athletics. Additionally, the committee received two informational items; an enrollment management presentation; and Faculty Emeritus Recognition.

b. Finance, Audit, Compliance, Facilities, and Operations Committee (FACFO)

The Finance, Audit, Compliance, Facilities and Operations Committee met on June 14, 2018. The committee approved a total of three action items including the FY19 Internal Budget as well as Marketing and Support for Undergraduate Recruitment and Differential Tuition for Master of Science and Certificate of Graduate Study in Data Analytics. The committee also received one information item, FY17 External Audit Corrective Action Plans Update.

The Finance, Audit, Compliance, Facilities and Operations Committee met on August 16, 2018. The committee approved a total of five action items including the FY20 Budget Request and IBHE Capital Budget Request as well as two items regarding leased property; a Chicago-Based Office Lease for the Education Systems Center and an Out-Lease with the City of Sycamore. The annual Bowl Game expense item was also approved. The committee also received five information items consisting of three annual reports for 2018 – Tuition and Fee Waivers, Cash and Investments, and Obligation of Financial Resources. The Quarterly Summary Report of Transactions in Excess of \$100,000 was included as well as a Facilities Update presentation.

c. Research and Innovation, Legal and Legislative Affairs Committee (RILLA)

The Research and Innovation, Legal and Legislative Affairs Committee met on August 16, 2018. The Research and Innovation, Legal and Legislative Affairs Committee approved delegation of intellectual property litigation to the President and has referred the matter to the full Board of Trustees. The Committee was briefed on state affairs by Mathew Streb, Board Liaison and Chief of Staff to the President and introduced Jenna Mitchell, State Legislative Liaison to the Committee. The Committee received FY18 year-end reports by Anna Quider, Director Federal Relations and Dara Little, Assistant Vice President for Research and Sponsored Programs. Gerald Blazey, Vice President of Research and Innovation Partnerships, discussed formation of a new research center named CREATE (Cross-disciplinary Research on Engaging Advanced Technology for Education), which will focus on the frontier between education and changing technology. The Vice President also announced efforts to form a NIU/DeKalb-based hub of the Discovery Partners Institute, tentatively named the Northern Illinois Center for Community Sustainability (NICCS).

d. Illinois Board of Higher Education

The State of Illinois Board of Higher Education (IBHE) met on August 2, 2018, in two locations connected virtually, Aurora University Inn, Aurora, IL, and the IBHE Office in Springfield, IL.

Actions taken at the Board meeting included consideration and approval of new units of instruction at public community colleges; new operating and/or degree granting authority for independent institutions; and new units of instruction, public service, and research at public universities. All items were approved. NIU had one new degree program approved, the M.S. in Data Sciences.

The Board considered two additional action items. The Board heard from Karen Helland from the IBHE staff regarding proposed amendments to rule in the Nursing School Grant Program. These

were considered and approved. The Board considered a recommendation to revoke the operating and degree granting authority of the Northwest Suburban College of Basic and Allied Health. After consideration in closed Executive Session, the Board approved this revocation.

The Board heard two additional information items from IBHE staff member Nyle Robinson: information on Fiscal Year 2019 Illinois Cooperative Work Study Grant Allocation and information on General Grants Fiscal Year 2019 Allocation.

The next meeting of the IBHE is scheduled for September 18, 2018 at Eastern Illinois University in Charleston, IL.

e. Northern Illinois University Foundation

Fundraising: The final results for fundraising in FY18 were \$10.96 million against the goal of \$17.5 million, however the 3 year rolling average is still at an institutional high due to the record-setting year in FY16.

Despite the reduction in overall philanthropy:

- Giving to general scholarships increased 23% YOY
- Giving to restricted scholarships increased 22% YOY
- Total scholarship giving increased 23% YOY, with an additional \$1.2 million raised
- Annual Fund increased +5.5 % YOY, from \$2.37m in FY17 to over \$2.5m in FY18
- A significant accomplishment was the conversion of the Northern Fund efforts to capitalize on unrestricted revenue. Unrestricted revenue increased in the Northern Fund alone **+136% YOY**

To focus on the need for scholarship support and also to prepare for an eventual university-wide campaign, the Foundation continues its efforts to aggressively engage alumni, donors and friends locally and throughout the country with "Blitz" activities. Several alumni have hosted very productive cultivation events in their homes locally during the past year. Foundation and University Leadership (President Freeman) have traveled to Phoenix, Washington D.C., Denver, and San Francisco in the past months, and were engaged in a robust calendar of events in private homes and clubs throughout the summer months in the Chicago area. This activity yielded an overall increase with a total of 101 events produced overall, which was an increase of 27 events over the previous year.

Upcoming important events:

- The annual Red & Black event is scheduled for Saturday, November 17, and will be held at the Renaissance Schaumburg. The gala will celebrate scholarships and those who make them possible. An award for Visionary Leadership will be given to Jerry Reinsdorf of the Chicago Bulls and Chicago White Sox, in recognition of his leadership and commitment to ensuring quality education throughout the Chicagoland area.

f. Northern Illinois University Alumni Association

Regional & Affinity Groups

- The Rockford Alumni Chapter hosted a student send-off in August, where volunteers and local alumni hosted incoming NIU students and their families to welcome them to NIU. This event was hosted in partnership with Enrollment Management.
- With the return of football comes the opportunity to plan activities in areas where the team is playing. A foundation dinner and pre-game party drew more than 150 alumni and friends in Iowa City, Iowa. There will be similar events in Tallahassee FL, and Salt Lake City & Provo, UT.
- The Black Alumni Council hosted their annual Labor Day events, including a dinner and a picnic on Labor Day Weekend.

- The Latino Alumni Council will be hosting a night out at the Chicago Fire game in late September.
- The Marching Band Alumni Council is preparing for its annual "Fill the Field" event at Homecoming. This event brings back marching band alumni and Silverette alumnae to perform at halftime on October 13.

Events

- The summer was very busy with events, including a boat cruise on Lake Michigan (150 attendees), Young Alumni Night at Pollyanna Brewing Company in Roselle (80 attendees), two Lunch & Learns in Chicago (30 people each), Alumni Night at the Biergarten in Hoffman Estates (200+ attendees) and NIU Day at Guaranteed Rate Field (650 attendees).
- The NIUAA is continuing to plan events targeted at our diverse alumni body, including events focused on the arts, continuing education, young alumni, Huskie athletics, and our travel program.
- Planning is underway for two extended trips to connect with alumni throughout southern Florida and the Los Angeles / San Diego area in 2019.

Communications

- It's coming! Northern Now will be returning in a digital and print format in the autumn of this year. This is a highly collaborative effort among the NIUAA, NIU Foundation, Colleges, and other on-campus units.

g. Northern Illinois Research Foundation

The NIRF Board of Directors did not meet last quarter. The next scheduled NIRF Board meeting was September 8, 2018.

AUTHORIZATION TO RETAIN EXECUTIVE SEARCH FIRMS TO SUPPORT SELECTED SEARCHES FOR THE DIVISION OF ATHLETICS

Summary: Pursuant to the provisions of Public Act 97-0814 and the Northern Illinois University policy on the use of external search firms approved by the Board of Trustees on May 23, 2013 and previous approval at the December 10, 2015 Board meeting, it is recommended that the Board authorize the President to retain such executive search firms to assist in the search for head coaches in the Division of Athletics, as may be necessary. Due to the critical roles and functions that head coaches fulfill at the university, there is a justifiable need to use search firms for such positions, per the NIU Policy On The Use of External Hiring Search Firms wherein criteria related to special expertise and candidate screening are cited. The Illinois Procurement Higher Education Consortium annually establishes a list of search firms prequalified through a competitive bidding process. It is recommended that the firm either be selected from this list, or procured through the approved RFP (Request for Proposal) process.

Recommendation: It is recommended that the President be authorized to select executive search firms to support selected searches for head coaches in the Division of Athletics. It is further recommended that the President report plans to retain such search firms to the Board as soon as practicable, and periodically report back to the Board regarding the selection and status of such searches. The Academic Affairs, Student Affairs and Personnel Committee endorsed this request and ask that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting on September 13, 2018.

NORTHERN ILLINOIS UNIVERSITY POLICY ON THE USE OF EXTERNAL HIRING SEARCH FIRMS

Pursuant to the Northern Illinois University Law, as amended by Illinois Public Act 97-814, it is the policy of Northern Illinois University that charges for the services of an external hiring search firm may not be paid from any source of University funds, except:

- (1) In the hiring of the President of the University, or
- (2) In the case of when the Board of Trustees and the President demonstrate a justifiable need for guidance from an individual or firm with specific expertise in the field of hiring.

In furtherance of this authority, the President may implement this policy through the development of further guidelines and procedures for determining when the use of an external hiring search firm is justified. The Board and/or the President may delegate their respective responsibilities under this policy to appropriate University officials as deemed necessary.

Any NIU hiring department or entity that wishes to utilize the services of an external hiring search firm must make a request to the Office of the President for appropriate review under this policy before engaging the services of such search firm. In determining whether a request qualifies for the justified use of an external hiring search firm, the President will consider the following applicable criteria:

- The nature and scope of the position being filled (e.g., senior level versus non-senior level);
- The nature and scope of the search (e.g., nationwide versus local or regional);
- The University's goals and priorities surrounding the search;
- The availability of personnel, monetary resources and other University resources to dedicate to the search;
- An external search firm's ability to help recruit and screen candidates;
- An external search firm's ability to enhance the quality of a candidate pool;
- An external search firm's ability to help conduct and coordinate the logistics of a search;
- The expertise/specialization of an external search firm in conducting searches
- An external search firm's ability to bring fresh and new perspectives from outside of the University.

Northern Illinois University understands that the determination of whether a search is justified in using the services of an external hiring search firm depends upon the unique circumstances of the search being conducted. The President is not prohibited from considering other factors that may be deemed relevant and important for a search.

Upon completing a review, the President will determine whether justifiable need exists for the selection of an external hiring search firm and shall make a recommendation to the Board of Trustees for final action on the matter at any regular or special meeting of the full Board of Trustees. In its consideration of the matter, the Board will consider the above-referenced applicable criteria, as well as any other factors that may be deemed relevant and important. The Board's decision will be final.

Approved by the Board of Trustees of Northern Illinois University on May 23, 2013.

FISCAL YEAR 2020 BUDGET REQUEST FOR STATE FUNDS

Summary: Each year, at this time, staff seeks the Board’s approval of budget request guidelines or the overall level of state funding requested for the upcoming fiscal year. This total request amount is recognized as the University’s budget request throughout the budget development process. Staff uses the request figure when developing the University’s detailed budget request and other budgetary reporting materials for the Illinois Board of Higher Education and the Illinois General Assembly. This year, during the Fiscal Year 2020 budget development process, the State’s fiscal condition and a number of additional trending issues are likely to play a factor in the outcome of the University’s final budget for next year.

For Fiscal Year 2020, NIU requests a budget funding level of \$91,031,896, plus \$2,535,900 for the University’s academic program priority requests, or PPRs, for a total of \$93,567,796.

Background: In Fiscal Year 2019, the University submitted a Board approved budget request of \$93,628,600 to the Illinois Board of Higher Education. That request reflected an overall return to the revised Fiscal Year 2015 funding level of \$91,092,700, plus \$2,535,900 for the University’s academic program priority requests, or PPRs.

During the past several years, state General Funds appropriations provided to Northern Illinois University have varied greatly and declined significantly. The aggregate funding level during the past five years reflects a state funding deficit of \$81.4 million when compared to a flat-funding scenario at the Fiscal Year 2015 level of support.

<u>State General Funds</u>	<u>State Funding Shortfall Compared to FY15</u>
FY2015: \$91.1 million	
FY2016: \$26.4 million	(\$64.7 million)
FY2017: \$91.1 million	
FY2018: \$81.9 million	(\$9.2 million)
FY2019: \$83.6 million	<u>(\$7.5 million)</u>
	(\$81.4 million)

The Fiscal Year 2020 state budget request presented for the Board’s consideration reflects the University’s commitment to and advocacy for the students, faculty, and staff at NIU. Similar to last year’s request, the \$93.5 million request attempts to secure a more adequate level of state funding support which responsibly supports the University’s mission. The recommended budget request seeks funding for operational support and academic program priorities; details of this request are provided below.

Fiscal Year 2020 Budget Request

1. TOTAL BUDGET REQUEST: \$93,567,796

A. OPERATIONS/BASE FUNDING REQUEST: \$91,031,896

FY19/Current Year Support:	\$83,623,200
3% General Cost Increase:	\$ 2,508,696
Student support/Institutional Aid	\$ 3,100,000
Support for Repairs & Maintenance	<u>\$ 1,800,000</u>
SUBTOTAL	\$91,031,896

B. ACADEMIC PROGRAM PRIORITY REQUESTS: \$2,535,900

To continue programmatic efforts to enhance and strengthen academic commitments in education in conjunction with the Program Prioritization Initiative the following have been identified as the top priorities:

- \$764,200: Data Sciences. To support increasing enrollments and number of degrees awarded in existing degree programs related to data sciences including programs in operations management and information systems, computer science, statistics, engineering, and educational research and evaluation. Also will expand vision of what data sciences encompasses at NIU by bringing in data utilization and applications in areas such as humanities and social sciences as well as business, natural sciences, and engineering. Further, will support the exploration of the integration of these aspects of data sciences through the potential development of an interdisciplinary graduate program in data sciences.
- \$554,900: Nursing. To provide the resources needed to increase enrollments and the numbers of degrees awarded in nursing, which would contribute to the key work force needs in the State of Illinois.
- \$613,800: Health Information Management. To support the development of a new degree program that exists at the intersection of information science, computer science, and health care. A Health Information Management degree will provide undergraduates and graduates with the skills needed to enter high demand health fields dealing with the acquisition, storage, retrieval, and use of information related to health and health services.
- \$603,000: Expanding Offerings of Industrial & Systems Engineering and Mechanical Engineering Programs with Pathways with Community Colleges in the State of IL. To support these priority programs, specifically with a 2 + 2 pathway from local community colleges. The proposed expanded programs will provide an opportunity to attain skills to qualify them for high-skill jobs in different sectors including advanced manufacturing, health care, distribution/logistics, and financial sector jobs.

SUBTOTAL: \$2,535,900

In addition to state funding support, the University will also seek reforms that impact University resources but are considered non-budgetary in nature. Staff will work with the IBHE, the Governor's Office, legislators, and other institutions to seek relief from unfunded mandates and burdensome regulations and requirements related to procurement and civil service. In short, more flexibility is needed in order to adapt and thrive in today's environment.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee endorsed this request and ask that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting on September 13, 2018.

FISCAL YEAR 2020 IBHE CAPITAL BUDGET REQUEST

Summary: The Illinois Board of Higher Education (IBHE) Capital Budget Request is submitted in the fall prior to the budget year in order to meet IBHE and state capital project review and approval submission schedules. The Capital Budget Request consists of two principal categories of projects requesting state funding support. Ten capital projects, totaling approximately \$484M, and 44 capital renewal projects totaling approximately \$95M, are proposed for submission in the attached priorities.

Background: Requests for state funding support include regular capital projects which represent major investments for new construction and major renovation; and capital renewal projects which lists major repairs and system improvement projects with estimated budgets in excess of \$100,000. While changes in priority for regular capital projects may affect the current standing of these projects within the integrated IBHE project listing, capital renewal projects do not have this restriction and have been prioritized to generally conform to current developments with the multi-year major repair investment plan. Table 15 is an excerpt from the FY19 IBHE budget recommendation showing the integrated priorities of capital projects. NIU's first four capital projects are listed as priorities 2, 13, 18, and 27.

From the FY19 State budget legislation, the University's first priority capital project, Health Informatics & Technology Center, received planning authorization for \$3.09M. Additionally, the University received authorization for \$6.8M of capital renewal investments which corresponds to the University's top priority on the FY19 renewal submission supporting the Phase I Boiler Replacement project. How the Governor's Office of Management and Budget (GOMB) manages any shortfall between the capital budget appropriations and bond authorizations will determine how much and when funding may be received for these identified projects.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee endorsed this request and ask that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting on September 13, 2018.

SUMMARY OF BUDGET YEAR CAPITAL IMPROVEMENT REQUESTS
LISTED IN PRIORITY ORDER
NORTHERN ILLINOIS UNIVERSITY

FISCAL YEAR 2020 (VALUES TO BE ADJUSTED FOR INFLATION PRIOR TO SUBMITTING TO IBHE)
CAPITAL REQUEST

(IN THOUSANDS OF DOLLARS)

UNIVERSITY PRIORITY	PROJECT DESCRIPTION/BUDGET CATEGORY	TOTAL ESTIMATED PROJECT COST
<u>Regular Capital Projects</u>		
<u>1</u>	<u>Health Informatics & Technology Center</u>	<u>\$ 80,811</u>
	(Planning)	7,079
	(Building)	66,481
	(Equipment)	7,251
<u>2</u>	<u>Wirtz Hall Renovation</u>	<u>\$ 28,123</u>
	(Planning)	2,671
	(Remodeling & Rehabilitation)	25,453
<u>3</u>	<u>Roadway Reconfiguration & Repair</u>	<u>\$ 8,024</u>
<u>4</u>	<u>Davis Hall Renovation</u>	<u>\$ 49,476</u>
	(Planning)	4,498
	(Remodeling & Rehabilitation)	41,306
	(Equipment)	3,673
<u>5</u>	<u>Adams Hall Renovation</u>	<u>\$ 57,377</u>
	(Planning)	1,171
	(Building)	56,206
<u>6</u>	<u>McMurry Hall Renovation</u>	<u>\$ 46,766</u>
	(Planning)	4,883
	(Building)	41,884
<u>7</u>	<u>Williston Hall Renovation</u>	<u>\$ 107,017</u>
	(Planning)	17,087
	(Building)	89,931
<u>8</u>	<u>Academic Buildings HVAC & Window Replacement</u>	<u>\$ 24,924</u>
<u>9</u>	<u>East Chiller Plant - Chiller Capacity Expansion</u>	<u>\$ 27,700</u>
	(Planning)	5,000
	(Building)	22,700
<u>10</u>	<u>Still Hall and Still Gym Renovation</u>	<u>\$ 54,265</u>
	(Planning)	8,664
	(Building)	45,600
TOTAL, REGULAR CAPITAL PROJECTS		\$ 484,484

SUMMARY OF BUDGET YEAR CAPITAL IMPROVEMENT REQUESTS
LISTED IN PRIORITY ORDER
NORTHERN ILLINOIS UNIVERSITY

FISCAL YEAR 2020 (VALUES TO BE ADJUSTED FOR INFLATION PRIOR TO SUBMITTING TO IBHE)
CAPITAL REQUEST

(IN THOUSANDS OF DOLLARS)

UNIVERSITY PRIORITY	PROJECT DESCRIPTION/BUDGET CATEGORY	TOTAL ESTIMATED PROJECT COST
	<u>Capital Renewal Projects</u>	
R1	Critical Structural Steam Tunnel Distribution Repairs	\$ 5,500
R2	Critical Electrical Infrastructure Improvements Phase IV	\$ 3,550
R3	Academic Building Roof Failures	\$ 5,000
R4	Academic Building Structural Failures	\$ 6,500
R5	Campus Wide Boiler Replacement - Phase II	\$ 12,000
R6	LaTourette Hall - Control Valve Replacement	\$ 2,000
R7	Monat Building Roof Replacement	\$ 357
R8	Davis Hall Parapet Restoration	\$ 1,791
R9	McMurry Stone Repair	\$ 1,638
R10	Founders Library Exterior Maintenance	\$ 402
R11	Williston Hall - Exterior Stair Reconstruction	\$ 102
R12	Campus Telephone System Modernization	\$ 3,500
R13	Primary Data Center Environmental Improvements	\$ 750
R14	NIU Naperville Parking Lot Repairs	\$ 2,394
R15	Broadcast Center Roof Replacement	\$ 279
R16	ADA Upgrades	\$ 3,596
R17	Replace Water Main Central Campus	\$ 1,274
R18	Asbestos Floor Tile Abatement	\$ 1,051
R19	Elevator Rehabilitation	\$ 5,200
R20	DeKalb Campus Building Automation System Upgrades	\$ 1,210
R21	Zulauf Hall Masonry Joint Repair / Tuck-pointing	\$ 2,608
R22	Campus Wide Boiler Replacement - Phase III	\$ 5,000
R23	Davis Hall Observatory Upgrade	\$ 891
R24	DeKalb Campus Sewer Main Repairs	\$ 900
R25	Building Services West Sewer Main Repairs	\$ 512
R26	La Tourette Hall - Water Infiltration	\$ 2,095
R27	NIU Rockford - Various Repairs	\$ 341
R28	Broadcast Center Elevator - Water Infiltration Repairs	\$ 303
R29	Human Resources - Window Repairs	\$ 407
R30	NIU Rockford Parking Lot Repairs	\$ 2,364
R31	Storm Water Management & Pond Maintenance	\$ 204
R32	DeKalb Campus Sidewalk & Street Repairs	\$ 597
R33	DeKalb Campus - Multiple Buildings - Low Slope Roofs	\$ 402
R34	NIU Wellness & Literacy Building Roof Replacement	\$ 1,312
R35	NIU Wellness & Literacy Parking Lot Repairs	\$ 1,970
R36	LED Street/Walkway Light Fixtures	\$ 456
R37	Lorado Taft Health & Safety	\$ 3,461
R38	Modern Collaboratory Classroom Conversions	\$ 3,952
R39	Simulation Labs	\$ 3,688
R40	East Heating Plant Masonry Repairs	\$ 1,696
R41	General Revenue Buildings - Painting	\$ 447
R42	DeKalb Campus - Exterior Door Replacement - Multiple Buildings	\$ 348
R43	East Chiller Plant - Various Repairs	\$ 369
R44	Altgeld Hall - Various Repairs	\$ 3,127
	TOTAL, CAPITAL RENEWAL PROJECTS	\$ 95,544

Table 15
ILLINOIS BOARD OF HIGHER EDUCATION
 HIGHER EDUCATION CAPITAL IMPROVEMENT PROVISIONAL PRIORITY LIST
 FY2019 RECOMMENDATION

(in thousands of dollars)		Project		Budget Category	FY2019 IBHE Recommendation	Total Project Cost ²
Institution		Project		Budget Category	FY2019 IBHE Recommendation	Total Project Cost ²
Statewide (non-add figure)		Capital Renewal - Public Universities, ICCB & IMSA		Repair/Renovate	\$ 327,178.2	\$ 353,309.2
Public Universities and IMSA		Capital Renewal		Repair/Renovate/Remodel	\$ 8,050.0	\$ 8,050.0
1	<i>Illinois Mathematics and Science Academy</i>	Education Building ¹	Repair/Renovate/Remodel	Equipment	10,050.0	10,050.0
2	Northern Illinois University	Computer Science, Health Informatics, & Technology Center ¹	Construction/Equipment	80,810.8	80,810.8	
3	Southern Illinois University Carbondale	Communications Building ¹	Planning/Renovate/Addition	76,901.9	81,157.3	
4	Western Illinois University	Science Building, Phase I	Planning/Construction	92,500.0	92,500.0	
5	Southern Illinois University Edwardsville	Health Sciences Building	Planning	9,170.0	102,870.0	
6	Illinois Mathematics and Science Academy	Replace Heating & Cooling Equipment	Remodeling	3,425.0	3,425.0	
7	Eastern Illinois University	New Science Building	Planning/Construction	117,027.6	117,027.6	
8	Illinois State University	Miller Library Rehabilitation	Addition/Construction	86,944.0	86,944.0	
9	University of Illinois at Springfield	Brookens Library	Remodel/Renovate	58,200.0	58,200.0	
10	University of Illinois at Urbana-Champaign	Main Library	Remodel/Renovate	54,050.0	54,050.0	
11	Northeastern Illinois University	Carruthers Center for Inner City Studies	Remodeling	20,671.0	20,671.0	
12	University of Illinois at Chicago	Advanced Pharmaceutical & Innovation Institute	Renovation/Construction	150,000.0	200,000.0	
13	Northern Illinois University	Wirtz Hall Renovation	Planning/Remodeling	28,123.4	28,123.4	
14	Chicago State University	Nursing Lab (Simulated Hospital)	Renovation	15,375.0	15,375.0	
15	Governors State University	Innovation Center	Planning	4,019.0	47,265.0	
16	Illinois Mathematics and Science Academy	Residence Halls - Phase II, Interior Renovations, Part A	Renovate	2,089.0	23,000.0	
17	Eastern Illinois University	Rehabilitate Life Science/Coleman HVAC & Plumbing, Escalation ²	Rehabilitation	2,209.4	6,966.5	
18	Northern Illinois University	Campus Roadway Repair	Repairs	8,024.3	8,024.3	
19	Eastern Illinois University	Fire Alarm Upgrades	Rehabilitation	4,105.9	4,105.9	
20	University of Illinois at Urbana-Champaign	Math/Statistics/ Data Science Collaborative Facility	Renovate	43,000.0	90,000.0	
21	Chicago State University	Library Exterior Repair (Water Infiltration)	Repairs	5,047.0	5,397.0	
22	Western Illinois University	Science Building, Phase II	Planning/Construction	60,000.0	60,000.0	
23	Governors State University	University Library	Planning	3,295.0	38,755.0	
24	Southern Illinois University Edwardsville	Alton Dental Consolidation	Planning	8,190.0	87,950.0	
25	Illinois State University	Memorie College of Nursing	Planning/Construction	29,773.0	29,773.0	
26	Northeastern Illinois University	Science Building Modernization	Planning	8,400.0	134,020.0	
27	Northern Illinois University	Davis Hall Renovation	Planning	4,497.7	49,476.5	
28	University of Illinois at Urbana-Champaign	School of Art and Design Thinking and Learning Addition	Planning/Construction	64,860.0	85,140.0	
29	Chicago State University	IDC Pool/Bldg HVAC Upgrade	Renovate	6,785.0	6,785.0	
30	Illinois Mathematics and Science Academy	Residence Halls - Phase II, Interior Renovations, Part B	Renovate	1,566.0	See # 16	
Public University & IMSA, Subtotal					\$ 1,391,550.8	\$ 1,989,221.5

* In some cases, IBHE capital recommendations are partial project funding for initial phases such as planning and land acquisition. Total project cost reflects the full cost of project completion including construction, renovation, utilities and equipment. These costs exclude prior year state appropriations and non-state funds.

¹ Planning funds were included in the FY2010 Illinois Jobs Now! program for these projects but funding was never released.

² The EIU HVAC project received \$4.8 million in the FY2010 Illinois Jobs Now! program. This request is to recognize the inflation needs for the project from the original request date.

Narrative on Priority Rationale – Capital Projects

1. Health Informatics & Technology Center

The University is requesting funding for a new Health Informatics & Technology Center. In the last decade the demand for college graduates with expertise in health-based technology fields has increased exponentially. The new facility will offer students a unique learning environment combining the best of a time-honored college education driven by a focus on advancing health technology. The center will have extensive infrastructure to accommodate a broad range of equipment necessary to develop a nationally competitive program with potential for industry and professional certification programs, custom health informatics learning labs, and single classes for corporations and individuals. Experience using “cutting edge” technology in a well-planned, well equipped facility will prepare students to compete and succeed in the intense technologically complex world of the future.

2. Wirtz Hall Renovation

Constructed in 1964, this building houses the College of Health & Human Sciences. This project will provide improvements for programmatic spaces and building efficiency. The need for an upgraded and remodeled building is substantiated by the dramatic changes in the type of physical facilities needed by a modern college to support new learning outcomes and increase interaction with the health community. Plans will focus on the consolidation of key functions of the college operations to provide collaborative classrooms, specialized laboratories with current industry technology integration, and faculty/administrative spaces that facilitate student interaction and interdisciplinary faculty relationships.

3. Roadway Reconfiguration & Repair

Many roadways serving the NIU campus were constructed and are owned by the University. The majority of the road construction coincided with the building surge in the 1950s and 1960s, though much of the east campus road construction pre-dates that period. During the 1970s and 1980s several campus roadways were resurfaced, however, the only significant reconstruction projects that have been completed in recent years focused on the western portion of the campus. Deterioration of east campus streets has progressed to the point that maintenance efforts can no longer keep up with the disintegration on a localized basis. In addition to normal freeze/thaw damage, repairs due to construction projects (underground utility replacement, etc.) have led to a patchwork of street surfaces with seams that allows water to penetrate and add to the deterioration. The additional burden of heavier mass transit traffic on University streets has accelerated the breakdown, particularly at bus stop locations.

4. Davis Hall Renovation

This Gothic style building was built in 1942 and constructed with steel, steel reinforced concrete, and then sheathed with Joliet Limestone. Davis Hall was constructed as the institutions first Science Building and now houses the Geology (Geology and Environmental Geosciences) and Geography departments.

Other than the installation of a telescope in 1965 and air conditioning systems in 1975, no other major renovations have occurred to Davis Hall over the last 76+ years. The building still utilizes the original fused electrical panels. Available power is completely inadequate for modern lab requirements. Davis’ mechanical systems are inefficient, inadequate, and antiquated. The flat roof sections are failing and 2 sides of the building need major repairs to the stonework including overall tuck pointing. In order to continue to be of functional value, the building requires a number of comprehensive infrastructure updates. Existing fume hoods are not able to satisfactorily accommodate the needs of the instruction and research assigned to Davis. There is no elevator service to the 6th and 7th floors. Restroom locations are not compliant with today’s code requirements.

5. Adams Hall Renovation

Originally a woman's dormitory, Adams Hall which opened in 1949 was built with Joliet marble shaped in collegiate Gothic style for the exterior of the building. In 1967 the building was converted into a general revenue administration building. Since the space within Adams Hall was originally designed to accommodate a dormitory, the current use of the building for administrative functions is not compatible with the historical configuration. Currently the building houses faculty and student services operations and requires modernization to achieve an optimal working environment for these operations.

Other than the initial conversion from dormitory use, no other major renovations have occurred over the last 51 years. Available power is inadequate to meet modern technology demands. Mechanical systems are inefficient and antiquated. The existing building supply fan is original to the building and does not provide modern capabilities to temper outside air and reduce humidity levels within the building. This, and the need to provide major repairs to the existing masonry structure and tuck pointing have caused significant problems with the University's ability to control the indoor air quality. High humidity levels in the building within the summer months have created optimal conditions for mold and mildew growth.

6. McMurry Hall Renovation

This Georgian style building was constructed in 1911 and is the second oldest building at Northern Illinois University. McMurry was originally used as a practice school for the education curriculum and eventually converted into classrooms and offices. It currently houses the College of Health and Human Sciences.

Other than the installation of a new roof in 2002, no other major renovations have occurred to McMurry Hall over the last 100+ years. Available power is completely inadequate for modern technology and classroom requirements. McMurry Hall still utilizes window unit air conditioning systems and the various other mechanical systems are inefficient, inadequate, and antiquated. The building was constructed of brick and limestone which requires repairs to address deterioration and water intrusion concerns. Space within McMurry Hall is configured for the building's original use in 1911 and requires updating to accommodate the needs of the College and modern student working environments.

7. Williston Hall Renovation

Williston Hall opened in 1915 and was originally built as a woman's dormitory. Converted to administrative office space in 1969, the building has had no other major renovations over the last 49 years. Available power is inadequate to meet modern technology demands. Mechanical systems are inefficient and antiquated. Repairs are required to the existing masonry structure to address water intrusion and general deterioration. To provide a healthy and attractive work environment for the faculty, staff, and students that occupy the building for various student support services, the University seeks to preform major renovations on Williston Hall to address space functionality of the building and the overall building structure and systems.

8. Academic Buildings HVAC & Window Replacement

Several buildings on campus are experiencing problems with air ventilation systems due to the age of the equipment. Three buildings of primary concern are Reavis, Watson, and Montgomery Halls. Both Reavis and Watson Halls are classroom/faculty office buildings with identical HVAC systems that are 35 years old and can be described as forced dual duct systems (one heat duct/one cooling duct) with units mounted in walls controlling the room temperature. Difficulty keeping constant temperature-humidity and airflow has surfaced in both buildings during the last two years stemming from not only the age of the equipment, but also the inaccessibility for maintenance purposes. Recessed wall units are completely sealed behind masonry walls leaving

no openings for repair of internal parts. This project would remove and replace the recessed wall units, dampers, and temperature controls.

The objective of the Montgomery Hall portion of the project is to convert ventilation systems serving laboratory, office, and classroom areas from existing constant velocity dual duct to variable air volume (VAV). Major portions of trunk and branch duct work will be redesigned and replaced. Some fume hoods would be replaced while all hoods would be retrofitted with monitor controls, sash sensors, alarms, and air flow valves. All building controls would be updated. Asbestos abatement in some areas will also be necessary.

The second part of the project is the replacement of windows throughout Montgomery Hall, Faraday Hall, and the Psych/Math Building. The existing windows date back to the original construction of the buildings, well over thirty years ago. They are generally of a single pane variety and very inefficient in their ability to conserve heat in the winter months and cool air during summer. Current window systems will be installed that are considerably more energy efficient, which will complement the University's efforts at energy efficiency and conservation.

9. East Chiller Plant - Chiller Capacity Expansion

The East Chiller Plant, which was constructed in 2010, currently supplies a portion of the east side of Northern Illinois University's campus with air conditioning through the University's chilled water system. The building was constructed in a way to allow for future expansion as the University grows and expands its current chilled water loop. There are currently four chillers in operation at the facility. During peak load times, the current chillers reach their capacity. There are currently four bays within the facility, two of which have been reserved for future expansion. The expansion will provide an economical air conditioning alternative to the existing outdated, costly to maintain and operate, stand-alone HVAC systems in proximity to the chilled water loop.

This project seeks to provide and install two additional cooling tower cells and all associated piping and equipment within the two empty tower bays to tie into the existing chilled water loop and condensing loop. Ultimately, the addition of this equipment would provide NIU's east campus the ability to connect the remaining buildings (Neptune, Still Hall, Still Gym, McMurray Hall, Anderson Hall, Engineering Building, Barsema Hall, and connection at Watson Creek bridge) to west campus. Additional related mechanical work to support the expansion would include additional power and plumbing and upgrade of sanitary system to accommodate condenser water during blow down.

10. Still Hall and Still Gym Renovation

The Still Hall and Gym were built in 1928 and were converted into office and classroom space in 1964. No other major renovations have occurred in the buildings over the last 54 years. Available power is inadequate to meet modern technology demands. Mechanical, electrical and plumbing systems are inefficient and antiquated. The need to provide major repairs to the existing masonry structure and tuck pointing have caused significant concerns for water intrusion and structural deterioration as the exterior walls are deflecting outward. This project seeks to update the building structure and its mechanical, electrical, and plumbing systems to better meet the needs of modern-day students.

Narrative on Priority Rationale – Capital Renewal Projects

R1. Critical Structural Steam Tunnel Distribution Repairs

Following a recent condition assessment of the existing steam distribution system, various tunnels have been identified as being at significant risk of collapse and disrupting steam support for the campus. The 46 year-old tunnels have had significant deterioration from concrete spalling which is compromising the structural integrity. An unexpected collapse would impact steam distribution and present a significant safety risk to maintenance mechanics operating in the tunnel and pedestrians that may be near the tunnel area as high pressure steam releases. Indications of steam distribution line failure are evident at two locations near Cole Hall and under Gabel Hall. Additionally, a specific vulnerability exists with the single main steam/condensate distribution connection between the east and west portions of the campus which crosses a creek via a pedestrian bridge. Crossing over the Watson Creek, the bridge structurally supports the important high pressure main steam piping and is a major pedestrian link for students and staff between the East and West halves of the NIU Campus. This bridge has been in service for 38 years and its condition has deteriorated from age and harsh weather conditions. This places a significant risk on the supported lines and will cause a loss of heating support to half of the campus.

R2. Critical Electrical Infrastructure Improvements Phase IV

The existing electrical infrastructure on main campus was constructed in the 1960s and components of the system are beyond life expectancy and not repairable. Improvements have systematically been addressed over the past years as funding could be made available, but a final phase is required to address remaining 50+ year-old transformers, switch gears, substations, and distribution cables. Major failures of these components may render portions of the campus without power for extended periods of time and pose significant risk to personnel near this antiquated equipment. Numerous power failures have occurred over the recent past and are demonstrating the increasing deteriorated condition of the system.

R3. Academic Building Roof Failures

Multiple key academic buildings are in dire need of roof replacements due to active leaks and severe deterioration from age. Despite constant efforts at spot repairs, water intrusion occurs after nearly every rain event which disrupts classes, causes interior damage, and contributes to potential interior mold growth. Failed roof systems include Swen Parson Hall, Gabel Hall, the Music Building, and McMurray Hall. Swen Parson Hall houses the entirety of the University's College of Law, a critical data center, and the bursar/student financial aid offices. Significant deterioration in the stone parapets caused by water infiltration and freeze/thaw cycles is creating a falling debris hazard where major portions of the building exterior perimeter are sectioned off to protect pedestrians. The deterioration is compromising the integrity of the relatively new roof system and threatening complete failure. The 66-year old structure is one of the main historical and architecturally significant buildings on the central campus. The parapet requires critical masonry repairs to avoid more serious structural damage to the building wall structure and water intrusion into the roof system. The total number of buildings with failing roofs presents a significant impact on the overall ability to deliver academic courses for affected colleges.

R4. Academic Building Structural Failures

Four academic buildings are experiencing structural failures that if not addressed in the near term will lead to the eventual determination that the buildings are not safe for occupancy. Still Hall and Still Gym are 90 year-old and 118 year-old historic buildings which are experiencing significant deflection of the exterior brick wall structures. While a temporary measure has been implemented to slow the progression of the deflection, the walls will eventually fail and collapse if not addressed. The 54 year-old Anderson Hall is experiencing structural failures allowing water intrusion and corrosion acceleration of the concrete steel reinforcement affecting the building

walls and swimming pool system. Additionally, the 48 year-old Visual Arts building has developed severe fractures and spalling in the exterior concrete structural columns and related concrete roof areas.

R5. Campus Wide Boiler Replacement – Phase II

Phase I was funded in FY19 legislation and will begin the process of replacing the outdated heat generation capacity for the University. A three-phased project in total, Phase II will add two additional boilers or co-generation units to the new centralized plant location and allow the University to no longer rely on the existing 50+ year-old boilers which are well past life expectancy. As the existing nine boiler steam system ages, many of its components have been decommissioned due to severe deterioration of the interior boiler tubes and apparatuses. Two boilers have already been taken out of service due to operational safety concerns. The complete phased replacements will allow the new heat generation to be more energy efficient and capable of varying to seasonal demand fluctuations. All three phases are required to completely remove reliance on the existing over-age boilers. While each phase reduces the risk presented by a catastrophic boiler failure during peak of winter demand, the risk of campus-wide impact will not be adequately mitigated until all three phases are complete and existing boilers can be demolished.

R6. LaTourette Control Valve Replacement

LaTourette Hall is connected to Faraday Hall and together represent NIU's main academic Science building facility. LaTourette was constructed in 1995 and Faraday in 1964. The control valves represent a critical component in control system of the building for maintaining proper pressurization of spaces. Proper airflow, whether it's research in wet chemistry laboratories, the multi-discipline environments of Life Sciences, or the wide-range of healthcare spaces requiring proper directional airflow, is critical in these areas. However, because the existing valves in the building have aged to the point that replacement parts are no longer available, maintaining the required environments of the science spaces has become increasingly difficult.

R7. Monat Building Roof Replacement

The original roof on the NIU Monat Building was installed in 1968 and has deteriorated to the point that patching and intermediate repairs are no longer feasible. Water infiltration and secondary damage is occurring within the building whenever it rains. Roof replacement is necessary to correct the problem. The existing roofing system is a low sloop 3 ply built-up roof. The roof is over 11,600 square feet and will require roughly 1,000 feet of new roof flashing.

R8. Davis Hall Parapet Restoration

Northern Illinois University's Davis Hall was originally constructed in 1942. Over the years, through natural weathering, the masonry tuck pointing around the roof parapet has begun to severely deteriorate. Due to this natural deterioration, water has begun to infiltrate the masonry cavity causing significant spalling and damage to the parapet wall. In order to avoid further damage, tuck pointing of existing masonry structure and restoration of masonry parapet is required to adequately address the water infiltration and falling debris hazard created by this deterioration.

R9. McMurry Stone Repair

McMurry Hall, constructed in 1911, is a three-story, solid brick, masonry-bearing wall structure with decorative cut limestone accents surrounding the doors, windows and eave line of the building. The masonry requires tuck pointing and restoration to ensure the building exterior is kept weather-tight to protect the structural integrity of the bearing walls. The decorative limestone is in poor condition at the south entry and several other locations. The aluminum framed windows installed in 1963 are now worn and leaking and beyond the normal life expectancy for the material.

R10. Founders Library Exterior Maintenance

Due to age and extreme weather conditions, the existing facade of Founders Library has significant wear along the stone cladding expansion joints and the caulking and sealing of the stone facade. This project seeks to re-seal the existing stone facade while also providing new caulking around windows and expansion joints where water infiltration has begun.

R11. Williston Hall - Exterior Stair Reconstruction

Williston Hall's secondary entrance on the east side of the building has an original exterior concrete stair that has begun to fail. Significant settlement has caused the stairs to pull away from the building. Additionally, the stair treads and risers do not meet current code. This project seeks to rebuild the stairs to remedy the settlement and code compliant issues.

R12. Campus Telephone System Modernization

NIU's existing voice system is 25 years-old and comprised of components that are no longer manufactured and software no longer supported. The system is vulnerable to power outages which not only compromises critical emergency communications, but also increases the risk of major component failure. In the past five years, four complete telephone system outages have been experienced due to power-related issues. Necessary component failure repairs have been dependent on finding spare parts from salvage distributors which are increasingly becoming harder to find. This project will replace the existing system with a current generation telephone system that converges voice onto NIU's existing enterprise network using Voice-over-IP (VoIP) technology and leverages a geo-redundant architecture to ensure a robust service that is no longer dependent on a single telephone system facility.

R13. Primary Data Center Environmental Improvements

NIU's primary data-center, located in Swen Parson, houses the majority of the University's enterprise application, server, storage, and network infrastructure. Three key environmental components (uninterruptable power supply, fire suppression, and power distribution) supporting this data-center are past useful life and in dire need of being replaced. These components are critical to providing a stable operating environment for the multi-million-dollar data management infrastructure. A failure of these components will directly impact major portions of the campus and support to academic course delivery. The uninterruptable power supply (UPS) system is several years beyond its useful life, and is no longer able to be repaired when parts fail. The fire suppression is also beyond its useful life and may not be reliable, putting both the building and data system at risk for significant damage and causing severe campus impacts. The AC power distribution infrastructure within the data center needs to be replaced to ensure reliable and redundant power delivery.

R14. NIU Naperville Parking Lot Repairs

Northern Illinois University Naperville parking lot is in need of extensive repairs. There are significant areas in which the parking lot surface is failing. Pot holes and crumbling asphalt are significant and are made worse by continuous heavy vehicular traffic from both NIU faculty, staff, and students, but also NIU patrons as well. The scope of work would include a complete removal of the existing asphalt, the addition of compacted sub base as necessary, and a completely new asphalt surface (including binder course).

R15. Broadcast Center Roof Replacement

The roof on the NIU Broadcast Center was installed in 1996 and has deteriorated to the point that patching and intermediate repairs are no longer feasible. Water infiltration and secondary damage is occurring within the building from each rain event. A complete roof replacement is necessary to correct the problem. This project seeks to remove and replace the existing EPDM low slope roofing system (including but not limited to membrane, insulation, and underlayment).

R16. ADA Upgrades

Many University buildings were built before 1998 (Americans with Disabilities Act - ADA) and lack the needed amenities for individuals with disabilities. In order for NIU to continue to provide sufficient facilities to our students, staff, and visitor's with disabilities, NIU seeks to update various areas on campus to meet the current ADA code. The work includes, but is not limited to, the renovation of existing handicap toilet rooms, ramps, entry pathways and doors, lifts, service counters, adaptive hearing mechanisms, and exterior improvements to accommodate individuals with disabilities.

R17. Replace Water Main Central Campus

The NIU Campus domestic water main piping distribution system consists of looped piping networks interconnected with the City of DeKalb water distribution system at many points. In 1990, a utility system assessment effort was completed to recommend improvements to underground water distribution piping. The study recommended that 1,700 feet of the central campus 6-inch water main, installed in 1959, be replaced within five years of the report due to deterioration and capacity flow concerns to ensure maximum fire hydrant flows with minimum pressure drops during emergencies. This project will also include critically required valve vaults for isolating breaks without major disruption of water service.

R18. Asbestos Floor Tile Abatement

DuSable Hall, Reavis Hall and Watson Hall are some of the most widely utilized classroom buildings and house a significant number of general education classes. The overall outdated appearance of these buildings have a significant impact on student recruitment and retention. DuSable Hall (built in 1968), Reavis Hall (built in 1957), and Watson Hall (built in 1962) still have the original asbestos floor tile and mastic in the classrooms and hallways. Over the years the tile has become worn and has started to chip and deteriorate. In an effort to not only improve the overall look of the facilities but also reduce/eliminate the potential spread of friable asbestos, this project seeks to remove the existing asbestos tile and mastic and replace it with up to date finishes that do not pose a threat to the health and life safety of students, faculty, staff, and visitors.

R19. Elevator Rehabilitation

Northern Illinois University seeks to rehabilitate several elevators on campus to ensure improved reliability for meeting ADA accessibility requirements. After many years of service, the elevators in many academic and administrative buildings have become difficult to repair because of outdated components, unavailability of spare parts, and overall high repair costs. They provide unacceptable levels of performance with increasing frequency of breakdowns, and impacts to students with mobility restrictions. Many exiting controllers are not equipped with the necessary fire protection technology and do not comply with local and national codes.

R20. DeKalb Campus Building Automation System Upgrades

Many buildings on Northern Illinois University's DeKalb Campus have building automation

systems controlling the heating, cooling, and humidity levels that have become obsolete. Specifically, NIU Monsanto and Altgeld Hall have systems in place that are seeing significant degradation. Parts are no longer available for the systems and our building engineers are no longer able to adequately control temperature and climate. Continued use in this state may result in a total loss of control, rendering the building(s) un-useable. Project seeks to replace existing Building Automation Systems with current, up-to-date technology.

R21. Zulauf Hall Masonry Joint Repair / Tuck-pointing

Zulauf Hall, constructed in 1968, is an eight-story, solid brick masonry structure. The masonry requires cleaning, tuck pointing, and restoration to ensure the building exterior is kept weather-tight. Over time, the masonry tuck-pointing has degraded to a point in which water is constantly entering the building, most notably on the upper floors. This cause's significant disruption to internal activities as well as continued maintenance and air quality issues within the building.

R22. Campus Wide Boiler Replacement – Phase III

A three phased project in total, Phase III will remove the nine existing 50+ year-old boilers which will no longer be required at this stage of the phased project. The removal action is essential to ensure the existing boilers are completely disconnected from the steam distribution system and any hazardous components are removed.

R23. Davis Hall Observatory Upgrade

Davis Hall was built in 1943 to house the classrooms for all the natural sciences. Today it currently holds many of those same departments such as geology, geography, meteorology, and astronomy. The observatory telescope atop Davis Hall was not added until 1965. The observatory rests upon the original pair of hydraulic cylinders which allow the floor to be raised and lowered for better use of the telescopes. The clock drive also makes possible reliable 10- and 20-minute astrophotography. While the systems are still functional, they have begun to show their age and are in need of repair and/or replacement. This project seeks to renovate the existing observatory by repairing and/or removing and replacing the existing hydraulic equipment and clock drive to ensure that it remains in operation for years to come.

R24. DeKalb Campus Sewer Main Repairs

The existing DeKalb Campus Sewer Main system is over 60 years old and is well beyond its useful life. Significant upgrades need to be made in order to bring the system in compliance with modern code and utilization standards. This project will be conducted in two phases. Phase I will consist of an overall assessment of the existing DeKalb Campus Sewer Main. Phase II will consist of repair, removal, and replacement of the system as determined in the Phase I assessment. Anticipated repairs to the existing DeKalb Campus Sewer Main may include, but not be limited to, storm drain renovations, sanitary line renovations, boiler drain updates, and overall system compliance.

R25. Building Services West Sewer Main Repairs

The NIU Building Services operation exists in a building which is supported by a stand-alone septic system. Over the years, this system has begun to deteriorate to a point where it requires consistent monthly maintenance to ensure proper operations and is well beyond its useful life. The scope of work is to tie the system into the nearby the City of DeKalb sewers.

R26. La Tourette Hall - Water Infiltration

LaTourette Hall was built in 1995. Over the years, occupants have noticed increasing and

repeated water infiltration into interior spaces. The source of the water has yet to be determined, but it has caused significant damage to interior finishes. This project requires a thorough assessment of exterior wall construction, detailing, and eventual repair.

R27. NIU Rockford - Various Repairs

NIU Rockford was constructed in 1995. Over the years, the building has seen normal wear and tear. As the building ages, some items become non-compliant with code and additional infrastructure needs to be provided to better control building systems. Additionally, the building has seen some significant water infiltration that is causing significant damage to the interior building finishes. This project seeks to reconstruct venting for the boiler so that it meets code, installing several isolation valves to better control the system as a whole, and finally assessment and repair of any areas of infiltration on the building exterior.

R28. Broadcast Center Elevator - Water Infiltration Repairs

Northern Illinois University Broadcast center elevator has, for a long period of time, continued water infiltration into the elevator pit. At times, this infiltration causes significant damage to the elevator equipment and in extreme conditions allows oil from the hydraulic elevator to flow from the pit and into the adjacent Kishwaukee River (which mandates EPA cleanup). This project seeks to assess the elevator for areas of infiltration and provide repairs as necessary.

R29. Human Resources - Window Repairs

Northern Illinois University Human Resources building is located on the west side of campus and is exposed to significant weather as it is not protected by any adjacent structures. While the facility is relatively new, the windows have begun to leak to a point in which the plastic laminate sills have begun to delaminate. Water infiltration is constant when raining and if left as-is would continue to deteriorate interior finishes. This project seeks to repair the existing windows and associated sills and jambs; including but not limited to caulking broken seals and delaminating finishes.

R30. NIU Rockford Parking Lot Repairs

Northern Illinois University Rockford parking lot is in need of extensive repairs. There are significant areas in which the parking lot surface is failing. Pot holes and crumbling asphalt are significant and are made worse by continuous heavy vehicular traffic from both NIU faculty, staff, and students but also NIU patrons as well. The scope of work would include a complete removal of the existing asphalt, the addition of compacted sub base as necessary, and a completely new asphalt surface (including binder course).

R31. Storm Water Management & Pond Maintenance

Northern Illinois University has several ponds and streams that flow into our overall storm water management system. Over time, this system does need general maintenance to ensure that during large water events University buildings, roadways, and green spaces do not flood. The work would include general maintenance of ponds, fountains, and aerators. In some circumstances, dredging and removal of invasive species needs to occur; this includes, but is not limited to, the removal of sediment and vegetation. Additionally, in order to prevent the growth of algae and other bacteria, ponds must be treated annually.

R32. DeKalb Campus Sidewalk & Street Repairs

Northern Illinois University has several miles of sidewalks and streets through its DeKalb campus. Every year these vehicular and pedestrian pathways require standard maintenance due to wear and tear from salt usage in the winter, bus and heavy vehicular traffic, and extreme temperature fluctuations throughout the year. The scope of work would focus on removing tripping hazards on sidewalks; repairing streets that have buckled or contain pot holes; man hole settlement repairs; and finally repairing/replacement of broken or missing exterior pavers.

R33. DeKalb Campus - Multiple Buildings - Low Slope Roofs

Numerous buildings on the Northern Illinois University Campus currently have single ply membranes that are or have approached the end of both their warranty period and useful life, including but not limited to Faraday Hall, the Engineering Building, and Evans Field House. This project seeks to either extend the warranty by applying coatings to increase longevity or in some cases where that is not an option, remove and replace in its entirety.

R34. Wellness & Literacy Building Roof Replacement

The original roof on the Monsanto Building was installed in 1954. Over the years (and prior to Northern Illinois University ownership of the facility), a total of eleven different roofing systems were installed on the structure. The roofing system is beyond its useful life and has deteriorated to the point that patching and intermediate repairs are no longer feasible. Additionally, the inconsistent roofing causes significant maintenance problems along with continued roof leaks. This project seeks to rectify the problem by replacing the roofing system in its entirety (including but not limited to membranes, insulation, and underlayment).

R35. NIU Wellness & Literacy Parking Lot Repairs

Northern Illinois Monsanto Building parking lot, located on the north side of DeKalb, is in need of extensive repairs. There are significant areas in which the parking lot surface is failing. Pot holes and crumbling asphalt are significant and are made worse by continuous heavy vehicular traffic from both NIU faculty, staff, and students but also NIU patrons as well. The scope of work would include a complete removal of the existing asphalt, the addition of compacted sub base as necessary, and a completely new asphalt surface (including binder course).

R36. LED Street/Walkway Light Fixtures

Northern Illinois University, in an effort to increase both energy savings and cost savings, has systematically been replacing existing exterior street/walkway light fixtures with LED options. This project seeks to continue those efforts.

R37. Lorado Taft Health & Life Safety

Lorado Taft, NIU's outdoor education and conference center, is open year-round to any group of 40 to 160 people. The Taft Campus has 14 facilities that range in age from 116 years to 13 years. Most of the buildings were constructed in the 50's and 60's and have begun to show their age. Existing HVAC systems, Fire Protection Systems, and other occupancy features intended to minimize danger to patrons that visit the facilities are significantly past their useful life. In an effort to reduce the risk of system failure, this project seeks to renovate the existing facilities to bring them up to date with modern day code, health, and life safety standards.

R38. Modern Collaboratory Classroom Conversions

New students arrive on campus with increasing technology expectations and it is essential to provide up-to-date technology in classroom environments for students and teaching staff. Collaboratory classrooms are intended to provide a high tech tool and seating configuration; environment specifically created to facilitate active, collaborative learning in a board-room like

seating arrangement. The physical design of the room, accessibility to computer based and on-line web information, along with the nature of the class materials and the makeup of the groups are carefully structured to encourage students to interact as a team during problem solving tasks.

R39. Simulation Labs

Northern Illinois University School of Nursing prides itself on its ability to provide its students with a dynamic hands-on teaching environment. In order to continue to provide this type of high-level, theoretical knowledge-based education, the School of Nursing seeks to enhance their existing facilities with four additional simulation labs (and integral control rooms) in which students have the opportunity to practice essential skills in a computer based lab. Mannequins simulate a variety of symptoms that can be found in real life scenarios. This experiential and active learning environment is essential in providing our students with the skills necessary to be successful within the nursing field.

R40. East Heating Plant Masonry Repairs

The existing East Heating Plant coal silo has not been utilized since the University's departure from coal as a form of heating. As a result, the existing silo has sat unused for quite some time. Over the years the veneer has begun spalling and large portions of masonry have begun to fall off. In order to address this problem, the University seeks to tuck point the existing masonry structure and perform restoration of the masonry walls that have begun to deteriorate and crack.

R41. General Revenue Buildings - Painting

Northern Illinois University has over 75 General Revenue facilities located on its main campus in DeKalb Illinois. Of those 75 buildings approximately 80% are over 40 years old and 53% are over 50 years old. The majority of these facilities have not been renovated since they were originally constructed. While Northern Illinois University has continued to provide exceptional maintenance to all facilities, in most cases the interior and exterior painting of the buildings has not been done in 10 to 20 years. As such, the facilities are showing their age. In an effort to better maintain our General Revenue facilities and be on par with peer institutions, this project seeks to provide painting to these facilities in order to make them more appealing and inviting to students, faculty, staff, and visitors.

R42. DeKalb Campus - Exterior Door Replacement - Multiple Buildings

Gable Hall (1958) and Graham Hall (1964), still utilize the original doors and frames. While unique, these doors and frames are made of wood. Sills and jambs have begun to rot, causing constant climate infiltration. Doors and jambs have been painted numerous times to the point in which it is no longer feasible to refinish the surfaces again. Glass is single paneled, limiting the energy efficiency of the structure. This project seeks to replace all the existing doors and frames (including side lights) with exterior grade prefinished aluminum doors with double paneled windows and low E coatings.

R43. East Chiller Plant - Various Repairs

Northern Illinois University has increasingly seen problems from added sediment within the chilled water loops and terminal units in the buildings. This additional sediment has caused significant clogging, which inhibits the University's ability to provide cooling to said buildings. This project seeks to install a dirt and air separator on to the east side chilled water loop to remove sediment and air from the chilled water loop. The addition of a dirt and air separator will prolong the longevity of the entire system by removing sediment and air. The scope of work would include the purchase and installation of a dirt and air separator; rerouting of the existing chilled water mains so they

may run through the new unit before the chilled water reaches the main pumps that circulate water throughout campus.

R44. Altgeld Hall - Various Repairs

Altgeld Hall, while renovated in 2002 serves as a landmark building for the University. As with any building, wear and tear is expected. This project seeks to replace existing worn and stained carpeting; replace the existing original wood ballroom flooring which has begun to splinter as well as peel, provide additional masonry truck pointing repairs to several areas in the building where water has either begun to infiltrate the building or is causing significant spalling of the exterior masonry. Specifically, water infiltration within the ballroom will need to be assessed and repaired as needed.

**OUT-LEASE WITH CITY OF SYCAMORE
(NIU as LESSOR)**

Summary: The City of Sycamore has leased approximately 11 acres of land over the past 20 years for the purposes of supporting their public works functions. The current lease expires November 2018 and the tenant desires to exercise an option for an additional 20-year term. The University would like to continue the long-standing relationship with the City of Sycamore by executing the prearranged option to extend the existing lease terms to November 2038.

Background: Located on North Cross Street immediately south of the City's wastewater treatment plant, the property was originally part of a 34-acre site for the College of Engineering, which eventually moved to the main campus in 1995 with the construction of the Engineering building.

The original lease with the City of Sycamore was approved by the Board in December 1997. Under the terms of the lease, the City has constructed a 31,930 SF building on the site housing their Public Works Department street and sanitary sewer functions; including offices, maintenance shop, sign shop, vehicle storage, equipment storage, and road salt storage.

Based on the previously agreed terms of the lease, the total revenue may amount to approximately \$50,000 over the 20-year term.

Funding: Revenue-only lease agreement

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee endorsed this request and ask that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting on September 13, 2018.

BOWL GAME PARTICIPATION EXPENSES

Summary: The University is requesting that the Board of Trustees delegate to the President, or designee, approval for all necessary and proper expenses related to NIU’s participation in a post-season Bowl Game competition, including (but not limited to) the following: the Bowl agreement(s), expenses relating to ticketing, tickets, travel/transportation, lodging, rentals, insurance, dining, beverages (non-alcoholic), fees, services, broadcast rights, apparel, commodities, equipment, and supplies. Further, such approval is requested to also authorize the President, or designee, to undertake all business transactions necessary in relation to an anticipated upcoming Bowl event, reporting actions taken where required beyond customary authorizations at a subsequent meeting of the Board.

Funding: Institutional – Local Funds, Intercollegiate Athletics

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee endorsed this request and ask that the President forward it by means of the President’s Report to the Board of Trustees for approval at its meeting on September 13, 2018.

Amount Paid in FY18: \$460,000
Amount Paid in FY17: N/A
Amount Paid in FY16: \$875,000

DELEGATION OF AUTHORITY FOR INTELLECTUAL PROPERTY LITIGATION

Summary: The Office of Innovation in the Division of Research and Innovation Partnerships (RIPS) has responsibility for establishing and protecting University owned intellectual property. Intellectual Property (IP) is broadly defined as a creation of the mind and includes inventions, software, literary works, performing and visual arts, digital works, film, photographs, designs and tangible research property. With respect to inventions, on behalf of the University, RIPS processes non-disclosure agreements, initiates or accepts invention patents, and negotiates and collects royalties and licensing fees.

Occasionally, the party to a royalty or licensing agreement fails to meet contractual obligations. Typically, such breaches of contract are resolved through communication and, if appropriate, renegotiation of terms. This was recently the case in a copyright infringement that resulted in a favorable settlement to the University.

Unfortunately, such good faith actions are at times ineffective, leaving litigation as a final remedy. We have recently encountered such a situation with a firm that provides products and services for inventory control. For over two years, the firm has failed to provide required sales reports or paid the sales-based fees. The lost revenue is estimated between \$50,000 and \$100,000.

At this point, litigation seems to be the remaining remedy. The authority to pursue legal action rests with the Board of Trustees. However, rather than request authority for this individual case, we believe the Board should consider delegating authority to litigate all IP matters to the President of the University. The option to quickly and efficiently move to litigation when warranted will strengthen the University's ability to protect IP and discourage future abuse of University IP.

Recommendation: To ensure a complete and effective set of tools to protect intellectual property, the University requests that the Board of Trustees delegate authority to litigate intellectual property matters to the President of the University. If approved, this delegation of authority would be documented in an amendment to Section VII, Subsection E. of the Regulations of the Board of Trustees, which would read (additions are highlighted):

SECTION VII. OTHER OPERATIONAL MATTERS

Subsection E. Legal Proceedings and Actions

1. CLAIMS AND COLLECTION ACTIONS

For legal matters involving (a) relatively routine collection matters or (b) forcible entry and detainer actions when any tenant of a university facility fails to abide by the terms of the lease due to nonpayment of rent or otherwise, instituted by the university involving less than \$250,000, the Board of Trustees delegates authority to the president or appropriate designee to initiate and resolve proceedings on behalf of the Board of Trustees in appropriate courts or other suitable forums to enforce, collect or protect legal interests of the Board and the university. Where a cross-claim or counterclaim is raised in a collection case, the Board Chair shall be promptly consulted on the matter.

2. ENFORCEMENT OF INTELLECTUAL PROPERTY RIGHTS AND INTERESTS

For legal matters involving the enforcement of the University's intellectual property rights and interests, the Board of Trustees delegates authority to the president or appropriate designee to initiate and resolve proceedings on behalf of the Board of Trustees in appropriate courts or other suitable forums to enforce, collect, or to protect the intellectual

property rights and interests of the Board and the university. When determining whether to initiate or resolve such legal proceedings, the president or designee shall appropriately consult with the university's general counsel and the vice president who is charged with the responsibility of maintaining the university's intellectual property portfolio. Additional consultations may be necessary depending upon the circumstances. The president (or designee) or general counsel shall provide the Board with notice that such legal proceedings have been initiated or resolved as soon as practical.

The Research and Innovation, Legal and Legislative Affairs Committee endorsed this request and ask that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting on September 13, 2018.

2017-2018 FACULTY EMERITUS RECOGNITION

Universities have a long tradition of granting emeritus status to faculty who retire in good standing. Northern Illinois University has created a regular process for the identification of retirees for whom the emeritus designation is appropriate. A list of ranked faculty who have announced or finalized retirements during the fiscal year is prepared annually by Human Resource Services and reviewed by the Provost for presentation to the Board of Trustees. The University hereby informs the Board of Trustees of the retired faculty members designated as emeritus for FY2018.

The faculty being granted emeritus status, with their departments, ranks, any special status, and dates of retirement are as follows:

Name	Department	Rank and Special Status	Retirement Date
Bellout, Hamid	Mathematical Sciences	Professor	7/1/2017
Birberick, Anne L	Vice Provost	Associate Professor	5/1/2018
Burns, Gary C	Communication	Professor	1/1/2018
Cordell, Rosanne Marie	Libraries	Associate Professor	6/15/2017
Ebrahimi, Nader B	Statistics	Professor, PRSAP	6/1/2018
Fallahi, Behrooz	Mechanical Engineering	Professor	1/1/2018
Gasser, Kenneth W	Biological Sciences	Associate Professor	1/1/2018
Haque, Fareed U	Music	Professor	6/1/2018
Harris, Bernard J	Mathematical Sciences	Professor	1/1/2018
Hashemian, Reza	Electrical Engineering	Professor	6/1/2018
Holbrook, Gabriel P	Biological Sciences	Associate Professor	9/1/2017
Jeria, Jorge M	Counseling, Adult & Higher Ed	Professor	8/1/2018
Johns, Mitrick A	Biological Sciences	Associate Professor	6/1/2018
Johnson, James M	Finance	Professor, PTP	6/1/2018
Khoury, Helen A	Mathematical Sciences	Associate Professor	8/1/2017
Koenig, Heidi O	Public Administration	Associate Professor	11/1/2017
Krmenec, Andrew J	Geography	Professor	6/1/2018
Lonergan, David F	Libraries	Professor	8/1/2018
Long, Gregory A	Allied Health & Comm Disorders	Professor, PTP	7/1/2017
Meganathan, Rangaswamy	Biological Sciences	Professor, PRSAP	8/1/2017
Neal, LaVonne Isabelle	Administration & Finance	Professor	7/1/2018
Olson, Chalermsee	Libraries	Associate Professor	9/1/2017
Renk, Kathleen J	English	Professor	7/1/2018
Schultz, Kurt G	School of Art and Design	Associate Professor	6/1/2018
Sinason, David H	Accountancy	Professor	6/1/2018
Skowronski, John Joseph	Psychology	Professor, PRSAT, BOT	6/1/2018
Smith, J Harvey	P-20 Center	Associate Professor	4/1/2018
Stoddard, Paul R	Geology and Environmtl Geosci	Associate Professor	1/1/2018
Tattersall, Patricia J	Allied Health & Comm Disorders	Associate Professor	7/1/2018
Walker, James A	Geology and Environmtl Geosci	Professor	6/1/2018

FISCAL YEAR 2018 REPORT TUITION AND FEE WAIVERS

The Illinois Board of Higher Education issued Tuition and Fee Waiver Guidelines for Illinois Public Universities in June 1999, which was amended in February 2000. These guidelines include the requirement that tuition and fee waivers granted during the fiscal year be reported to each university's Board of Trustees. Pursuant to that requirement, the University has prepared the following report.

TUITION AND FEE WAIVERS
FISCAL YEAR 2018
(\$ in thousands)

(in thousands of dollars)	Number of Recipients (unduplicated)	Tuition Waived		Fees Waived	
		Number of Recipients (unduplicated)	Value of Waivers	Number of Recipients (unduplicated)	Value of Waivers
<u>MANDATORY WAIVER CATEGORY</u>					
<u>PROGRAM:</u>					
Teacher Special Education	145	145	612	132	189
General Assembly	-	-	-	-	-
ROTC	48	48	297	30	2
DCFS	24	24	197	19	24
Children of Employees	132	132	539	-	-
Senior Citizens	5	5	22	-	-
Honorary Scholarships	-	-	-	-	-
Veterans Grants & Scholarships*	158	158	1,280	158	10
Other (please specify)**	-	-	-	-	-
Unduplicated Mandatory Waiver Count Total ***	512		2,946	339	225

DISCRETIONARY WAIVERS CATEGORY

<u>PROGRAM:</u>					
Faculty/Administrators (Non-Civil Service)	111	111	443	6	4
Civil Service	136	136	524	69	71
Interinstitutional/Related Agencies	36	36	109	-	-
Retired University Employees	12	12	30	3	2
Children of Deceased Employees	2	2	10	1	1
Children of Employees	-	-	-	-	-
Academic/Other Talent	686	686	3,744	-	-
Athletic	209	209	1,844	-	-
Gender Equity in Intercollegiate Athletics	177	177	1,797	-	-
Foreign Exchange Students	-	-	-	-	-
Out-of-State Students	-	-	-	-	-
Foreign Students	14	14	118	-	-
Fellowships	15	15	61	-	-
Student Need - Financial Aid	1	1	11	-	-
Student Need - Special Programs	5	5	21	-	-
Cooperating Professionals	348	348	906	-	-
Research Assistants	544	544	2,850	-	-
Teaching Assistants	934	934	5,446	-	-
Other Assistants	215	215	1,430	-	-
Contract/Training Grants	22	22	187	-	-
Unduplicated Discretionary Waiver Count Total ***	3,467	3,467	19,531	79	78

Unduplicated Summary Tuition and/or Fees	Number of Recipients	Total Value of Waivers
Mandatory Waiver Category Total***	512	\$ 3,171
Discretionary Waiver Category Total***	3,467	\$ 19,609
Total count of Waivers****	3,979	\$ 22,780

* Illinois Veterans Grants (ISAC), Illinois National Guard Grants (ISAC), and POW/MIA Scholarships (Department of Veterans' Affairs). Included are only the waived (unfunded) portion of these grants.

** Other waiver categories must be approved by the Board of Higher Education prior to reporting.

*** Each recipient is counted only once in the unduplicated count even if they benefited from multiple waivers during the academic year.

**** Each recipient is counted only once in the Total Count of Waivers even if they benefited from a mandatory and a discretionary waiver.

**FISCAL YEAR 2018 ANNUAL REPORT OF CASH AND INVESTMENTS
FOR PERIOD ENDING JUNE 30, 2018**

This report is required by Board of Trustees *Regulations* (Section V, Subsection D). The following schedules are included:

- Cash and Investment Holdings Summary
- Investment Earnings by Type and Duration
- Report of Depositories

The Investment Committee is responsible for monitoring compliance with the University's Investment and Cash Management Policy. The investment goals, as stated in the policy, are to insure the preservation of principal and maintain compliance with applicable state laws, rules, regulations, debt covenants, and Board of Trustees *Regulations* while meeting cash flow needs and earning a yield acceptable to conservative investment managers.

The *Cash and Investment Holdings Summary* at June 30, 2018 illustrates a positive change over Fiscal Year 2017. NIU's holdings total \$188.5 million, which is up nearly \$68 million from the same time last year. Having received State support during Fiscal Year 2018, the University's cash position is stronger.

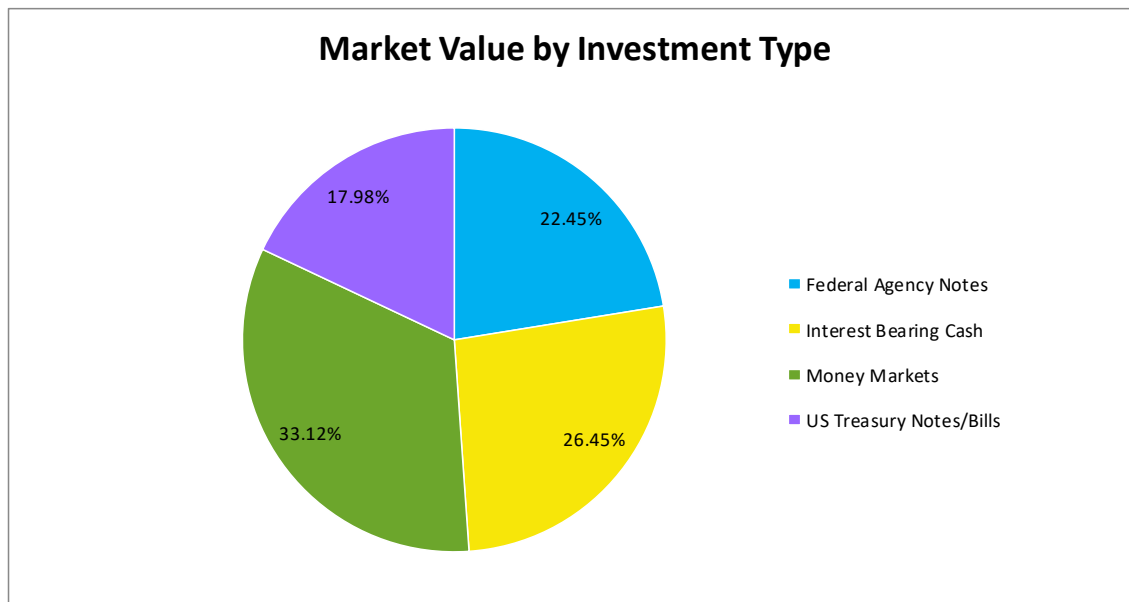
The *Investment Earnings by Type and Duration* report shows the interest earnings for the fourth quarter at \$787,000. This is a result of larger invested balances and steadily increasing interest rates during the year. Investments this quarter earned an annualized return of 1.58%, which is 73 basis points greater than Fiscal Year 2017's last quarter return of .85%.

The *Report of Depositories* is submitted annually, along with the University *Investment and Cash Management Policy* available at: <https://www.niu.edu/controllers/files/pdf/Investment-and-Cash-Management-Policy.pdf>. The depository report summarizes deposits and withdrawals in each bank account during the fiscal year. The ending balances reflect bank statement amounts and may differ from University financial records due to reconciling items.

Expectations for Fiscal Year 2019 include additional federal fund rate increases and consistent State payments. During this period of rising interest rates, the University will continue to invest in the Illinois Funds money market and in short-term fixed income securities. The University will also continue its efforts towards the goal of financial sustainability by focusing on cash management strategies that provide a healthy balance of liquidity, diversity, and earnings.

NORTHERN ILLINOIS UNIVERSITY
CASH and INVESTMENT HOLDINGS SUMMARY
June 30, 2018
For Fiscal Year 2018

Investment Type	Purch Price/ Ending Bal *	Book Value **	Market Value ***
Federal Agency Notes:			
Local Funds	\$ 42,253,362	\$ 42,270,161	\$ 42,179,131
Interest Bearing Cash Accounts:			
Local Funds	\$ 49,630,734	\$ 49,630,734	\$ 49,630,734
Project Funds	64,775	64,775	64,775
	<u>\$ 49,695,509</u>	<u>\$ 49,695,509</u>	<u>\$ 49,695,509</u>
Money Markets:			
Local Funds	\$ 40,913,872	\$ 40,913,872	\$ 40,913,872
Project Funds	21,341,738	21,341,738	21,341,738
	<u>\$ 62,255,610</u>	<u>\$ 62,255,610</u>	<u>\$ 62,255,610</u>
US Treasury Notes/Bills:			
Local Funds	\$ 31,900,919	\$ 31,897,865	\$ 31,787,541
Project Funds	2,002,878	2,000,000	2,000,000
	<u>\$ 33,903,797</u>	<u>\$ 33,897,865</u>	<u>\$ 33,787,541</u>
TOTAL INVESTMENT HOLDINGS	\$ 188,108,278	\$ 188,119,145	\$ 187,917,791
Non-interest Bearing Cash	\$ 395,586	\$ 395,586	\$ 395,586
TOTAL CASH & INVESTMENT HOLDINGS	\$ 188,503,864	\$ 188,514,731	\$ 188,313,377
TOTAL REPORTED FOR 06/30/2018	\$ 120,649,904	\$ 120,617,537	\$ 120,471,557



* Amounts per Bank and Investment Statements
 ** Purchase price, net of accumulated amortization of premiums and discounts
 *** Estimated price for which an investment would sell in the marketplace

Assets reported in the CASH and INVESTMENT HOLDINGS SUMMARY comply with the Illinois Public Funds Investment Act (30 ILCS 235) and the NIU Investment and Cash Management Policy

NORTHERN ILLINOIS UNIVERSITY
INVESTMENT EARNINGS BY TYPE AND DURATION
For Fiscal Year 2018
April 1, 2018 - June 30, 2018

	June 30 Ending Balance	Average Daily Investment Balance	Percent of Portfolio	Income Earned	Annualized Rates of Return Fiscal Year 2018			
					4th Qtr	3rd Qtr	2nd Qtr	1st Qtr
Short-Term Investment Accounts								
Illinois Funds	\$ 40,913,872	\$ 55,735,522	27.97%	\$ 242,687	1.75%	1.39%	1.12%	1.02%
Investment Accounts - Financial Institutions	\$ 49,630,734	\$ 57,927,651	29.07%	\$ 254,765	1.76%	1.44%	1.16%	1.07%
Investment Accounts - Project Funds	\$ 21,406,513	\$ 21,691,326	10.89%	\$ 66,350	1.23%	0.84%	0.45%	0.57%
ST Investment Accounts Total	\$ 111,951,119	\$ 135,354,499	67.93%	\$ 563,802	1.67%	1.34%	1.06%	1.00%
Fixed Income Securities								
Local Funds	\$ 74,154,281	\$ 61,868,859	31.05%	\$ 215,177	1.39%	1.28%	1.06%	0.95%
Project Funds	\$ 2,002,878	\$ 2,030,311	1.02%	\$ 8,171	1.61%	1.06%	1.02%	1.01%
Fixed Income Securities Total	\$ 76,157,159	\$ 63,899,170	32.07%	\$ 223,348	1.40%	1.26%	1.05%	0.97%
Non-interest Bearing Cash	\$ 395,586	\$ -	-	\$ -	-	-	-	-
COMBINED TOTAL	\$ 188,503,864	\$ 199,253,669	100.00%	\$ 787,150	1.58%	1.32%	1.06%	0.98%

Assets reported in INVESTMENT EARNINGS BY TYPE AND DURATION comply with the Illinois Public Funds Investment Act (30 ILCS 235) and the NIU Investment and Cash Management Policy

Northern Illinois University
REPORT OF DEPOSITORIES
For the Year Ended June 30, 2018

	Beginning Balance 7/1/2017	Deposits*	Withdrawals*	Ending Balance 6/30/2018
Amalgamated Bank				
Series 2010 Build America Bonds	\$ 8,647,696	\$ 26,554,854	\$ 13,860,812	\$ 21,341,738
Series 2011 Revenue Bonds	-	7,072,358	7,072,538	-
Series 2014 Certificates of Participation	-	1,505,500	1,505,500	-
	\$ 8,647,696	\$ 35,132,712	\$ 22,438,850	\$ 21,341,738
First National Bank				
Investment	\$ 1,111,772	\$ 78,270,768	\$ 76,786,883	\$ 2,595,657
Project Funds	448,937	20,120,936	20,505,098	64,775
	\$ 1,560,709	\$ 98,391,704	\$ 97,291,981	\$ 2,660,432
First Midwest Bank				
Credit Card Account	\$ 50,000	\$ 64,724,610	\$ 64,724,610	\$ 50,000
Deposit Account	446,772	164,911,041	165,198,402	159,411
Disbursement Account	50,000	94,182,412	94,182,412	50,000
Investment Account	40,952,944	417,120,084	411,117,166	46,955,862
Payment Account	50,000	399,038,999	399,038,999	50,000
Payroll Account	85,490	153,437,794	153,444,069	79,215
	\$ 41,635,206	\$ 1,293,414,940	\$ 1,287,705,658	\$ 47,344,488
Illinois National Bank				
NIU Operations- IL Funds	\$ 5,000	\$ 153,787	\$ 153,787	\$ 5,000
US Bancorp Fund Services				
NIU Operations- IL Funds	\$ 8,314,961	\$ 122,598,911	\$ 90,000,000	\$ 40,913,872
Total For All Banks	\$ 60,163,572	\$ 1,549,692,054	\$ 1,497,590,276	\$ 112,265,530

* Deposits and Withdrawals include interaccount transfers.

The balances and activity reflected on this report are taken from bank statements and may not necessarily reflect those amounts recorded in the university financial records due to reconciling items.

**FISCAL YEAR 2018 ANNUAL SUMMARY REPORT
OBLIGATION OF FINANCIAL RESOURCES
Year Ended June 30, 2018**

<u>Category</u>	<u>Number of Purchase Orders Percentage</u>	<u>Percentage</u>	<u>Dollar</u>	<u>Volume</u>
\$0 to \$25,000 ¹	2,463	80%	\$16,067,197	10%
\$25,001 to \$100,000 ¹	443	15%	\$22,056,816	13%
\$100,001 to \$250,000 ²	98	3%	\$16,872,979	10%
\$250,001 to \$500,000 ³	32	1%	\$10,789,996	7%
Over \$500,000 ³	28	1%	\$99,249,372	60%
TOTAL	3,064	100%	\$165,036,360	100%

The Annual Summary Report on the Obligation of Financial Resources is required by the Board of Trustees Regulations and supplements the "Periodic Summary Report of Transactions" which is presented on a quarterly basis.

Transactions reported to and/or approved by the Board of Trustees throughout the fiscal year and those included in the Quarterly Summary Report of Transactions reflect the maximum approved amount that orders may not exceed. Pursuant to this authority, the Annual Summary Report outlined above reflects orders actually placed, including purchases, professional services, and capital projects.

¹Authorizations for transactions less than \$100,000 are approved at the University level (\$25,000 and above by the President).

² Authorizations for purchases and capital projects between \$100,000 and \$250,000 are approved by the President and reported to the Board of Trustees on a quarterly basis.

³ Authorizations for purchases and capital projects exceeding \$250,000 are presented for approval to the Board of Trustees.

**FISCAL YEAR 2018
QUARTERLY SUMMARY REPORT OF TRANSACTIONS IN EXCESS OF \$100,000
FOR THE PERIOD APRIL 1, 2018 TO JUNE 30, 2018**

Purchase Amount	No. of Transactions	Appropriated	Non-Appropriated	Total
Over \$100,000	27	\$1,903,179	\$4,107,535	\$6,010,714

TRANSACTIONS DETAIL:

Purchases:

1. The College of Engineering and Engineering Technology requested permission to enter into an inter-governmental agreement with Texas A&M Engineering Experiment Station (TEES) to secure the services of Simon Kudernatsch for the period 9/1/2017 - 8/31/2020. Mr. Kudernatsch actively supports Dean Donald Peterson in proprietary research matters. This engagement is exempt from the Procurement Code under 30 ILCS 500/1-10(b)(1) - contracts between governmental agencies. (Texas A&M Engineering Experiment Station, College Station, TX) 130,504*

2. Renewal of cellular service was required for cellular voice services, cellular data plans for internet and email services from smart devices, and wireless network interface cards for laptop mobility for the period July 1, 2018 – June 30, 2019. Because a State of Illinois contract is being utilized, this order is exempt from advertising on the Illinois Procurement Bulletin. (Verizon Wireless, Rockford, IL) 111,000

3. Health Services requested permission to issue an open order for outsourced laboratory services for the period July 1, 2018 - June 30, 2019. The existing PPB sole source approval is valid through June 30, 2020. This open order is governed by an ongoing contract. (Quest Diagnostics, Wood Dale, IL) 170,000

4. The Division of Information Technology requested permission to renew a contract with DeKalb County to provide services including billing for Community Anchor Institutions (CAI) through USAC using the DATA network. This PO is used for the accounting of funds that are received from CAI's that the County in turn bills for as the funds are received by NIU. Because the vendor is a governmental agency, this purchase is exempt from posting on the Illinois Procurement Bulletin. (DeKalb County Government, Sycamore, IL) 160,000

5. The Office of the Controller requested permission to pay the federal share of cost of the Single Audit of NIU for the period ending June 30, 2017. This purchase is exempt from the bid process as the engagement is with a state agency and is not subject to the rules of the Procurement Code and applicable laws. (State of Illinois-Office of the Auditor General, Springfield, IL) 102,110

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| 6. | The Division of Information Technology requested permission to continue the 10 Gig bandwidth for internet services through the State of Illinois Central Management System using the Illinois Century Network through an existing Intergovernmental Agreement between Northern Illinois University and Central Management System. This order is exempt from advertisement on the <u>Illinois Procurement Bulletin</u> because the vendor is a governmental agency. (Dept. of Innovation Technology, Springfield, IL) | 174,000* |
| 7. | The Division of Information Technology requested permission to issue an order for maintenance, technical support, software upgrades, and hardware replacement for NIU's Enterprise Network for the period July 1, 2018 – June 30, 2019. The maintenance is a requirement in the event of a networking issue or hardware failure to restore services as soon as possible. This order is exempt from advertisement on the <u>Illinois Procurement Bulletin</u> because the order is utilizing a pre-approved IPHEC vendor. (CDW-G, Vernon Hills, IL) | 216,000* |
| 8. | The Division of Information Technology requested permission to utilize the renewal option on Bid #CAB156820 for the period July 1, 2018 – June 30, 2019 for 10 Gig ISP link for ISP services to DeKalb Wellness and Literacy Center located at 3100 Sycamore Road. This is the third of nine renewal options based on a bid opened September 29, 2015. The renewal award will be advertised in the <u>Illinois Procurement Bulletin</u> . | 162,000* |
| 9. | Architectural and Engineering Services requested permission to issue open orders for miscellaneous project and maintenance work to be done as needed on campus during the period July 1, 2018 – June 30, 2019. Services/projects include, but are not limited to: fire alarm work, electrical, roofing, plumbing, masonry, environmental professional services, general construction, HVAC, mechanical, etc. Various bids with renewal options will be utilized for these orders. For those orders over the bid limit, the renewal awards were advertised in the <u>Illinois Procurement Bulletin</u> and waived by the PPB. | 1,640,000 |
| | Freeport Industrial Roofing, Inc., Freeport, IL | 249,000 |
| | DeKalb Mechanical, DeKalb, IL | 249,000 |
| | Hollander Intl. Storage & Moving Co. Inc., Elk Grove Village, IL | 249,000 |
| | Elliott & Wood Inc., DeKalb, IL | 195,000 |
| | Joe Bero & Son Plumbing & Piping, Elgin, IL | 200,000 |
| | Scandroli Construction Co., Rockford, IL | 249,000 |
| | Otto Baum Co., Inc., Morton, IL | 249,000 |
| 10. | The Division of Information Technology requested permission to issue an order for maintenance, technical support, software upgrades, and hardware replacement for NIU's Enterprise Network for the period July 1, 2018 – June 30, 2019. The maintenance is a requirement in the event of a networking issue or hardware failure to restore services as soon as possible. This order is exempt from advertisement on the <u>Illinois Procurement Bulletin</u> because the order is utilizing a pre-approved IPHEC vendor. (CDW-G, Vernon Hills, IL) | 217,000* |
| 11. | Renewal was required of the open orders used to obtain charter bus services for the period July 1, 2018 – June 30, 2019. This is the first year of nine renewal options allowed in the Invitation for Bid opened on June 14, 2017 (Bid # KMC061417). The renewal awards will be advertised in the <u>Illinois Procurement Bulletin</u> . (Sam VanGalder, Inc., Janesville, WI) | 182,000 |

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| 12. The Division of Research and Innovation Partnerships requested permission to enter into a contract with Northern Illinois Research Foundation (NIRF), established as a not-for-profit 501(c)(3) in Illinois for the principal purpose of aiding and assisting Northern Illinois University in advancing its economic development, public service, research, and educational mission. This contract will be for the period July 1, 2018 – June 30, 2019. This order is exempt from posting on the <u>Illinois Procurement Bulletin</u> . (Northern Illinois Research Foundation, DeKalb, IL) | 214,000* |
| 13. The Office of Bursar requested permission to issue open orders for collection agency commissions for commercial accounts receivable, agency collections, and Perkins collections for the period July 1, 2018 – June 30, 2019. This order is exempt from advertising on the <u>Illinois Procurement Bulletin</u> because the vendors are pre-approved IPHEC vendors. (Conserve, Fairport, NY) | 200,000 |
| 14. The Office of Bursar requested permission to issue open orders for collection agency commissions for commercial accounts receivable, agency collections, and Perkins collections for the period July 1, 2018 – June 30, 2019. This order is exempt from advertising on the <u>Illinois Procurement Bulletin</u> because the vendors are pre-approved IPHEC vendors. (National Credit Management, St. Louis, MO) | 200,000 |
| 15. The Office of Bursar requested permission to issue open orders for collection agency commissions for commercial accounts receivable, agency collections, and Perkins collections for the period July 1, 2018 – June 30, 2019. This order is exempt from advertising on the <u>Illinois Procurement Bulletin</u> because the vendors are pre-approved IPHEC vendors. (Alltran Education, Inc., Houston, TX) | 200,000 |
| 16. Renewal was required of an open order for educational material and data used for non-credit courses offered for preparation for Human Resource certifications for the period of July 1, 2018 - June 30, 2019. This is the sixth of nine one-year renewal options. The sole source renewal was advertised in the <u>Illinois Higher Education Procurement Bulletin</u> and has been waived by the PPB. (Society of Human Resource Management, Eagan, MN) | 130,000 |
| 17. Renewal was required of the open order used to obtain telecommunication supplies and parts to be used on various projects for the period July 1, 2018 – June 30, 2019. Pricing is based on Sealed Bid #TEM124092 that opened on June 22, 2011. This is the last year of seven renewal options. The renewal award was advertised in the <u>Illinois Procurement Bulletin</u> . (Anixter, Inc., Mount Prospect, IL) | 243,000 |
| 18. Renewal was required of an open order for consultative services, on an as-needed basis, to assess University and college-level communications and recommend opportunities to better support the NIU brand and student recruitment goals for the period of July 1, 2018 - June 30, 2019. This is the last year of three one-year renewal options allowed for in a Request for Proposal that was opened on December 16, 2014. The renewal was advertised in the <u>Illinois Higher Education Procurement Bulletin</u> and has been waived by the PPB. (Simple Truth Communication Partners, Chicago, IL) | 125,000* |
| 19. Health Services requested permission to enter into a contract with Northwestern Medicine Regional Medical Group for services for Health Services Chief of Staff during the period July 1, 2018 – December 31, 2018. This order will be advertised as an exemption in the <u>Illinois Procurement Bulletin</u> . (Northwestern Medicine Regional Medical Group, Winfield, IL) | 225,000 |

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| 20. Renewal was required of the contract with Blackboard Platinum Software maintenance and service for resale for the One Card Program during the period July 1, 2018 – June 30, 2019. The intent to award this contract as a sole source will be advertised in the <u>Illinois Procurement Bulletin</u> . (Blackboard, Inc., Phoenix, AZ) | 235,000 |
| 21. Renewal was required of the contract for Identify Management Software that is used to programmatically manage computing accounts for the entire University involving students and staff. The period of coverage is August 1, 2018 – July 31, 2019. This purchase is exempt from posting on the <u>Illinois Procurement Bulletin</u> as it is covered by an MHEC contract. (Micro Focus Software Inc., Provo UT) | 112,250* |
| 22. Materials Management requested permission to issue an open order to obtain food-related kitchen and dining supplies carried in stock for resale to University departments for the period July 1, 2018 – June 30, 2019. This is the second of nine one-year renewal options based on a bid opened April 4, 2016. The renewal award has been advertised in the <u>Illinois Procurement Bulletin</u> and has been waived by the PPB. (Edward Don & Company, North Riverside, IL) | 150,000 |
| 23. Renewal was required of the contract for on-site telephone switch hardware and software maintenance for the University’s CS2100 hybrid phone switch for the period July 1, 2018 – June 30, 2019. This is the fourth of five one-year renewal options based on Bid #KMC146458 opened on March 25, 2014. The renewal award has been advertised in the <u>Illinois Procurement Bulletin</u> . (Arrow Systems Integration, Irving, TX) | 217,000* |

Capital Improvement Projects:

1. Annual maintenance/repair is required on the west campus steam distribution system to address worn, broken or non-functioning expansion joints, valves, pumps, gauges, damaged/missing insulation, and other failed equipment that can cause serious operational and safety hazards or were problems experienced during the last year. To ensure that reliable and safe steam distribution is available, repairs will be completed during this annual steam shutdown for the west side of campus. 108,850**

The work will be completed by a combination of an outside contractors and in-house workforce under the coordination of an NIU project manager.
** Total Project - \$108,850 (App/Income - \$54,425* + Bond Rev - \$54,425)

2. The Music Building has experienced numerous leaks during the past academic year causing damage to the interior ceilings, walls, and flooring. The leaks also affected several moisture and humidity sensitive musical instruments and forced practices and performances to be relocated or canceled. There are four remaining sections of the overall roof that have not been repaired. Repairing these four sections should extend the life of the roof for 5-6 years to allow planning for phased replacement of the roof. 148,350*

The work will be completed by a combination of an outside contractors and in-house workforce under the coordination of an NIU project manager.

3. Office area room 114 on the first floor of Telephone Security will be renovated to accommodate the relocation of the Asian American Resource Center (AARC) from the current location in the Jacobs House at 429 Garden Road. Program Prioritization recommended that AARC be transformed and enhanced. AARC has outgrown its current space and relocation to an updated central campus location will help with recruitment and retention of Asian American students at NIU. The new space will provide more visibility to the campus community and also provide improved facilities and resources. The move will require relocating DoIT services out of the identified space to alternate locations. 132,650*

Work will be completed by a combination of outside contractors and in-house workforce under the coordination of an NIU project manager.

4. This project is an upgrade to the Dugout food venue in DuSable Hall. With Holmes Student Center under construction in 2018-19, three campus food venues with a previous combined revenue of \$1.1M will be closed. A rejuvenated food venue at DuSable would help lessen the impact from the HSC renovation period. The current location is dated and unappealing. The renovation will improve the customer experience, provide a meeting place, and increase/retain revenue. The expected payback of the investment is about 15 months. The upgrades proposed will provide a new food concept and an improved environment for student, faculty, and staff to eat and meet. The operation concept will be based on Sandella's branding and menu to include panini's, wraps, rice bowls, quesadillas, and pizza. This location will serve other buildings in the immediate area including Stevens. 105,000*

Work will be completed by a combination of outside contractors and in-house workforce under the coordination of an NIU project manager. The work will include new equipment, new seating, painting, electrical, and plumbing upgrades.

*Appropriated/Income Funds

STATE LEGISLATIVE UPDATE

2018 Spring Session Overview

For the first time since 2015, the General Assembly concluded its business and adjourned as scheduled on May 31. While the road to recovery following the 700+ day budget impasse remains long, the 2018 legislative session brought forth a sense of renewed optimism for Illinois' public higher education system. Most notably, this was seen through the collegial dedication and work of a bipartisan, bicameral working group solely focused on higher education, as well as a group of budgeteers who agreed to hold the line on FY18 funding levels for NIU and its sister public institutions, while also providing a modest, much-needed 2% increase for day-to-day operations.

FY19 Budget

The FY19 budget was approved by both the House and the Senate before the May 31 deadline and signed into law by Governor Rauner on June 4. It includes a total of \$1.77 billion for Illinois' higher education system and is the State's second straight, full-year budget. The bipartisan agreement was approved with a 56-2 vote in the Senate and concurred by the House with a vote of 97-18 and includes the following highlights:

- \$83.6 million for NIU operations, which is an increase of \$1.6 million, or 2% over FY18 state funding levels.
- Flat funding for Monetary Award Program (MAP) grants, for a total appropriation of \$401 million. Over the past five years, an average of nearly 5,500 NIU undergraduates received a MAP award, surpassing one-third of the total undergraduate population.
- A \$25 million appropriation for the new AIM HIGH Institutional Match scholarship program. This program was developed by the Higher Education Working Group and is discussed in greater detail throughout this report.
- A total of \$600 million in new appropriation authority for capital projects for public institutions of higher education. At this time, it is not yet known what of this funding will actually be made available to NIU and the other public institutions. The Executive Branch is approximately \$1 to \$3 billion short in terms of capital funding appropriated for FY19 and bond authorization levels enacted for FY19. We should expect to see updates on project prioritization, levels of bond sale revenues, and plans for funding release over the next several months.

Legislative Initiatives of the Higher Education Working Group

In the last two weeks of session, the 12-member working group released a package of six pieces of legislation reflecting the work performed by the group since it first started meeting back in November 2017. The following provides detail on each piece of legislation, as well as a status update as of July 27, 2018:

- **SB 2927** – Creates the AIM HIGH Grant Pilot Program, an optional \$1/\$1 match, merit-based aid program for Illinois public universities. The Student Assistance Commission is tasked with determining each public university's proportionate share of the funding based on the percentage of Illinois resident students that make up each campus' student population. ***While this particular bill number as filed by the members of the Working Group has not been enacted, the underlying language for the AIM HIGH Grant Pilot Program was included in the FY19 Budget Implementation Bill, HB 3342, which was enacted on June 4, 2018 and is now in effect.***
 - For FY19, the final state budget appropriated a total of \$25 million for this program, to be split up among Illinois' 12 public 4-year campuses. NIU's eligible share of the \$25 million is not yet known. Universities may opt to use all, none, or a partial amount of

funding allocation—depending on the amount of funding the institution chooses to match.

- The Student Assistance Commission has convened a working group of representatives from each public university to help formalize methodology used for allocation calculations, as well as implement a series of emergency administrative rules. NIU is represented by Rebecca Babel, Director of Financial Aid, and Jenna Mitchell, State Legislative Liaison.
- **SB 2354** – The single piece of legislation carried language for three different initiatives: (1) Degree Advising: Starting with the 2019-2020 academic year, each public college and university student with 30 academic credit hours completed must disclose their degree programs of interest to their college or university and be notified of possible transfer advisement opportunities. Universities are mandated to demonstrate they have each made a “reasonable attempt” to advise students on transfer opportunities; (2) Reverse Transfer of Credits: Directs the Board of Higher Education and Community College Board to develop statewide policies to implemented by the 2019-2020 school year in order to foster the reverse transfer of academic credit for eligible students; and (3) Tuition Waiver Limitations: Eliminates the Board of Higher Education’s authority to limit tuition waivers, repealing the current 3% limitation. ***Passed the House 117-0 and the Senate 54-0 and was sent to the Governor. This bill is effective immediately upon being signed into law.***
- **HB 5020** – Beginning with applicants for the 2020-2021 academic year, the Student Assistance Commission shall first prioritize eligible, returning students for Monetary Award Program (MAP) grant awards. Currently, MAP grants are awarded on a first-come, first-served basis. This legislation would alter the current process by requiring the Commission to first serve returning students. Despite prioritization, students must submit FAFSA forms each year in order to demonstrate financial need and provide variables necessary to calculate grant award entitlements. ***Passed the House 105-2 and the Senate 58-0 and was sent to the Governor.***
- **SB 4781** – Creates the College and Career Interest Task Force, which is charged with determining the best practices for collecting college and career interest data from Illinois public high school students. The legislation outlines the make-up of the 30-person task force, which includes one person from each of the twelve public university campuses. Northern Illinois University’s Board of Trustees is charged with appointing NIU’s sole representative on Task Force. As passed by the General Assembly, the Task Force is charged with providing a written report of recommendations to the General Assembly by January 30, 2019. ***Passed the House 103-2 and the Senate 58-0 and was sent to the Governor.***
- **SJR 76** – Instructs the Board of Higher Education (BHE), Community College Board (ICCB) and the public institutions to work together on reviewing the Illinois Articulation Initiative to identify any unintentional shortcomings. The Resolution further directs BHE and ICCB to produce a report detailing the results of this review and including any recommendations for improvements to the Governor and the General Assembly by January 9, 2019. ***The Senate Joint Resolution was unanimously adopted by the Senate 52-0 and has not yet been considered in the House. This Resolution would need to be acted on in the House during the 2018 Fall Veto and/or Lame Duck session in order to be formally adopted.***
- **SB 2969** – This legislation seeks to increase currently established debt limits at Illinois public universities by 100%, in order to allow the campuses to address deferred maintenance and make capital improvements. If the increase were enacted, universities would be required to disclose to the General Assembly how the borrowing for capital improvements would affect their institution’s overall fiscal condition. As currently filed, Northern Illinois University’s debt limit would be raised from \$20 million to \$40 million. ***SB 2969 has been held in House rules since the Working Group’s amendment was first filed. Before granting public***

universities the expansion of debt limitations, key members of the General Assembly first wanted to address concerns with recent attainment levels of aspirational supplier diversity goals.

Additional Legislation of Note

There were a number of bills filed during the 2018 Session to which Northern Illinois University voiced its opposition. While these items have yet to be passed out of both chambers and sent to the Governor, the following four legislative initiatives of note are believed to likely resurface in future legislative sessions:

- **SB 888 (Manar)** – As initially filed, this legislation sought to expand the degree-granting authority of all community college districts to allow the two-year public schools to establish and offer baccalaureate-level nursing education and confer a Bachelor of Science degree in nursing. The final amendment, Senate Floor Amendment 6, limited the expansion of degree-granting authority to Community College District 536—Lewis & Clark Community College. ***The bill and amendments two through six have all been re-referred to the Senate Assignments committee.***
- **HB 3142 (Wheeler/McGuire)** – Known as the “Ban the Box” bill, if enacted, this legislation would require universities to remove any questions regarding criminal history on its admissions applications. ***The bill passed the House 65-49 and is currently in the Senate Assignments committee.***
- **HB 4956 (Cavaletto / Cunningham)** – Beginning with the 2019-2020 academic year, if enacted, this legislation would mandate all public universities with an educator preparation program to provide students enrolled in the program with a three-year, or accelerated degree completion program. ***The bill passed the House 96-11-2 and is currently in the Senate Assignments committee.***
- **HB 5881 (Bristow)** – This legislation seeks to expand the degree-granting authority of Community College District 508’s Malcolm X College, as well as Community College District 536—Lewis & Clark College, to allow the two-year public schools to establish and offer baccalaureate-level nursing education and confer a Bachelor of Science degree in nursing. ***The bill was re-referred to and remains in the House Rules committee.***

Current Happenings

Despite the lack of legislative session, NIU has had various legislative involvements over the summer months and expects such involvements to continue over the next several. Key highlights include the following:

- **Testimony at the July 24 Special Senate Committee on Supplier Diversity Hearing** – Acting President Lisa Freeman was requested for testimony regarding the University’s plans for increasing small business and minority-owned participation over the next fiscal year and for years to come. Members of the Committee have requested a list of legislative suggestions and recommendations from the nine public universities for how the public institutions believe changes could be implemented to help make the 20% Business Enterprise Program (BEP) goal attainable.

NIU is committed to working collaboratively with its sister public institutions, members of the Committee, and all other stakeholders to improve BEP vendor participation in the northern Illinois region and statewide.

- **Board of Higher Education, Funding Formula Working Group** – In the beginning of June 2018, the Board of Higher Education decided to convene a group of various stakeholders to consider the proposition of a new funding formula for the public universities. The meetings are set to begin later this summer. Representing NIU at the Working Group meetings are Sarah

McGill, Chief Financial Officer; Chris McCord, Executive Vice President and Provost; and Daniel House, Director of Institutional Research.

- **Student Assistance Commission, IL AIM HIGH Grant Program Advisory Committee** – In late July, ISAC convened a group of representatives from each public university to assist the Agency in its formulation of an efficient and appropriate allocation methodology, as well as emergency rules for the program (**HB 3342, Public Act 100-0587**). The first call was held on Friday, August 3, and the Committee's group is expecting to last for two to three months. Representing NIU on the Advisory Committee are Rebecca Babel, Director of Financial Aid; and Jenna Mitchell, State Legislative Liaison.
- **Meetings with State Legislators In-District and On-Campus** – A series of meetings with various legislators have been scheduled and are taking place over the coming months. The break from legislative Session is being used as an opportunity to travel to the legislative districts of NIU Caucus Members and introduce the new position of State Legislative Liaison and discuss general university initiatives. Additionally, NIU State Relations has partnered with the University of Illinois' Government Relations to travel to the districts of additional legislators to discuss higher education funding initiatives—notably, NIU and U of I's Investment, Performance and Accountability (IPAC) funding initiative currently filed as HB 2996. In addition to traveling to districts, Senator and NIU Alumni Tom Rooney visited campus on Friday, August 3. At the time this report was written, on-campus visits with other legislators were in the process of being finalized.

2018 Fall Veto Session Preview

The House and Senate are both scheduled to convene for Veto Session for six days in November:

- Tuesday, November 13 through Thursday, November 15
- Tuesday, November 27 through Thursday, November 29

It is not yet known what legislative action will be taken in this year's Veto Session, and there have yet to be any "lame duck" Session days scheduled. Plans for the fall Session(s) should become clearer following the General Election on November 6.

Despite the uncertainty of what will be accomplished, NIU has various legislative priorities pending in different stages of the legislative process on which it will be advocating for consideration, progress, and movement where applicable. Key pending priorities include the following:

- **SB 3288 (Sims / Hoffman)** – Dubbed as the "property bill," this piece of legislation would provide NIU the authority to sell, lease, or otherwise transfer university-owned properties. In its current form, the bill would allow the university to retain proceeds from any sale, lease, etc. but limits expenditures to costs associated with deferred maintenance. The latest amendment also includes a 2022 repeal date. The legislation passed the Senate unanimously 54-0 in late April and has since been held in House Rules committee. Advocacy will continue to reach common ground on the initiative. *If this legislation does not move forward this Session, the language will need to be refiled as soon as the 101th General Assembly commences.*
- **HB 2996 (Zalewski/Cunningham)** – Last spring, NIU signed on to the University of Illinois' Investment, Performance, and Accountability Commitment (IPAC) funding initiative. The bill is currently in House Rules committee. If enacted, Northern Illinois University would be guaranteed a base level of state funding for five years—so long as accountability measures outlined in the bill were met by NIU. The NIU State Legislative Liaison will continue working closely with the University of Illinois to meet with members of the General Assembly while they are in Springfield in order to bring greater awareness to the need for state funding stability; work with stakeholders to make improvements to the existing framework; and lay the groundwork for advancing IPAC in the 101th General Assembly. *This legislation will need to be refiled as soon as the 101th General Assembly commences.*

Looking Ahead: Preparing for the 2019 Spring Session

- I. Development of NIU's Legislative Agenda for 2019/FY20
- II. Establishment of a Bill Tracking System
- III. Creation of an Internal Bill Review Group
- IV. Collaboration with the NIU Alumni Association's Advocacy Committee

FEDERAL RELATIONS REPORT

The Office of Federal Relations (OFR) is staffed by Dr. Anna Quider who is based full-time in Washington, D.C. with regular visits to NIU. Federal Relations serves as the university's official liaison with the federal government and national organizations. This report summarizes the OFR annual report (which is available as an appendix to this report) as well as a federal issues update for the last quarter of NIU's Fiscal Year (FY) 2018.

This past year, OFR worked in Washington, DC and on campus to advance NIU's federal policy priorities; connect NIU students, faculty, and administrators to policymakers; and raise awareness of NIU's strengths among federal policymakers and the broader national higher education and science policy community. A numerical accounting of various types of engagements through OFR offers a snapshot of this period:

- 2 – Congressional receptions featuring NIU
- 2 – National policy experts visit NIU: American Association for the Advancement of Science (AAAS), Institute of Electrical and Electronics Engineers (IEEE)
- 7 – Meetings between federal agency officials and NIU visitors to Washington, DC: Department of Education, Department of Energy, Department of State (x2), Federal Aviation Administration, National Endowment for the Humanities, National Science Foundation
- 7 – Visits to NIU by dignitaries: Senator Durbin, Senator Duckworth, Rep. Foster, Rep. Hultgren (x2), Rep. Kinzinger, Ambassador Anthony Phillips-Spencer of Trinidad and Tobago
- 11 – Off-campus meetings between Members of Congress and NIU: Senator Durbin (x2), Senator Duckworth, Rep. Bacon, Rep. Hultgren (x3), Rep. Kelly, Rep. Kinzinger (x2), Rep. Krishnamoorthi
- 51 – Meetings on Capitol Hill for NIU visitors to Washington, DC
- 162 – Meetings between OFR Director Anna Quider and staff from congressional offices, the Administration, and federal agencies or requests for information from federal staff

The remainder of this report focuses on the last quarter of NIU's FY 2018.

The Administration

In June, the Office of Management and Budget released a report entitled "Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations." The proposal is still in its early stages and will require congressional approval for any changes to occur. The report makes several notable recommended changes to the Department of Energy's Office of Science, the National Institutes of Health (NIH), and the National Science Foundation (NSF).

The executive branch reorganization plan also includes a proposed merger of the Departments of Education and Labor into a new Department of Education and the Workforce. The new agency would be charged with meeting the needs of American students and workers, from education and skill development to workplace protection to retirement security. Additionally, the proposal calls for the creation of the Next Generation Financial Services Environment (Next Gen) to administer student loans. The Department of Education, as part of its agency reform plan submitted to OMB last fall, proposed taking over a slew of programs currently managed by the Labor Department, but it did not propose merging.

At the end of July, the Department of Education announced a new round of rulemaking with negotiations to begin in early 2019. The department will consider issues such as the measures accreditors use to evaluate their member institutions, and how the government oversees approval of accrediting agencies.

The department may also propose rewritten rules about how the government measures learning for the purpose of awarding federal aid; whether and how distance learning must be authorized in the states; and allowing a wider range of non-institutional providers and religious schools access to federal student aid.

Supreme Court

The Supreme Court ruled in June 2018 on two cases of note for NIU. The Supreme Court upheld the third version of the Trump administration's travel ban, which restricts entry to the United States for some individuals from Iran, Libya, Syria, Yemen, Somalia, Chad, Venezuela, and North Korea. The travel restrictions have been in effect since the Supreme Court agreed to hear the case in January 2018. The Supreme Court also ruled that requiring public employees to pay union fees even if they disagree with the union violates the employees' free speech.

Congress

Congress is moving forward with the FY 2019 appropriations process. Their goal is to complete as many appropriations bills as possible before the end of the fiscal year on September 30th. Given where we are in the legislative calendar, as well as persistent disagreement regarding some aspects of national security funding, Congress is unlikely to complete negotiations on all twelve bills. In that case, a continuing resolution will be needed to keep the federal government open into FY 2019. As of late July, President Trump has indicated that he would be willing to pursue a federal government shutdown to achieve certain policy outcomes, further complicating congressional appropriations negotiations.

The House passed, and the President signed, the bipartisan Strengthening Career and Technical Education for the 21st Century Act, HR 2353. The legislation is a reauthorization of the Carl D. Perkins Career and Technical Education Act, a \$1.2 billion program last overhauled by Congress in 2006 which helps prepare high school and community college students with the knowledge and hands-on experience necessary for jobs in a broad range of industries. This is the first piece of education legislation signed into law by President Trump.

The reauthorization of the Higher Education Act (HEA) is stalled in the House and Senate and it is unlikely to move forward this year. House Republicans from the Education and Workforce Committee have introduced their version called the Promoting Real Opportunity, Success and Prosperity through Education Reform (PROSPER) Act, HR 4508, and House Democrats from the committee have introduced their version called the Aim Higher Act, HR 6543. No HEA reauthorization text has been introduced in the Senate.

Federal Engagement with NIU

Recent federal engagements with NIU include:

- May 9: NSF Research Showcase. Prof. Holly Jones showcased her research in the House of Representatives at the annual Coalition for National Science Funding showcase. She met with Rep. Robin Kelly and staff from at least five Illinois offices, two House committees, and the National Science Foundation.
- May 22: Veterans Research Showcase. Prof. Noel Ysasi showcased his research in the House of Representatives at the Emerging Technologies in the Field of Military and Veterans Care showcase. He met with Rep. Bill Foster and Rep. Dan Lipinski of Illinois and staff from seven other Illinois offices.
- August 1: Rep. Adam Kinzinger Visits NIU-DeKalb. Rep. Adam Kinzinger visited NIU-DeKalb to tour our Shimadzu laboratory and meet with NIU administrators, faculty, and students regarding the importance of the federal national laboratory system for NIU's research enterprise.

The Director of Federal Relations visited campus on July 23-27. She is scheduled to attend in-person the Research and Innovation, Legal and Legislative Affairs Committee on August 16.

APPENDIX

The following report covers work conducted by the Northern Illinois University Office of Federal Relations (OFR) from January 1, 2017 – March 31, 2018. During this period, OFR worked in Washington, DC and on campus to advance NIU's federal policy priorities; connect NIU students, faculty, and administrators to policymakers; and raise awareness of NIU's strengths among federal policymakers and the broader national higher education and science policy community.

By the Numbers

- 2 – Congressional receptions featuring NIU
- 2 – National policy experts visit NIU: American Association for the Advancement of Science (AAAS), Institute of Electrical and Electronics Engineers (IEEE)
- 7 – Meetings between federal agency officials and NIU visitors to Washington, DC: Department of Education, Department of Energy, Department of State (x2), Federal Aviation Administration, National Endowment for the Humanities, National Science Foundation
- 7 – Visits to NIU by dignitaries: Senator Durbin, Senator Duckworth, Rep. Foster, Rep. Hultgren (x2), Rep. Kinzinger, Ambassador Anthony Phillips-Spencer of Trinidad and Tobago
- 11 – Off-campus meetings between Members of Congress and NIU: Senator Durbin (x2), Senator Duckworth, Rep. Bacon, Rep. Hultgren (x3), Rep. Kelly, Rep. Kinzinger (x2), Rep. Krishnamoorthi
- 51 – Meetings on Capitol Hill for NIU visitors to Washington, DC
- 162 – Meetings between OFR Director Anna Quider and staff from congressional offices, the Administration, and federal agencies or requests for information from federal staff

Advocacy

OFR facilitated NIU's advocacy on the most pressing federal policy issues facing higher education during this period. Those issues include:

- reform of the federal tax code (known as Tax Cuts and Jobs Act)
- announced cancellation of the Deferred Action for Childhood Arrivals (DACA) program
- proposal to limit the Facilities and Administrative (F&A) reimbursements on some federal grants
- legislation proposed in the House of Representatives to reauthorize the Higher Education Act (known as the PROSPER Act), and
- appropriations for Fiscal Year 2018.

The advocacy efforts of OFR, in concert with many other institutions and organizations across the country, were generally successful. Regarding tax reform, the final bill that was signed into law by President Trump protects several key provisions of current law that help make higher education more affordable and accessible. Members of the congressional delegation from Illinois led the nation in protecting the tax-exempt status of graduate student tuition waivers, a key policy objective of OFR's advocacy. Appropriations for FY2018 saw the largest overall increase to science agencies in a decade as well as sustained support for student aid programs and international education. The FY2018 appropriations package also included a provision to preserve full federal reimbursement for F&A costs. There is presently no resolution for DACA and the PROSPER Act. Regarding DACA, it has an uncertain future with the only permanent solution being legislative action by Congress, which is increasingly unlikely this year. Regarding the PROSPER Act, it has not come up for a vote in the House and it is increasingly unlikely that it will.

OFR utilized a multipronged approach to address these issues. First, NIU engaged individually through letters to policymakers from Acting President Lisa Freeman, Vice President Gerald Blazey, and Student Association President Rachel Jacob as well as sixteen meetings with Members of Congress to share the impact of these proposed policies on NIU and our students. Secondly, OFR increased our coordination with the government relations offices of the University of Illinois System, Northwestern University, and

the University of Chicago to engage the Illinois congressional delegation with a united voice. NIU provided a uniquely compelling and recognized perspective at the nexus of high-quality education, world-class research, and educational opportunity for Illinoisans. Thirdly, OFR increased our coordination with

national associations such as the Association of Public and Land-grant Universities (APLU), National Association of College and University Business Officers (NACUBO), and the government relations officers of Mid-American Conference (MAC) member institutions.

Student Engagement

Providing enriching opportunities for students is a priority for OFR. Notably, 2018 is the third year of a partnership between OFR and OSEEL that brings one student to Washington, DC for the Catalyzing Advocacy in Science and Engineering (CASE) workshop run by the American Association for the Advancement of Science (AAAS). This workshop offers exceptional introductory science policy training and national networking opportunities: of the 63 other participating institutions, all but two are classified as Carnegie Doctoral - Highest Research including University of Illinois – Urbana-Champaign and Northwestern University from Illinois and household names such as MIT, Cornell University, and the University of California, Berkeley. 2018 is also the third year OFR assisted with the annual Political Science student spring break trip to Washington, DC. In 2018, OFR organized a private tour and meeting with a Foreign Service Officer who is an Iran policy expert at the Department of State as well as a private tour of the Supreme Court. In 2017, OFR sponsored the Science Policy Scholarship for two science, technology, engineering, or mathematics (STEM) students to attend the trip.

OFR also works directly with students. For four consecutive years, OFR has partnered with the Department of Political Science to identify one undergraduate student to intern with OFR each academic year; the 2016-2017 intern was Ben Staub and 2017-2018 intern is Tanner Wieland. Finally, OFR works to bring our expertise to campus by leading an annual science policy seminar for NIU's undergraduate research students every summer, occasional guest lecturing, and mentoring students interested in national scholarships or policy careers in Washington, DC.

Events

Two annual events were launched in 2018: the NIU congressional reception and the MAC congressional reception. In March 2018, OFR partnered with the NIU Alumni Association and the NIU Foundation to host a reception on Capitol Hill to showcase our federally funded research enterprise and to unite current students, university leadership, alumni, and friends. Our congressional co-hosts were NIU alumni Senator Tammy Duckworth, Rep. Don Bacon (NE-2), and Rep. Robin Kelly (IL-2), and both Representatives attended and offered remarks. Among the ninety attendees were staff from seven Illinois congressional offices as well as the American Physical Society, Association of Public and Land-grant Universities, Department of Education, Department of Energy, Illinois State Society, National Science Foundation, National Academy of Sciences, and Science Coalition, and former Congressman Jerry Weller from Illinois. In February 2018, Acting President Lisa Freeman and Senior Associate Vice President Vernese Edghill-Walden joined leaders from across the MAC at the inaugural MAC congressional reception on Capitol Hill. NIU showcased our award-winning commitment to inclusive excellence for attendees including Rep. Randy Hultgren (IL-14) and over seventy-five congressional staff.

Looking ahead, two NIU faculty are scheduled to showcase their research on Capitol Hill in May 2018. While they are in Washington, DC they are planning to meet with federal program officers at the Department of Veterans Affairs and National Science Foundation.

Leadership

OFR Director Anna Quider provided additional value to NIU through leadership of two national organizations. Director Quider served as Vice President for 2017 and presently serves as President of The Science Coalition. She also served as an ex-officio Executive Committee member of and government relations liaison to the APLU Council on Research in 2017 and presently serves on the Executive Committee of the APLU Council on Governmental Relations.

SPONSORED PROGRAMS ADMINISTRATION REPORT

NIU faculty and staff secured 261 sponsored funding awards totaling \$30.3 million for FY 2018 (Figure 1). This is a 17% increase over FY 2017 and brings NIU to its highest level of funding since FY 2014. Research funding also finished strong this year at \$12.2 million, representing a 26% gain over this time last year.

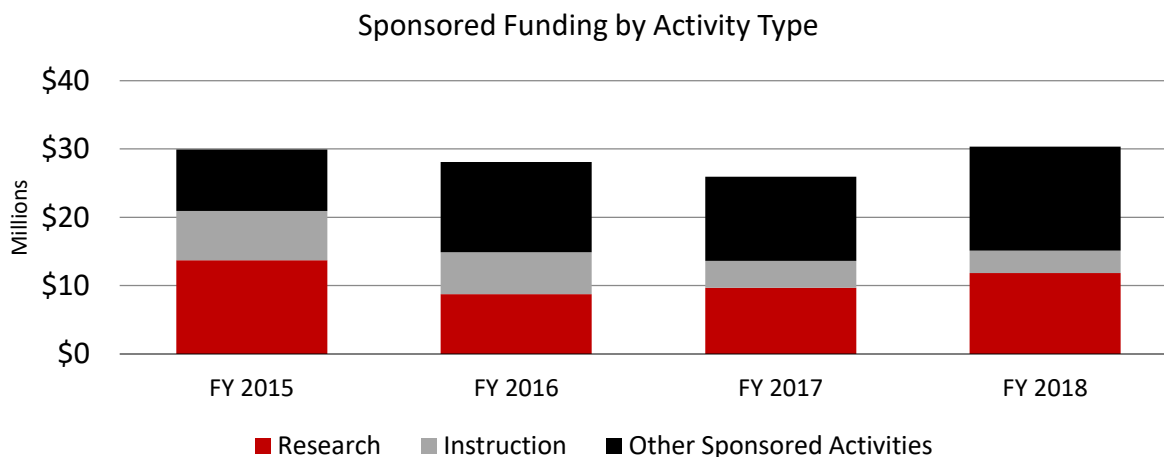


Figure 1

As in previous years, the College of Liberal Arts and Sciences and the Division of Outreach, Engagement, and Regional Development received most of the university’s sponsored funding. Table 1 below provides a breakdown of total sponsored funding received by each college/unit.

Table 1

COLLEGE/UNIT	FY 2015	FY 2016	FY 2017	FY 2018
BUSINESS	1,239,582	1,337,433	1,280,000	1,205,684
EDUCATION	3,074,937	1,651,836	1,256,519	1,436,900
ENGINEERING AND ENGINEERING TECHNOLOGY	2,948,968	1,270,012	1,040,649	972,204
HEALTH AND HUMAN SCIENCES	770,090	710,995	1,061,556	985,147
LAW		509,050		
LIBERAL ARTS AND SCIENCES	13,912,323	11,383,805	14,958,920	16,050,245
OUTREACH, ENGAGEMENT, AND REGIONAL DEVELOPMENT	4,621,545	8,663,927	3,458,615	7,105,531
VISUAL AND PERFORMING ARTS	46,206	8,000	73,670	135,859
OTHER ACADEMIC UNITS	3,277,050	2,526,037	2,815,161	2,449,422
OTHER UNIVERSITY UNITS	19,139	36,527	10,000	1,000
TOTAL	29,909,840	28,097,622	25,955,090	30,341,992

Most colleges and units reported an increase in research funding for this year. Gains were due to a variety of factors, including the transfer of research grants following targeted faculty hires, research personnel detailed to federal agencies, expanded applied research efforts, and growth in the STEM fields.

Table 2

COLLEGE/UNIT	FY 2015	FY 2016	FY 2017	FY 2018
BUSINESS	224,582	4,933	-	295,684
EDUCATION	303,833	78,181	48,714	436,525
ENGINEERING AND ENGINEERING TECHNOLOGY	2,563,161	839,085	822,449	733,166
HEALTH AND HUMAN SCIENCES	614,303	672,913	754,917	660,024
LAW	-	-	-	-
LIBERAL ARTS AND SCIENCES	2,751,076	361,940	-	-
<i>LIFE, PHYSICAL AND MATHEMATICAL SCIENCES</i>	3,974,162	4,207,576	5,081,365	5,712,154
<i>SOCIAL SCIENCES</i>	1,204,994	882,235	1,002,206	1,681,238
VISUAL AND PERFORMING ARTS			45,550	127,659
OUTREACH ENGAGEMENT, AND REGIONAL DEVELOPMENT	170,655	27,501	250,667	691,586
OTHER ACADEMIC UNITS	1,906,089	1,691,180	1,686,366	1,874,618
OTHER UNIVERSITY UNITS		10,000	10,000	
TOTAL	13,712,855	8,775,544	9,702,234	12,212,654

Federal funding accounted for 90% of NIU’s total research funding, with the top five funding agencies being National Science Foundation, National Institutes of Standards and Technology, Department of Justice, Department of Education, and Argonne National Laboratory. These agencies supported work across disciplines including art and design, family violence, and various STEM fields. See Table 3 for a full listing of research funding by agency.

A full listing of awards received for the 4th quarter of FY 2018 is appended to this report. Award detail for previous FY 2018 quarters were already reported to the Board of Trustees. Additional funding details for FY 2018, including examples of unique awards, will be provided in the SPA verbal report to the Committee.

Table 3

Federal Agency	Total
National Science Foundation	3,233,622
National Institutes of Standards and Technology	1,873,118
Department of Justice	1,228,626
Department of Education	930,002
Argonne National Laboratory	880,598
Department of Health and Human Services (Excluding NIH)	716,049
National Institutes of Health (NIH)	627,295
Department of Energy (Direct funding)	508,932
Department of Homeland Security	385,492
US. Securities and Exchange Commission	295,684
Fermilab	142,815
National Oceanic & Atmospheric Administration	59,481
Department of Agriculture	54,718
Department of Defense	41,000
National Endowment for the Humanities	12,000
Total	\$10,989,432

FY 2018 Quarter 4 Awards

ANTHROPOLOGY

Conservation, Food and Health Foundation for "The Effects of Anthropogenic Disturbance on the Health and Behavior of Bolivian Tamarins."

Leila M. Porter.

Award: \$28,054.00.

July 1, 2019 - June 30, 2020. (Organized Research) Applied Research.

The project will create an international network of scientists and students to examine increased sharing of diseases due to human-induced habitat change and population growth and develop measures for protecting human and wildlife populations in Bolivia.

BIOLOGICAL SCIENCES

National Science Foundation for "The ecosystem consequences of management disturbances: examining the community–trait–function relationships of consumers in a restored grassland."

Holly Jones/Nicholas Barber.

Award: \$6,250.00. (Cumulative \$212,500.00).

September 1, 2017 - August 31, 2018. (Organized Research) Applied Research.

To identify management disturbance effects on species in a restored grassland and to measure changes in the ecosystem function.

Lake County Forest Preserve District for "Monitoring and Assessment of Blanding's Turtle Populations 2018 at Spring Bluff Forest Preserve."
Richard B. King/Holly Jones/Nicholas Barber.
Award: \$22,838.00.
April 2, 2018 - November 1, 2018. (Organized Research) Basic Research.

Provide appropriate field data collection and reporting over the course of a 5-month assessment of the population status of Blanding's turtles at Spring Bluff Forest Preserve through standard research methods.

Agricultural Research Service/Department of Agriculture for "Developing Genomics Resources for Tropical Perennial Crops Economically Important to the United States."
Yanbin Yin.
Award: \$10,000.00.
September 1, 2017 - August 31, 2018. (Organized Research) Basic Research.

This project will develop novel SNP markers and other genomic tools for molecular characterization of genetic resources of guava, rambutan, pitaya, star fruit, mangosteen, tea and peach palm.

CAMPUS CHILD CARE

Altrusa Club of DeKalb-Sycamore, Illinois for "Multi-Cultural and Arts Books for Campus Childcare."
Amy Lofthouse.
Award: \$500.00.
May 1, 2018 - August 31, 2018. (Other Sponsored Activities) Public Service.

The intent of this project is to supplement and replenish children's books that are rich in diversity and provide an appreciation for the arts.

Community Coordinated Child Care for "Child Care Program Quality Improvement."
Lofthouse, Amy.
Award: \$8,813.00.
July 1, 2017 - June 30, 2018. (Other Sponsored Activities) Public Service.

To successfully merge the Child Development Lab and Campus Child Care into one program, which will allow them to expand infant and toddler care to NIU students, faculty and staff as well as the surrounding community.

CHEMISTRY AND BIOCHEMISTRY

Argonne National Laboratory for "Material Development for Energy Efficiency and Renewable Energy Applications."
Tao Xu.
Award: \$23,881.00. (Cumulative \$115,140.00).
July 1, 2018 - June 30, 2019. (Organized Research) Applied Research.

The purpose of this project is to prepare, characterize, and improve new materials for energy efficiency and environmental applications.

National Science Foundation for "Fundamental Study of Dopants Effect for Stable Hybrid Perovskite Materials."
Tao Xu.
Award: \$311,558.00.
July 1, 2018 - June 30, 2019. (Organized Research) Basic Research.
To provide an atomic level understanding of how the proposed dopants stabilize the vulnerable ions, and influence the performance of organic-inorganic hybrid perovskites materials.

COLLEGE OF BUSINESS, DEAN'S OFFICE

Medline Industries for "Experiential Learning Center Corporate Project-Fall 2017 and Spring 2018."

Joan Petros.

Award: \$20,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Marmon Group for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$25,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Aon Hewitt for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$27,500.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Brian Bemis Automotive Group for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$27,500.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Elkay Manufacturing for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$25,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Monsanto for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$27,500.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Nalco Chemical for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$27,500.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Sherwin-Williams for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$25,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Advantage Bearing Technologies for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$25,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Trustmark Insurance for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$25,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

University of Chicago - Medicine for "Executive MBA Contract Courses."

Ann Carrel.

Award: \$27,500.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Salesforce for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

UniCarriers Corporation for "Experiential Learning Center Corporate Project-Spring 2018."
Joan Petros.
Award: \$10,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Hyster-Yale Materials Handling for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Parent Petroleum for "Experiential Learning Center Corporate Project-Spring 2018."
Joan Petros.
Award: \$10,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Jewel-Osco for "Experiential Learning Center Corporate Project-Spring 2018."
Joan Petros.
Award: \$20,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Abbott Laboratories for "Experiential Learning Center Corporate Project-Spring 2018."
Joan Petros.
Award: \$10,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Amita Health for "Experiential Learning Center Corporate Project-Fall 2017."
Joan Petros.
Award: \$10,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

TouchPoint360 for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Brenntag Great Lakes for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

CareerBuilder for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Gold Eagle for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

HNTB Corporation for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Village of Glenview for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

SRS Distribution Incorporated for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

UTC Aerospace Systems for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Xerox Corporation for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Alligatortek for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Levenfeld Pearlstein, LLC for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

US Cellular Corp. for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Vélan Solutions, LLC for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Shiloh Industries, Inc. for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

A.J. Antunes & Co. for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Burgess-Norton Manufacturing Company for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Conduent, Inc. for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Baxter Healthcare Corporation for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

SureStaff Temp Services for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$27,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

OrthoIllinois for "Executive MBA Contract Courses."
Ann Carrel.
Award: \$25,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

COLLEGE OF EDUCATION, DEAN'S OFFICE

Miaoli County Government Education Department, Taiwan for "Educate Global Taiwan."
Terry E. Borg.
Award: \$20,204.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

School District # 46, Elgin for "Social Justice Summer Camp for teacher/educators in the region."
Terry E. Borg.
Award: \$15,840.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

School District # 428, DeKalb Community Unit for "Social Justice Summer Camp for teacher/educators in the region."
Terry E. Borg.
Award: \$15,840.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Miaoli County Government Education Department, Taiwan for "Open Imagination Program."
Terry E. Borg.
Award: \$48,169.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

COLLEGE OF HEALTH AND HUMAN SCIENCES, DEAN'S OFFICE

Altarum Institute for "MACRA: Quality Improvement Direct Technical Assistance."
Kathryn Mazurek/James R. Ciesla.
Award: \$302,861.00. (Cumulative \$599,859.00).
February 16, 2018 - February 15, 2019. (Other Sponsored Activities) Public Service.

Through participation in the MACRA-Provider Resource Network, NIU will provide clinicians in rural Illinois with customized direct technical assistance and peer-level support to deliver care in a patient-centric and efficient manner.

COMPUTER SCIENCE

ProtonVDA Inc for "A Proton Radiography System for Optimization of Proton Therapy."

Nicholas T. Karonis.

Award: \$209,000.00. (Cumulative \$418,000.00).

September 1, 2017 - August 31, 2018. (Organized Research) Applied Research.

NIU is collaborating with ProtonVDA (SBC and prime recipient), Loyola, and Northwestern Proton Center in a joint research to produce and test a fully functional prototype of a proton radiography system with all required clinical features.

Argonne National Laboratory for "System Software Integration and Development."

Nicholas T. Karonis/Brian Toonen/Michael Papka.

Award: \$219,427.00. (Cumulative \$647,838.00).

July 1, 2018 - June 30, 2019. (Organized Research) Applied Research.

The purpose of this project is to provide support to ANL's Advanced Integration Group through contributions to cobalt scheduling, port operational assessment reporting, and MPI support.

COUNSELING, ADULT AND HIGHER EDUCATION

Substance Abuse & Mental Health Services Administration/DHHS for "Building Suicide Awareness and Fostering Enhanced Resilience (B-SAFER) at Northern Illinois University."

Brooke Ruxton/Suzanne Degges-White/Carrie Kortegast.

Award: \$102,000.00. (Cumulative \$306,000.00).

September 30, 2018 - September 29, 2019. (Other Sponsored Activities) Public Service.

The major goal of the project is to develop connections between mental health providers on- and off-campus; provide training for the community; and promote the reduction of stigma, an increase in help-seeking, and enhanced resilience.

ECONOMICS

University of Chicago for "Center for Robust Decision-Making on Climate and Energy Policy."

Evan W. Anderson.

Award: \$9,570.00. (Cumulative \$46,731.00).

September 1, 2017 - August 31, 2018. (Organized Research) Basic Research.

The PI will work in collaboration with RDCEP researchers on the development of robust optimal control methods for economic models re: climate change.

EDUCATION SYSTEM CENTER

Illinois Manufacturers' Association Education Foundation for "IAAC Implementation Management Support." Jonathan Furr

Award: \$272,215.00.

June 27, 2018 - June 26, 2020. (Instructional Programs).

Education Systems will partner with the sponsor to support capacity building for pre-apprenticeship programs.

FAMILY AND CONSUMER SCIENCES

Community Coordinated Child Care for "Quality Improvement Funds Grant."

Lisa M. Schmidt.

Award: \$2,949.00.

May 3, 2018 - June 7, 2018. (Other Sponsored Activities) Public Service.

QI Funds are designed to support programs as they pursue quality improvement for child care programs by achieving or maintaining an ExceleRate Circle of Quality.

GEOGRAPHIC AND ATMOSPHERIC SCIENCES

Village of Carol Stream for "GIS Design and Implementation for the Village of Carol Stream."

Ryan James.

Award: \$39,581.00.

May 1, 2018 - April 30, 2019. (Organized Research) Applied Research.

This project will create maps for the Village of Carol Stream and will provide an engaged learning opportunity for Geography graduate and undergraduate students.

GEOLOGY AND ENVIRONMENTAL GEOSCIENCES

National Ground Water Association Research and Educational Foundation for "Water Quality and Physical Hydrogeology of Mandalay, Myanmar."

Melissa E. Lenczewski.

Award: \$7,560.00.

December 1, 2017 - November 30, 2018. (Organized Research) Applied Research.

To investigate the groundwater quality of local dug and tube wells, determine quantitative data on characteristics of the local aquifers, and compare seasonal variations in groundwater flow and quality around Mandalay.

GRADUATE SCHOOL

Illinois Board of Higher Education for "Diversifying Higher Education Faculty in Illinois FY2018."

Bradley G. Bond.

Award: \$4,500.00. (Cumulative \$146,500.00).

July 1, 2017 - June 30, 2018. (Instructional Programs).

NIU will serve as Fiscal Agent for IBHE for FY 2018 in administering grants awarded by the Diversifying Higher Education Faculty in Illinois ("DFI") Program Board to fellows at the institution under the DFI Program.

Waubensee Community College for "Support for Graduate Assistants."

Bradley G. Bond.

Award: \$21,501.00.

August 1, 2018 - July 31, 2019. (Instructional Programs).

This project provides two graduate research assistants to Waubensee Community College to work under the direction of the Dean of Students, in the areas of student affairs.

HISTORY

National Endowment for the Humanities/National Foundation on the Arts and Humanities for "The Trillick Railway Outrage: Making Sectarianism in Victorian Ireland."

Sean Farrell.

Award: \$6,000.00.

April 9, 2018 - August 15, 2018. (Organized Research) Basic Research.

This book-length project is the first on this subject, and considers the event and its aftermath in light of the constructed nature of sectarian division in mid-19th century Ireland.

INDUSTRIAL AND SYSTEMS ENGINEERING

Ideal Industries, Inc. for "Senior Design Project: Improving Packaging Process to Increase Operator Efficiency."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Daubert Chemical Company, Inc. for "Senior Design Project: Daubert Drum Line Implementation."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Aurora Specialty Textiles Group, Inc. for "Senior Design Project: Range II Changeover Optimization."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

SPX Flow for "Senior Design Project: Improving UPS Shipping Department."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Woodward, Inc. for "Senior Design Project: Analysis of FMU1/HMU Mixed Model Assembly Line."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Woodward, Inc. for "Senior Design Project: Designing Woodward Test Preparation Station and Process Flow."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Woodward, Inc. for "Senior Design Project: Optimization of Picked Parts Locations Within MPW."

Purushothaman Damodaran.

Award: \$7,000.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

Northwestern Medicine for "Senior Design Project: Streamlining Patient Scheduling and Registration at KPG Lab and Radiology."

Shi-Jie Gary Chen.

Award: \$2,500.00.

January 1, 2018 - December 31, 2018. (Instructional Programs).

Northwestern Medicine for "Senior Design Project: Prescription Refill Process Improvement."

Shi-Jie Gary Chen.

Award: \$2,500.00.

July 1, 2017 - June 30, 2018. (Instructional Programs).

National Express LLC for "Improving CSC Management Productivity."
Purushothaman Damodaran/Christine Nguyen/Ziteng Wang/Ehsan Asoudegi.
Award: \$6,400.00. (Cumulative \$66,575.00).
May 15, 2018 - June 30, 2018. (Organized Research) Applied Research.

The goal of this project is to improve the management productivity at the Customer Service Centers for National Express, the second largest student transportation provider in North America.

SPX Flow for "Senior Design Project: Customer Service Work Flow Configuration."
Purushothaman Damodaran.
Award: \$7,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Woodward, Inc. for "Senior Design Project: Routing Optimization of Incoming and Outgoing Packages."
Purushothaman Damodaran.
Award: \$7,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Aurora Specialty Textiles Group, Inc. for "Senior Design Project: Canvas Room Small Roll Throughput and Ergonomic Improvement."
Purushothaman Damodaran.
Award: \$7,000.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

HydraForce, Inc. for "Senior Design Project: Quality Assurance Relocation and Waste Reduction."
Purushothaman Damodaran.
Award: \$7,500.00.
July 1, 2017 - June 30, 2018. (Instructional Programs).

Chalmers St. Consulting for "Purchasing and Payment Processing Improvement."
Purushothaman Damodaran.
Award: \$14,999.00.
April 1, 2018 - June 6, 2018. (Organized Research) Applied Research.

This project aims to improve current purchasing and payment practices for a charter school network.

INTERNATIONAL STUDENT AND FACULTY OFFICE

Institute of International Education for "2018 Fulbright Gateway Orientation."
Stephanie Brown/Bradley G. Bond.
Award: \$77,680.00.
March 1, 2018 - September 28, 2018. (Other Sponsored Activities) Public Service.

This program will orient foreign Fulbright students to the Fulbright program and community; the U.S. academic system; U.S. history, culture, and government; and develop skills for success as students and future leaders.

JOBS PLUS

Illinois Board of Higher Education for "Illinois Cooperative Work Study FY19."
Chad Glover/David Dosier.
Award: \$36,648.00.
July 1, 2018 - August 31, 2019. (Other Sponsored Activities) Student Service.

The purpose of the project is to provide valuable career-related work experiences to students that are applicable to their fields of study.

LEADERSHIP, EDUCATIONAL PSYCHOLOGY AND FOUNDATIONS

Southern Illinois University at Edwardsville for "IHE Partnership-Regional Office of Education #47."

James Surber/Rebecca Surber.

Award: \$6,189.00.

January 1, 2018 - June 30, 2018. (Instructional Programs).

NIU investigators will participate in the Immunity to Change (ITC) training, which helps to support ongoing work with adult learners.

MECHANICAL ENGINEERING

Aurora Specialty Textiles Group, Inc. for "Designing a Water Treatment Facility for Aurora Specialty Textiles Group."

Kyu Taek Cho/Purushothaman Damodaran.

Award: \$36,953.00.

June 1, 2018 - May 31, 2019. (Organized Research) Applied Research.

This project will provide the optimal system design of wastewater treatment for ASTG to satisfy the discharge requirements of the Yorkville Sanitary District.

MORGRIDGE OFFICE

National Science Foundation for "EXP: Inclusive Design for Engaging All Learners (IDEAL): Designing Technology for Cultural Brokering."

Yanghee Kim/Laura Ruth Johnson/Lichuan Liu/Sachit Butail.

Award: \$436,025.00.

January 1, 2018 - December 31, 2018. (Organized Research) Applied Research.

The purpose of the project is the design of a robot for children's collaboration.

NORTHERN PUBLIC RADIO

Illinois Arts Council for "FY18 WNIJ Operating Support Grant."

Staci Hoste.

Award: \$8,880.00.

January 1, 2017 - August 31, 2018. (Other Sponsored Activities) Public Service.

Funds are being used to support high quality public radio programming.

Illinois State Library for "Northern Illinois Radio Information Service (NIRIS)."

Staci Hoste.

Award: \$28,273.00.

July 1, 2017 - June 30, 2018. (Other Sponsored Activities) Public Service.

The Radio Information Services enhance the quality of life for Illinoisans with a physical or visual disability by providing access to the news and other information.

Corporation for Public Broadcasting for "2018 Radio Community Service Grant."

Staci Hoste.

Award: \$226,398.00.

October 1, 2017 - September 30, 2018. (Other Sponsored Activities) Public Service.

Funds are being used to support high quality public programming.

Illinois Arts Council for "FY17-18 WNIU Basic Support Grant."
Staci Hoste.
Award: \$8,950.00.
July 1, 2017 - June 30, 2018. (Other Sponsored Activities) Public Service.

Funds are being used to support high quality public radio programming.

Illinois Arts Council for "FY18 WNIU Operating Support Grant."
Staci Hoste.
Award: \$8,880.00.
January 1, 2017 - August 31, 2018. (Other Sponsored Activities) Public Service.

Funds are being used to support high quality public radio programming.

Illinois Arts Council for "FY17-18 WNIJ Basic Support Grant."
Staci Hoste.
Award: \$8,950.00.
January 1, 2017 - December 31, 2017. (Other Sponsored Activities) Public Service.

Funds are being used to support high quality public radio programming.

OFFICE OF STUDENT ENGAGEMENT

Campus Compact for "NIU Communiversity Gardens."
Michaela Holtz/Melissa Burlingame.
Award: \$3,360.00.
June 18, 2018 - August 31, 2018. (Instructional Programs).

The purpose of the project is to hire a summer college student intern to gain professional experience while assisting with the Communiversity Gardens.

P-20 CENTER

Illinois State Board of Education for "FY18 Summer Migrant Education Program."
Marilyn Bellert.
Award: \$119,956.00.
April 15, 2018 - August 31, 2018. (Other Sponsored Activities) Public Service.

The federally funded Migrant Education Program (MEP) provides supplemental education and supportive services to migrant children during the summer.

Illinois State Board of Education for "ISBE Early Childhood Return on Investment Study."
Gina Caronna/Thomas Pavkov/Amy Jo Clemens/Benjamin Creed/Kelly Hodgson Summers.
Award: \$249,904.00.
June 26, 2018 - June 30, 2019. (Organized Research) Basic Research.

The study will research returns on investments of various Illinois early childhood programming using educational and social service data sets within the Illinois Longitudinal Data System.

Illinois State Board of Education for "Preschool Development Grant - Expansion Grant."
Gina Caronna/Thomas Pavkov/Amy Jo Clemens/Benjamin Creed/Kelly Hodgson Summers.
Award: \$260,677.00.
June 20, 2018 - December 31, 2018. (Instructional Programs).

This project will conduct research to ensure quality in preschool programs.

PHYSICS

Department of Energy for "Phase-space tailoring and cooling of charged-particle beams for energy- and intensity-frontier applications."

Phillippe R. Plot.

Award: \$115,000.00.

April 1, 2018 - March 31, 2019. (Organized Research) Basic Research.

The purpose of the project is to develop techniques to tailor the phase-space distribution of charged-particle beams and investigate cooling technique based on self-field.

Argonne National Laboratory for "Fabrication and Characterization of Superconducting Nanostructures." Zhili Xiao.

Award: \$7,390.00. (Cumulative \$37,630.00).

May 16, 2018 - August 15, 2018. (Organized Research) Applied Research.

Funds will be used for developing methods and/or procedures to fabricate and to characterize superconducting nanostructures as part of DoE funded project on superconductivity and magnetism at Argonne National Laboratory and includes support for Jing Xu.

Argonne National Laboratory for "Structural Investigations of Advanced Functional Materials using Neutron and X-ray Scattering."

Omar H. Chmaissem.

Award: \$41,017.00. (Cumulative \$119,609.00).

April 1, 2018 - March 31, 2019. (Organized Research) Applied Research.

This project supports the research and supervision activities of NIU's Professor Omar Chmaissem within the Neutron and X-ray Scattering (NXRS) Group of the Materials Science Division at Argonne National Laboratory.

University of Notre Dame for "The Quarknet Project."

Dhiman Chakraborty.

Award: \$3,480.00. (Cumulative \$29,160.00).

September 1, 2017 - August 31, 2018. (Organized Research) Research Training.

The purpose of this project is to involve high school teachers and their students in state-of-the-art research that seeks to resolve some of the mysteries about the structure of matter and the fundamental forces of nature.

State University of New York at Stony Brook for "ATLAS Detector Upgrade R&D for High-Luminosity LHC." Dhiman Chakraborty.

Award: \$3,219.00. (Cumulative \$62,831.00).

February 1, 2018 - May 31, 2018. (Organized Research) Basic Research.

Funds are requested for assembly and testing of Low-Voltage Power Supply units for on-detector electronics of the ATLAS Tile Hadronic Calorimeter.

State University of New York at Stony Brook for "US ATLAS Operations."

Dhiman Chakraborty.

Award: \$78,423.00. (Cumulative \$309,293.00).

February 1, 2018 - May 31, 2018. (Organized Research) Applied Research.

Funds are requested to develop and maintain the ATLAS calibration database and related software.

Fermi National Accelerator Laboratory for "High Luminosity (HL) LHC CMS Detector Upgrade Project – Endcap Calorimeter."

Vishnu V Zutshi/Alexandre S. Dychkant.

Award: \$81,477.00. (Cumulative \$112,932.00).

January 1, 2018 - September 30, 2018. (Organized Research) Applied Research.

Funds will be used on R&D for the SiPM-on-Tile design and will involve design, fabrication and testing of prototype dimpled tiles that will be directly-coupled (i.e. in a fiberless fashion) to Silicon Photomultipliers.

PRECOLLEGIATE-UPWARD BOUND

Office of Postsecondary Education/Department of Education for "Upward Bound Program."

Felicia R. Bohanon.

Award: \$517,748.00. (Cumulative \$1,035,496.00).

June 1, 2018 - May 31, 2019. (Other Sponsored Activities) Public Service.

Funds will be used to identify, select and serve 120 low-income, potential first generation college students who lack the adequate preparation to successfully pursue a postsecondary education and need academic support.

PSYCHOLOGY

Institute of Education Sciences/Department of Education for "Testing the onPAR Model in Developmental Literacy Education."

Joseph P. Magliano/Stephen Tonks/Karyn Higgs/Alecia Santuzzi.

Award: \$274,548.00. (Cumulative \$1,571,213.00).

July 1, 2018 - June 30, 2019. (Organized Research) Applied Research.

This project proposes to develop and test a model that specifies the literacy and self-regulation (e.g., motivation and metacognition) skills and processes necessary to become a proficient academic reader in a sample of development education students.

Susan Myket, Ph.D. & Associates for "Psychology Externship at Susan Myket & Associates."

Leslie Matuszewich/Laura D. Pittman.

Award: \$16,708.00. (Cumulative \$147,932.00).

July 1, 2017 - June 30, 2018. (Instructional Programs).

Funds will be used to support a Psychology graduate student externship placement at Susan Myket & Associates.

PUBLIC ADMINISTRATION

DeKalb Chamber of Commerce for "Administrative Intern."

Denise Burchard.

Award: \$16,170.00.

August 16, 2018 - May 15, 2020. (Instructional Programs).

The purpose of this project is to provide a valuable experiential learning opportunity to a graduate student in NIU's MPA program.

SCHOOL OF ART AND DESIGN

Deutscher Akademischer Austausch Dienst (DAAD) for "The Circus in Ancient Rome: A Cultural History." Sinclair Bell.

Award: \$3,875.00.

May 2, 2018 - May 1, 2019. (Organized Research) Basic Research.

This project funds collaboration and archival research in support of a scholarly manuscript on the sport of Roman chariot racing.

National Science Foundation for "Scholars Award: Understanding iconoclastic violence through the early science of optics."

Mary P. Quinlan.
Award: \$123,784.00.
April 1, 2018 - March 31, 2019. (Organized Research) Applied Research.

The purpose of the project is to investigate the science of vision to understand the role of optics in iconoclastic violence in the 16th Century Europe.

SCHOOL OF HEALTH STUDIES

Illinois Department of Public Health for "Building Evaluation Capacity - Indicator Selection Readiness Assessment."

Sarah Dee Geiger.
Award: \$39,833.00.
June 14, 2018 - February 28, 2019. (Organized Research) Applied Research.

The PI will identify potential sexual violence indicators from a CDC-provided database and to use established criteria to select indicators for us in an outcome evaluate.

Illinois Department of Public Health for "Illinois Behavioral Risk Factor Surveillance System (IL-BRFSS)."
Kathryn Mazurek/Cynthia C. Nelson.

Award: \$383,560.00.
April 1, 2018 - April 30, 2019. (Organized Research) Applied Research.

Data collection, data management, reporting and technical support on the Illinois Behavioral Risk Factor Surveillance System (IL-BRFSS) conducted April 2018 through March 2019.

SOCIOLOGY

University of California, San Diego for "The New Era of Campus Politics: Struggle Over Ideology and Identity in Four Battleground States."

Jeffrey L. Kidder.
Award: \$18,987.00.
March 1, 2018 - February 28, 2019. (Organized Research) Basic Research.

Research into the struggles over identity and ideology that are impacting political activism on college campuses, paying special attention to the influence of outside organizations funding campus groups.

STATISTICS

Casualty Actuarial Society (CAS) for "Maximum likelihood inference of predictive models for misrepresentation risk in GLM ratemaking."

Chaoxiong Xia.
Award: \$15,500.00.
April 25, 2018 - April 24, 2023. (Organized Research) Applied Research.

To develop new algorithms for use in predictive analysis of misrepresentation risk in ratemaking for the insurance industry.

UNIVERSITY LIBRARIES

University of Washington for "The Myanmar Librarian Training Consortium: 2016-2017 Academic Exchanges and Training Project."

Hao N. Phan.
Award: \$5,209.00. (Cumulative \$33,362.00).
November 20, 2017 - June 30, 2018. (Instructional Programs).

This is a collaborative project to increase engagement between Myanmar and US academic libraries by providing advanced training for Myanmar academic librarians.

**NEW RESEARCH AND INNOVATION, LEGAL AND LEGISLATIVE AFFAIRS
INITIATIVES**

In the last quarter, the University embarked on two initiatives addressing the recently approved vision for research, scholarship, and artistry: *preparing northern Illinois and the nation for a century of change*. As discussed at previous meetings of the Committee, the strategic emphases for future scholarship are 1) responding to the changing climate, 2) preparing for changing demographics, 3) leading the evolution of technology, and 4) interpreting our changing world.

As recommended by the Vice President of Research and Innovation Partnerships (RIPS), the President has approved a new research center named CREATE (Cross-disciplinary Research on Engaging Advanced Technology for Education) which will focus on the frontier between education and changing technology. The center will be housed in the College of Education and led by Dr. Yanghee Kim, who joined NIU last year as the Morgridge Endowed Chair of Teacher Education and Preparation. The new center is responsive to the Presidential goal to increase capacity for research, innovation, and regional engagement as measured by initiation of at least one research cluster per year.

CREATE will develop innovative and transdisciplinary research programs that investigate cutting edge technology to address urgent challenges in education for learners of all ages. The center is committed to facilitating multidisciplinary collaborative research, involving regional and international communities through partnerships, and nurturing a new generation of researchers to ensure sustainability and broad impact. The design and development of technological tools to help teach and learn require multidisciplinary expertise from various academic fields, such as the learning sciences, engineering, computer science, subject-matter education, psychology, and other social sciences. For broad impacts, the Center will collaborate closely with practitioners in education, industry, and organizations locally and globally. Some of the research strands planned are designing a humanoid robot for facilitating collaboration among young children, developing an intelligent robot system to facilitate teamwork skills among undergraduate students, developing a virtual adviser for underrepresented students in STEM at their community colleges, and providing tablet-based feedback for visually impaired learners.

The second major initiative involves a joint effort by RIPS and the Division of Outreach, Engagement and Regional Development (OERD) to explore the creation of a Discovery Partners Institute (DPI) hub. The DPI is an interdisciplinary public-private research institute located in Chicago and a hub of the Illinois Innovation Network (IIN), a set of virtually connected hubs across the states. The IIN comprises hubs led by institutes of higher education. The DPI and IIN were initiated by the University of Illinois System and will include partners across the state. The DPI was announced by Governor Rauner last October and received \$500M state appropriations in June of this year. Representatives of the UI System and NIU have been discussing creation of an NIU/DeKalb DPI hub since November of 2017. A convergence of events including the inception of the DPI, the new research vision at NIU, and gathering community momentum around rural innovation presents the local community with a tremendous collaborative opportunity for the university and its local partners.

Accordingly, RIPS and OERD have met with local stakeholders and with NIU faculty and staff to develop a programmatic and physical proposal for an NIU/DeKalb-based hub, tentatively named the Northern Illinois Center for Community Sustainability (NICCS). The hub will be dedicated to sustainability of communities in response to changes in the environment, demographics, and technology. Building on the rich legacy of agricultural innovation in DeKalb County, the academic excellence of Northern Illinois University, and partnerships with other academic and private institutions, NICCS will create new knowledge, inform policymaking, and inspire action in three related areas: food systems innovation, water resources stewardship and development, and climate change adaptation. In terms of the NICCS footprint, we are working with the City of DeKalb to identify potential locations within the community. The NICSS will have significant impacts on NIU and surrounding communities such as increased research;

broadened community engagement; innovative economic development; and an enhanced statewide, national, and international reputation for NIU and DeKalb. Pending completion of discussions with potential partners, we plan to present an expression of interest to DPI/IIN leadership in the next few months.

AFSCME COUNCIL 31, LOCAL 963 COLLECTIVE BARGAINING AGREEMENT

Summary: Northern Illinois University negotiates with seventeen collective bargaining organizations representing different employee groups. Salary increases and other terms/conditions of employment for bargaining unit members are subject to negotiation and final agreements are submitted for approval to the Board of Trustees.

- 1) **Bargaining unit:** American Federation of State, County and Municipal Employees (AFSCME) Council 31, Local 963, representing approximately two hundred and fifteen bargaining unit employees (approximately 125 Building Service Workers, 80 Dining Employees, and 10 Lorado Taft Employees).

Scope of Negotiations: Full successor contract covering wages, hours, & terms and conditions of employment.

Tentative Agreement for Board Action: A five year agreement, expiring June 30, 2023. (Contract attached following report.)

Recommendation: Terms and conditions of this agreement are consistent with university policies and guidelines. The University recommends that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting of September 13, 2018.

AGREEMENT

This Agreement is made and entered into between the Board of Trustees for the use of NORTHERN ILLINOIS UNIVERSITY hereinafter called the "Employer" and the AMERICAN FEDERATION OF STATE, COUNTY AND MUNICIPAL EMPLOYEES (AFL-CIO), Council 31, for and in behalf of Local No. 963 hereinafter called the "Union".

ARTICLE I RECOGNITION AND AUTHORIZATION

SECTION 1 RECOGNITION

Par. 1 The Employer recognizes the Union as the exclusive bargaining representative for the bargaining unit consisting of the following position classifications:

<u>Building Service Workers</u>	<u>Food Service Workers</u>	<u>Lorado Taft Field Campus</u>
Building Service Worker	Cook	Cook
Locker Room Attendant	Cooks Helper	Food Service Sanitation Laborer
Maid	Kitchen Helper	Maintenance Repair Worker
Equipment Service Worker	Grill Cook	Staff Nurse I
Food Service Sanitation Laborer	Food Service Stores Laborer	Snack Bar Attendant
Food Service Cashier Waiter/Waitress	Baker II	Baker III
Storekeeper I at Holmes Student Center	Culinary Worker I, II, III	

Bargaining unit work in the above mentioned classifications shall generally be performed by bargaining unit employees in accordance with the provisions of the Statute and Rules of the State Universities Civil Service System.

SECTION 2 NEW CLASSIFICATION

Par. 1 In the event that the Union seeks to add to the bargaining unit a position classification, which may be appropriate to the bargaining unit, the parties agree to meet to discuss the inclusion of the position classification in the bargaining unit. When a new classification is instituted, and the parties agree the work of which falls within the scope of the unit, the parties agree to jointly petition the Illinois Educational Labor Relations board to seek the necessary unit clarification.

Par. 2 The parties agree that the change in title of a position classification (by the State University Civil Service System) in the bargaining unit shall not remove the position classification from the bargaining unit as long as the duties and responsibilities of the position remain essentially the same.

Par. 3 This Agreement is authorized by the Illinois Educational Labor Relations Act (Ill. Rev. Stat., Ch. 48, par. 1701 et seq.)

SECTION 3 DELETION OF CLASSIFICATIONS

Par. 1 The Employer shall notify and discuss with the Union of its intent to abolish or merge existing classifications in the bargaining unit as determined by SUCSS.

ARTICLE II GENERAL PROVISIONS

SECTION 1 NON-DISCRIMINATION

Par. 1 Neither the Employer nor the Union shall interfere with the right of employees covered by this Agreement to become or not become members of the Union and there shall be no discrimination

against any such employee because of Union membership or non-membership. The employer shall not discriminate against, interfere with, restrain or coerce employees because of lawful activities on behalf of the Union or because of their exercise of any rights granted by the Regulations of the Board of Trustees or by this Agreement.

Par. 2 In accordance with applicable statutes and regulations, NIU is an equal opportunity employer and does not discriminate on the basis of race, color, national origin, ancestry, sex, religion, age, physical or mental disability, marital status, veteran status, sexual orientation, gender identity, gender expression, political affiliation, or any other factor unrelated to professional qualifications, and will comply with all applicable federal and state statutes, regulations, and orders pertaining to nondiscrimination, equal opportunity and affirmative action.

Par. 3 All parties agree to observe the non-discrimination / harassment and title IX policies and procedures. Potential violations of the non-discrimination harassment and/or title IX policy will be subject to investigation by the department of Affirmative Action and Equity Compliance.

SECTION 2 WORK RULES

Par. 1 During the term of this Agreement, the Employer agrees not to adopt or enforce policy and rule changes, which would adversely affect only the employees covered by this Agreement.

SECTION 3 UNIFORMS

Par. 1 The Employer agrees to furnish uniforms where such are required. The replacement of uniforms shall be subject to the grievance procedure. Employees shall not wear issued uniforms outside regular working hours except while in route to and from work. With supervisory approval, employees may furnish their own uniforms at no cost to the Employer. The Employer may designate shoe color but will furnish shoes only if a specific style or type is required. The Employer will attempt to furnish each employee with up to six new articles of clothing by September 1 of each year.

SECTION 4 REQUIRED ATTENDANCE

Par. 1 An employee required to attend meetings, conferences, or undergo physical examinations outside regular scheduled working hours shall be paid one and one-half (1 ½) times the regular rate of pay for all time so spent.

SECTION 5 UNIVERSITY BUDGET

Par. 1 Prior to submission of the budget, the Employer, if requested by the union, agrees to a meeting for the purpose of discussing wage demands. The purpose of the meeting will be to examine rates, trends and any pertinent information either party wishes to discuss. The Union will make its views known to the Employer. The parties acknowledge that this provision or any subsequent meetings do not constitute a wage re-opener and/or any other Article of the collective bargaining agreement. At least annually the Employer will provide the Union a copy of the working papers as soon as practicable when they become available. The Union will pay for normal reproduction costs of the copy.

SECTION 6 PRINTING OF AGREEMENT

This agreement will be posted on the university website as an environmentally conscious alternative to printing. Posting will occur within two weeks of all necessary signatures for approval of the agreement.

SECTION 7 TUITION

Par. 1 Fees and/or tuition for University courses will be waived for bargaining unit employees in accordance with Board of Trustees regulations.

SECTION 8 SUB-CONTRACTING/CONTRACTING

Par. 1 It is the General Policy of the Employer to utilize employees to perform work appropriate to the employees' classification. The Employer will attempt to minimize the impact on affected employees as a result of sub-contracting or contracting out of work. The Employer agrees to notify and discuss with the Union 30 days prior to the sub-contracting or contracting out of work which may result in the layoff or loss of pay for employees covered by this Agreement. In the event of sub- contracting or contracting out of work which results in the layoff or reduction in pay for any employees, Operating Staff Services Employment Coordinators will provide career counseling, qualification testing and placement services to such employees. The Employer will, subject to Civil Service System requirements, offer to such employees positions the Employer is currently seeking to fill at the same or comparable pay rate if possible.

SECTION 9 LAYOFF

Par. 1 Employees to be laid off shall be given thirty (30) working days notice in writing prior to the effective date of the layoff. A copy of the notice will be sent to the Union President. Where possible, the Employer shall notify the Union forty (40) days in advance of the written notice of the intended effective date of a planned layoff. If requested by the Union in writing within five (5) days of the notice to the Union of a planned layoff, the Employer will meet with the Union twenty (20) days prior to a planned layoff to negotiate the impact of the planned layoff. Layoffs and recalls of bargaining unit employees shall be in accordance with the State Universities Civil Service System Statute and Rules.

SECTION 10 VACATION REQUESTS

Par. 1 The employer shall respond to written vacation requests within seven (7) calendar days, or prior to the start date of the vacation, whichever is earlier. All vacation requests shall be submitted in writing (except where emergency requests preclude written request) and the Employer will acknowledge receipt in writing.

The employer shall make every effort to approve vacations as requested by the employee. In case more requests are received than can be approved for a particular period, the employer shall approve requests in order of receipt, or by seniority where requests are received on the same date. Once approved, vacation requests shall not be rescinded by the employer except as provided below. If an employee bids to a new area prior to the vacation date, it is the employee's responsibility to inform his/her new supervisor of the approved vacation within five (5) working days. If the employee fails to so inform the new supervisor, the vacation may not be honored. The employer will issue verbal and written announcements regarding the employee's responsibility at each bid meeting.

SECTION 11 STUDENT EMPLOYEES

- The Employer shall determine which positions shall be designated as student positions, and when so designated, they shall be filled in accordance with SUCSS Statute and Rules and University Policy.
- A student employee shall not displace a certified Civil Service employee.

SECTION 12 PARKING PERMIT RATES

All parties recognize that the parking permit rate is set by the employer.

SECTION 8 LORADO TAFT TIME CLOCKS

Bargaining unit employees at the Lorado Taft Field Campus are required to use a timekeeping system to record and determine the attendance of hourly employees for that pay period. Each employee is required to use their NIU One Card for the purposes of clocking in and clocking out of the timekeeping system. After the initial free card from the employer, the employee is responsible for replacement cost of the card. If the system does not accept the NIU One Card, the employer will

provide an appropriate card to the bargaining unit employee. Lost and damaged cars are to be replaced at the expense of the employee

To use the timekeeping system, employees are required to clock in at the start of their shift, clock in and out for their lunch breaks, and clock out at the end of their shift. Employees should be prepared to begin work at their scheduled start time after he/she clocked in and should clock in no more than five minutes earlier than the scheduled time of their shift. Employee should not clock out during paid break time. If there are multiple time clock available, the employee can use anytime clock within their campus.

If the timekeeping system is not working, or if an employee fails to clock in or out, the employee is required to notify the management and have the time record corrected prior to the end of the work day. Under no circumstances should an employee clock in or out for another employee; such a violation may be considered an ethics breach and subject to corrective action. All timekeeping records of the employee's work activities must be signed by the employee at the end of the pay period. Overtime must be approved in advance by the department supervisor.

ARTICLE III MANAGEMENT RIGHTS

Par. 1 The Employer continues to retain, whether exercised or not, the sole right to operate and manage its affairs in all respects. Any power or authority, which the Employer has not abridged, delegated or modified by the express provisions of this Agreement, is retained by the Employer. The rights of the Employer, through its management officials, include, but are not limited to, the following:

- Determine the overall budget of the Employer;
- Determine control and exercise discretion over the organization and efficiency of operations;
- Direct the employees, including the right to assign work and overtime;
- Hire, examine, classify, promote, train, transfer, assign and schedule employees in positions with the Employer;
- Suspend, demote, discharge or take disciplinary action against the employees for proper cause;
- Increase, reduce, change, modify, or alter the composition and size of the workforce, including the right to relieve employees for health and safety reasons;
- Reallocate positions to higher or lower classifications;
- Establish, modify, combine, or abolish job classifications;
- Determine the purpose of each of its service areas;
- Set standards for services to the public;
- Determine the locations, methods, means, and personnel by which operations are to be conducted, including the right to determine whether goods and services are to be provided or purchased;
- Change or eliminate existing methods, equipment, or facilities.

ARTICLE IV UNION RIGHTS

SECTION 1 MEMBERSHIP SOLICITATION

Par. 1 During an employee's work time, neither the Union nor its members shall solicit membership or attend to any other Union matters not related to the administration of this Agreement.

SECTION 2 NOTIFICATION

Par. 1 When a staff representative or any other Union official not an employee of the Employer wishes to visit or inspect a work area or meet with University representatives, the person shall endeavor to provide notice to Human Resources Labor Relations of the intended meeting or visit with 24 hours notice.

SECTION 3 TIME-OFF FOR UNION ACTIVITIES

Par. 1 With supervisory permission, which shall not be unreasonably withheld and subject to the operating needs of the Employer, employees who are Union representatives, stewards, witnesses or grievant will be permitted time off with pay during their respective working hours to:

- a) process and/or investigate grievances (1 Union representative)
- b) attend grievance hearings (2 Union representatives)
- c) attend suspension hearings and discharge proceedings (2 Union representatives)
- d) attend contract negotiations (6 bargaining unit employees which shall include 1 employee from Lorado Taft Field Campus, 1 employee from Holmes Student Center, 1 employee from Residence Halls Food Service, 1 employee from Building Services, and 2 at-large employees) The Union President or designee shall be permitted to represent, by attending in the place of, any Chapter employee that is unable to be present at those negotiations as long as the total number of employees in pay status does not exceed six.

Union activity outside of regular work hours are not subject to compensation.

An AFSCME staff representative may attend any of the above referenced meetings. Par. 2

Labor Management Meetings

The Union and the Employer mutually agree that in the interest of efficient management and harmonious employee relations, it is desirable that quarterly meetings be held between Union representatives and Employer representatives

Each area team shall consist of up to three to five bargaining unit employees and up to three to five Employer representatives. Each party shall designate their respective team members. Attendance by team members at these meetings shall be without loss of pay if held during their regularly assigned working hours. Meeting agendas shall generally be submitted one week in advance of the scheduled date; meetings will not be held without an agenda. By mutual agreement, additional items may be added to the agenda at the meeting.

Each area team shall have responsibility for:

- a) setting meeting dates, times, and locations
- b) agenda preparation for subsequent meetings
- c) development of area subcommittees as needed
- d) training for committee members

No Labor/Management Team will have the authority to discuss, change, modify, or infringe upon issues which are related to wages, hours, and terms and conditions of employment.

Both parties are committed to support the outcome of this process and are empowered to implement such results unless other parameters are mutually established.

Par.3 Time off with pay may be granted to the Union President or designees to attend meetings related to labor relations such as Civil Service Merit Board meetings, AFSCME internal meetings or legislative meetings. Such time off will not exceed a combined total of eight (8) work days in any fiscal year and will be granted provided the Union President or a designee provides a minimum of five (5) working days written notice to the Manager, Labor Relations. Time off under this paragraph shall be limited, on any one workday, to a total of two (2) members from HSC, one from custodial and one from Dining; 2 members from Taft from different classifications; 3 members from Housing and Dining, no more than two from a single work location; and four (4) members from Building Services, a maximum of 2 from a crew.

Par. 4 Time off without pay may be granted to additional Union representatives to attend meetings as described in Par. 2 of this Section. Such time off shall not be unreasonably withheld by the

supervisor, provided the Employee provides reasonable advance notice. Local Union representatives will be allowed time off without pay or be allowed to use available accumulated vacation in lieu of taking such time off without pay for legitimate Union business such as Union meetings, state or area-wide Union Committee meetings, state or International conventions, provided such representatives shall give reasonable notice to his/her supervisor of such absence and such absence does not substantially interfere with the departments operations.

Par. 5 The Local Union Executive Board members, not to exceed ten (10) members, may attend Local #963 board or membership meetings without loss of pay for an overall total of six (6) hours per month, with reasonable advance written notice to the Employer and such absence does not substantially interfere with the departments operations. Attendance shall not be unreasonably denied.

The parties will meet to discuss establishing orderly procedures for such absences and requests.

SECTION 4 REQUEST FOR MEETING SPACE

Par. 1 Requests for meeting room space must be cleared through the appropriate department head, in advance and in writing. This provision only applies to the space available in Building Services and Residential Hall Dining. For space in the Holmes Student Center, request for space must be approved through the general office and are subject to applicable fees.

SECTION 5 MAILINGS

Par. 1 The Union shall have the right to use campus mails and telephone (local use only) in accordance with University policies/regulations and Federal statutes. Bargaining unit employees shall be assigned a University e-mail address and will be responsible for information sent by the employer when access to such email is made readily available by the Employer.

SECTION 6 BULLETIN BOARDS

Par. 1 The Employer agrees to furnish bulletin board space in common work areas for the posting of Union notices related to regular Union business. Such notices shall not be political or partisan in nature or violate University policy or procedures regarding discrimination and shall not defame the Employer or any individual employed by the Employer or the State. While not limited to the following, notices shall be such as: Union meetings, Union elections, and appointments, results of Union elections, recreational, social and educational programs. All posted notices shall be signed by an officer of the Union. If there is a concern regarding political, partisan, or defamatory notices on a Union bulletin board, the Office of Human Resources Labor Relations shall contact the Union President or any officer to remove the notice.

Par. 2 The Employer will comply with all legally mandated orders to post notices and/or official Complaints via the Illinois Educational Labor Relations Board.

SECTION 7 INFORMATION PROVIDED TO THE UNION

Par. 1 On a quarterly basis the Union will be furnished with the following information:

- a. Updated seniority list of all bargaining unit employees;
- b. Overtime charts by work area.
- c. a report of transactions relating to bargaining unit employees such as new hires, retirements, resignations, promotion, transfer, demotion, dismissal or discharge.
- d. a report reflecting the name, classification, department, status, date in classification, rate, FTE, position number, NIU date, and mailing address.

Par. 2 The Union will provide the Employer with any changes in Stewards and/or officers.

SECTION 8 EMPLOYEE INFORMATION

Par. 1 The Employer agrees to provide new bargaining unit employees a copy of this Agreement at the employees' University orientation meeting.

Par. 2 Prior to the beginning of the Employer orientation meeting, the Union shall be allowed up to thirty (30) minutes to have Union orientation with the employees who shall be covered by this collective bargaining agreement. One representative of the local bargaining unit on straight time during may present the information to the new bargaining unit employee(s). The Union shall provide a representative for every Orientation session unless notification is received by the Union from Human Resources that no new members are scheduled to attend.

Par. 3 The Employer will send by US mail a designated AFSCME Local 963 representative a bi-weekly listing document to assist the local in reaching out to University employees who through internal transfer or other means do not attend a University orientation as mentioned above. The Union and management shall set a mutually agreeable time for the Union to meet and conduct orientation for these employees.

SECTION 9 JURISDICTION

Par. 1 In the case of jurisdictional disputes arising between representatives of this Union and those of other unions, it is understood that such differences shall be settled between the Employer and the unions concerned, without any work stoppage and that the Employer will not make any changes in any already established work assignment practices pending resolution of the dispute.

SECTION 10 MONTHLY MEETINGS

The 963 Executive Board or Stewards (not to exceed more than ten (10) at one time) will be allowed fifteen minutes twice a month to meet with bargaining unit members prior to the end of shift in Building Services to discuss Union business. Meetings will be held to coincide with paydays, subject to operational need. Executive Board members or Stewards participating in these meetings must notify their Foreman of their absence and notify the crew Foreman they will be in their area. Executive Board members or Stewards are allowed fifteen minutes travel time to reach the assigned area, and 15 minutes to return to their own work area.

In Dining Services, meetings will be held twice a month at a time mutually agreeable with management with no more than half the staff from each operation released at one time, subject to operational need. Employees may attend one meeting per month.

In both Dining Services and Building Services, Executive Board members, Stewards, or Union members may not earn overtime because of these meetings. Meetings are limited to one Executive Board member or Steward per meeting.

ARTICLE V DEDUCTIONS / PROPORTIONATE SHARE CLAUSE

Par. 1 The Employer agrees to deduct Union dues, assessments, and Union sponsored benefit program contributions (including PEOPLE and dental plan) and from the pay of those employees who are Union members covered by this Agreement and who individually, on a form provided by the Union, request in writing that such deductions are made. The Union shall certify the current amount of Union deductions.

Par. 2 The amount of the above employee deductions shall be remitted to AFSCME Council 31 after the deduction is made by the Employer with a listing of each employee, employee identification number, and the individual employee deduction(s).

Par. 3 It is understood and agreed that the Employer and the Union jointly acknowledge and respect the provisions of the "Wage and Salary Withholding Act" as amended, in regard to dues authorization and revocation cards.

Par. 4 The Union shall indemnify and hold harmless the Employer, its officers, agents and employees from and against any and all claims, demands, actions, complaints, suits or other forms of liability that shall arise out of or by reasons of action taken by the Employer for the purposes of complying with the above provisions of this clause or in reliance on any list, notice, certification, affidavit or assignment furnished.

Par. 5. The Employer shall honor employees' individually authorized deduction forms, and shall make such deductions in the amounts certified by the Union for union dues, assessments, or fees; and PEOPLE contributions. Authorized deductions shall be irrevocable except in accordance with the terms under which an employee voluntarily authorized said deductions and the laws of the State of Illinois – or – and applicable laws.

ARTICLE VI HOURS OF WORK/OVERTIME

SECTION 1 WORK DAY AND WORK WEEK

Par. 1 Seven and one-half (7 ½) hours shall constitute a normal day's work and thirty-seven and one-half (37 ½) hours in five (5) consecutive days shall constitute a normal week's work. Lorado Taft campus bargaining unit members and Holmes Student Center Dining bargaining unit employees are the exception to the above consecutive five day rule and may be scheduled non-consecutive work days within the work week when such scheduling is required considering event scheduling. For purposes of this provision only, events are defined as time periods in which the employer forecasts an increase in workplace demands which includes, but is not limited to: catered events, conferences, organized campus visits, open houses, first day of semester, etc.

The following applies to all bargaining unit employees: Hours of work shall be consecutive except for meal periods, which shall not be less than one-half (1/2) hour or more than one (1) hour. The employer reserves the right to schedule meal periods.

SECTION 2 CALL BACK

Par. 1 A call back is defined as an unscheduled assignment of work given to an employee who has left the work site. An unscheduled assignment of this nature that continuously precedes or follows an employee's regularly scheduled work hours shall not be defined as a call back. Any scheduled work hours shall not be considered a call back.

Par. 2 An employee who is called back to work after completing a regular day's work, as defined above, shall receive a minimum of two (2) hours pay at the applicable rate. An employee called back on a scheduled day off, as defined above, shall receive a minimum of four (4) hours pay at the applicable rate.

SECTION 3 TEMPORARY SCHEDULE CHANGES

Par. 1 Except in emergency situations and as noted in Paragraph 2 below, whenever work schedules or working hours are temporarily changed, notice, in writing, of such temporary change must be given to each employee involved or posted at least forty-eight (48) hours before such temporary change becomes effective. A copy of the notice with the reasons for the temporary change and its anticipated duration shall be provided to the Union. The Union may elect to meet and discuss the temporary changes prior to the implementation date.

Par. 2 Waiter/Waitress will be provided with their work schedule each Friday prior to the following Monday-Friday work week. Changes in the weekly schedule will be communicated to employees in this classification at least 24 hours prior to the changes, whenever possible.

Par. 3 Dining employees requesting employment in other than their own unit during student vacation periods within the academic year shall not qualify for overtime pay because of schedule

change unless work is performed for more than seven and one-half (7½) hours in one day or more than thirty-seven and one-half (37½) hours in one week of the new schedule.

SECTION 4 OVERTIME / DOUBLE TIME

For all bargaining unit employees, Time and one-half shall be paid for hours worked over seven and one-half (7 ½) in one (1) day or over thirty-seven and one-half (37 ½) hours (up to and including forty-five (45) hours) in pay status in any work week. Employees shall be entitled to accumulate up to (3) three weeks of compensatory time off or in accordance with current University policy, whichever is greater. The established work week is Monday (starting at 12:01 am) through Sunday (ending 11:59pm). Double time will be paid for all hours worked beyond forty-five hours in any work week.

SECTION 4B NO PYRAMIDING

Employees eligible for additional pay, including compensation for working during university closure, will receive the additional pay, time and a half, or double time – whichever is higher, but cannot receive a combination of pay of any or all of the above.

SECTION 5 TEMPORARY REASSIGNMENT

Par. 1 Employees assigned to duties outside of their current classification and in a classification carrying a higher rate of compensation shall be paid the higher rate for all work performed, whether temporary or permanent, when the assignment lasts for one (1) hour or more and then for the entire period of the assignment.

Par. 2 Employees, in any emergency situation, may be temporarily assigned to other duties, but such assignments will not reduce the employee's wages.

Par. 3 Solely at the Employer's discretion, Housing and Dining employees and Holmes Student Center Food Service employees may be given the opportunity to work in other Food Service classifications, outside of their current classification, at their regular rate of pay to achieve a thirty- seven and one-half (37½) hour work week.

Par. 4 Food Service employees at the Lorado Taft Field Campus may be given the opportunity to work in other classifications, outside of their current classification, at their regular rate of pay to achieve a thirty-seven and one-half (37½) hour work week.

SECTION 6 HOLMES STUDENT CENTER

Par. 1 Overtime will be offered to bargaining unit employees before the assignment is offered to a member of management, unless operating needs dictate otherwise, i.e. high-end functions.

Par. 2 Overtime will not be offered to students or extra help at anytime before the assignment is offered to bargaining unit employees.

Par. 3 All concerns should be brought to attention of management immediately. All parties will work to resolve issues in an expeditious manner.

Par. 4 All employees will be provided with their work schedules each Friday prior to the following workweek. Changes in the weekly schedule will be communicated to employees at least 48 hours prior to the changes, whenever possible except in emergency situations. Examples of emergency situations, are a last minute catered event or employee shortage due to sickness or personal emergency.

ARTICLE VII OVERTIME CHARTS

SECTION 1 EQUALIZATION

Par. 1 The Employer will attempt to equate overtime hours earned through the use of overtime charts. Overtime hours accrued will be posted each pay period showing the previous cumulative overtime hours for each employee. For building services, new overtime charts will be established on a seniority basis on September 1 of each year. For dining, each year on August 16, the equalization is reset for the upcoming year. Refusals to work overtime will be indicated on the appropriate chart as actual overtime hours earned, however, if an employee cannot be contacted for overtime, the Employer will contact the next eligible employee and the employee not contacted will not be charged for overtime hours earned. Employees that: refuse to work overtime, receive a suspension or are “cannot locate” will be credited with overtime hours earned. For building services only: a “cannot locate” is defined as a no response to the Employer’s effort to contact the bargaining unit employee within three hours of the employer’s attempt.

Par. 2 Building Services

1. The Employer will attempt to equate overtime hours earned on a pay period basis through the use of overtime charts. Overtime will be offered first by building, then by logical unit, then by utilizing the volunteer list for the applicable area. New overtime charts will be established on a seniority basis on September 1 of each year.
2. Logical unit is defined as building, location and/or common work area.
3. Volunteer lists and equalization charts will be maintained for overtime work performed in the Northern View Community, for Sports Activity, and for snow removal. The volunteer list will be posted in a community/accessible area in the Evans Field House, Building Services West, and employee break rooms. Volunteers will be expected to be able to perform the full range of duties assigned to those positions.
4. If a volunteer does not report to work as scheduled nor call to report their absence, their name will be immediately removed for the remainder of the year. The supervising foreman will notify both management and the union of their removal.
5. Should an employee refuse overtime two consecutive times, their name will be removed from the list for the remainder of the year. Refusals to work overtime will be indicated on the chart as actual overtime hours earned, however, if an employee cannot be contacted for overtime, the employer will contact the next eligible employee and the employee not contacted will not be charged for overtime earned.
6. Employees may sign up/register for volunteer overtime during the week of the August bid meeting. Registration will end at the close of the bid meeting.
7. Probationary employees are not offered overtime or listed on the volunteer chart for the first three months of the probationary period. After completing three months of service, an employee must request placement on the volunteer list within five business days.

Par. 3 Housing and Dining

With the exception of Kitchen Helpers, Housing and Dining employees will be offered and/or assigned the available time in the following manner:

1. Double starred
2. Non-scheduled less than 100%
3. Employees at one and one half time
4. Employees at double time
5. Employees within the unit already scheduled

Kitchen Helpers will be offered and/or assigned the available time as listed above based on job ability, which will be pre-determined and noted on the overtime chart. Employees reserve the right to contest exception to specific offers or assignments of overtime. For purposes of equating overtime, individuals with exceptions to offers and assignments will be charged for overtime for positions for which they qualify.

Par. 3A For purposes of assisting in home unit training of new employees, overtime may be offered to home unit employees first.

Par. 4 For the Campus Child Care Center, overtime will be offered to bargaining unit members who are permanently and regularly assigned to duties in the Campus Child Care Center. This provision does not prohibit the bargaining unit member who is permanent and regularly assigned to duties in the Campus Child Care Center to volunteer for overtime that is available to the remainder of the bargaining unit members.

SECTION 2 PROBATIONARY EMPLOYEES

Par. 1 Probationary employees are not offered overtime or listed on the overtime chart during the first three months of the probationary period. However, probationary employees may be offered overtime within their home unit after the overtime chart is exhausted. Probationary employees will be offered overtime and listed on the overtime chart after three months and credited with the average hours of overtime worked as defined by appropriate unit in Section 5, Paragraph 2 of this Article.

SECTION 3 TRANSFERS

Par. 1 Employees transferring from one unit to another will be credited with the average amount of overtime worked within that unit and new employees will be credited with the average hours worked as of the hiring date.

SECTION 4 EMPLOYEES NOT DESIRING OVERTIME

Par. 1 Employees not desiring overtime work shall, in writing, notify the supervisor. However, after the list of employees desiring overtime has been exhausted, operating needs of the department shall be satisfied utilizing inverse seniority to determine who shall perform the work.

SECTION 5 OVERTIME CREDITS

Par. 1 Employees on vacation, sick leave, or other approved leaves, or absent due to job-incurred injury will not be credited with any overtime hours posted during such absences.

Par. 2 Within Building Services and Lorado Taft Field Campus, new or returning employees shall be credited with the average number of hours worked by other employees in the same classification within their home unit. Within Housing and Dining and Holmes Student Center Food Service, new or returning employees shall be credited with the average number of hours worked by other employees in the same classification. Holmes Student Center shall be considered a lesser unit as defined by the State Universities Civil Service System Statute and Rules.

ART. VIII SENIORITY / JOB BIDDING AND BUMPING

SECTION 1 SENIORITY AND JOB BIDDING

Par. 1 Seniority shall be by classification and shall prevail in regard to layoff, vacation periods, days off, working shift, building(s) and work areas(s). Only by mutual agreement between the Union and the Employer can changes or deviations occur effecting the following job bidding and job bumping procedures.

Par. 2 Job bidding is the process of selecting from available hours of work, days off, building(s) and work area(s) by an employee based upon seniority. The Employer shall determine the available hours of work, days off and work areas, ten (10) days prior to each bid meeting. The Employer shall

not permanently change the hours of work or days off bid by employees prior to the next bid meeting, unless agreed to by the Union.

Par. 3 All bidders must be in work status at least one day prior to a Bid meeting in order to bid. A bid may not be placed when on a continuous leave.

For dining: All bidders must be in work status at least one day prior to a Bid meeting in order to bid. A bid may not be placed when on a continuous leave.

Par. 4 All positions at the Campus Child Care Center will be subject to an additional background check required by law and other DCFS requirements.

SECTION 2 JOB BIDDING PROCEDURES

Par. 1 Job Bidding Procedures: Permanent new and vacant positions released to be filled in Building Services shall be bid at a bid meeting to be held within the first ten (10) work days of each January, April and August. Additional bid meetings will be held in Building Services whenever five

(5) or more Building Service Worker positions are released to be filled. In Building Services a medical or other leave that is 60 or more continuous days will result in the release of a held bid position, and it will be made available for bid at the next scheduled bid meeting. The Union President will be notified as positions within the bargaining unit are released. Permanent new and vacant positions released to be filled in Food Services shall be filled at a bid meeting to be held within ten (10) work days of the occurrence of the vacancy. The ten (10) days may be extended by mutual agreement. Bid notices containing location, date and time of the meeting, the hours of work, the days off, building(s) and work area(s) shall be posted on appropriate bulletin boards seven (7) calendar days prior to the meeting and a copy shall be sent to the Union. Positions, which become available at the meeting, will be bid.

At Lorado Taft Field Campus, a vacancy notice will be posted in the appropriate unit, e.g. Food Service or Building Maintenance, immediately upon the position being released to be filled. Employees within the classification to be filled will have seven (7) calendar days to indicate their written bid for the position to the appropriate supervisor. The senior employee upon bid will be awarded the position and this bid procedure will continue until all vacancies are filled.

Par. 2 On the basis of seniority, an employee or the union, on behalf of an employee, will be entitled to one successful bid at the meeting, with the exception of Housing and Dining Kitchen Helpers. A successful bidder will be entitled to one (1) subsequent bid for another position put up for bid at the same bid meeting.

Par. 3 For Kitchen Helpers in Housing and Dining Employees, on the basis of seniority, an employee or the union, on behalf of the employee, will be entitled to one successful bid at the meeting. Employees with specific pre-determined job restrictions will not be allowed to bid for those positions. Employees reserve the right to contest exception to specific offers or assignments of overtime. A successful bidder will be entitled to one (1) subsequent bid for another position put up for bid at the same bid meeting.

SECTION 3 PROBATIONARY EMPLOYEES

Par. 1 Probationary employees are denied bidding privileges and bid meeting attendance. The Employer will consider a probationary employee's request for a position, which was not bid at the meeting. A position assigned a probationary employee will be considered a vacancy and subject to the bid procedure if the employee filling the position is reassigned during the probationary period. A position not filled prior to the next bid meeting will be subject to rebid.

Par. 2 An employee's probationary period shall be the first six months of employment in a classification. Probationary employees are entitled to Union representation. Probationary employees shall be evaluated by their supervisor within three and six months of their hire date.

SECTION 4 CHANGE IN JOB BIDS

Par. 1 Seniority shall be the determining factor in awarding job bids. Management, after consulting and reaching agreement with the Local Union Executive Board, will have the right to reassign employee(s).

In dining: Seniority shall be the determining factor in awarding job bids. Management, after consulting and reaching agreement with the Local Union Executive Board, will have the right to permanently reassign employee(s).

SECTION 5 BUMPING PROCEDURES

Par. 1 A bid meeting shall be held no more than one calendar week before a bump meeting. A status employee whose position is abolished, who is bumped from a position under this Section or whose hours or days off are changed may choose to retain the changed position or may choose any available vacancy released to be filled at the bid meeting or may bump the least and lesser senior employee on any shift. In Food Service, the shifts are the early shift, middle shift and the late shift. If an abolished position is reinstated within one (1) year, the previous incumbent may take the position. Any vacated position which occurs due to an employee exercising rights listed above will be considered vacant for bid purposes. For Housing and Dining Kitchen Helpers, employees with specific job restrictions will not be allowed to bump into pre-determined restricted job positions. Employees reserve the right to contest exception to specific offers or assignments of overtime.

SECTION 6 HOLMES STUDENT CENTER

Par. 1 Holmes Student Center shall be considered a lesser unit for purposes of seniority in the following classes: Building Service Worker, Cook, Cooks Helper and Food Service Stores Laborer, unless employees vote otherwise in accordance with State Universities Civil Service Procedure.

SECTION 7 BID MEETINGS

Par. 1 Bid and bump meetings shall be conducted during normal first shift working hours and employees will not be docked for their attendance.

SECTION 8 TEMPORARY CHANGE IN JOB BIDS

Par. 1 If, due to normal operational needs, it is necessary to assign employees out of their building(s), the Employer will seek volunteers from the affected work group and seniority shall prevail among those workers volunteering for the temporary assignment. Lacking enough volunteers, assignments will be made using inverse seniority on a rotating basis. Building Service Workers subject to a temporary change out of their bid building(s) shall be instructed by the supervisor as to the duties to be completed with regard to the temporary change.

Par. 2 Building Service Workers assigned within their bid building(s) to cover for absent employees shall be instructed by the supervisor as to the duties to be completed with regard to the temporary change. Such assignments shall be distributed as equally as possible during each month.

SECTION 9 FLEX POSITIONS

Par. 1 Flex positions for the purpose of this Agreement are those positions which are for less than 12 months duration.

Par. 2 Unless bid by the Employee, no status Employee with a 12-month appointment will be assigned to a flex position.

SECTION 10 EXCLUSIONS

Par. 1 The provisions contained in Article VIII, Sections 1-9 shall not apply to employees in the Waiter/Waitress classification.

ART. IX CLASSIFICATION/JOB ASSIGNMENTS

SECTION 1 JOB DESCRIPTION

Par. 1 Any bargaining unit employee will be provided with a copy of their job description upon written request by the employee to Human Resources. Should no current job description be on file in Human Resources within 10 days of the request, a current description, signed by both the employee and the supervisor will be given to the employee.

SECTION 2 ASSIGNMENTS WITHIN JOB CLASSIFICATIONS

Par. 1 Except in emergency situations, employees shall not be expected to perform work outside of that normally assigned their classifications. The phrase “related duties as assigned” includes only those duties closely related to those defined in the class specifications.

Par. 2 Building Service Workers required outside duties are limited to:

1. Cleaning ash urns
2. Exterior doors and windows
3. Snow removal
4. Cleaning of Huskie Stadium
5. Removal of trash from inside buildings in accordance with current practice
6. Power washing building entrances (see attached MOU dated 3/21/2012)

SECTION 3 VACANCIES AND PROMOTIONS

Par. 1 The Employer agrees to encourage promotion from within the Employer by encouraging departments to select current employees for promotional opportunities when other factors appear to be relatively equal. Employees who file a Request to Test form in accordance with the Testing deadline shall be allowed to take the appropriate examination prior to request for referrals and filling the position.

SECTION 4 INTERVIEWS AND TESTS

Par. 1 Employees will be granted time off with pay to interview or test for positions within Northern Illinois University (provided that such tests or interviews cannot be conducted at times other than working hours), including all time required for traveling to and from the test or interview. It is understood that such time off must be with supervisory approval, subject to operational need, which will not be unreasonably withheld and provided the employee provides reasonable notice to the supervisor.

ARTICLE X DISCIPLINE/DISCHARGE

SECTION 1 DEFINITION

The Employer subscribes to the tenets of progressive and corrective discipline and shall only discipline employees for just cause commensurate with the offense. Disciplinary action or measures include only the following:

1. Oral reprimand
2. Written reprimand
3. Suspension
4. Discharge

SECTION 2 MANNER OF DISCIPLINE

Par. 1 Discipline shall be imposed as soon as reasonably possible following the Employer becoming aware, or if applicable, investigating the circumstances giving rise to the discipline. When the employee is notified by the supervisor of an intent to recommend discipline, the employee will be notified of their right to Union representation. It is the employee’s responsibility to request union

representation when the discipline is officially served on the employee. If the steward requested is unavailable, the serving of discipline shall be postponed until a Union officer is notified. A copy of all discipline served shall be given to the Union. The Union may elect to be present when discipline is served upon the employee, if requested by the employee. An oral warning to be considered as such shall be documented by written notification to the employee and the Union.

Par. 2 Once the measure of discipline is determined and imposed, the Employer shall not increase it for the particular act of misconduct, which arose from the same facts and circumstances. Discipline shall not be imposed in a manner intended to embarrass the employee. Management will not discipline employees in the presence of other employees, the public, students, faculty, or staff. Supervisors and bargaining unit employees will endeavor to communicate in a courteous manner.

SECTION 3 INVESTIGATORY INTERVIEWS

When an employee covered by this Agreement is required to appear for an investigatory interview with any representative(s) of the Employer, and the employee holds a reasonable belief that the interview may result in disciplinary action against them, the employee shall have the right to be represented by the Union at any such interviews or meetings. The Employer will notify the employee of the right to Union representation before the interview begins.

SECTION 4 REMOVAL OF DISCIPLINE

When disciplinary action is imposed, the Employer shall notify the employee and the Union of the disciplinary action. Such notification shall be in writing and shall reflect the specific nature of the offense. Oral and written reprimands will no longer be considered in the progressive discipline process after one (1) year has elapsed provided no further related reprimands have been issued in that timeframe. Suspensions shall no longer be considered in the progressive discipline process after two (2) years has elapsed provided no further related reprimands have been issued in that timeframe.

SECTION 5 CRIMINAL INVESTIGATIONS

This section shall not apply in cases of investigations or arrest for a violation of criminal statute. If discipline (as defined in Paragraph 1) is imposed on the employee, this section shall apply.

SECTION 6 POLYGRAPH EXAMS

No Employee shall be required to take a polygraph exam for any matter pertaining to continued employment.

SECTION 7 DISCHARGE

The Employer shall notify the employee and Union of the intent to initiate discharge proceedings before the State Universities Civil Service Merit Board at least 13 working days prior to the commencement of discharge procedures as required by the State Universities Civil Service System. Such notice shall satisfy the requirements of the collective bargaining Agreement and shall not, in any manner, diminish the Employer's or the employee's rights under the State Universities Civil Service System. During this period, a grievance may be filed directly at Step 3 of the grievance procedure.

State Universities Civil Service System procedures shall not commence until after the 13 working day period mentioned above has ended, or until a grievance filed on the basis of intent to discharge has been responded to at Step 3, whichever occurs later. In the third level response, the Employer shall outline the options available to the employee with respect to further pursuit of the matter. An employee served with written notification of the initiation of discharge proceedings per the State Universities Civil Service System discharge procedures in accordance with this Agreement may either:

1. Elect to follow the procedures for review specified in the Rules and Regulations of the State Universities Civil Service System, Chapter VI, Section 250.110(e) (1) through (7).

2. Alternatively, the Union may move the grievance toward arbitration pursuant to the grievance procedure of the collective bargaining Agreement. If the employee elects to follow the procedures specified in the Rules and Regulations of the State Universities Civil Service System, initiation of such action shall waive any rights which either the employee or the Union might otherwise have to use or continue to use the grievance procedures of this collective bargaining Agreement with respect to said discharge.

In the event that a grievance is resolved through the issuance of an arbitration decision, the decision shall be final and binding upon the Union, the Employer and the employee.

ARTICLE XI GRIEVANCE PROCEDURES

SECTION 1 DEFINITION

Par. 1 A grievance shall be defined as any dispute or difference between the parties with respect to the application, administration, and interpretation of the provisions of this Agreement or arising out of matters controlled by the Employer, which directly affect wages, hours, terms and conditions of employment, including corrective action. The acceptance by the Employer of a grievance under Sections 2 and 3 of this Article is not an agreement by the Employer that the grievance is subject to arbitration under Section 4.

Par. 2 The purpose of the grievance procedure is to secure a fair and equitable resolution at the lowest possible level. Both parties shall make an earnest and honest effort to resolve the grievance in the most expeditious, cooperative and harmonious manner possible.

SECTION 2 PROCEDURES

Par. 1 All grievances shall be filed in accordance with the provisions herein. The grievant may be an employee, group of employees or the Union. The Employer may accept grievances filed by the Union at Step 3 or refer Union grievances to Step 1 or Step 2.

Par. 2 An employee may choose to pursue a grievance with or without representation. Obtaining representation shall be totally the responsibility of the employee. The Union shall be notified prior to all grievance meetings, and shall have the right to be present at all grievance meetings. If an employee elects to be represented by the Union and agreement is reached, such agreement shall be reduced to writing and the written agreement shall be binding on the parties.

SECTION 3 TIME LIMITS

Par. 1 The union has ten (10) business days from the time of the infraction to file a grievance. The time limits herein set forth may be extended by mutual consent of both parties. If at any step within the grievance procedure the Employer fails to respond within the time limits herein set forth, the grievant may appeal the grievance to the next step within five (5) working days. Failure of the grievant or the Union to comply with the time limits of this Article shall render the grievance withdrawn by the Union and/or grievant. For the purposes of the grievance procedure, workdays are considered to be Monday through Friday.

Step 1: Employee-Supervisor Discussion. An employee who has a request or complaint shall discuss the request or complaint with his/her designated supervisor in an effort to settle the same. An employee may do this personally, or through the Union. This procedure, if followed in good faith by both parties, should lead to a fair and prompt solution of most daily employer-employee problems. If, however, a request or complaint is not satisfactorily resolved, it may be reduced to writing and filed promptly as a formal grievance.

Within Building Services and HSC Custodial, the Building Service Foreman shall be designated as the immediate supervisor. Within Housing and Dining and HSC Food Service, the immediate supervisor is defined as the senior Food Service Administrator in the area.

Step 2: If the matter is not resolved at Step 1 and the grievant wishes to appeal the matter to Step 2, a formal grievance shall be submitted in writing to the area Vice President or designee within five (5) work days of the immediate supervisor's oral response. Within ten (10) days of the presentation of the grievance, the department head shall meet with the grievant in an attempt to resolve the grievance at a time mutually agreeable to the parties. The department head's response shall be reduced to writing within five (5) work days following the meeting.

Within Holmes Student Center, the Student Center Director, or designee, is the defined department head; within Building Services, the department head is defined as the area Vice President, or designee; within Housing and Dining, the department head is defined as the Vice President, Student Affairs, or designee. At Lorado Taft Field Campus, the department head is defined as the Director, Lorado Taft Field Campus or designee.

Step 3: If the grievance is not settled at Step 2 and the grievant wishes to appeal the grievance to Step 3, the grievance shall be submitted to the Vice President, Administration or designee, within ten (10) work days after the department head's written response. The Vice President, Administration or designee, within ten (10) workdays, shall schedule a meeting with the department representative(s) and the grievant along with their representative, if any, at a time mutually agreeable to the parties. The Vice President, Administration or designee, shall issue a written response to the grievance within ten (10) workdays following the meeting.

Par. 2 In addition to the Union representative(s) mentioned in this Section, the Local Union President or designee may attend grievance meetings and be given paid time off for such meetings.

Par. 3 The Employer shall notify the Local President, in writing, or the designated representatives of each department for receipt of Step 2 and Step 3 grievances. The Union shall notify the Employer, in writing, of the designated stewards in each area.

Pre-Arbitration Mediation

If the grievance is not satisfactorily resolved at Step 3, the Union may request to advance the grievance to mediation within ten (10) work days of the Step 3 response or the date on which such response was due, whichever occurred first. Mediation shall be requested by written notice to the Vice President, Administration or designee. The Union and the Vice President, Administration or designee, upon mutual agreement, shall then jointly request the Federal Mediation and Conciliation Service to provide the services of a mediator at a time or times convenient to the parties. More than one grievance may be submitted to the same mediator if the parties mutually agree in writing. In the event of a unilateral or mutual waiver, the grievance may be advanced directly to arbitration as set forth below.

SECTION 4 ARBITRATION

Par. 1 If the grievance is not settled at Step 3 or at pre-arbitration mediation, the Union may present the grievance to the Vice President, Administration or designee, for arbitration within ten (10) work days after receipt of the Step 3 response. A representative of the Human Resource Services shall schedule a meeting with the Union and appropriate departmental personnel to discuss the issues for arbitration. This meeting shall be scheduled at a time mutually agreeable to the parties and within fifteen (15) days of receipt of notice to arbitrate.

Par. 2 The parties shall obtain a list of seven (7) arbitrators from the Illinois Educational Labor Relations Board, American Arbitration Association or other mutually acceptable source. The parties shall meet in person or by telephone and alternately strike names until a single name remains. The cost of services of the arbitrator, court reporter, transcripts and all other costs incurred by the

arbitration shall be borne equally by both parties. Neither side shall be responsible for the expense of the other's witnesses or representatives.

Par. 3 The scope of the arbitration is limited to the terms of this Agreement and any supplemental agreements between the parties, except as they may be applicable to this Agreement. Board of Trustees Regulations and By-Laws, University Rules and Policies, laws of the United States and the State of Illinois, Rules and Regulations of administrative agencies are not subject to arbitration. The dismissal of a probationary employee is not subject to arbitration. The arbitrator shall have no authority to amend, modify, nullify, ignore, add to or subtract from the provisions of this Agreement. The arbitrator shall be without power to make a decision or render an award contrary to or inconsistent with or modifying or varying in any way the application of laws, rules, and regulations having the force and effect of law. The arbitrator shall submit in writing the decision and award within 30 calendar days following the close of the hearing or the submission of briefs by the parties, whichever is later. The decision and award shall be based solely upon the arbitrator's interpretation of the meaning or application of this Agreement to the facts of the grievance presented. Subject to the provisions of this Section, the decision of the arbitrator shall be binding on the parties.

ART. XII PERSONNEL FILES

Par. 1 Employees shall be entitled to full access to their personnel files as prescribed in prevailing state statute. Such reviews shall be made at a mutually agreeable time at Contracts, Records and Reports during working hours with no loss of pay.

Par. 2 An employee's supervisor's file shall contain job related information only. Employees will receive a copy of their annual evaluation and any materials used to support such. The supervisor shall offer constructive suggestions, if a problem is indicated, and shall attempt to aid the employee in resolving the problem(s).

Par. 3 Employees and their authorized representatives (with written consent from the employee) shall be entitled to access to their own employee file containing information related to a work related injury or illness, provided the author of the requested document has signed an appropriate release form.

ART. XIII HEALTH AND SAFETY

SECTION 1 GENERAL PROVISIONS

Par. 1 The Employer recognizes its responsibility to make all reasonable provisions for the health and safety of the employees, to assure and enforce compliance with Federal and State laws, and to maintain sound operating practices, which will result in safe working condition

Par. 2 The Union recognizes the responsibility of its members to obey reasonable safety rules and follow safe work practices to insure employee safety as well as that of fellow workers.

Par. 3 An employee shall immediately report any unsafe working condition or work practice to the immediate supervisor. If the matter is not resolved, it will immediately be taken by the Union to the Employer Safety Officer.

Par. 4 The Employer shall not require employees to work in unsafe and unhealthful environments. The Employer and the Union will endeavor to maintain a respectful working environment for employees, free from harassment, intimidation, and workplace violence including but not limited to interpersonal violence.

Par. 5 Any protective devices/clothing required by the Employer necessary to preserve the health and safety of employees shall be furnished by the Employer without cost to the employee. All employees shall be provided information on all toxic substances in the workplace as required by law.

Par. 6 The Employer and AFSCME recognize the value of counseling and assistance programs to those employees who have personal problems, which interfere with the employee's efficient and productive performance of his/her job duties and responsibilities. The Employer and AFSCME will, therefore, work collectively to support the Employee Assistance Program.

SECTION 2 ADA PROCEDURES

Par. 1 The employer agrees to notify the union when accommodations are required within the bargaining unit with respect to federal legislation summarized under the Americans With Disabilities Act. Further, the parties agree to discuss the issues of accommodation as would be affected by the provisions of the collective bargaining agreement and the Illinois Education Labor Relations Act.

Par. 2 The immediate supervisor will discuss the physical demand analysis worksheet with the employee before requiring the employee to sign the document. Signing the document does not imply the employee's agreement to the contents therein.

SECTION 3 WORKERS COMPENSATION

Par. 1 Employees who have utilized accumulative benefits and/or extended illness leave while awaiting a determination from the Illinois Workers Compensation Commission and/or the Central Management Services Division of Risk Management as to their eligibility for workers compensation, within thirty (30) days of qualification for disability or within thirty (30) days of a settlement being rendered by Workers Compensation, may opt in writing to purchase back utilized University benefits on a dollar for dollar basis. The employee must provide a doctor's justification for utilization of University benefits as is the current practice. It is clearly understood that employees must purchase non-accumulative benefits used (e.g. extended illness leave) prior to being allowed the purchase of accumulative benefits used.

SECTION 4 WORKLOAD CONSULTATION

Par. 1 With the exception of emergency circumstances, when bargaining unit employees are assigned a significant increase in workload in their normally bid position, within five (5) workdays, the employee may request a meeting in order to have a discussion with their supervisor about their altered work priorities in order to accommodate the increased workload, and/or determine how the work will be accomplished as determined by the Employer. Such requests may be granted by the department or appealed for an evaluation by the departmental representative in coordination with the Manager of Labor Relations to determine the actual significance of the assignment. In the event that such a meeting is scheduled, the employee shall have the right to request a Union representative and/or the Manager of Labor Relations in the meeting to help facilitate communication and problem solving efforts. The Employer reserves the right to assign work in accordance with Article III.

SECTION 5 EXTENDED ILLNESS LEAVE

To be eligible for a paid benefit of extended illness leave, the employee must be on an approved continuous FMLA.

ART. XIV WAGES

SECTION 1 FY2019 SALARY LEVELS

Par. 1 All employees covered by this Agreement who are currently employed on the date of ratification and/or approval of this Agreement by both parties shall be paid the following rates:

Wage scale for BSWs hired on or before BOT ratification date are \$16 for employees with less than four years of service in the BSW classification and \$19.10 for employees with more than four years of service in the BSW classification. The new rates are not retro active and are effective on the date of BOT approval of this cba.

With the exception to BSWs, changes to the following wage steps will take effect for employees hired prior to the BOT approval and will be effective on BOT approval date (not retroactively applied).

	Start Rate	3 Yr. Rate	4 Yr. Rate
Building Service Worker	16.00	16.00	16.00
Cook	14.26	14.80	17.95
Cooks Helper	13.02	13.57	17.48
Kitchen Helper	12.00	12.00	12.00
Food Service Cashier	12.21	12.75	16.80
Grill Cook	12.21	12.75	16.97
Food Service Sanitation Laborer	11.79	12.35	17.24
Food Service Stores Laborer	12.63	13.16	18.29
Maid	11.38	11.93	15.29
Snack Bar Attendant	12.00	12.00	16.85
Waiter/Waitress	11.38	11.93	16.85
Baker II (Culinary Worker II)	13.67	14.42	17.48
Baker III (Culinary Worker III)	15.40	16.06	17.95
Storekeeper I at HSC	11.33	11.90	12.50

LORADO TAFT FIELD CAMPUS ONLY

	Start Rate	3 Yr. Rate	4 Yr. Rate
Maintenance Repair Worker	15.07	15.61	20.16
Food Service Sanitation Laborer	13.83	14.36	17.51
Cook	14.26	14.80	17.95
Staff Nurse I	15.00	17.00	19.25

Par. 2 Employees whose work shift begins between 3 p.m. and 9:59 p.m. will receive regular pay plus a \$.20 per hour night differential for each hour worked.

Par. 3 Employees whose work shift begins between 10:00 p.m. and 3:00 a.m. will receive regular pay plus a \$.30 per hour night differential for each hour worked.

Par. 4 Should the Employer revise the differential policy for all University employees during the term of this agreement, the change(s) shall apply to bargaining unit members.

Par. 5 Building Service Workers when assigned to a truck or assigned to heavy duties involving the physical change of a work area (not including that moving which is incidental to custodial duties) for a continuous period of one hour or more shall receive regular pay plus \$.50 per hour differential. The differential will not be paid for the set up of chairs and light equipment. Set ups normally performed by Building service Workers at Holmes Student Center are not included in this provision. The employee's supervisor must approve any and all assignments before a differential will be paid.

Par. 6 Regular pay plus a \$.20 differential shall be paid food service employees in a so-called "starred" positions when such employees are moved from their regular assigned unit to another unit or for hours changes within their own unit on starred days.

SECTION 2 – WAGE INCREASES – SUCCEEDING YEARS

In addition to above step plan, bargaining unit employees will receive:

FY 2018	11/16/17 retroactive campus increase to eligible employees (via BOT guidelines)
FY 2019	campus wide increase only
FY 2020	3% across the board increase or campus wide increase, greater of (eff. 7/01/19)
FY 2021	3% across the board increase or campus wide increase, greater of (eff. 7/01/20)
FY 2022	Campus wide increase or wage reopener (wage reopener if no campus wide increase has been announced prior to 7/01/2022)

SECTION 3 – ADVANCEMENT

Par. 1 Employees will move up to the next step in the salary plan after serving the number of years indicated for that classification. Salary increments will be effective at the beginning of the pay period in which the employee's anniversary date falls (i.e. Employee's start date = July 9th, then his/her salary increment will be effective July 1st. Employee's start date = July 22nd, then his/her salary increment will be effective July 16th).

Par. 2 Except for a promotion within the promotional line, the employee's pay level and advancement is determined by date of employment in the classification. Employees promoted within the promotional line will receive rates in accordance with the "Pay Level" of the employee's pay at the time of the promotion. Example: A Cook's Helper earning \$13.02 per hour who is promoted to a position of Cook will receive \$14.26 per hour. Any employee who accepts a position out of the promotional line will be paid Minimum Level wages for the new classification, but still must serve an additional probationary period in accordance with State Universities Civil Service System Statute and Rules.

Par. 3 Lorado Taft Field Campus shall be considered a separate campus for level advancement purposes and only seniority earned on the Lorado Taft Field Campus shall apply. Holmes Student Center shall be considered a separate campus for level advancement purposes and only seniority earned on the Holmes Student Center shall apply.

ART. XV BENEFITS

Par. 1 Employee benefits shall be granted in accordance with Board of Trustees Regulations. The implementation of the benefits shall be subject to the grievance procedure.

Par. 2 Employees required to work on Board or University designated holidays will receive the regular rate of pay plus one and one-half (1 ½) times the regular rate of pay for all hours worked. Employees' regular working schedules will determine holiday employment.

ART. XVI NO STRIKE/NO LOCKOUT

SECTION 1 NO STRIKE

Par. 1 During the term of this Agreement or any extension thereof, neither the Union nor any employee covered by the Agreement will instigate, promote, sponsor, engage in, or condone any strike, sympathy strike, slowdown, concerted stoppage of work, or any other intentional interruption of the operations of the Employer.

SECTION 2 NO LOCKOUT

Par. 1 The Employer will not lock out any employees covered by this Agreement during the term of the Agreement as result of a labor dispute with the Union.

ART. XVII ENTIRE AGREEMENT

SECTION 1 DURATION/TERMINATION

Par. 1 This Agreement is effective upon ratification/approval of both parties and expires 11:59 p.m. June 30, 2023. No earlier than 90 days prior to the expiration of this Agreement, either party may initiate negotiation of a successor agreement.

SECTION 2 AUTHORITY

Par. 1 This Agreement shall not supersede:

1. Applicable Federal and State laws as such laws may become amended from time to time;
2. Rules of Federal and State agencies which have the force and effect of law; as such may be amended from time to time;
3. Board of Trustees Governing Policy, By-Laws and Regulations as such may be amended from time to time; except as expressly provided for in this Agreement;
4. Policies, procedures and provisions of employment as established by Northern Illinois University as such may be amended from time to time; except as expressly provided for in this Agreement.

Par. 2 This Agreement and attached MOU's constitutes the entire Agreement and understanding between the parties and supersedes all prior written and oral agreements, commitments and practices between the Employer, Union and employees. This Agreement expresses all obligations of and restrictions imposed on each of the parties during the term of this Agreement. Except as specifically and expressly provided in this Agreement, neither party is required to negotiate any issue during the term of this Agreement. In accordance with the Illinois Educational Labor Relations Act and applicable law, nothing herein shall be deemed or otherwise construed as a waiver of the Union's right to bargain over any changes in working conditions that arise during the term of this Agreement.

Par. 3 Should any provision of this Agreement or any application thereof become unlawful by virtue of any Federal or State law, Executive Order or decision of a court of competent jurisdiction, the provision or application shall be modified by the parties to comply with the law, order or decision and all other provisions of this Agreement shall continue in full force and effect.

Acceptance by the Parties

In witness whereof, the parties hereto have executed this Agreement by their duly authorized officers and representatives this _____ day of _____, 2018.

Agenda Item 8.c.2.
September 13, 2018

Information

HIGHER LEARNING COMMISSION ASSURANCE UPDATE

Vice Provost Douglass will provide the Board of Trustees an update on the Higher Learning Commission (HLC) 2018 Assurance Agreement.

**Agenda Item 9.a.
September 13, 2018**

Action

BOARD OF TRUSTEES 2019 MEETING DATES

Following the general pattern of meeting dates for previous years and input from Board members, the following choices are offered for consideration by the Board.

March 7	1 st Thursday
June 13	2 nd Thursday
September 12	2 nd Thursday
December 5	1 st Thursday

The Northern Illinois University Law and Article III of the *Bylaws of the Board of Trustees of Northern Illinois University* state that the Board shall convene at least once each quarter. These dates would meet those requirements. All Board meetings will convene beginning at 9:00 a.m. unless indicated differently in future meeting notifications.

BOARD OF TRUSTEES 2019 COMMITTEE MEETING DATES

Executive Committee

Academic Affairs, Student Affairs and Personnel Committee

Finance, Audit, Compliance, Facilities, and Operations Committee

Research and Innovation, Legal and Legislative Affairs Committee

February 7	1 st Thursday
May 9	2 nd Thursday
August 15	3 rd Thursday
November 14	2 nd Thursday

All BOT Committees will convene in the Board of Trustees Room, beginning at 9:00 a.m. unless indicated differently in future meeting notifications.

2018 ANNUAL PERFORMANCE REVIEW OF ACTING PRESIDENT FREEMAN

Summary: The Northern Illinois University Law requires the Board of Trustees to “complete an annual performance review of the president,” and such review “must be made available to the public on the University’s Internet website.” 110 ILCS 685/30-195(8) and 110 ILCS 685/30-200.

On August 30, 2018, Chair Wheeler Coleman released a draft of the 2018 Annual Performance Review of Acting President Lisa Freeman and had that draft posted to the NIU Board of Trustees website at <https://www.niu.edu/board/pdf/2018-acting-presidential-evaluation.pdf>, where it has remained to the present date. The posting of the draft annual performance review was done in this instance so that the University Community could review the contents of the draft, in light of the unique circumstances that the Board is also conducting an Adjusted Presidential Search Process, wherein Dr. Freeman is the candidate under consideration as the University’s next permanent president.

The draft 2018 Annual Performance Review of Acting President Freeman is attached to this Board Item for final review and approval by the Board at its September 13, 2018 meeting. The draft is accompanied by a disclaimer, which reads: “This document is for informational purposes only. The 2018 Presidential Evaluation will be formally reviewed as an agenda item and action taken by the Board of Trustees at the September 13, 2018, meeting.”

Approval: The Board of Trustees is being asked to take final action and approve the draft 2018 Annual Performance Review of Acting President Freeman, with appropriate modification to remove the introductory disclaimer and any “draft” notations. If approved, the final 2018 Annual Performance Review of Acting President Freeman will be posted on the University’s website, in compliance with the Northern Illinois University Law.

**This document is for
informational
purposes only.**

The 2018 Presidential Evaluation will be formally reviewed as an agenda item and action taken by the Board of Trustees at the September 13, 2018, meeting.

This document is for informational purposes only and is not final.

July 12, 2018

Dear Chair Coleman 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 acting president of NIU. It complements the detailed information provided in the *FY18 Presidential Goals, Summary, Results and Supporting Materials*, to provide additional context and an overview of the past year. I am pleased to share with you our significant progress toward achieving FY18 goals, addressing long-term opportunities for improvement, and strengthening our learning and working environment. Moving forward, and out from the myriad challenges of FY16 and FY17, has been possible because of the remarkable dedication of our NIU community.

The FY18 Board of Trustees Priorities and the cascading Presidential Goals acknowledge our continuing need to support the aspirations of students from all backgrounds, engage in knowledge creation and invest in our faculty and staff. They also speak to the importance of achieving operational and ethical excellence, and long-term fiscal sustainability through transparency of process, insights and results. Importantly, these annual goals were developed with the larger intention of positioning NIU for the future by creating momentum over more than one year. Thus, some of the FY18 goals focus on setting a baseline for to inform strategies for FY19 and beyond, and others are aspirational in nature.

This past year, I devoted substantial time and energy to stabilizing the university. Steps taken to this end include increasing the transparency of the President's Office, improving relationships with shared governance groups, highlighting the excellence of NIU's programs and people to key stakeholders, and working to strengthen areas that were impacted negatively by the 700+ days without any state appropriation. With respect to the last, I am particularly pleased that we were able to provide a long-awaited and much-deserved pay increase to our devoted faculty and staff. At the same time, I recognize that it will take time to recover from the budget impasse, refocus attention on our most ambitious goals, and develop the resources needed to invest in NIU's future.

We have been working together to implement a business model that sustains our financial health, funds appropriate levels of institutional financial aid, enables investment in our dedicated employees, and provides sufficient flexibility to respond to the rapidly changing higher education landscape. One strategy I have emphasized throughout my first year as acting president is cultivating relationships into resources. NIU formed several new partnerships in FY18 that will allow for greater efficiency, effectiveness and expertise, as well as enhanced student experiences. These include agreements with the City of DeKalb to oversee consolidated mass transit operations, with Follett to oversee our retail bookstore operations, with Northwestern Medicine to provide comprehensive student health care and with Discover Financial Services to offer an intensive on-campus internship program for students. In addition to their financial and resource benefits, relationships such as these continue to differentiate NIU in a competitive marketplace.

NIU also values collaboration as a strategy for advancing research and innovative practice. For example, the Morgridge Endowed Chair in the College of Education emphasizes innovation related to the integration of technology into classroom practice and specifically seeks to inspire a collaborative community of researchers and practitioners from diverse disciplines. This vision will be realized in FY19 as the tentatively titled Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE). At CREATE, a multidisciplinary team of researchers will explore effective ways to design state-of-the-art embodied technologies for enhanced learning and development. The launch of this Center addresses the fifth Presidential Goal and models the power of philanthropy as a catalyst for innovation.

NIU also continues to see positive financial, structural, curricular and cultural outcomes from Program Prioritization. The response to this comprehensive process has proven our willingness and ability to take on significant challenges in a thoughtful, collaborative manner. Accordingly, our faculty, students and staff continue to assume important leadership roles. This past year, we received an excellent report from a task force charged with conducting a comprehensive, transparent and replicable study of NIU faculty salaries to consider issues of systematic bias, salary compression and inversion. In the coming year, in collaboration with the groups that represent our faculty, the university leadership will begin to address the identified concerns and to enact the task force recommendations.

We've also heard directly from our students about various issues that impact their success. We continue to work with them to improve their NIU experience and to advocate for their concerns in Springfield and Washington. The evaluation and assessment plan created in response to the sixth Presidential Goal will enhance our ability support and engage our students going forward.

Program Prioritization has also increased our comfort with data-informed decision-making, assessment and planning for continuous improvement. The continued commitment to these processes is evident from the results presented in association with the third Presidential Goal. NIU has successfully incorporated the Program Prioritization framework

This document is for informational purposes only and is not final.

into a number of tools used to guide internal recommendations for continuous improvement.

The second Presidential Goal highlights both the opportunities and challenges associated with using nationally available finance data and metrics to answer high-level questions about institutional spending, revenues and resource allocation. Specifically, this goal sought to use data reported to the Integrated Postsecondary Education Data System (IPEDS) to describe these aspects of NIU finances over time and to make meaningful comparisons between NIU and peer-institutions. Our efforts to achieve these outcomes were hindered by a number of factors including periodic changes in IPEDS data collection and reporting, differences in institutional accounting practices across our peer group, and incomplete understanding of how our institutional objectives are embedded in reported data and calculated cost ratios. An October 2017 report by the National Postsecondary Educational Cooperative indicates that these challenges are ubiquitous across IPEDS stakeholders rather than unique to NIU.

In the coming year, the university will work to understand how to use institutional and IPEDS data most effectively to support strategic decision-making and resource allocation. Importantly, we remain committed to tracking administrative spending to encourage increased financial transparency and appropriate reductions in administrative costs. Retirements in FY18 allowed the university to reduce the number of senior administrators by eliminating positions at the level of vice president and associate vice president in Information Technology and Human Resource Services, respectively. There were also FY18 administrative investments aligned with the Presidential Goals in functions related to ethics, compliance and fundraising.

Given the accelerating demographic, economic, technological and political changes to our operating environment, it is not surprising that growing student enrollment and success remains a significant challenge for NIU. A sense of urgency exists across the senior leadership and the university community. We have responded to downward trends by enacting strategies to promote immediate stability and sustainable growth. We will expand the pools of eligible applicants and yield enrolled students using approaches that are responsive to changing demographics, evolving student expectations and the prevalence of technology in our world. Enrollment Management Marketing and Communications is leading development of a multi-year, multi-pronged recruitment plan that reaches different populations of prospective students and targets those most likely to enroll. We will employ reliable data analytics and metrics to determine what works well, and what is less effective.

The FY18 Presidential Goals acknowledge that a multi-faceted plan and long-range commitment will be required for NIU to increase year-to-year persistence and graduation rates for current students, and to increase recruitment of undergraduate and graduate students to on-campus, on-line and off-campus programs. To this end, we established data-informed goals, strategies, objectives and tactics for addressing achievement gaps and increasing retention and graduation rates; increased funds raised and expended by the NIU Foundation for scholarships; introduced new and updated on-line/off-campus programs; expanded our strategies for marketing NIU to target audiences; and instituted new practices designed to increase yield -- such as phone casts for admitted students and their parents. We are more proficient at articulating NIU's value proposition, and we are implementing new recruitment strategies aimed at connecting with potential students and establishing relationships earlier.

Our FY19 priorities and goals will build on the successes, shortcomings and lessons learned over the course of the past year. We will be unwavering in our commitments to our mission and core values, to an organizational culture that is ethical and accountable, and to a university community that is diverse, inclusive and welcoming. We will continue to strengthen our financial position and future sustainability by focusing enrollment management strategies on targeted growth, by improving operational efficiency and effectiveness and by enhancing philanthropic support.

In closing, I want to express my sincere appreciation for all of those who contributed to NIU's successes over the course of the past year – the board of trustees, senior roundtable and academic leadership team, as well as our dedicated faculty, staff, students, alumni, donors and partners. I could not be more proud of the NIU community. These Huskies are smart, tough and relentless in their pursuit of excellence and engagement, and in their support of our talented students. Together, we will continue to move our beloved NIU forward.

Sincerely,



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



**Northern Illinois
University**

Board of Trustees

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August 22, 2018

Members of the Board of Trustees, and
Lisa Freeman, Acting President
Northern Illinois University

Subject: 2018 Presidential Evaluation

For your review and consideration, this letter and the accompanying materials are intended to document the 2018 evaluation of Acting President Lisa Freeman at the close of the 2017-2018 academic year.

The Northern Illinois University Board of Trustees affirms and supports the executive summary and self-evaluation of Acting President Lisa Freeman. Dr. Freeman graciously accepted the leadership role of the acting presidency during a time of crisis and uncertainty; and with her poised, yet strong, leadership, she stabilized the university and made substantial progress in repairing relationships within and throughout the broader NIU community.

The Board assessed, in closed session, the FY 18 Executive Summary and Self-Evaluation of Dr. Freeman. A summary of the Board's assessment is provided herein with more detail provided in the attached "At-A-Glance" chart.

The Board has determined that Dr. Freeman embodies the qualities of leadership, energy, transparency, performance, and has shown unwavering commitment to Northern Illinois University's mission. Although the University has more work to do to secure its long-term financial future, Dr. Freeman has skillfully navigated NIU through a very tough budget crisis and helped stabilize the university financially.

Dr. Freeman's implementation of new policies will ensure better management of NIU's budget during uncertain state funding periods. In an effort to grow enrollment, retention and graduation rates, to continue to refine academic offerings and to further improve students' experiences on campus, Dr. Freeman has implemented new administrative policies and organizational structure.

We are pleased by the strategic and foundational progress made in one academic year under Dr. Freeman's leadership. Dr. Freeman has exceeded and/or met most of the goals set forth by the Board. We are encouraged with her leadership and look forward to additional progress on the presidential goals in the 2018-2019 academic year.

Truly,

A handwritten signature in black ink that reads "Wheeler Coleman".

Wheeler Coleman, Board Chair



Dr. Lisa Freeman, Acting President ***** FY 2018 - Goals

Effective Date: July 1, 2017 - June 30, 2018

Goal Title	Goal Description	Goal Measurement (Success Criteria)	Goal Results	Board Comments*
<p>Goal 1: Grow Student Enrollment & Success</p>	<ul style="list-style-type: none"> • Enhance Recruitment • Increase Retention • Increase Student Success 	<p>Recruitment</p> <ul style="list-style-type: none"> • Increase new undergraduate students (Fall 2018) by 5% from Fall 2017 • Hold new graduate students (Fall 2018) flat from Fall 2017 • Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19. • Deploy 8 -10 new online/off-campus programs. <p>Retention</p> <ul style="list-style-type: none"> • Increase Fall 2018 overall retention by 0.5% from Fall 2017 <p>Success</p> <ul style="list-style-type: none"> • Finalize equity gap goals/strategy for 4 and 6 year graduation rates. 	<p>Recruitment</p> <p>(Recruitment goals are subject to additional review when final results are known in the middle of September)</p> <ul style="list-style-type: none"> • In consideration of the new online degree programs, the new off-campus degree completion programs offered at Harper College University Center, and increased advertising efforts, the goal for FY19 is to increase online/off-campus student credit hour (SCH) production by 15%, from 61,096 to 70,260 SCH. • There are nine programs (including both degree programs and certificate programs) that will have a new online or off-campus presence in the coming year, and another five whose existing content and presence will be updated and expanded. <p>Retention</p> <ul style="list-style-type: none"> • These data will not be available until September 2018 <p>Student Success</p> <ul style="list-style-type: none"> • Four university-wide metrics will be used to measure overall progress in addressing achievement gaps: new freshman first-year retention rate; new freshman six-year graduation rate; transfer student first-year retention rate; transfer student three-year graduation rate. 	<p>In the area of recruitment and retention the final results will not be know until the middle of Septemeber. We believe NIU is progressing toward these goals and, even if results have not met or exceeded expectations, there is a strong strategy being developed and executed in this area. The online and off campus student credit hour increases for FY19 have met expectations and are being implemented. The new online and off campus programs goal of 8 to 10 new programs has met expectations by acheiving 9 new programs. Overall, we are satisfied with attainment of goals and progress being made to attaining the goals.</p>
<p>Goal 2: Enhance Fiscal Sustainability of NIU</p>	<ul style="list-style-type: none"> • Increase Tuition Revenue • Increase Philanthropy • Align Budget with Mission 	<p>Revenue Growth</p> <ul style="list-style-type: none"> • In line with our enrollment goal, a 5% growth in new undergraduates would result in an increase in gross tuition and fee revenue from new undergraduates of \$2.3M. • Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16. <p>Philanthropy</p> <ul style="list-style-type: none"> • 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. • Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19. <p>Increase Alignment of Mission and Budget</p> <ul style="list-style-type: none"> • Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide. • Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18 	<p>Revenue Growth</p> <p>(Revenue Growth goals are subject to additional review when these measures may be verified upon receipt of the year-end statements and financial audit)</p> <p>Philanthropy</p> <ul style="list-style-type: none"> • Total funds raised by the NIU Foundation through May 2018, inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate, totaled \$9,991,162, indicating a likely shortfall from the FY 18 goal of \$17.5M. • Efforts to increase the expenditure of NIU Foundation funds for scholarships and fellowships were successful. The mutually agreed upon goal was to grow such expenditures by the foundation on behalf of NIU by 10% at the end of FY19 (relative to the FY17 baseline of \$2,974,000), making the FY19 target \$3,271,400. The preliminary June 2018 quarterly reports indicate expenditures in this category of \$3,280,359. Working together, the foundation and university achieved 105% of their shared FY19 goal. <p>Increase Alignment of Mission and Budget</p> <ul style="list-style-type: none"> • The most recent final release Integrated Postsecondary Education Data System (IPEDS) data available (FY16) were used to compare NIU to a set of peer institutions that included public universities in IL (SIU-Carbondale, Illinois State University), in the MAC (Western Michigan, Central Michigan, Toledo, Ohio (main campus), and in other regions of the country (East Carolina, Northern Arizona). Summary statistics are included in the supporting material. • FY18 IPEDS data will be available next year to calculate the ratio associated with the first year of Freeman's Acting Presidency. For FY16, the ratio was 0.19 (see bottom row of table below). For FY17 the ratio was 0.23. Moving forward, it will be important to understand the nature of the expenditures that contributed to that year-to-year change. There are a number of possibilities, including increased expenditures for marketing/public relations, IT, advancement, legal and fiscal operations, or changes in how functional expenses are classified. Over the course of the past decade. NIU's administrative to instructional cost ratio has varied between a high of 0.23 (FY11, FY13, FY17) and a low of 0.16 (FY15). 	<p>Revenue growth and expense control at an accelerated pace is needed for the university to operate at a sustainable level. While the preliminary results were, in some respects, below expectations, we recognize a re-doubling of focus on revenue and expense enhancements that should manifest into improved results in FY 19. Overall, we believe the university is progressing toward expectations. Final revenue and expense measures will not be known until the end of September. Draft, internal, projections suggest a shortfall in tuition and fee revenue, shortfall in other income including Foundation, and operating expenses declined although weighted towards repairs and maintenance. These measures will need to be verified upon receipt of the year-end statements and financial audit. We appreciate the good practice to measure against IPEDS data, however, the lag in reporting creates a challenge with measuring annual performance. We also recognize good work in executing programs (bookstore, food services, bus service, and student healthcare) that should deliver enhanced service to the students and lower costs to the university starting next year.</p>

This document is for informational purposes only and is not final.

Goal Title	Goal Description	Goal Measurement (Success Criteria)	Goal Results	Board Comments*
<p>Goal 3: Implement Program Prioritization</p>	<ul style="list-style-type: none"> Administrative Programs Academic Programs Advance data-informed culture 	<p>Administrative Programs</p> <ul style="list-style-type: none"> Implement 80% of recommendations regarding administrative programs from the President’s November 2016 report by June 2018 <p>Academic Programs</p> <ul style="list-style-type: none"> 75% of academic programs planned for transformation or elimination- complete by June 2018 25% of new academic programs proposed- implementation in progress by June 2018 <p>Advance data-informed culture</p> <ul style="list-style-type: none"> Develop strategy and template to ensure that continuous improvement activities identified through the program prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified. 	<p>Administrative Programs</p> <ul style="list-style-type: none"> Program Prioritization recommendations have been implemented for 92% of administrative programs Program Prioritization action plans have been implemented for 88% of the academic programs recommended for transformation or elimination. Implementation is in progress for the four new academic programs recommended by the task force, as well as for both of the program proposals that were advanced in the Academic Affairs Action Plan despite not being supported by task force. <p>Advance data-informed culture</p> <ul style="list-style-type: none"> The academic program review process, overseen by the Academic Planning Council, has institutionalized foundational aspects of the program prioritization framework into their narrative templates and program review dashboards. <p>Beyond its influence on academic program review, Program Prioritization has improved the ways in which we operate, and moved our processes to be more data-informed with greater opportunity for continuous improvement. For example, the Program Prioritization criteria developed by the university community contributed to the framework used to promote a more transparent, collaborative and data-informed budget development process. In addition, Program Prioritization illuminated aspects of the university budgeting process that required modification to be responsive to changing student expectations, and to the evolving roles of technology on our campuses and in our society.</p> <p>Survey data suggest Program Prioritization has had lasting effects at the program level, with significant percentages of respondents reporting strong or moderate agreement with the statement that the process has increased data-informed decision-making in their academic (63%) or administrative (75%) unit.</p>	<p>We recognize the positive financial, structural, curricular, and cultural outcomes from Program Prioritization. Reform efforts concerning administrative and academic programs have exceeded expectations. As of the end of June, 2018, recommendations have been implemented for 92% of administrative programs and 88% of the academic programs recommended for transformation or elimination; and, implementation is in progress for several new academic programs. These efforts have been comprehensive and collaborative, and progress has been meticulously tracked and communicated publicly in periodic progress reports that recognized impressive campus-wide participation in program review, implementation of recommendations, and initiation of complex conversations. A central goal of the Program Prioritization process – to advance data-informed decision-making, assessment, and planning for continuous improvement – has also exceeded expectations. This is particularly evident when we focus on the templates and program review dashboards used within the academic program review process; the principles and framework used to redesign and annually administer the university’s budget process, and related collaboration and consultation baked into the process; and the positive assessments of the increased role of data in decision-making among academic and administrative units. While we understand that the intended focus of Program Prioritization implementation has been to identify opportunities to best align resources with NIU’s mission, rather than as a guideline for specific budget reductions, we also appreciate the fact that Program Prioritization provided valuable insights into the opportunities for executing reductions in ways that would best protect the institutional mission and value. This emerged as essential to shaping budget reductions, reallocations, and strategic program enhancements.</p>
<p>Goal 4: Foster an organizational culture that is ethical and accountable</p>	<ul style="list-style-type: none"> Increase transparent practices Decrease critical audit findings 	<p>Transparency</p> <ul style="list-style-type: none"> Post President’s Travel and Hospitality Expenses to Web (quarterly) starting in FY18. Implement the University Budget Process recommended by Executive Budget Committee (EBC), including expectation that EBC will engage NIU’s Resource, Space and Budget Committee, and thereby facilitate involvement of the larger NIU community in the budget process. Expectation is to have budget process 100% determined in FY18 and fully implemented for FY19. Decrease ambiguity associated with NIU policies and procedures by implementing policy library, and university-level compliance program <p>Audit</p> <ul style="list-style-type: none"> Decrease the number of critical financial and compliance audit findings (allow for two cycles to resolution) Implement reports designed to increase university leadership’s awareness of and responsiveness to critical internal audit recommendations. Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days 	<p>Transparency</p> <ul style="list-style-type: none"> This goal has been achieved. This process has been implemented. These programs have been implemented. <p>Audit</p> <ul style="list-style-type: none"> TBD Reports have been implemented. An Internal Audit Agreement has been implemented to outline roles and responsibilities of the internal auditor(s) and auditees. The agreement establishes expectations for timely responses to internal audit requests. 	<p>Reform efforts in terms of increasing transparent practices have exceeded expectations. Examples of this are posting expense reports on the web, an inclusive and transparent university budgeting process, and the creation of the new Ethics and Compliance Office that reports directly into the president. This was accompanied by the appointment of an Acting Ethics and Compliance Officer to oversee a university-level compliance program that includes a Policy Library that is a new repository designed to reduce confusion about NIU policies and procedures, while also minimizing redundancy and ensuring policies are kept up to date. We believe improvement efforts focused on critical audit findings are progressing toward expectations. While the number of audit finding was still at an unacceptable level for FY 2017, these exceptions did not happen during Dr. Freeman’s tenure as Acting President (FY18); however, the responsibility lies with the president to not only respond and address the findings, but to work diligently to reduce the number of findings going forward. During the course of FY18, Dr. Freeman hired a new CFO, who, working with Dr. Freeman and the existing team, is addressing the current audit findings and implementing process and procedures to reduce them going forward. This will occur over additional audit cycles and we will continue to monitor progress.</p>

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Goal Title	Goal Description	Goal Measurement (Success Criteria)	Goal Results	Board Comments*
<p>Goal 5: Increase capacity for research, innovation and regional engagement</p>	<ul style="list-style-type: none"> • Increase Regional Engagement • Initiate Research Cluster Strategy 	<p>Regional Engagement</p> <ul style="list-style-type: none"> • Increase number of new partnerships initiated and sustained <ul style="list-style-type: none"> o FY18- Implement tool for establishing baseline and counting new partnerships, guided by Carnegie Foundation definition of partnerships. o FY19- Track and report new partnerships with a goal of 5% increase in partnerships for the university. Also, track and report of FY18 partnerships sustained with a target of 20% retention. • Number of students engaged in community projects or internships <p>Research Cluster Strategy</p> <ul style="list-style-type: none"> • Initiate at least one research cluster/year in FY19 and FY20 • Have two new doctoral programs through the NIU curricular process and proposed to the IBHE by the end of AY 18-19 	<p>Regional Engagement</p> <ul style="list-style-type: none"> • Implementation of the described tool is in progress • This goal is intentionally linked to Goal 6. See Criterion 6.2. <p>Research Cluster Strategy</p> <ul style="list-style-type: none"> • Advanced Technology for Instruction will be the focus of the research cluster targeted for initiation in FY19. • The PhD in Computer Science was approved by the NIU Board of Trustees on February 15, 2018. There are additional doctoral programs under development with the potential to move through the curricular process during AY 18-19, including three department-based programs in the College of Engineering and Engineering Technology. 	<p>The development of the NIU Partnership Registry demonstrates that the university is progressing toward expectations to establish a baseline and count new partnerships. The plan to track and report new partnerships according to the described goals for FY 19 are therefore in progress. Particular to research and innovation, and related student engagement, we are especially pleased to acknowledge the executed partnership in FY 18 with Discover Financial Services to offer an intensive on-campus internship program for students. Formal activity intended to measure levels of student engagement has met expectations (see Goal 6, under “Engagement” for specific actions). The goal of initiating at least one research cluster in FY19 and FY20, the university is clearly progressing toward expectations in its pursuit of the tentatively titled Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE). This focus on Advanced Technology for Instruction will be aided by the Morgridge Endowed Chair in the College of Education, which will emphasize innovation related to the integration of technology into classroom practice. Recognizing the approval of the Ph.D. in Computer Science, we are also pleased to see that the university is progressing toward expectations concerning its goal of having two new doctoral programs through the NIU/IBHE curricular processes by the end of AY 18-19. Additional indication that the university is progressing toward expectations in the areas of research, innovation and regional engagement include the development of a draft vision for NIU research and innovation, scholarship, and artistry (reviewed by the Board’s Research and Innovation, Legal and Legislative Affairs Committee on November 16, 2017). This draft strategy documents the rationale for new doctoral programming and research clusters and centers that are unique and regionally relevant.</p>
<p>Goal 6: Student Experience</p>	<ul style="list-style-type: none"> • Increase student satisfaction with support services • Increase student engagement 	<p>Student Satisfaction</p> <ul style="list-style-type: none"> • Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19. <p>Engagement</p> <ul style="list-style-type: none"> • Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals. 	<p>Student Satisfaction</p> <ul style="list-style-type: none"> • During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. The outcomes of Phase 1, finalized on March 2, 2018 include an assessment and evaluation matrix, a survey administration map, and a set of goals and objectives linked to the presidential goals. <p>Engagement</p> <ul style="list-style-type: none"> • During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. Phase 2 includes the design of a study on the impact of student’s engagement in high impact practices on student success. Once Phase 2 is completed, the committee will revisit the draft plan developed in Phase 1 to make necessary updates. The final outcome will include targets for engagement and a measurement baseline along with additional recommendations for sustainability and follow-up. 	<p>Recognizing that criteria for measuring student satisfaction has been established, the essential intent of the goals for increasing student satisfaction -- developing a coherent strategy for measuring student satisfaction -- has met expectations. We look forward to seeing strategies being implemented in FY19 to use this criteria to increase student satisfaction. Activity intended to measure levels of student engagement has met expectations. Looking ahead to FY19, we will work with the acting president to set meaningful goals on impacting student retention using the methods and strategies developed this past year.</p>

* The Board evaluates the results as: (1) exceeds expectations, (2) met expectations, (3) progressing toward expectations, or (4) did not meet expectations. Brief explanations are included as needed.



Northern Illinois
University

FY18 PRESIDENTIAL GOALS

Summary of Results, Comments
and Supporting Materials

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Summary of Results and Comments

Presidential/Institutional Goal	FY18 Goal Measurement, Results and Comments
<p>Grow Student Enrollment & Success</p> <ul style="list-style-type: none"> • Enhance Recruitment • Enhance Retention • Enhance Student Success 	<p>Goal Measurement</p> <p>Recruitment</p> <ul style="list-style-type: none"> • Increase new undergraduate students (Fall 2018) by 5% from Fall 2017 • Hold new graduate students (Fall 2018) flat from Fall 2017 • Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19. • Deploy 8 -10 new online/off-campus programs. <p>Retention</p> <ul style="list-style-type: none"> • Increase Fall 2018 overall retention by 0.5% from Fall 2017 <p>Success</p> <ul style="list-style-type: none"> • Finalize equity gap goals/strategy for 4 and 6 year graduation rates. <p>Goal Results and Comments</p> <hr/> <p>Recruitment</p> <p>Criterion 1.1: Increase new undergraduate students (Fall 2018) by 5% from Fall 2017.</p> <p>Goal Results: These data will not be available until September 2018</p> <p>Criterion 1.2: Hold new graduate students (Fall 2018) flat from Fall 2017</p> <p>Goal Results: These data will not be available until September 2018</p> <p>Criterion 1.3: Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19.</p> <p>Goal Results: In consideration of the new online degree programs, the new off-campus degree completion programs offered at Harper College University Center, and increased advertising efforts, the goal for FY19 is to increase online/off-campus student credit hour (SCH) production by 15%, from 61,096 to 70,260 SCH.</p>

Goal Comments: During FY18, we reviewed SCH generation by delivery mode over the past 6-7 years. The results (included in the supporting material) demonstrate trends that favor continued declines in Main Campus and Off-Campus Face-to-Face SCH and continued increases in Online SCH.

It should be noted, however, that the analysis conducted does not distinguish between a student pursuing an online program and a “main campus student” who is choosing to enroll in online courses, because of the configuration of the university’s data system. Academic Affairs is working to establish a new online program designator in MyNIU that will allow us to properly identify and track students in the online programs and courses and distinguish these students from other off-campus and main campus students. The FY19 goal may be refined and finalized based on data disaggregated using this designator. Establishment of this tracking system is consistent with the Goal 3 success criterion related to advancing a data informed culture at NIU.

Criterion 1.4: Deploy 8 -10 new online/off-campus programs

Goal Results: There are nine programs (including both degree programs and certificate programs) that will have a new online or off-campus presence in the coming year, and another five whose existing content and presence will be updated and expanded.

Goal Comments: The supporting material provides greater detail about the nature of the on-line and off-campus programs approved, updated and under development during FY18.

Retention

Criterion 1.5: Increase Fall 2018 overall retention by 0.5% from Fall 2017.

Goal Results: These data will not be available until September 2018

Goal Comments: Fall to Spring retention rates are available for the Fall 2017 cohort. With respect to new freshmen retention, the Fall to Spring retention rate for the Fall 2017 cohort was 88.1% and that figure is similar to retention rates seen for the 2015 and 2016 new freshmen cohorts. The Fall to Spring retention rate for the Fall 2017 cohort of new transfers was 90.8%; that figure is the highest seen for the past six new transfer cohorts.

Student Success

Criterion 1.6: Finalize equity gap goals/strategy for 4 and 6 year graduation rates.

Goal Results: Finalized Equity Gap Goals: Four university-wide metrics will be used to measure overall progress in addressing achievement gaps: new freshman first-year retention rate; new freshman six-year graduation rate; transfer student first-year retention rate; transfer student three-year graduation rate.

Goal Comments: As described in the supporting material, the following goals for these metrics appear to be realistic and meaningful:

1. Maintain the 1st year retention rates for Latinx and Asian-American student at or above the institutional average, understanding that “at average” can fluctuate annually by 1% or 2%.
2. Reduce the 6 year graduation rate gap for Latinx students to 5% or less within three years, and sustain gaps no greater than 5%.
3. Reduce the 1st year retention rate gaps for Black new freshmen to 10% or less within three years, understanding that success will mean consistently staying with 1% to 2% of that range for at least three years.
4. Reduce the 1st year retention rate gaps for Black transfer students to 6% or less within three years, and sustain gaps no greater than 6%
5. Reduce the graduation rate gaps for both Black new freshmen and transfer students to 10% or less within three years, understanding that success will mean consistently staying with 1% to 2% of that range for at least three years.

Finalized Equity Gap Strategies: The supporting material for this goal features a detailed summary of the work done by the NIU Equity team, and recommends six strategies for addressing the equity gap. Academic Affairs and Academic Diversity, Equity & Inclusion have agreed to put particular emphasis in the coming year on closing equity gaps in gateway courses. As noted in the detailed report, each college has its own initiatives that align with the broad university goals, but all will be engaging with efforts to address achievement gaps in gateway courses. Colleges and units are being provided with detailed information about the students in their majors and in their courses. These data identify the gaps in degree completion, retention, course completion and course-level success. They are shared with the colleges and units to increase awareness of gaps, and to provide a means for measuring progress in closing those gaps.

	<p>NIU's commitment to these goals and strategies is supported by collaborations with regional and national initiatives focused on closing equity gaps; these include: AAC&U's Committing to Equity and Inclusive Excellence: Campus-Based Strategies for Student Success, the Chicago-based Partnership for College Completion, Presidents for Latino Student Success, Excelencia in Education, and the APLU Transformation Cluster initiative.</p>
<p>Enhance Fiscal Sustainability of NIU</p> <ul style="list-style-type: none"> • Increase Tuition Revenue • Increase Philanthropy • Align Budget with Mission 	<p>Goal Measurement</p> <p>Revenue Growth</p> <ul style="list-style-type: none"> • In line with our enrollment goal, a 5% growth in new undergraduates would result in an increase in gross tuition and fee revenue from new undergraduates of \$2.3M. • Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16. <p>Philanthropy</p> <ul style="list-style-type: none"> • 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. • Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19. Increase Alignment of Mission and Budget <p>Align Budget with Mission</p> <ul style="list-style-type: none"> • Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide. • Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18 <p>Goal Results and Comments</p> <hr/> <p>Revenue Growth</p> <p>Criterion 2.1: In line with our enrollment goal, a 5% growth in new undergraduates would result in an increase in gross tuition and fee revenue from new undergraduates of \$2.3M</p> <p>Goal Results: These data will not be available until Fall 2018</p>

Criterion 2.2 (FY19): Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16.

Goal Results: This is an FY19 goal, because of the lagged reporting timeline. IPEDS data reported for FY18 will be available in FY19. Currently, FY16 IPEDS finance data are available in final release form, and FY17 IPEDS finance data are considered provisional (see supporting material). Revenue sources other than appropriations, tuition and fees may include gifts, grants, contracts, sales of goods and services, and investment returns.

Philanthropy

Criterion 2.3: 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.

Goal Results: Total funds raised by the NIU Foundation through May 2018, inclusive of new gifts at full value, new pledges at full value, non-cash gifts at appraised value where appropriate, totaled \$9,991,162, indicating a likely shortfall from the FY 18 goal of \$17.5M.

Goal Comments: In large part, this ebb in fundraising is a direct reflection of the difficulties of FY16 and FY17, including public relations and reputational challenges, as well as the direct and indirect consequences of the fiscal challenges associated with the IL budget impasse. These factors contributed to an exodus of key fundraising staff, and a severely diminished capacity to refill vacant staff positions. More positive results are expected in FY19, because of the maturation of new corps of gift officers hired in FY18 who are being fully integrated into our program, the expected hires of a chief development officer and director of planned giving (failed searches in FY18), and the anticipated appointment of the next permanent president.

Criterion 2.4 (FY19): Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19.

Goal Results: Efforts to increase the expenditure of NIU Foundation funds for scholarships and fellowships were successful. The mutually agreed upon goal was to grow such expenditures by the foundation on behalf of NIU by 10% at the end of FY19 (relative to the FY17 baseline of

\$2,974,000), making the FY19 target \$3,271,400. The preliminary June 2018 quarterly reports indicate expenditures in this category of \$3,280,359. Working together, the foundation and university achieved 105% of their shared FY19 goal.

Goal Comments: Also of note, this past year's Red & Black was, for the second year, positioned as a fundraising event. Over \$400,000 was raised for scholarships, with a gathering of 496 attendees. This was a substantial increase over the previous year, where 418 attended, and \$ 317,000 was raised.

Align Budget with Mission

Criterion 2.5: Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide.

Goal Results: The most recent final release Integrated Postsecondary Education Data System (IPEDS) data available (FY16) were used to compare NIU to a set of peer institutions that included public universities in IL (SIU-Carbondale, Illinois State University), in the MAC (Western Michigan, Central Michigan, Toledo, Ohio (main campus)), and in other regions of the country (East Carolina, Northern Arizona). Summary statistics in the first three rows of the table below show percent distribution of core expenses for instruction, research+public service, and academic support+student services+institutional support.

Goal Comments: Our effort to use finance data submitted to IPEDS by NIU and peer institutions more strategically is consistent with a national effort to explore how existing data and indicators can be used to answer institutional questions about resource utilization. A recent report, Identifying New Metrics Using IPEDS Finance Data, noted that the IPEDS finance survey is very valuable, because it is the only publicly available source of finance data for most US post-secondary institutions, and an important data source for making comparisons across institutions and over time. However, the report also noted that there are challenges using the finance survey information to make some comparisons. For example, the IPEDS finance survey uses existing cost accounting frameworks as the standards for submission. This limits comparisons between public institutions that submit based on Governmental Accounting Standards Board (GASB) and private institutions that submit based on Financial Accounting Standards Board (FASB). Time-trend data may be difficult to interpret, because of the periodic changes in data collection dictated by changes in accounting standards. In addition, comparisons across peer institutions may be confounded by inconsistencies in how universities attribute expenditures to

the IPEDS categories. Over the short term, NIU will work to understand how to use current IPEDS finance data most effectively. At the same time, the university will monitor, and support as appropriate, national efforts to clarify IPEDS definitions, and to redesign the IPEDS finance survey.

Criterion 2.6 (FY19): Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18.

Goal Results: FY18 IPEDS data will be available next year to calculate the ratio associated with the first year of Freeman’s Acting Presidency. For FY16, the ratio was 0.19 (see bottom row of table below). For FY17 the ratio was 0.23. Moving forward, it will be important to understand the nature of the expenditures that contributed to that year-to-year change. There are a number of possibilities, including increased expenditures for marketing/public relations, IT, advancement, legal and fiscal operations, or changes in how functional expenses are classified. Over the course of the past decade, NIU’s administrative to instructional cost ratio has varied between a high of 0.23 (FY11, FY13, FY17) and a low of 0.16 (FY15).

Goal Comments: The instructional cost ratio is calculated using IPEDS data as: institutional support/(instruction + academic support), and is shown in the bottom row of the table below for NIU and the peer group defined above under criterion 2.4. For additional comparison, the median for public 4-year universities with enrollment and research intensity similar to NIU’s is 0.20. The median for private, not-for-profit universities with enrollment and research intensity similar to NIU’s is 0.24. The ratio varies considerably across Illinois public universities, as evidenced by FY 16 ratios of 0.19 for NIU, 0.10 for SIU-Carbondale and 0.31 for ISU.

	NIU	MIN	MAX	MEDIAN	MEAN
Instruction	41%	35%	56%	43%	46%
Research+ Public Service	10%	6%	14%	11%	11%
Academic Support+Institutional Support+Student Services	22%	22%	49%	31%	32%
Institutional Support ÷ (Instruction+Academic Support)	19%	10%	31%	19%	19%

- Implement Program Prioritization**
- Administrative Programs
 - Academic Programs
 - Advance Data-Informed Culture

- Goal Measurement**
- Administrative Programs**
- Implement 80% of recommendations regarding administrative programs from the President’s November 2016 report by June 2018

Academic Programs

- 75% of academic programs planned for transformation or elimination- complete by June 2018
- 25% of new academic programs proposed- implementation in progress by June 2018

Advance Data-Informed Culture

- Develop strategy and template to ensure that continuous improvement activities identified through the Program Prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.

Goal Results and Comments

Administrative Programs

Criterion 3.1: Implement 80% of recommendations regarding administrative programs from the President's November 2016 report by June 2018.

Goal Results: Program Prioritization recommendations have been implemented for 92% of administrative programs

Goal Comments: These data were reported on February 15, 2018 to the Executive Committee of the NIU Board of Trustees, and the presentation is [posted](#). The [June 28, 2018 President's Program Prioritization Report](#) provides more detail.

Academic Programs

Criterion 3.2: 75% of academic programs planned for transformation or elimination- complete by June 2018.

Goal Results: Program Prioritization action plans have been implemented for 88% of the academic programs recommended for transformation or elimination.

Goal Comments: These data were reported on February 15, 2018 to the Executive Committee of the NIU Board of Trustees, and the presentation is [posted](#). The [June 28, 2018 President's Program Prioritization Report](#) provides more detail.

Criterion 3.3: 25% of new academic programs proposed- implementation in progress by June 2018.

Goal Results: Implementation is in progress for the four new academic programs recommended by the task force, as well as for both of the program proposals that were advanced in the Academic Affairs Action Plan despite not being supported by task force.

Goal Comments: These data were reported on February 15, 2018 to the Executive Committee of the NIU Board of Trustees, and the presentation is [posted](#). The [June 28, 2018 President's Program Prioritization Report](#) provides more detail.

Advance Data-Informed Culture

Criterion 3.4: Develop strategy and template to ensure that continuous improvement activities identified through the Program Prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.

Goal Results: The academic program review process, overseen by the Academic Planning Council, has institutionalized foundational aspects of the Program Prioritization framework into their narrative templates and program review dashboards.

Beyond its influence on academic program review, Program Prioritization has improved the ways in which we operate, and moved our processes to be more data-informed with greater opportunity for continuous improvement. For example, the Program Prioritization criteria developed by the university community contributed to the framework used to promote a more transparent, collaborative and data-informed budget development process. In addition, Program Prioritization illuminated aspects of the university budgeting process that required modification to be responsive to changing student expectations, and to the evolving roles of technology on our campuses and in our society.

Survey data suggest Program Prioritization has had lasting effects at the program level, with significant percentages of respondents reporting strong or moderate agreement with the statement that the process has increased data-informed decision-making in their academic (63%) or administrative (75%) unit.

Goal Comments: The supporting material provides a more detailed description of the work of the Academic Planning Council, including exemplars of the APC program review template and dashboard. The [June 28, 2018 President's Program Prioritization Report](#) provides more detail

	<p>about the impacts of Program Prioritization on data-informed decision-making, accountability and continuous-improvement.</p>
<p>Foster an organizational culture that is ethical and accountable</p> <ul style="list-style-type: none"> • Increase transparent practices • Decrease critical audit findings 	<p>Goal Measurement</p> <p>Transparency</p> <ul style="list-style-type: none"> • Post President’s Travel and Hospitality Expenses to Web (quarterly) starting in FY18. • Implement the University Budget Process recommended by Executive Budget Committee (EBC), including expectation that EBC will engage NIU’s Resource, Space and Budget Committee, and thereby facilitate involvement of the larger NIU community in the budget process. Expectation is to have budget process 100% determined in FY18 and fully implemented for FY19. • Decrease ambiguity associated with NIU policies and procedures by implementing policy library, and university-level compliance program <p>Audit</p> <ul style="list-style-type: none"> • Decrease the number of critical financial and compliance audit findings (allow for two cycles to resolution) • Implement reports designed to increase university leadership’s awareness of and responsiveness to critical internal audit recommendations. • Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days <p>Goal Results and Comments</p> <hr/> <p>Transparency</p> <p>Criterion 4.1: Post President’s Travel and Hospitality Expenses to Web (quarterly) starting in FY18.</p> <p>Goal Results: This goal has been achieved.</p> <p>Goal Comments: See: https://www.niu.edu/president/_pdf/expense-reports/expense-report-fy18.pdf</p> <p>Criterion 4.2: Implement the University Budget Process recommended by Executive Budget Committee (EBC), including expectation that EBC will engage NIU’s Resource, Space and Budget Committee, and</p>

thereby facilitate involvement of the larger NIU community in the budget process. Expectation is to have budget process 100% determined in FY18 and fully implemented for FY19.

Goal Results: The process has been implemented

Goal Comments: The process was described to the NIU Board of Trustees on June 14, 2018, and the presentation is [posted](#).

Criterion 4.3: Decrease ambiguity associated with NIU policies and procedures by implementing policy library, and university-level compliance program.

Goal Results: These programs have been implemented.

Goal Comments: Progress towards this goal was described to the NIU Board of Trustees on June 14, 2018, and the presentation is posted. An announcement appeared in NIU Today on July 2, 2018:

<https://www.niutoday.info/2018/07/02/reorganization-creates-new-office-of-ethics-and-compliance/>

Audit

Criterion 4.4 (FY19): Decrease the number of critical financial and compliance audit findings (allow for two cycles to resolution). To allow for two cycles, this an FY19 goal.

Goal Results: This is an FY19 goal.

Criterion 4.5: Implement reports designed to increase university leadership's awareness of and responsiveness to critical internal audit recommendations.

Goal Results: Reports have been implemented.

Goal Comments: The reporting process was described to the NIU Board of Trustees on June 14, 2018, and the presentation is [posted](#).

Criterion 4.6: Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days.

	<p>Goal Results: An Internal Audit Agreement has been implemented to outline roles and responsibilities of the internal auditor(s) and auditees. The agreement establishes expectations for timely responses to internal audit requests.</p> <p>Goal Comments: The agreement was described to the NIU Board of Trustees on June 14, 2018, and the presentation is posted. The template is included in the supporting material</p>
<p>Increase capacity for research, innovation and regional engagement</p> <ul style="list-style-type: none"> • Increase Regional Engagement • Initiate Research Cluster Strategy 	<p>Goal Measurement</p> <p>Regional Engagement</p> <ul style="list-style-type: none"> • Increase number of new partnerships initiated and sustained <ul style="list-style-type: none"> ○ FY18- Implement tool for establishing baseline and counting new partnerships, guided by Carnegie Foundation definition of partnerships. ○ FY19- Track and report new partnerships with a goal of 5% increase in partnerships for the university. Also, track and report of FY18 partnerships sustained with a target of 20% retention. • Number of students engaged in community projects or internships <p>Research Cluster Strategy</p> <ul style="list-style-type: none"> • Initiate at least one research cluster/year in FY19 and FY20 • Have two new doctoral programs through the NIU curricular process and proposed to the IBHE by the end of AY 18-19 <p>Goal Results and Comments</p> <hr/> <p>Regional Engagement</p> <p>Criterion 5.1: Increase number of new partnerships initiated and sustained. For FY18- Implement tool for establishing baseline and counting new partnerships, guided by Carnegie Foundation definition of partnerships.</p> <p>Goal Results: Implementation of the described tool is in progress</p> <p>Goal Comments: See: https://www.niu.edu/president/partnerships/index.shtml</p> <p>Criterion 5.2 (FY19): For FY19- Track and report new partnerships with a goal of 5% increase in partnerships for the university. Also, track</p>

and report of FY18 partnerships sustained with a target of 20% retention.

Goal Results: This is an FY19 goal

Criterion 5.3 Number of students engaged in community projects or internships

Goal Results/Comments: This goal is intentionally linked to Goal 6. See Criterion 6.2.

Research Cluster Strategy

Criterion 5.3 (FY19 goal): Initiate at least one research cluster/year in FY19 and FY20.

Goal Results: Advanced Technology for Instruction will be the focus of the research cluster targeted for initiation in FY19.

Goal Comments: Preliminary discussions among the colleges, the Provost Office and the Division of Research and Innovation Partnerships have identified potential research clusters and centers that are distinctive, regionally relevant, and for which NIU has expertise. These include advanced technology for education, advanced manufacturing, biomedical engineering, aging in community, data sciences and visualization, water in a changing world, restoration of damaged ecosystems, and environmental policy. Advanced technology for education is well situated for initiation in FY19 and will be built around the Morgridge Chair in the College of Education. The tentatively titled, Center for Cross-disciplinary Research on Engaging Advanced Technology for Education (CREATE) will be on the leading edge of the education-technology frontier, crossing disciplinary boundaries to bring innovative research programs to NIU with a focus on robotics and computers as educational aids.

Criterion 5.4 (FY19): Have two new doctoral programs through the NIU curricular process and proposed to the IBHE by the end of AY 18-19.

Goal Results: The PhD in Computer Science was approved by the NIU Board of Trustees on February 15, 2018. There are additional doctoral programs under development with the potential to move through the curricular process during AY 18-19, including three department-based programs in the College of Engineering and Engineering Technology.

<p>Student Experience</p> <ul style="list-style-type: none"> • Increase student satisfaction with support services • Increase student engagement 	<p>Goal Measurement</p> <p>Student Satisfaction</p> <ul style="list-style-type: none"> • Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19. <p>Engagement</p> <ul style="list-style-type: none"> • Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals. <p>Goal Results and Comments</p> <hr/> <p>Student Satisfaction</p> <p>Criterion 6.1: Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19.</p> <p>Goal Results: During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. The outcomes of Phase 1, finalized on March 2, 2018 include an assessment and evaluation matrix, a survey administration map, and a set of goals and objectives linked to the presidential goals.</p> <p>Goal Comments: The membership of the working group and more detailed version of their plan can be found in the supporting materials.</p> <hr/> <p>Student Engagement</p> <p>Criterion 6.2: Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals.</p> <p>Goal Results: During Fall 2017, a working group drafted a strategic evaluation and assessment plan for student engagement and student satisfaction at NIU. Their efforts resulted in a two-phase plan. Phase 2 includes the design of a study on the impact of student’s engagement in high impact practices on student success. Once Phase 2 is completed, the committee will revisit the draft plan developed in Phase 1 to make necessary updates. The final outcome will include targets for engagement</p>
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	<p>and a measurement baseline along with additional recommendations for sustainability and follow-up.</p> <p>Goal Comments: The membership of the working group and more detailed version of their plan can be found in the supporting materials.</p>
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DRAFT

Supporting Material

GOAL 1: GROW STUDENT ENROLLMENT AND SUCCESS

Criterion 1.3: Develop method and establish baseline in FY18 for student credit hours produced in on-line and off-campus programs; use to establish goal for FY19.

Criterion 1.4: Deploy 8 -10 new online/off-campus programs.

Supporting Material: Prepared by Jason Rhode, Executive Director of Extended Learning

Goal: Develop method and establish baseline in FY18 for student credit hours produced in online and off-campus programs

During FY18, a review of student credit hour (SCH) generation over the past six years by delivery mode was conducted, which included: Main Campus Face-to-Face (MC F2F) courses, Off-Campus Face-to-Face course (OC F2F), Main Campus Hybrid (MC Hybrid) courses, Off-Campus Hybrid Courses (OC Hybrid), and 100% Online (Online) courses.

Table 1: Total Student Credit Hours (SCH) by Location / Modality

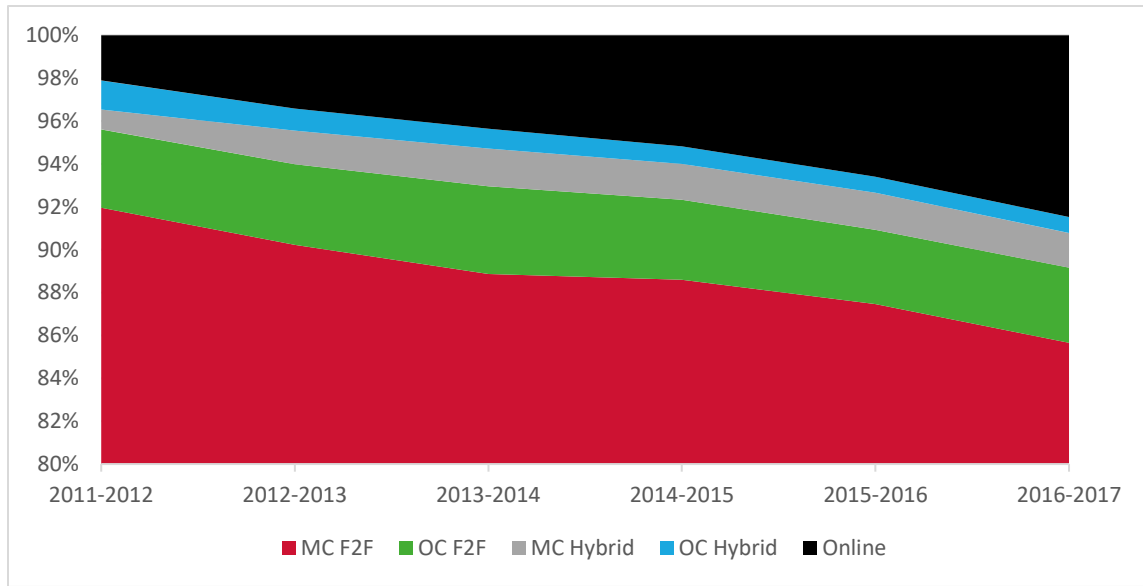
	AY11-12	AY12-13	AY13-14	AY14-15	AY15-16	AY16-17
MC F2F	487,758	457,086	432,243	421,810	406,100	377,936
OC F2F	19,355	19,084	19,911	17,739	16,098	15,454
MC Hybrid	4,938	7,895	8,563	7,979	8,031	7,157
OC Hybrid	7,181	5,208	4,551	3,889	3,475	3,282
Online	11,183	17,337	21,161	24,681	30,611	37,396
Total SCH	530,415	506,610	486,429	476,098	464,315	441,225

Examining the percentage of total SCH by modality, steady declines in Main Campus and Off-Campus Face-to-Face SCH are evident, with converse increases in Online SCH productivity, as shown in Table 2 and Figure 1 below.

Table 2: Percentage of Total Student Credit Hours (SCH) Generated by Location / Modality

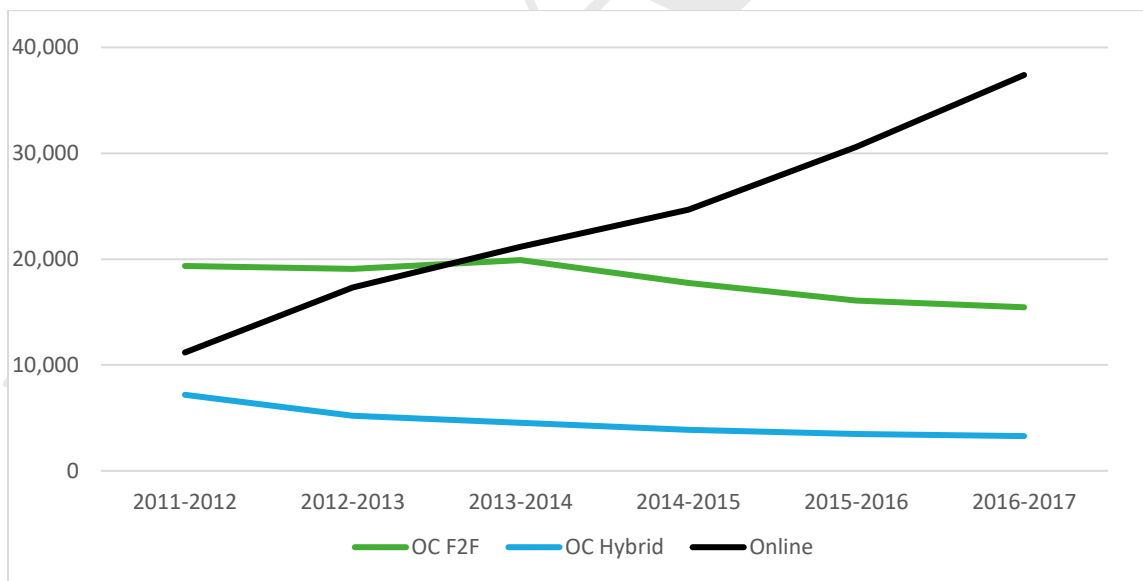
	AY11-12	AY12-13	AY13-14	AY14-15	AY15-16	AY16-17
% SCH MC F2F	92.0%	90.2%	88.9%	88.6%	87.5%	85.5%
% SCH OC F2F	3.6%	3.8%	4.1%	3.7%	3.5%	3.5%
% SCH MC Hybrid	0.9%	1.6%	1.8%	1.7%	1.7%	1.6%
% SCH OC Hybrid	1.4%	1.0%	0.9%	0.8%	0.7%	0.7%
% SCH Online	2.1%	3.4%	4.4%	5.2%	6.6%	8.5%

Figure 1: Percentage of SCH by Location / Modality



Looking solely at off-campus and online SCH production, the trends in online SCH growth as compared to flat and declining off-campus SCH are clear (see Figure 2).

Figure 2: Trends in Off-Campus and Online SCH



In summary, over the past six years, online SCH have more than tripled (increasing from approx. 11,000 to 37,000 SCH), while main campus decreased 109,000 SCH. Additionally, SCH for courses with an off-campus component (either face-to-face off campus or hybrid with their face-to-face component) have declined over that same period from approx. 26,000 SCH to approx. 19,000 SCH, a loss of nearly 30%.

However, it should be noted that this analysis doesn't identify who is taking online or off-campus courses, as NIU's data system hasn't been configured to distinguish between a student pursuing an online program and a

“main campus student” who is choosing to enroll in online courses. An unofficial attempt to estimate that distinction suggested that over one-third of all main campus students take at least one online course per year; while only about 2% of NIU’s students are seeking to complete a fully online program. The need to clarify this issue has created an important new goal for us, described next.

Establishing Online Program Designator to MyNIU

Seeking to establish baseline SCH for online and off-campus programs accentuated the need for properly admitting, tracking, and reporting on students who are in online programs. At present, the university doesn’t centrally track online program enrollments distinctly from other main campus or off-campus programs, only whether a course is delivered on main campus in DeKalb or off-campus, and the mode of delivery (face-to-face, hybrid, or online).

Academic Affairs is working to establish a new online program designator in MyNIU that will allow us to properly identify online programs, control courses offered online, assess tuition/fees and prepare financial aid budgets at a more granular level, track, and report students in the online programs and courses and distinguish these students from other off-campus and main campus students. Starting at the point of admission we will be able to identify students who are interested in online programs, allowing us to admit, assess tuition and fees, budget for financial aid, restrict enrollment into online classes, track and report accurately from admission through graduation.

A team from Registration & Records, Financial Aid, Institutional Effectiveness, Information Technology and other offices has been working through all of the technical and logistical issues associated with creating a designator for online programs in MyNIU. The goal is to activate this feature for Fall 2019.

Goal: Deploy 8-10 new online/off-campus programs

There are nine programs (including both degree programs and certificate programs) that will have a new online or off-campus presence in the coming year, and another five whose existing presence will be expanded or renovated.

New online programs approved in FY18 and under development:

- M.S. in Digital Marketing
- M.S. in Data Analytics
- Graduate Certificate in Data Analytics

Existing programs, not currently online, but online mode being developed:

- BGS (Bachelor of General Studies) ***NOTE – The courses in this bundle of GenEd courses are distributed across the NIU PLUS Pathways and being developed online will allow for new full-fledged online undergraduate programs to be developed to meet market demand*
- MPA (Master of Public Administration)
- Graduate Certificate in Public Management

37 new online courses are in development for these programs, to launch by fall '19

Existing online programs under renovation / major updates underway:

- RN-BS in Nursing

- B.A. in Political Science
- Undergraduate Certificate in Geographic Information Systems (GIS)
- Graduate Certificate in Geographic Information Analysis (GIA)

15 online courses are in redesign for these programs, for launch by fall '19

New off-campus programs in development:

- Harper College University College will host three NIU undergraduate degree completion programs in Computer Science, Marketing, and Psychology beginning in Fall 2018
- College of Education has expanded its off-campus cohorts in Bilingual Education
- College of Liberal Arts & Sciences and College of Visual & Performing Arts are working with school districts in and around Harper College to give high school mathematics teachers and art teachers the credentials needed to deliver dual credit courses

Existing / new programs, not currently online, in preliminary discussions for being developed online:

- Master of Jurisprudence (MJ) – online master’s degree in law for non-lawyers
- M.S. in Taxation

Criterion 1.6: Finalize equity gap goals/strategy for 4 and 6 year graduation rates.

Supporting Material: Prepared by Vernese Edghill-Walden, Chief Diversity Officer and Senior Associate Vice President for Diversity, Equity & Inclusion

Strategies for Addressing Equity Gaps

The strategies for addressing the equity gap are found in the accompanying document “NIU Equity Team Report 2017”. The six strategies explored there include:

1. Explore the wide-ranging impact gateway courses have on underserved students’ access to numerous majors, minors, and certificates and can ultimately limit their professional options and career paths.
2. Address the complexity that students face in balancing work, family, and school and its impact on academic performance.
3. Create a comprehensive professional development initiative focusing on culturally responsive pedagogy that will be available for all faculty, existing instructors and Graduate Teaching Assistants and will be required for all new hires.
4. Increase the interaction between students and faculty, especially in the first year.
5. Actively recruit and retain more faculty of color, especially in tenure-track positions, and address existing inequities in current hiring and retention practices.
6. Examine the academic and financial impact of NIU’s add/drop policies.

While all of these are important, Academic Affairs and Academic Diversity, Equity & Inclusion have agreed to put particular emphasis in the coming year on the first goal, closing equity gaps in gateway courses. As noted in the detailed report, each college has its own initiatives that align with the broad university goals, but all will be engaging with efforts to address achievement gaps in gateway courses.

Goals for Addressing Equity Gaps

Data on equity gaps is being used to set expectations at both the tactical and strategic levels. At the tactical level, the colleges and units have been supplied with detailed information about the students in their majors and in their courses. This data identifies the gaps in degree completion, retention, course completion and course-level success. It is provided to the colleges and units to increase awareness of gaps and provide a means for measuring progress in closing those gaps.

At a higher strategic level, we have identified four university-wide metrics to measure overall progress in addressing achievement gaps:

Measure	Current Value		
	Black	Latinx	Asian-Amer.
New Freshman First Year Retention Rate	-15%	+1%	+10%
New Freshman Six Year Graduation Rate	-16%	-7%	+6%
Transfer Student First Year Retention Rate	-11%	-2%	-3%
Transfer Student Three Year Graduation Rate	-16%	-1%	+7%

The table shows the difference between the retention/graduation rates for each group and the overall rates for students entering that year. Thus, a positive value for a particular group means that group had a better retention/graduation rate than the overall rate, and a negative value indicates an achievement gap.

When historical trends are considered, there are broadly consistent patterns:

- Asian-American students tend to have retention and graduation rates at or above average.
- Latinx have little to no gap in retention (either for freshmen or transfer students), but have more significant gaps in graduation rates for freshmen.
- Black students have significant equity gaps in all measures. The gaps for graduation rates are more severe than those for first-year retention. For all four measures, there has been considerable fluctuations in the sizes of the gaps, but regardless of the metric considered, there has rarely been a gap of less than 10%, and gaps on the order of 15% or more have been common.

In setting goals, the significant year-to-year variability needs to be taken into account. For retention rates, a year-to-year fluctuation of 2% or less is not necessarily significant. For degree attainment, year-to-year fluctuations are even more difficult to estimate, as the data trail is much shorter.

Given those considerations, the following goals for these metrics appear to be realistic and meaningful:

- Maintain the 1st year retention rates for Latinx and Asian-American student at or above the institutional average, understanding that “at average” can fluctuate annually by 1% or 2%.
- Reduce the 6 year graduation rate gap for Latinx students to 5% or less within three years, and remain consistently with gaps no greater than 5%.
- Reduce the 1st year retention rate gaps for Black new freshmen to 10% or less within three years, understanding that success will mean consistently staying with 1% - 2% of that range for at least three years.
- Reduce the 1st year retention rate gaps for Black transfer students to 6% or less within three years, and remain consistently with gaps no greater than 6%

- Reduce the graduation rate gaps for both Black new freshmen and transfer students to 10% or less within three years, understanding that success will mean consistently staying with 1% - 2% of that range for at least three years.

GOAL 2: ENHANCE FISCAL SUSTAINABILITY OF NIU

Criterion 2.2 (FY19): Increase discretionary revenue (\$) from sources other than appropriations, tuition and fees in a manner consistent with mission. By the end of FY 19, increase IPEDS Other Revenue by 5% over FY16.

Supporting Material: See IPEDS Data Release Procedures (Appendix Item 1)

Criterion 2.3: 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.

Criterion 2.4 (FY19): Increase foundation \$ expended on behalf of NIU for scholarships and fellowships (relative to FY17 baseline) by 10% at end FY19.

Supporting Material: Prepared by Catherine Squires, Vice President for Advancement and CEO NIU Foundation

FY18 was a significant building year for the NIU Foundation and University Advancement – a critical time during which numerous important changes were made. Of note:

- Alumni Engagement** – the Division focused aggressively on alumni engagement in FY18, beginning with the reorganization of the staff. Both a director and manager of volunteer engagement were hired (new positions) and significant work was accomplished both internally and externally. Principally, strong connections were established at the college level to ensure coordination of alumni engagement as well as the development of a volunteer pipeline. Additionally, the Northern Illinois University Alumni Association's (NIUAA) new engagement platform, NEXUS, went live in March and serves as a central portal through which to facilitate the identification and engagement of alumni volunteers university wide.
- Donor Development** - resource constraints in past years prevented the Division from aggressively engaging with alumni outside the Midwest. As a result, relationships today are few, yet research informs us that the capacity to give exists in strong numbers. As a result, a strategic resourcing decision was made to deliver more programming in the field. In partnership, the NIUAA and the Northern Illinois University Foundation (NIUF) executed a robust calendar of external events covering 5 of the University's top markets: Chicago, San Diego, Phoenix, Denver, Washington D.C. (twice) and San Francisco. Using a hybrid event model, the two organizations shared resources and programmed for multiple audiences: happy hours, receptions or dinners in private homes or clubs, group outings at sporting events, etc. While we did not attract the ideal numbers in this first year, the trips all produced significant progress markers with either new or key donors.
- Fundraising staff** – for the first time in history, all colleges were fully staffed are dedicated gift officers. New staff were hired into new positions in the College of Visual and Performing Arts (CVPA), the College of Law (CLAW), the College of Health and Human Sciences (CHHS) and the College of Education (COE).

New staff were hired into existing positions in the College of Business (COB) (2 positions) and the College of Liberal Arts and Sciences (CLAS). Additionally, a new Regional Director of Development was hired (existing position) and a new Director of Advancement for Athletics was hired (new position). So out of a total of 10 fundraising positions at the director level, 9 were either new hires, or staff moving into new roles.

- d) **Fundraising strategies** – a very deliberate shift in fundraising strategies began in FY18. All fundraising strategies at the “system level,” meaning Annual Fund and TeleFund efforts, were shifted to align with the need for unrestricted revenue. Gift officers at the college level, in addition to focusing on the short list of priorities within each college, also began to socialize the case for unrestricted revenue and general scholarship support. While results will be fully analyzed after the close of the fiscal year, early indications are that a more general appeal has been very successful acquiring first time donors.
- e) **Undocumented student funding workgroup** – in collaboration with leaders from DREAM Action NIU, the Student Association (SA) and NIU’s Office of Academic Diversity, Equity and Inclusion (ADEI), a working group to explore ways to raise funds for undocumented students was formed. Two important outcomes thus far: An SA-sponsored referendum to create an “opt in” student fee to help fund scholarships; a new gift of \$50,000 from NIUF Board Member Chris Cole and her husband, Tim to support the Dream Scholarship Fund.
- f) **Strategic expansion of NIU Foundation efforts** - over the past two years, the NIUF has been engaged in strategic dialogue with both the leaderships of the BOT as well as the NIU Alumni Association in order to assure alignment of University Related Organization (URO) goals to university needs. Recognizing the critical need for unrestricted revenue as well as funds for scholarships, the Foundation chose to expand further its efforts to diversify revenue in order to provide greater impact. In addition to redirection of the Red and Black as a fundraiser and the development of a focused scholarship campaign, the Foundation, at its May meeting, struck two task forces to explore opportunities in both real estate and venture funding for innovation. The Real Estate Task Force will be chaired by Montel Gayles, and the Innovation Task Force by John Burns.

Criterion 2.4: Align expenditures (exclusive of auxiliary) per student FTE with mission, using IPEDS peers as a guide.

Criterion 2.5: Control Administrative Costs: Achieve and maintain administrative: instructional cost ratio (as defined by ACTA) ≤ 0.18 .

Supporting Materials: See IPEDS data release handout (Appendix Item 1) and the Administrative Cost Guide (Appendix Item 2)

GOAL 3: IMPLEMENT PROGRAM PRIORITIZATION

Criterion 3.4: Develop strategy and template to ensure that continuous improvement activities identified through the program prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.

Context:

The third goal of the published FY18 Presidential Goals is to “Implement Program Prioritization.” One of the subgoals is to “develop strategy and template to ensure that continuous improvement activities identified through the program prioritization process are being institutionalized in ways that allow progress to be tracked and new improvement activities to be identified.”

An important part of the context for our response to this are the existing institutional assessment structures. The most important of these is program review. Per state mandates, NIU engages in a regular cycle of academic program reviews. This eight-year cycle ensures that every degree program and academic center is reviewed, with reports to the NIU Board of Trustees and Illinois Board of Higher Education.

Response:

Over the past two years, the focus of institutionalization of Program Prioritization has been the integration with program review. The Executive Vice President & Provost, the Vice Provost for Institutional Effectiveness and the Academic Planning Council (APC) have worked together over the past two years to draw program review and Program Prioritization together in the ongoing advancement of continuous improvement within academic program reviews. To date, the following has been accomplished:

- A key element of the Program Prioritization process was the construction of program narratives crafted by the units. These serve as the foundational documents upon which the APC conducts program review. These comprehensive narratives provide the APC with data and analysis on numerous aspects of the eight program prioritization criteria: quality of faculty and faculty outcomes; quality of students and student outcomes; financial efficiency; importance of the program to the university mission; program potential; external demand of the program; internal demand of the program; and the program’s contribution to diversity. These documents, along with the Program Prioritization Academic Task Force’s recommendation for the programs, now serve as the starting point for program review discussions by the APC.
- A streamlined template for academic program representatives to complete accompanies the narrative, and explicitly requests that program representatives address continuous quality improvement activities, updates that have occurred since the program narrative was drafted that would be pertinent to the APC’s review; and aspects of some of the eight criteria (e.g., activities and outcomes pertaining to student recruitment/retention and degree completion). See Appendix A.
- A Program Review Dashboard has been added to the program review process (see Appendix B), that provides data and analysis, some of which were also incorporated into the program prioritization process, and all of which support the criteria for program prioritization and continuous quality improvement in academic programs. This dashboard serves as a focal point for discussion between the APC, program representatives, and the Office of the Provost staff in subcommittee meetings of the APC.

These changes to the program review process represent a thoughtful and deliberate institutionalization of the benefits of the program prioritization framework, situated within the shared governance committee, the APC, charged with the oversight of academic program review.

GOAL 4: FOSTER AN ORGANIZATIONAL CULTURE THAT IS ETHICAL AND ACCOUNTABLE

Criterion 4.6: Increase divisional responsiveness to requests from Internal Audit such that requested information that is available in an acceptable format is provided within 3 working days, and most other requested information is provided within 10 working days.

Supporting Material: Template for Internal Audit Agreement

INTERNAL AUDIT AGREEMENT

This agreement serves to outline expectations of the internal auditor(s) and the employees of {DEPARTMENT} (“Auditee”) for the FY{YEAR} audit of {AUDIT TITLE}. NIU’s Internal Audit Department conducts their audits in accordance with the “International Standards for the Professional Practice of Internal Auditing” published by the Institute of Internal Auditors. Internal Audit provides independent and objective assurance and consulting services to evaluate and recommend improvements to departmental operations. NIU Internal Audit also assists the Board of Trustees and University management in the effective discharge of their oversight, management, and operating responsibilities. This agreement also serves to facilitate President Lisa Freeman’s FY2018 goal to “foster an organizational culture that is ethical and accountable.” See expectations below for all parties involved in the internal audit.

The Internal Auditor Shall:	The Auditee Shall:
<ul style="list-style-type: none"> Provide notification of the need to complete fieldwork in the department’s office two business days in advance, at minimum. If the audit takes significantly longer than originally anticipated, offer a verbal or written interim report. Provide notification if additional testing is required that falls outside the original scope of the audit. Consider any special requests from the auditee to perform additional testing of specified areas of concern. Conduct a meeting to discuss all preliminary audit findings with department representative(s) before the draft of the internal audit report is issued. Provide draft report to department and allow two weeks for department representatives to provide responses to all audit report recommendations. Conduct an exit conference to discuss any questions and planned management responses to audit report recommendations. 	<ul style="list-style-type: none"> Provide an in-office workspace for the auditor, as well as timely access to the working area, department personnel, and records necessary to complete audit work. For audit requests of items which are in existence (i.e. files, reconciliations), provide item(s) to the auditor within three business days. For audit requests of items not in existence (i.e. data extracts), provide item(s) to the auditor within ten business days. If this is not feasible, contact Internal Audit Director within five business days of the initial request to determine a mutually acceptable time-line. Provide responses to audit report recommendations within two weeks of the auditor’s request unless an extension is requested of and granted by the Internal Audit Director.

By signing below, we accept and agree to the terms listed above:

Internal Auditor	Date	Department Representative	Date	
Internal Audit Director	Date			

cc (email): {VICE PRESIDENT OF OPERATION}

GOAL 6: (ENHANCE) STUDENT EXPERIENCE

Criterion 6.1: Develop a coherent strategy for measuring student satisfaction, based on a limited number of annual surveys focused in key areas, with implementation to start no later than AY 18-19.

Criterion 6.2: Develop a way to capture and report the number of students participating in experiential learning/high impact educational practices- and use to develop baseline and FY19 goals.

Supporting material: See SESS Status Update FINAL (Appendix Item 3)

DRAFT

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Item 1: IPEDS Data Collection & Release Procedures

DRAFT

Data Collection & Release Procedures

Be the first to know when data are released!

- ✓ Sign up for releases of the IPEDS *First Look* reports through the IES newsflash at <http://ies.ed.gov/newsflash/#nces>.
- ✓ Follow IPEDS on Twitter at http://twitter.com/ipeds_nces.
- ✓ Sign up for This Week in IPEDS announcements at <https://nces.ed.gov/ipeds/this-week-in-ipeds>.

About IPEDS

The Integrated Postsecondary Education Data System (IPEDS) is an annual data collection distributed by the Postsecondary Branch of the National Center for Education Statistics (NCES), a non-partisan center within the Institute of Education Sciences under the U.S. Department of Education. NCES is the primary federal entity for collecting and analyzing data related to education in the U.S. and other nations.

Postsecondary institutions submit IPEDS data annually through 12 interrelated survey components. Data in a collection year (cycle) are reported in **3 periods**, and the data for each period are distributed in **3 corresponding releases**.

What data are collected in each period?

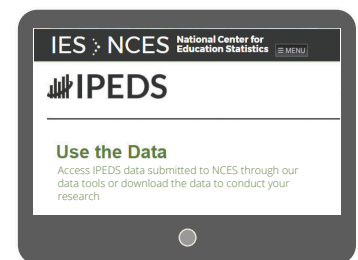
The table below shows the survey components administered during each of the 3 periods in a collection year.¹ As noted, some data are collected for the prior year. This allows institutions time to prepare the most current and complete data prior to reporting to IPEDS. For example, Student Financial Aid data are reported in December 2016 through March 2017 for aid awarded during fall 2015 through summer 2016.

Fall (Aug.–Nov.)	Winter (Dec.–Mar.)	Spring (Dec.–April)
<ul style="list-style-type: none"> • Institutional Characteristics* • Completions • 12-Month Enrollment 	<ul style="list-style-type: none"> • Admissions* • Graduation Rates • 200% Graduation Rates • Outcome Measures • Student Financial Aid 	<ul style="list-style-type: none"> • Fall Enrollment* • Finance • Human Resources* • Academic Libraries

* Indicates where data are reported for the current academic year. Otherwise, data are reported for the prior year.

Where can I get data?

IPEDS data are publicly available and may be used without cost, though a citation is recommended.² They can be accessed via <https://nces.ed.gov/ipeds/use-the-data>.



What if I need help using data?

The IPEDS Data Tools Help Desk provides the following services to those interested in using the data:

- Assistance with accessing and retrieving IPEDS data for research and analysis;
- Answers about specific metrics collected; and
- Guidance for locating and using IPEDS data files.




P: (866) 558-0658 | E: ipedstools@rti.org | Hours: M–F, 8:30am to 5:00pm, EST

¹ To learn more about the information collected under each survey component, refer to the “What data are collected in IPEDS?” section of <https://nces.ed.gov/ipeds/about-ipeds>.

² Suggested citation if one has not been provided: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS), [collection year], [survey component]. Retrieved from [link] on [date].

What are the data review and validation processes?

For each collection period, IPEDS distributes the data in 3 releases, with each release going through a different review and validation process.

Release 1	Release 2	Release 3
<p>Preliminary Data</p>  <p>Upon completion of a reporting period (Fall, Winter, or Spring), the data go through an initial review and validation process.</p> <ul style="list-style-type: none"> • IPEDS staff review data submissions and may follow up with institutions as part of the initial quality control process. • If an institution does not respond to a survey component or an item, the data are left blank (i.e., data are unimputed). • This initial review and validation process—along with the accompanying publication review—takes approximately 6 months. 	<p>Provisional Data</p>  <p>After the Preliminary release, IPEDS staff completes the full quality control procedures.</p> <ul style="list-style-type: none"> • Additional follow-up with institutions may occur. Revisions to the Preliminary data would be minimal. • Missing data due to nonresponse to entire survey components or items are imputed.* • This round of review, validation, and imputation—along with the accompanying publication review—takes approximately 3 months. 	<p>Final (Revised) Data</p>  <p>In the following collection year, institutions are given an opportunity to revise their data if they believe it was inaccurately reported in the prior year.</p> <ul style="list-style-type: none"> • The percentage of institutions that revise data varies by survey component but usually ranges between 1 and 7 percent. • Provisional data are updated with the revisions. • This process takes approximately 12 months after the Provisional release.

* NCEES employs statistical imputation techniques to estimate missing data. Learn more about the imputation process in the Methodology report at <http://nces.ed.gov/pubsearch/getpubcats.asp?sid=010> or the NCEES Handbook at https://nces.ed.gov/statprog/handbook/ipeds_dataquality.asp. Watch the video tutorial http://nces.ed.gov/training/datauser/IPEDS_04.html for guidance on analyses using imputed and unimputed data.

When can I expect the data release?

The following table highlights **approximate** times for data releases. Delays in the schedule are possible due to various layers of review and revision.

Period	Collection closes	Preliminary data*	Provisional data	Final (Revised) data
FALL	November	Early summer	Approximately 9 months after collection closes	Approximately 9 months after institutions have revised their data the following year
WINTER	March	Early fall		
SPRING	April	Mid-fall		
<i>First Look</i> report released?		Yes	Yes	No

* Review of Preliminary *First Look* reports may be surpassed by review of Provisional *First Look* reports. At that point, NCEES will only release the Provisional (skipping Preliminary) data and accompanying *First Look*. Additionally, Preliminary data will only be available prior to the Provisional release. Once Provisional data has been released, Preliminary data will be replaced with the Provisional data.



IPEDS *First Look* Reports

IPEDS *First Look* reports, which accompany Preliminary and Provisional data releases, provide summary tables and citation information for the data. These can be found at <https://nces.ed.gov/pubsearch/getpubcats.asp?sid=010> under “Shorter Publications”.

For example, the Fall 2015 Preliminary data had an accompanying *First Look* report titled *Postsecondary Institutions and Price of Attendance in 2015–16; Degrees and Other Awards Conferred: 2014–15; and 12-Month Enrollment: 2014–15: First Look (Preliminary Data)*.

Item 2: How Much is Too Much? Controlling Administrative Costs through Effective Oversight

DRAFT



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Pennsylvania State University

August 31, 2017

Doug Baker
President
Northern Illinois University
Office of the President
Altgeld Hall 300
DeKalb, IL 60115

Dear Dr. Baker:

The American Council of Trustees and Alumni (ACTA) has dedicated itself to helping governing boards and academic leaders develop clear strategies and budgetary priorities to serve their educational missions.

As part of our goal to help academic leaders, I would like to share with you our new guide, *How Much is Too Much? Controlling Administrative Costs through Effective Oversight*. This publication analyzes the ratio of administrative spending to instructional spending for your institution and comparable peer institutions.

How Much is Too Much? provides presidents and chief financial officers with information they need to help address cost issues at their institutions. Using data from the U.S. Department of Education, National Center for Education Statistics Integrated Postsecondary Education Data System (IPEDS), this publication identifies the median ratios of administrative to instructional cost, broken down by institutional category, based on ACTA's analysis of over 1,200 four-year colleges and universities.

Because the data are publicly available and are based on institutions' submissions to the federal government, colleges and universities can use this guide to compare their institution's cost ratio—a measure of the amount an institution spends on administration per dollar spent on instruction—with what is customary for institutions of similar size and scope.

To be sure, a cost ratio that is higher than that of other institutions does not itself indicate a misalignment of budgetary priorities. Many factors may contribute to why one institution's financial profile may differ from those of its peers, including such factors as institutions' accounting practices. The purpose of this guide is to provide a starting point for dialogue between presidents and trustees concerning sound fiscal decisions, and we welcome the opportunity to discuss with you the significance of this metric.

PROMOTING ACADEMIC FREEDOM AND EXCELLENCE

1730 M Street NW, Suite 600 Washington, DC 20036

T (202) 467-6787; (888) ALUMNI-8 F (202) 467-6784 info@GoACTA.org www.GoACTA.org

Doug Baker
August 31, 2017
Page 2

Thank you for your service to higher education. If ACTA can be of benefit to you or your colleagues—by consultation, or through our library of guides and reports—please visit **www.GoACTA.org** or contact our Vice President for Trustee & Legislative Affairs, Armand Alacbay, at **aalacbay@GoACTA.org**.

Warm regards,

A handwritten signature in blue ink that reads "Michael B. Poliakoff". The signature is written in a cursive style with a long, sweeping underline that extends to the left.

Michael B. Poliakoff, Ph.D.
President

Enclosure

How Much is Too Much?

Controlling Administrative Costs through Effective Oversight

a guide for higher education trustees



American Council of Trustees and Alumni | Institute for Effective Governance



ACTA
AMERICAN COUNCIL OF
TRUSTEES AND ALUMNI



ACTA
AMERICAN COUNCIL OF
TRUSTEES AND ALUMNI

The **American Council of Trustees and Alumni** is an independent, nonprofit organization committed to academic freedom, excellence, and accountability at America's colleges and universities. Founded in 1995, ACTA is the only national organization dedicated to working with alumni, donors, trustees, and education leaders across the United States to support liberal arts education, uphold high academic standards, safeguard the free exchange of ideas on campus, and ensure that the next generation receives an intellectually rich, high-quality education at an affordable price. Our network consists of alumni and trustees from nearly 1,300 colleges and universities, including over 22,000 current board members. Our quarterly newsletter, *Inside Academe*, reaches more than 13,000 readers.

ACTA's **Institute for Effective Governance (IEG)**, founded in 2003 by college and university trustees *for trustees*, is devoted to enhancing board effectiveness and helping trustees fulfill their fiduciary responsibilities fully and effectively. IEG offers a range of services tailored to the specific needs of individual boards and focuses on academic quality, academic freedom, and accountability. Through its publications, the Institute for Effective Governance seeks to stimulate discussion of key issues affecting America's colleges and universities.

How Much is Too Much?

Controlling Administrative Costs through Effective Oversight

a guide for higher education trustees

American Council of Trustees and Alumni
Institute for Effective Governance

July 2017

Acknowledgments

This report was prepared by the American Council of Trustees and Alumni (ACTA) staff under the direction of ACTA's Vice President of Trustee & Legislative Affairs Armand Alacbay, primarily by Danielle Barden, program associate for trustee affairs. This report was made possible by the generosity of the Arthur N. Rupe Foundation. ACTA would also like to thank Jerry Malitz for his valuable assistance toward the completion of this project, and without whom this project would not have been possible.

Foreword

The price of college and how colleges use their money have, for good reason, been top public concerns. Exploding prices can stop students right at the gates to our schools, keeping them from even applying to our colleges and universities. Steep tuition bills are one of the most common obstacles in the path of timely graduation. As a former member of the University System of Maryland's Board of Regents, like you, I know the extent of the challenge we face in making our schools as cost-effective as possible.

Every member of a governing board needs to focus on cost control. Yet boards often lack the timely, relevant, and high-quality information we need. Now more than ever, trustees need financial metrics that allow them accurately and clearly to benchmark their institutions against others and determine how they can be leaner while still keeping tuition low and quality high.

To aid trustees with this complex and delicate task, the American Council of Trustees and Alumni (ACTA) developed this guide to encourage discourse between trustees and institutional leadership about their college or university's financial priorities. Using publicly available data that was self-reported to the U.S. Department of Education by over 1,200 Title IV-participating, four-year institutions, this guide enables trustees to ask these questions: *How does our institution's spending on administration—compared to what we spend on our number-one priority, namely, teaching and learning—measure up against similar institutions? Can our school, with existing resources, do more for students?*

American higher education, the most diverse and accessible system in the world, performs an indispensable duty in the formation of future citizens, leaders, thinkers, and entrepreneurs. As our communities—students, parents, and taxpayers—make crucial investments in higher education, we need resources like this one to analyze the context and impact of our spending decisions. ACTA continues to help boards hold their universities accountable to the public trust through this brief guide.

C. Thomas McMillen

former regent, University of Maryland System
and former U.S. Representative, 4th District of Maryland

A recent report by the Institute for Higher Education Policy shows that even with the maximum level of federal financial aid, the net price of college at 70% of universities is unaffordable for working- and middle-class students.

How Much is Too Much?

Controlling Administrative Costs through Effective Oversight



Rising College Costs

The cost of operating an institution of higher education, with very few exceptions, is reflected in the price of attendance that students and their families face, as well as the cost to taxpayers. The purpose of this guide is to help boards of trustees understand the major role that administrative expenditure regularly plays in escalating costs and, ultimately, the price of attendance. We need to understand administrative expense in the context of the key goals of American higher education: access and academic excellence.

The financial pathway to a college degree is often far from clear for too many students. A recent report by the Institute for Higher Education Policy shows that even with the maximum level of federal financial aid, the net price of college at 70% of universities is unaffordable for working- and middle-class students. While some trends suggest that the *rate of increase* in college tuition has slowed in recent years, its growth in nominal dollars continues to outpace inflation, and, as such, the rising cost of college has a real impact on students. Many students incur high levels of student debt to pay for college or seek alternatives to college attendance. Borrowing and default rates grow, competition for tuition dollars increases, and the financial model underpinning higher education's effectiveness is imperiled.¹

Trustees are essential actors in managing and controlling costs in this tumultuous environment. In a GfK survey commissioned by ACTA in

2014, 91% of respondents believed that *trustees* need to act to make college more affordable and improve the quality of higher education. It can be said without exaggeration that the crisis in college costs and affordability is undermining the democratic promise of higher education. The public looks to trustees to ask the tough questions and seek solutions.²

Not only is the relationship between administrative and instructional spending central to institutional efficiency and reflective of institutional priorities, but it also raises issues of appearance, public image, and institutional morale. A 2010 study of higher education costs at 198 leading public and private colleges and universities found a 39% increase between 1993 and 2007 in instructional spending per student, but a 61% increase in administrative spending per student. Furthermore, a 2014 report documents the impact on the balance of institutional resources. The study found that the ratio of faculty and staff positions per administrator had declined

The crisis in college costs and affordability is undermining the democratic promise of higher education. The public looks to trustees to ask the tough questions and seek solutions.

at public research universities from 3.5 in 1990 to 2.7 in 2000, and all the way down to 2.2 in 2012. Part of this can be explained by rising compliance costs; the Task Force on Federal Regulation of Higher Education reported that “the number of federal requirements placed on colleges and universities grew by 56 percent between 1997 and 2012.” But higher education analysts often wonder: What is the investment in administrative staff and functions achieving? Is that investment helping to provide the best possible education at the lowest possible cost?³

Although faculty salaries have remained relatively static, administrative salaries have not. A 2017 survey found that the average salary for full professors was \$102,402, compared to an average salary of \$334,617 for

college and university presidents and \$202,048 for chief financial officers. Institutions risk signaling misplaced priorities, which can have adverse effects on their ability to grow in areas pertinent to their academic missions, such as attracting and retaining prominent faculty.⁴



Get the Data, Understand the Content

An essential step in higher education governance is to establish a baseline, to understand how the college or university's resource allocation compares to those of similar, or peer, institutions. An institution does best when the governing board acquaints itself with federal data collection practices and understands the limitations of the conclusions that can be drawn from such data, but also recognizes its value towards benchmarking against similarly-situated institutions, or other comparison groups (e.g., "aspirational" peers).

That can be a challenging task, but it is well within reach. Institutional accounting reflects a complex blend of revenue sources from public and private funding, tuition, and philanthropic dollars, as well as a wide range of expenditures required for the university to accomplish its mission. The financial data that institutions report to the U.S. Department of Education's National Center for Education Statistics (NCES), through its Integrated Postsecondary Education Data System (IPEDS), facilitate important comparisons that trustees can use as starting points for dialogue with their presidents and administrators concerning fiscal choices.

Institutions that receive federal financial aid funding report their financial data annually to NCES, which makes publicly available the amounts each institution reports per "functional classification"—in other words, levels of expenditures on instruction, research, public service, and the like. Developed by NCES and the National Association of College and University Business Officers (NACUBO), these expense classifications are generally consistent year-to-year and apply to institutions uniformly. As

such, while institutions may vary somewhat in their classification of specific expenditures (for example, finance officers may have different formulas for allocating the costs of a mixed-use building), the aggregate nature of the data collection provides a useful base for institutional comparison.⁵



Instructional and Administrative Costs: The Right Balance

In order for institutions of higher education to fulfill their research and teaching missions, leaders must make complex choices about how to allocate scarce financial resources to address diverse needs. As instruction is so central to the educational mission of every institution, trustees should naturally want to keep a close eye on how well it is supported. To make this guide as useful as possible to trustees of institutions with widely varying missions, it uses a very limited definition of “administrative cost” (see pg. 5), excluding other expense areas (e.g., auxiliary expenses, such as residence halls) that boards may also wish to monitor. To be sure, allocation of funding to other sources also merits oversight; a report from the Delta Cost Project found that staff wages and salaries (per-FTE staff) for *student services* was the fastest growing salary expense at many institutions from 2002–2010.⁶

Defining the Terms

In order to focus comprehensively on what is allocated to instruction, this guide uses an expansive definition of “instructional cost,” incorporating not only what institutions report to NCES as expenses for instruction, but also for academic support, which covers expenditures for “academic administration (including academic deans but not department chairpersons),” “libraries, museums, and galleries,” and anything else related to supporting the institution’s primary mission. Instructional costs, as applied in this guide, also include some functions that may be considered

administrative in nature, but which still have direct bearing on the institution's academic enterprise.⁷

For “administrative cost,” this guide includes only what institutions report as institutional support, defined by NCES as “the day-to-day operational support of the institution. Includ[ing] expenses for general administrative services, executive direction and planning, legal and fiscal operations, and public relations/development.”⁸

In doing so, it does not include items such as student activities, career services, or financial aid staff (all of which institutions are instructed to report as student services), or parking facilities, housing, or food services (reported as auxiliary enterprises). Expenses for operating a hospital are reported as a separate category and are not included in the institutional support category, with a few exceptions.

Understanding the Ratio

The ratio of an institution's spending on administration relative to instruction is an important indicator of a university's budget priorities. When combined with other measures, this analysis can also serve as a warning that the institution's administrative operations risk growing disproportionately in relation to its core academic functions, placing upward pressure on the cost of tuition and required fees.

This guide illustrates how trustees can use the **administrative/instructional cost ratio** as the baseline for interrogating and understanding how their institution compares to peer colleges and universities. Using publicly available data from the U.S. Department of Education's IPEDS survey, ACTA carefully reviewed trends in administrative spending and instructional spending at over 1,200 four-year public and private, not-for-profit colleges and universities in the United States.⁹

The tables on the following pages indicate the median administrative/instructional cost ratio among institutions grouped by sector (i.e., public/private), Carnegie classification, and undergraduate full-time enrollment

size. **The higher a school's ratio, the greater the proportion of the institution's spending on administration relative to its spending on instruction** (i.e., a ratio of 0.53 means that an institution spends 53 cents on administration for every dollar it spends on instruction, based on the formula used for this study).¹⁰

In using this guide, it is important to observe that many factors contribute to the variation in expenditure ratios across institution types. For example, a large state flagship university may experience economies of scale in its administrative functions that do not necessarily occur with instructional functions. Moreover, the functional expense classification of institutional support (i.e., administrative cost) also includes an institution's costs for operating its development office, which may be higher at institutions that rely more on private philanthropy. As such, it is beyond the scope of this guide to attempt to compare sectors in any broader way. The categories on the following tables are intended to provide trustees with one possible framework for identifying institutions with comparable cost structures.

ADMINISTRATIVE COSTS DASHBOARD: Compare Your School to the National Median

Four-Year **Public** Undergraduate Institutions
Median Administrative/Instructional Cost Ratio, FY 2015

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	0.39	0.33	0.27
Master's Colleges & Universities: Small Programs	0.34	0.34	0.29
Master's Colleges & Universities: Medium Programs	0.28	0.24	0.22
Master's Colleges & Universities: Larger Programs	0.24	0.23	0.21
Doctoral Universities: Moderate Research Activity	0.24	0.21	0.20
Doctoral Universities: Higher Research Activity	0.23	0.19	0.20
Doctoral Universities: Highest Research Activity	0.19	0.16	0.17

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

Note: Institutions included are Title IV-participating, primarily baccalaureate degree-granting or above. Enrollment is based on estimated FTE undergraduate enrollment. Small/medium/large designations are determined by a tertile (equal 1/3) distribution of institutions, ordered by enrollment, within the Carnegie classification indicated. For more information, see Appendix.

ADMINISTRATIVE COSTS DASHBOARD: (cont'd)
 Compare Your School to the National Median

Four-Year **Private, Not-for-Profit** Undergraduate Institutions
 Median Administrative/Instructional Cost Ratio, FY 2015

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	0.64	0.45	0.40
Master's Colleges & Universities: Small Programs	0.63	0.53	0.41
Master's Colleges & Universities: Medium Programs	0.50	0.46	0.46
Master's Colleges & Universities: Larger Programs	0.41	0.41	0.39
Doctoral Universities: Moderate Research Activity	0.40	0.39	0.33
Doctoral Universities: Higher Research Activity	0.28	0.32	0.24
Doctoral Universities: Highest Research Activity	0.27	0.21	0.27

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

Note: Institutions included are Title IV-participating, primarily baccalaureate degree-granting or above. Enrollment is based on estimated FTE undergraduate enrollment. Small/medium/large designations are determined by a tertile (equal 1/3) distribution of institutions, ordered by enrollment, within the Carnegie classification indicated. For more information, see Appendix.



Conclusion: An Action Plan for Controlling Administrative Costs

Trustees have a unique vantage point—and responsibility—to investigate costs and compare them against similar or peer institutions. By doing this, colleges and university trustees can invest and allocate scarce resources responsibly in a highly competitive education landscape.

1. **Be knowledgeable about administrative spending.** Trustees should ask their chief financial officer to report to the board the institution's administrative/instructional cost ratio for the most recent fiscal year. Institutions provide NCES with their IPEDS finance survey responses on a regular annual schedule (typically December–April), so the data should be readily available. If the institution's ratio is higher than the median ratio for schools of its Carnegie classification and of similar undergraduate enrollments, the board should ask why that is the case. They should also consider asking what the IPEDS-reported cost ratios are for peer institutions.

Following correspondence with ACTA concerning the significantly higher rate of growth in administrative cost compared to instructional cost, the University of Wyoming's president and board of trustees commissioned a study of their spending patterns. Wyoming's administration and board leadership have taken promising new steps to increase financial transparency and reduce administrative overhead where possible.¹¹

Bear in mind that not all administrative costs are problematic. Trustees should also insist on student outcomes data—for their institution and others—alongside their financial metrics. If higher costs in particular areas correlate with better outcomes, they may

be considered investments in line with the school's mission. If they do not, trustees should reconsider their institution's budgetary priorities.

2. **Create a financial dashboard—and use it.** Establish a standard dashboard of cost-effectiveness indicators to evaluate each time your board is asked to sign off on major expenditures. For example, trustees can request to know their campus's hourly classroom utilization rate (differentiated by time of day and day of the week) before approving capital projects. They should know the percentage distribution of graduates from existing degree programs before green-lighting a new program. The institution's administrative/instructional cost ratio is one of many powerful metrics that boards can use to democratize insight into the university's financial performance.
3. **Ensure data quality and consistency.** Ensure that the institution's financial reporting practices treat expenses consistently from year to year. Transparent and consistent financial reporting is crucial to ensuring the long-term health of a university, because a board's ability to provide effective oversight depends on having access to data that are comparable over multiple reporting periods. Consider setting an agenda item for the board's finance committee to review the institution's IPEDS finance survey responses, and definitions used to gather data to report those responses, over recent years, and to determine ways to ensure consistent reporting standards going forward. Moreover, boards should closely monitor how their institution categorizes specific expenses into functional categories (e.g., ensure that the institution does not report administrative expenses as academic support services).
4. **Consolidate and streamline.** Boards should start looking at ways to consolidate administrative functions. Examples such as the Minnesota State Colleges and Universities' Campus Service

Cooperative and the University System of Maryland's Effectiveness and Efficiency Initiative can provide useful blueprints for innovative initiatives. ACTA's publications, *Bold Leadership, Real Reform* and *Bold Leadership, Real Reform 2.0*, as well as *Cutting Costs*, can provide other ideas for governing boards. Concurrently, trustees should engage institutional leaders in periodic discussions of administrative expenditures and how they may be better contained in a responsible fashion. Institutions should have concrete guidelines to justify expansion of administrative expenditures to ensure intentionality and sober cost-benefit analysis.

Appendix

The tables that follow describe the range of institutional sizes represented by the “small,” “medium,” and “large” enrollment designations used on pages 7–8 of this guide. Indicated ranges were selected to ensure equal distribution of institutions within each Carnegie classification segment. Gaps between enrollment ranges indicate that no institution within the sector and Carnegie classification for that row reported enrollment of that particular size (e.g., no four-year public institution of Carnegie classification “Baccalaureate Colleges—Arts & Sciences” reported enrollment between 1,070 and 1,423 or between 2,219 and 3,295).

INSTITUTIONAL ENROLLMENT SIZES

Undergraduate FTE Enrollment, 2014-15
Four Year **Public** Institutions

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	538–1,070	1,423–2,219	3,295–4,156
Master's Colleges & Universities: Small Programs	1,512–2,078	2,098–4,031	4,104–25,509
Master's Colleges & Universities: Medium Programs	1,082–3,196	3,309–4,847	4,901–16,111
Master's Colleges & Universities: Larger Programs	1,325–5,962	5,975–9,142	9,147–28,397
Doctoral Universities: Moderate Research Activity	1,750–7,997	8,217–12,047	14,268–27,691
Doctoral Universities: Higher Research Activity	4,694–9,590	9,765–14,106	14,543–29,433
Doctoral Universities: Highest Research Activity	828–19,799	20,138–26,148	26,580–45,796

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

INSTITUTIONAL ENROLLMENT SIZES (cont'd)

Undergraduate FTE Enrollment, 2014-15
 Four Year **Private, Not-for-Profit** Institutions

CARNEGIE CLASSIFICATION	ENROLLMENT		
	Small	Medium	Large
Baccalaureate Colleges: Arts & Sciences	80-1,165	1,177-1,878	1,884-3,855
Master's Colleges & Universities: Small Programs	205-1,024	1,033-1,621	1,624-4,750
Master's Colleges & Universities: Medium Programs	28-1,382	1,402-2,151	2,152-8,236
Master's Colleges & Universities: Larger Programs	314-1,978	1,987-3,194	3,202-39,720
Doctoral Universities: Moderate Research Activity	144-2,444	2,536-4,755	5,286-41,716
Doctoral Universities: Higher Research Activity	2,627-4,287	4,656-7,428	8,334-28,054
Doctoral Universities: Highest Research Activity	962-6,809	6,999-8,751	9,221-27,004

Source: U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics.

Notes

1. Kim Clark, “A New Report Shows Just How Unaffordable Colleges Are For Most Americans,” *MONEY*, March 24, 2017, <http://time.com/money/4712609/colleges-unaffordable/>; and Jennifer Ma et al., *Trends in College Pricing 2016* in *Trends in Higher Education* series (New York, NY: College Board, 2016), 15, https://trends.collegeboard.org/sites/default/files/2016-trends-college-pricing-web_0.pdf.
2. “College Governance Survey,” *GfK Custom Research North America for American Council of Trustees and Alumni*, June 2014, https://www.goacta.org/images/download/College_Governance_Survey.pdf.
3. Jay Greene, Brian Kisida, and Jonathan Mills, “Administrative Bloat at American Universities: The Real Reason for High Costs in Higher Education,” *Goldwater Institute Policy Report* no. 239 (2010): 9, 18, https://goldwater-media.s3.amazonaws.com/cms_page_media/2015/3/24/Administrative%20Bloat.pdf; and Scott Carlson, “Administrator Hiring Drove 28% Boom in Higher-Ed Work Force, Report Says,” *Chronicle of Higher Education*, February 5, 2014, <http://chronicle.com/article/Administrator-Hiring-Drove-28-/144519/>; Donna M. Desrochers and Rita Kirshstein, “Labor Intensive or Labor Expensive? Changing Staffing and Compensation Patterns in Higher Education,” *Delta Cost Project*, February 2014, http://www.deltacostproject.org/sites/default/files/products/DeltaCostAIR_Staffing_Brief_2_3_14.pdf; and *Recalibrating Regulation of Colleges and Universities* (Washington, DC: Task Force on Federal Regulation of Higher Education, February 2015), 7, <http://www.acenet.edu/news-room/Documents/Higher-Education-Regulations-Task-Force-Report.pdf>.
4. Colleen Flaherty, “The More Things Change,” *Inside Higher Ed*, April 11, 2017, <https://www.insidehighered.com/news/2017/04/11/aaup-faculty-salaries-slightly-budgets-are-balanced-backs-adjuncts-and-out-state>; and “Visualizing Change: The Annual Report on the Economic Status of the Profession, 2016–17,” *Academe*, March–April 2017, https://www.aaup.org/file/FCS_2016-17_nc.pdf.
5. See, for example, “Part C-1 - Expenses and Other Deductions: Functional Classification,” *National Center for Education Statistics*, n.d., https://surveys.nces.ed.gov/ipeds/VisInstructions.aspx?survey=5&cid=30068&show=part#chunk_1258; “IPEDS Finance Data FASB and GASB – What’s the Difference? A Guide for Data Users,” *National Center for Education Statistics*, n.d., https://nces.ed.gov/ipeds/Section/fct_ipeds_finance_1; and “Public Institutions: Methodologies for Allocating Depreciation, Operation and Maintenance of Plant, and Interest Expenses to Functional Expense Categories,” *National Association of College and University Business Officers*, January 2010, http://www.nacubo.org/Documents/BusinessPolicyAreas/AR_2010_1.pdf. NCES does issue guidance in response to frequently asked questions, including those addressing any recent changes in reporting requirements. See more, “How should my institution report the allocation of depreciation, operation and maintenance of plant (O&M), and interest expenses to the other functional expense categories in Part C?” *National*

Center for Education Statistics, n.d., <https://surveys.nces.ed.gov/ipeds/VisFaqView.aspx?mode=reg&id=7&show=all#404>.

6. Desrochers and Kirshstein, “Labor Intensive or Labor Expensive?”
7. The NCES definition of instruction includes “expenses of the colleges, schools, departments, and other instructional divisions of the institution,” as well as “expenses for departmental research and public service that are not separately budgeted.” NCES classifies as academic support “expenses for the support services that are an integral part of the institution’s primary missions of instruction, research, and public service” and includes “expenses for museums, libraries, galleries, audio/visual services, ancillary support, academic administration, personnel development, and course and curriculum development,” as well as expenses for “academic administration where the primary function is administration (e.g., academic deans).” 2016–17 Survey Materials: Glossary,” *National Center for Education Statistics*, 2016, <https://surveys.nces.ed.gov/ipeds/Downloads/Forms/IPEDSGlossary.pdf>; “Archived Survey Materials,” *National Center for Education Statistics*, 2015, <https://nces.ed.gov/ipeds/InsidePages/ArchivedSurveyMaterials>; and “2016–17 Survey Materials: Instructions,” *National Center for Education Statistics*, 2016, <https://surveys.nces.ed.gov/ipeds/VisInstructions.aspx?survey=5&id=30085&show=all>.
8. “2016–17 Survey Materials: Instructions.” To account for differences in accounting practices between public and private institutions, as well as for changes over time in how IPEDS accounted for such differences, this report excludes from instructional and administrative cost any costs reported as the subcategories of operation and maintenance of plant, depreciation, and interest, allocated in IPEDS to the categories of instruction, academic support, or institutional support.
9. Although a substantial percentage of students in the American higher education system are enrolled in two-year colleges, their unique governance, administration, and finance structures merit their own dedicated study.
10. For the purposes of this guide, the administrative/instructional cost ratio is defined as $(\text{administrative cost})/(\text{instructional cost})$, where *administrative cost* = expenses reported in IPEDS as “institutional support,” less the institutional support subcategories of operation and maintenance of plant, depreciation, and interest, and *instructional cost* = expenses reported in IPEDS as “instruction,” less the instruction subcategories of operations and maintenance of plant, depreciation, and interest, added to expenses reported in IPEDS as “academic support,” less the academic support categories of operation and maintenance of plant, depreciation, and interest. Based on the broad definition of instructional cost and narrow definition of administrative cost used in this guide, the ratios reported likely underestimate the amount institutions spend on administration.
11. Joel Funk, “UW administrative spending higher than peers,” *Laramie Boomerang*, November 27, 2016, http://www.laramieboomerang.com/news/local_news/uw-administrative-spending-higher-than-peers/article_1030bda4-b46b-11e6-a351-272ef5ba9c9a.html.



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Item 3: Student Engagement and Student Satisfaction Assessment Plan

DRAFT

Student Engagement and Student Satisfaction

Assessment Plan



Northern Illinois University
Your Future. Our Focus.



The Charge

During the fall of 2017, following the Board of Trustees confirmation of Dr. Lisa Freeman's presidential goals, Executive Vice President and Provost, Dr. Chris McCord, appointed a small committee to draft a strategic evaluation and assessment plan for student engagement and student satisfaction at Northern Illinois University. Dr. McCord, in consultation with Dr. Kelly Wesener Micheal, identified Associate Vice Provost for Engaged Learning, Dr. Renique Kersh, as the chair for this committee. The members of the committee included Evelyn Comber, Anthony Guzzaldo, Amy Franklin, Ritu Subramony, Aiyana Hamilton and ex officio member, Alecia Santuzzi.

The committee charge was as follows:

To move Northern Illinois University forward on the development and implementation of a strategic assessment plan on student engagement and student satisfaction.

Phase 1: Focused on reviewing relevant literature and resources on assessing student engagement and student satisfaction and developing a survey for SET Directors to gather information about how they are collecting information on student engagement and student satisfaction. The committee also reviewed a number of larger scale campus-wide surveys being used to measure or with components that measure student engagement and satisfaction. The surveys reviewed included the **National Survey of Student Engagement (NSSE)**, the **Faculty Survey of Student Engagement (FSSE)**, the **Sexual Harassment, Assault and Relationship Experiences Survey (SHARE)**, **NIRSA (campus recreation)**, the **National College Health Association Survey (NCHA)** and the **NIU graduating seniors survey (note that the climate survey was not included because the new survey has not been developed yet, but outcomes will be included in the final plan for assessment)**. Finally, the committee sought to better understand the redundancies and coordination inefficiencies that exist with these larger scale instruments. The outcome of **Phase 1**, which were finalized on March 2, 2018, includes an assessment and evaluation matrix, a survey administration map and a set of goals and objectives linked to the presidential goals.

Phase 2: Includes the design of a study on the impact of student's engagement in high impact practices on student success. Dr. Alecia Santuzzi has been asked to provide leadership on the design and coordination of this study.

Once **Phase 2** has been completed, the committee will revisit draft plan developed in **Phase 1** to make any necessary updates (see the timeline on slide 11). **The final outcome will include targets for engagement and a measurement baseline along with additional recommendations for sustainability and follow up.**

Our Intention

To develop an annual assessment of student engagement and student satisfaction using key indicators (***Phase 1***)

To establish a bi-annual study on the role of high impact practices in student engagement and success (***Phase 2***)

To coordinate the administration of campus-level surveys in order to improve the student-response rate and to reduce over-surveying of students and ensure widespread sharing of survey outcomes

Objectives

Presidential Goals

Provide NIU students with an excellent undergraduate experience.	1.1, 1.2, 1.3, 6.1, 6.2
Provide NIU undergraduates with high quality, accessible and developmentally appropriate experiential learning opportunities.	1.2, 1.3, 6.1, 6.2
Create, support and sustain an inclusive campus community including encouraging an inclusive learning and living environment.	1.1, 1.2, 1.3, 6.1, 6.2
Support academic excellence and achievement of undergraduates by providing high quality support services, rigorous academic experiences and a variety of opportunities for involvement in the campus community.	1.2, 1.3, 6.1, 6.2
Utilize institutional resources to track undergraduate student engagement in high impact practices.	6.2

Indicator

Data Points

Retention and Completion	<ul style="list-style-type: none">• FR to SO year retention rates (overall and by demographic group, e.g., race, gender, age, residential/commuter)• 4, 5, and 6 year graduation rates (overall and by demographic group, e.g., race, gender, age, residential/commuter)
Academic Achievement	<ul style="list-style-type: none">• GPA at the end of 1st year• GPA at completion
Satisfaction with the NIU experience	<ul style="list-style-type: none">• Quality of interactions with faculty and students in the classroom• Quality of interaction with student services staff• Overall satisfaction with NIU Services• Overall satisfaction with academic experience• Would choose NIU again• Safety of the institution• Sense of belonging
Engagement in HIPS	<ul style="list-style-type: none">• Participation in study abroad, undergraduate research, artistry, learning communities, internships and service-learning
Engagement in the Campus Community	<ul style="list-style-type: none">• Participation as an active member or officer in a student organization
High Impact Learning	<ul style="list-style-type: none">• Number of courses with service-learning, research or collaborative projects• Effective teaching practices
Faculty/Student Interaction and Faculty Commitment to High Impact Learning	<ul style="list-style-type: none">• Percent of time spent in class using engaged learning strategies• Faculty perception of importance of student engagement in HIPS• Student perception of faculty interactions
Career Impact	<ul style="list-style-type: none">• Employment in a position the recent graduate perceives as related to their academic major), Graduate School Acceptance, or on-track for career-based KPI (e.g., SAG)

Data Collection

- Student Surveys (National College Health Association Survey, *NIU Climate Survey, *NIU Alumni Survey, ****National Survey of Student Engagement**)
- Qualitative Data (Focus Groups with Current Students, Alumni and Employers, Content Analysis of Linked In and Professional Profiles)
- Faculty Survey (Faculty Survey of Student Engagement)
- Institutional Data (Student Involvement Data from Huskie Link, Student Data from MyNIU, Career Services Data)

*new survey is being developed

**primary assessment instrument for student engagement and satisfaction

Campus Survey Administration Grid

	J	F	M	A	M	J	J	A	S	O	N	D	
NSSE		■											
FSSE				■									
NCHA		■											
NIRSA			■										
SHARE			■										
Climate			■										
NIU Alumni Survey			■										



Administered in the same year



Administered in the same year

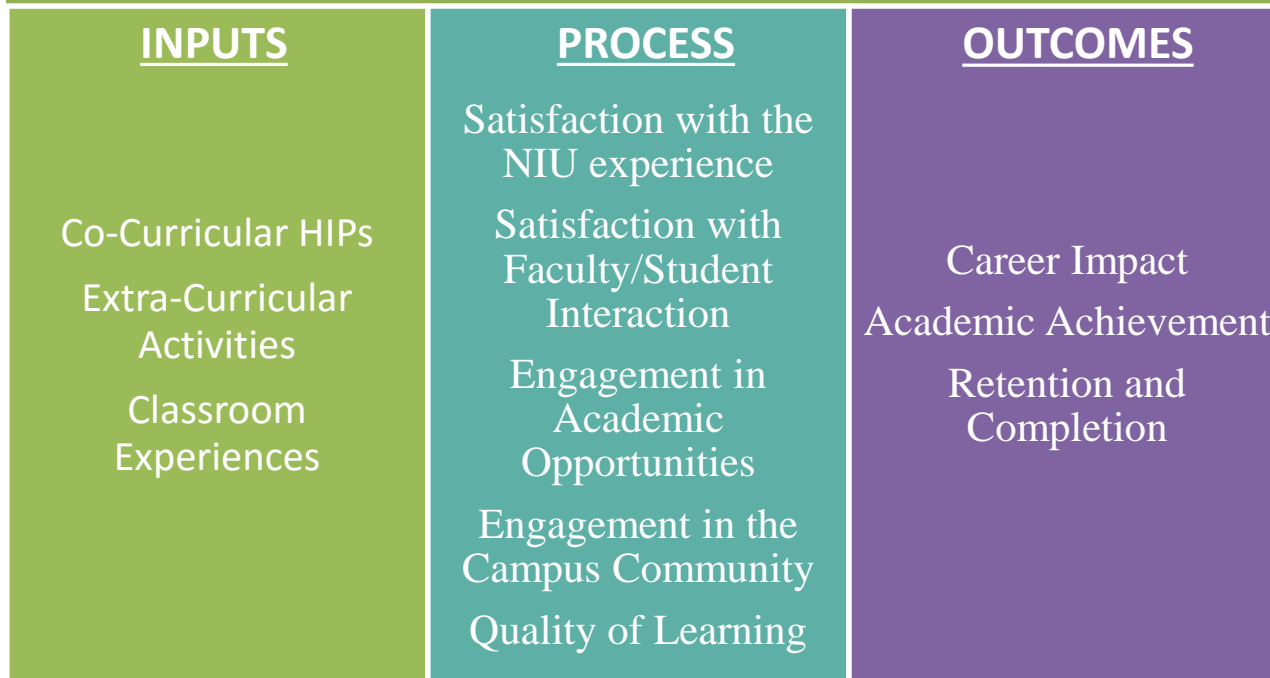
Note: This map shows the timing for campus-wide survey administrations. The response to this map will include establishing a timeline that ensures that survey administrations do not overlap and that where possible, different samples are chosen so as to reduce survey-fatigue. This is particularly true for NSSE, NCHA, NIRSA, SHARE and Climate surveys.



Phase 2: SESS Study Objectives

- To understand the role of high impact practices in student satisfaction and success
- To understand what high impact practices at NIU are most often associated with student satisfaction and success

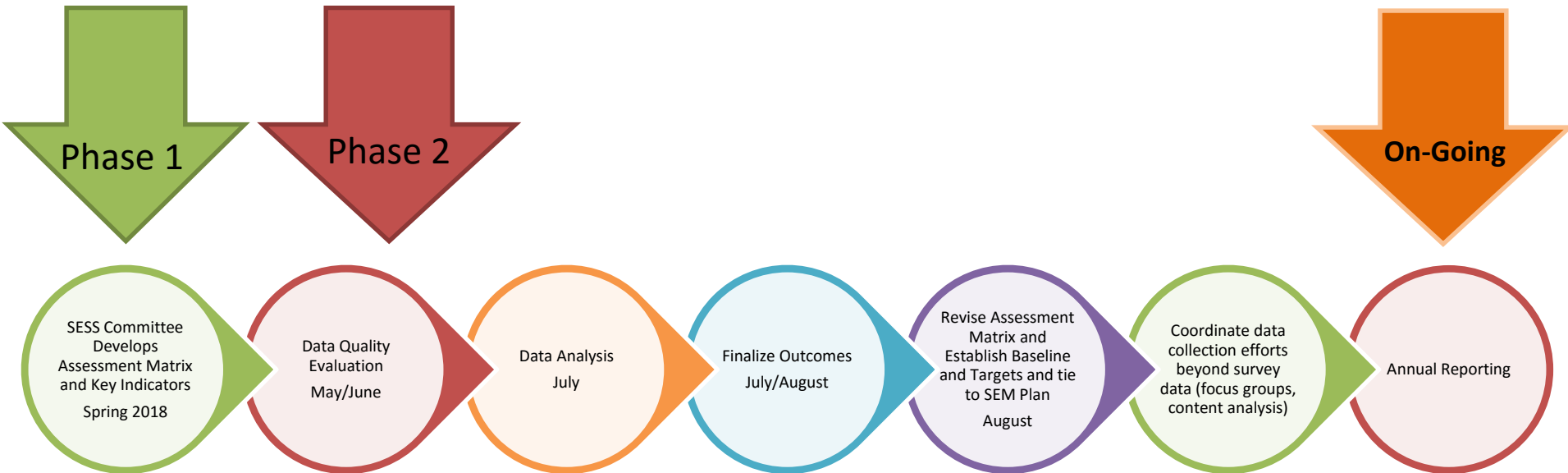
SESS Logic Model



Data Quality Evaluation

- Structure of data
 - Representation of NIU student demographics
 - Response rates, missing data analyses
- Identify deficiencies in assessments
 - Variables in model not measured
 - Psychometrically weak assessments
- What questions can be answered with current assessments?
- What questions require revised or additional assessments?

SESS Timeline



Other Opportunities

- Continuous Improvement
- Resource Alignment
- Alignment with SEM Priorities
- Efficient Use of Data (Beyond Anecdotes)
- Engagement of Alumni and Employers
- One Campus, One Story
- Visual Display of Data

CONSIDERATION REGARDING NEXT STEPS FOR SELECTING NIU'S NEXT PRESIDENT

Summary: Pursuant to the Northern Illinois University Law, the Board of Trustees of Northern Illinois University shall have the power, and it shall be its duty, to employ a President of Northern Illinois University. 110 ILCS 685/30-45(2).

On July 1, 2017, the university had a transition in the presidency and Dr. Lisa C. Freeman was installed as the Acting President for the university, a position that she holds to this day. The Board of Trustees opted to postpone the launch of a national search and formed a Presidential Search Preparation Committee, which was charged with benchmarking current practices and trends related to presidential searches and contracting. Additionally, the Committee prepared a Presidential Profile. The results of the work of the Presidential Search Preparation Committee were presented to the Board of Trustees on June 14, 2018.

After consideration of the work performed by the Presidential Search Preparation Committee, an Adjusted Presidential Search Process, with Dr. Freeman put forth as the candidate, was proposed to and approved by the Board of Trustees in open session at a Special Meeting of the Board of Trustees on July 16, 2018.

The Adjusted Presidential Search Process provided for informational gathering sessions with multiple constituency groups of the university in order to elicit input and feedback on Dr. Freeman's candidacy. These groups, which represent diverse constituency groups and groups involved in university shared governance, included: Faculty Senate; Operating Staff Council; Supportive Professional Staff Council; student organization leaders; the Council of Deans; Senior Roundtable; the monthly Leadership Group; the Presidential Commissions (Status of Minorities, Interfaith Initiatives, Status of Women, Persons with Disabilities, and Sexual Orientation and Gender Identity); representatives of the NIU Alumni Association; representatives of the NIU Foundation; and the mayors and city managers of DeKalb and Sycamore.

These information gathering sessions took place in August and September of 2018. Based upon availability, two members of the Board of Trustees attended each information gathering session to receive the feedback from each respective constituency group. In addition to these information gathering sessions, a university-wide forum was held on August 30, 2018, so that faculty, staff, students and other members of the university community could hear directly from Dr. Freeman, as she outlined her vision for the future of the university and participated in a question and answer session.

Feedback from the university-wide forum, the informational gathering sessions, and from other individual university community members regarding Dr. Freeman's candidacy has been brought back for consideration by the full Board. The Board shall consider this feedback and deliberate regarding the hiring of the new President.

For Approval: In the interests of keeping the NIU community informed, the Board shall vote upon one of the following options:

- (1) Determine that the results of the Adjusted Presidential Search Process have solidified the belief that Dr. Freeman is the individual whom the Board should pursue as the next permanent president of the university and authorize the commencement of contract negotiations between the parties over the terms and conditions of such an appointment; or
- (2) Determine that the results of the Adjusted Presidential Search Process have indicated that the Board should authorize a national presidential search process.

If the Board decides to pursue Dr. Freeman, the final action to approve any presidential appointment and agreement will be publicly posted and approved in open session at a future meeting of the Board, in compliance with applicable law.