



Meeting
of the
Board of Trustees

December 6, 2018

A G E N D A

**BOARD OF TRUSTEES
of
NORTHERN ILLINOIS UNIVERSITY
9:00 a.m. – Thursday – December 6, 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. Public Comment*
5. Chair's Comments/Announcements
6. Reports of Board Committees and Board Liaisons..... *Information*.....1
 - a. Executive Committee
 - b. Academic Affairs, Student Affairs and Personnel Committee (AASAP)
 - c. Finance, Audit, Compliance, Facilities, and Operations Committee (FACFO)
 - d. Research and Innovation, Legal and Legislative Affairs Committee (RILLA)
 - e. Illinois Board of Higher Education
 - f. Northern Illinois University Foundation
 - g. Northern Illinois University Alumni Association
 - h. Northern Illinois Research Foundation
7. President's Report No. 129
 - a. University Recommendations Forwarded by the Board Committees
 - 1) Fiscal Year 2020 Undergraduate Tuition Pricing Recommendation *Action*.....3
 - 2) Fiscal Year 2020 General Fee Pricing Recommendation *Action*.....5
 - 3) Fiscal Year 2020 Graduate and Law Tuition Pricing Recommendation *Action*..... 10
 - 4) Fiscal Year 2020 Room and Board Fee Recommendation *Action*..... 16
 - 5) Launch of Jobs for America's Graduates (JAG) Programs in Illinois *Action*..... 18
 - 6) College of Health & Human Sciences Cameras/Recording Systems *Action*..... 19
 - 7) Steam Isolation Valve and Expansion Joint Replacement *Action*..... 20
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11. Closed Session	
12. 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.

REPORTS OF BOARD COMMITTEES AND BOARD LIAISONS

a. Executive Committee

The Executive Committee met on November 15, 2018, to approve minutes from previous meetings. No other business was discussed.

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

The Academic Affairs, Student Affairs and Personnel Committee met on November 15, 2018. The Committee received two informational items: Professional Excellence Awards for Faculty and Staff; and an Education Systems Center Presentation.

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

The Finance, Audit, Compliance, Facilities and Operations Committee met on November 15, 2018. The committee was presented with two Financial Update items including the Annual Financial Summary as of June 30, 2018, which included the Budget to GAAP Reconciliation, as well as the First Quarter FY19 Financial Summary as of September 30, 2018. The committee approved a total of eight action items including the Services and Lease in Support of Health and Student Athletic Care (with Northwestern Medicine); FY20 Undergraduate Tuition, FY20 General Fees, and FY20 Graduate and Law Tuition pricing recommendations; and one item on FY20 Room and Board Fees. Three other action items were approved including the Launch of Jobs for America's Graduates (JAG) Program in Illinois, Cameras and Recording Systems for the College of Health and Human Sciences, and funding for Steam Isolation Valve and Expansion Joint Replacement. The committee also received four information items. These included the Quarterly Report of Transactions in Excess of \$100,000, the Periodic Report on Investments, the FY18 Annual Report of Transactions Involving Real Property, and the FY18 Report on Facilities and Infrastructure Capital Investment Activities.

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

The Research and Innovation, Legal and Legislative Affairs Committee met on November 15, 2018, and endorsed a request for authority to proceed with the grant opportunity funding the Northern Illinois Center for Community Sustainability. The Committee also asked the President to forward the request for approval at the December 6, 2018, meeting of the Board of Trustees. The Committee received a briefing on state affairs by Dr. Matthew Streb, Board Liaison and Chief of Staff to the President, and on national affairs by Dr. Anna Quider, Director of Federal Relations. Both Drs. Streb and Quider discussed the impact of the mid-term elections. The board received a report on the first quarter of FY19 from Sponsored Programs Administration. Ms. Karinne Bredberg, Assistant Director for Commercialization and Innovation, described the intellectual property procedures and the university intellectual property portfolio.

e. Illinois Board of Higher Education

The State of Illinois Board of Higher Education (IBHE) met on September 18, 2018, at Eastern Illinois University, Charleston, IL.

Actions taken at the Board meeting included consideration and approval of new operating and/or degree granting authority for independent institutions and consideration; and approval of new units of instruction, public service, and research at public universities.

The Board heard two additional information items from IBHE staff member Nyle Robinson: public university funding formula update and preliminary context and planning for fiscal year 2020 budget development.

The next meeting of the IBHE was scheduled for December 4 at Joliet Junior College, Joliet, IL.

f. Northern Illinois University Foundation

Fundraising: The first four months of FY19 have been productive in terms of fundraising. Through October, total achievement totaled \$3,950,000 vs. \$2,725,000 for the same period last fiscal year – a 45% increase YOY. Giving highlights include a significant deferred gift of \$1 million from an alumnus.

Focus continues on a university-wide campaign for scholarships, and in partnership with the NIU Alumni Association, the Foundation continues its efforts to aggressively engage alumni, donors, and friends locally and throughout the country with “Blitz” activities. While the calendar of events doesn’t begin in earnest until January with trips to New York City, Florida, Arizona, and Washington, D.C., in addition to events in private homes throughout the Chicago area, events were hosted in Tallahassee and Provo in conjunction with football games this fall. Additionally, the Foundation participated as a partner in three very successful events during the fall: the reopening of the Stevens Building on October 12, followed by the 50th Anniversary Celebration of NIU’s ROTC program, “Honor & Connect,” and then on November 10, the 50th Anniversary Recognition Celebration of the McKinley “Deacon” David CHANCE Program. All events were very well attended by alumni and donors, and 50th Anniversary Funds to support both ROTC and the CHANCE Program were initiated and announced respectively.

The Red & Black gala, the Foundation’s signature fundraising event, was held on Saturday, November 17, at the Schaumburg Renaissance Hotel & Conference Center. Chicago White Sox and Bulls owner Jerry Reinsdorf received the Award for Visionary Leadership during the event, which was attended by nearly 500 guests. \$208,000 was raised for scholarships that night.

g. Northern Illinois University Alumni Association

The holidays have not slowed down the event flow from the NIUAA. Key events include The Ultimate Hamilton Experience, MAC Championship pregame party, NIUAA Holiday Party, and bowl game festivities.

Northern Now is back! We will have the first editions printed this month. It will be distributed to all alumni and donors digitally, and print copies will go to specific constituents, including dues-paying members of the NIUAA.

Alumni volunteers are needed for a variety of activities, including Letters from Alumni to admitted students, admitted student receptions (both executed in collaboration with Enrollment Management), Externship hosts (collaboration with the Honors program), and more.

The NIUAA helped execute two 50-year celebrations during Homecoming: the CHANCE Program and the ROTC.

h. Northern Illinois Research Foundation

The Audit Committee and Board of Directors of the Northern Illinois Research Foundation held their quarterly meeting September 8, 2018. The Audit Committee discussed the NIRF and EIGERlab quarterly reports and received an update on the FY18 audit progress. The Board was introduced to Dr. Elizabeth Gaillard and her former PhD student and business partner, Devi Kalyan Karumanchi, and listened to a presentation on their new startup company involving diagnostics and therapeutic drug delivery. The Board also received an update from EIGERlab staff and was presented a brief update on the Discovery Partners Institute (DPI) in Chicago. The Audit Committee and the NIU Office of Innovation both gave the Board quarterly reports.

FISCAL YEAR 2020 UNDERGRADUATE TUITION PRICING RECOMMENDATION

Summary: The following item presents the pricing recommendation that addresses Northern Illinois University's (NIU) tuition rates for FY20. These recommendations were developed with the goals of maintaining fiscal responsibility and addressing affordability concerns - by keeping the total cost of attendance for full-time students as low as possible. The recommendations hold base tuition flat in FY20 for the fourth year in a row, while making modest adjustments, both up and down, to differential tuition rates.

Background and Summary: NIU has developed a refined set of tuition rates, to reflect the multiple student populations we serve. To bring clarity to this array of rates, we first lay out our rate structure and then indicate the rates for FY19 and the rates proposed for FY20.

NIU sets tuition on a per-credit hour basis. However, undergraduate students who enroll in 12 or more hours are charged for 13.5 times the per-credit hour rate. Rates are set subject to the following considerations:

- Illinois' "Truth-in-Tuition" law for undergraduates;
- Residency considerations (e.g. out-of-state and international students)
- Differential tuition for select programs

Truth in Tuition

Tuition rates for Illinois residents seeking an undergraduate degree are subject to Illinois' Truth-in-Tuition law. Under the provisions of the law, the entering degree-seeking undergraduate class for each fiscal year is guaranteed the same tuition rates for four continuous years. NIU policy adds one additional semester to this four year guarantee. NIU's policy is that after nine continuous semesters, the guaranteed undergraduate tuition rate adjusts to the fixed tuition rate paid by students who entered the University one fiscal year after the date of original entry for two years. The fixed tuition rates for such students are maintained consistent with that cohort. Effective FY19, the Board has set out-of-state tuition for domestic students equal to in-state tuition. While Truth-in-Tuition is not mandated for out-of-state students, effective FY20, Truth-in-Tuition guidelines will be applied to all domestic undergraduate students. In the event of a decrease in undergraduate tuition, it is expected that all continuing students will be charged the new rate if that rate is more favorable to them than the rate guaranteed to them by Truth-in-Tuition.

In light of this, when NIU sets undergraduate tuition rates for FY20, those rates apply only to:

- incoming or re-entering students;
- non-degree-seeking students, including visiting students and post-baccalaureate students; and
- students whose continuous enrollment has exceeded the period outlined above.

As Truth-in-Tuition does not apply to graduate students or law students, the FY20 rates indicated below apply to both new and returning graduate students and law students.

Out-of-State and International Rates

NIU currently sets tuition for domestic students at the same rate as Illinois residents. The rate for international students is set at twice the in-state rate. The University may enter into agreements with international partners for cohort or pipeline programs. For such programs, the University may agree to lower tuition to no less than 1.5 times the FY20 in-state rate.

Differential Tuition

For select programs, NIU assigns a differential tuition. These differentials reflect the added value and added costs associated with those programs. For those programs, the differential rate is added to the base, and becomes the tuition rate charged for that program, subject to all of the policies above (e.g. Truth-in-Tuition, graduate and law combined charge, out-of-state and international rates). Differential rates are stated on a

per-credit-hour basis. For full-time students, the differential rate is 12 times the per credit hour rate. Differential rates are re-validated annually.

Fiscal Year 2020 Tuition Recommendations

Base In-State Tuition	Part Time per Credit Hour rate	Full Time Rate
	1 – 11 Credit Hours	12 or more Credit Hours
Undergraduate Tuition	\$348.84	\$4,732.80

As noted, graduate and law tuition rates are arrived at by combining the instructional charge, set forth here, with the institutional charge. The institutional charge is addressed in a separate Board item, so the full graduate and law tuition can only be established once both items are approved.

Undergraduate Differential Tuition per Credit Hour Rates

Program	FY19 Differential	FY20 Differential
College of Engineering & Engineering Technology		
All programs (including non-engineering students enrolled for 4 or more credit hours within the College of Engineering & Engineering Technology)	\$50	\$50
College of Health & Human Sciences		
Nursing (pre-licensure, not including pre-majors nor RN to BSN)	\$0	\$15
College of Liberal Arts & Sciences		
Computer Science (including pre-majors)	\$40	\$40

Rationale for Differential Tuition

Differential tuition rates are reviewed annually to ensure that the rates are competitive and are not adversely impacting enrollments. This year, Engineering and Computer Science are maintaining their existing rates.

A new \$15/credit hour differential is proposed for the undergraduate pre-licensure Nursing program. Students in the RN-to-BSN program are not included. Nursing is a high-demand program with noteworthy additional costs associated with delivering a high-quality program. The \$15 differential will help ensure the quality of the program, and is not expected to impact enrollments, as even with the differential, NIU remains one of the most affordable pre-licensure programs in the region. The RN-to-BSN environment, on the other hand, is highly competitive, and there is concern that a price increase there would negatively impact enrollments.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2020 Undergraduate Tuition Pricing Recommendation.

FISCAL YEAR 2020 GENERAL FEE PRICING RECOMMENDATION

Summary: The following item presents a pricing recommendation that addresses Northern Illinois University's (NIU) general fees for FY20. These recommendations were developed with the goals of maintaining fiscal responsibility and addressing affordability concerns - by keeping the total cost of attendance for full-time students as low as possible. The recommendations include a reduction to the total fees paid by students by reducing the Health and Wellness charge through our agreement with Northwestern Medicine HealthCare. The total of all other fees in FY20 remains constant, while making very modest adjustments to the distribution of fees.

Background and Summary: The University has numerous student activities, programs, services and operations that are supported to various degrees by the assessment of dedicated-use student charges. These charges are aggregated into a more manageable number of fees. This item describes the purpose of each charge, then provides a summary of the fee rates for FY19 and recommendations for FY20.

Fee Categories

Student Support Services Fee is comprised of the following charges:

Student Activities and Services Charge supports the student government, student programming, campus wide programming initiatives (Welcome Days, Homecoming, Open Houses, etc.), and the activities of student recognized organizations. These charges are also allocated to departments to maintain and improve student services.

Holmes Student Center Charge supports the operational costs of Holmes Student Center and student programs provided in the facility.

Health and Wellness Charge allows students to use Health Services with little to no direct cost to students, and helps fund programming that promotes wellness and healthy lifestyle choices, and related state and federally mandated education and awareness campaigns.

Grants-in-Aid Charge supports an institutional merit-based scholarship program, as well as supporting a needs-based Financial Aid fund for students, by which state institutions are eligible for matching funds from the State of Illinois per statutory requirements.

Campus Recreation Charge is used for financing, constructing, maintaining, and improving new and existing recreational sports facilities and programs, including the sport club operations.

Northern Star requested, per University procedures, the reinstatement of a fee to support their operations, effective FY19.

University Advancement Fee is comprised of the following charges:

Capital Improvement Charge provides funding for educational and support facilities for students, faculty, and staff in a manner that maximizes the effectiveness of the capital investments, maximizes the use of existing facilities, and promotes orderly, planned campus development. Support for debt service of previously approved projects including west campus improvements, and the living and learning initiatives are also included in this charge.

Transportation Access Charge funds the Huskie Bus System, the Huskie Line, parking lot lights, security and maintenance, and the creation of additional parking and transportation services. This charge also supports the university's Huskie Line bus and Freedom Mobile paratransit services. All fee-paying students are eligible to utilize Huskie buses without being charged fares.

Athletic Fee is comprised of the following charges:

Athletic Program Charge supplements the University's diverse athletic programs and provides students with a means to enjoy the athletic events without direct cost to the student.

Convocation Center Charge helps fund the operational costs of the Convocation Center and supports student events held in the athletic space utilized by students.

Huskie Stadium Charge helps fund the operational costs of Huskie Stadium and provides support for student activities and programs that are held in the stadium.

Regional Delivery Fee is assessed to support the delivery of off-campus courses by the Division of Academic Affairs (e.g. development of online courses).

Outreach Fee is assessed to support infrastructure provided by the Division of Outreach, Engagement & Regional Development that is needed to deliver regional courses (e.g., operations of NIU regional centers, rental of non-NIU facilities).

Academic Program Enhancement and Instructional Surcharge is assessed in order to meet the ever-emerging demands for cutting edge academic programs and services for NIU students. Critical areas for funding include technology upgrades as well as support for identified academic strategic planning initiatives designed to strengthen, direct, and further improve academic programs, research, and the academic experience of students.

Graduate Program Support is comprised of the following charges:

Graduate Colloquium Charge supports the Graduate Colloquium program, which brings scholars, artists, professionals, and public figures to lecture or perform at NIU.

Career/Professional Development Charge supports career/professional development workshops, seminars, and coursework for graduate students

Graduate Outreach Charge is assessed to support infrastructure provided by the Division of Outreach, Engagement & Regional Development that is needed to deliver regional courses (e.g., operations of NIU regional centers, rental of non-NIU facilities).

Law Program Support is comprised of the following charges:

Law Student Bar Charge supports the Student Bar Association and student organization activities at the College of Law.

Law Excellence Charge provides enhancements to College of Law course offerings and experiential learning opportunities such as clinics, mock trial and moot court.

Applicability of Fees

NIU enrolls several different student populations. As these activities impact these different student populations in different ways, the charges and fees vary according to the population. First, there are distinctive fees for graduate program support and law student support. For undergraduates only, there are separate fees for courses that are designated as on-campus (e.g. courses at the DeKalb campus and some online courses) vs. off-campus (e.g. courses at the NIU regional centers, third-party locations such as community college campuses or high schools, and some online courses). For graduate students, the on-campus and off-campus fee distinctions have been eliminated, and all graduate students pay the same fees, independent of course location.

- **Athletic Fee & University Advancement Fee:** assessed for undergraduate students in on-campus courses; for graduate students; and for law students. All students are assessed the same amounts.
- **Student Support Service Fee:** assessed for undergraduate students in on-campus courses; for graduate students; and for law students. There are small differences for the Student Activities and Services Charge.
- **Regional Delivery Fee & Outreach Fee:** assessed for undergraduate students in off-campus courses. For graduate students, the Outreach charge is incorporated as part of the Graduate Program Support Fee.

- **Academic Program Enhancement Support Surcharge:** assessed for all students, in different ways. For undergraduates, there is a flat fee of \$125 per semester for part-time students enrolled for six or fewer hours; and a flat fee of \$250 per semester for all students enrolled for seven or more hours.
- **Graduate Program Support:** assessed for graduate students only.
- **Law Program Support Fee:** assessed for College of Law students only.

Fee	GRAD	LAW	UG On-Campus	UG Off-Campus
Student Support Service Fee	Assessed on a per credit hour basis, capped at 12 hours, with small differences in the Student Activities & Services Charge			N/A
Athletic Fee	Assessed on a per-credit-hour basis, capped at 12 hours			N/A
University Advancement Fee	Assessed on a per-credit-hour basis, capped at 12 hours			N/A
Regional Delivery Fee	N/A	N/A	N/A	Assessed course-by-course on a per-credit-hour basis
Outreach Fee	N/A	N/A	N/A	Assessed on a per-credit-hour basis, capped at 12 hours
Academic Program Enhancement Support Surcharge	N/A		Assessed on a per semester basis	
Graduate Program Support Fee	Assessed on a per-credit-hour basis, capped at 12 hours	N/A	N/A	N/A
Law Program Support Fee	N/A	Assessed on a per-credit-hour basis, capped at 12 hours	N/A	N/A

Note that undergraduates who enroll for more than 12 hours with a mix of on-campus courses and off-campus courses pay the appropriate per-credit hour rates for their on-campus courses and their off-campus courses.

FY19 Rates and Recommendations for FY20 Rates

FY19 GENERAL FEES	PER CREDIT HOUR RATE (1 – 11 CREDIT HOURS)				MAX. RATE FOR 12 OR MORE CREDIT HRS			
	UG On-Campus	UG Off-Campus	GRAD	LAW	UG On-Campus	UG Off-Campus	GRAD	LAW
Athletic	32.91	0	32.91	32.91	394.92	0	394.92	394.92
Student Support Service	36.03	0	33.52	34.58	432.36	0	402.24	414.96
University Advancement	26.68	0	26.68	26.68	320.16	0	320.16	320.16
Regional Delivery	0	50.00 See note #1	0	0	0	600.00	0	0
Outreach	0	56.00	0	0	0	672.00	0	0

Academic Program Enhancement Support	See note #2	See note #2	22.00	22.00	250.00	250.00	264.00	264.00
Graduate Program Support	0	0	24.00	0	0	0	288.00	0.00
Law Program Support	0	0	0	122.35	0	0	0.00	1468.20
Total	95.62	106.00	139.11	238.52	1,397.44	1,522.00	1,669.32	2,862.24

FY20 GENERAL FEES	PER CREDIT HOUR RATE (1 – 11 CREDIT HOURS)				MAX. RATE FOR 12 OR MORE CREDIT HRS			
	UG On-Campus	UG Off-Campus	GRAD	LAW	UG On-Campus	UG Off-Campus	GRAD	LAW
Athletic	32.91	0	32.91	32.91	394.92	0	394.92	394.92
Student Support Service	35.74	0	33.23	34.29	428.88	0	398.76	411.48
University Advancement	26.58	0	26.58	26.58	318.96	0	318.96	318.96
Regional Delivery	0	50.00 See Note #1	0	0	0	600.00	0	0
Outreach	0	56.00	0	0	0	672.00	0	0
Academic Program Enhancement Support	See note #2	See note #2	22.00	22.00	250.00	250.00	264.00	264.00
Graduate Program Support	0	0	24.00	0	0	0	288.00	0
Law Program Support	0	0	0	122.35	0	0	0	1468.20
Total	95.23	106.00	138.72	238.13	1,392.76	1,522.00	1,664.64	2,857.56

Notes:

1. The Regional Delivery Fee for courses in the School of Nursing is \$100.
2. For undergraduates, the Academic Program Enhancement Support Surcharge is charged as a flat fee of \$125 for students enrolled for six or fewer credit hours; and a flat fee of \$250 for students enrolled for seven or more credit hours.

Changes from FY19 to FY20

The following changes are proposed from FY19 to FY20:

- Decreasing the Health & Wellness Charge by \$0.39/credit hour from \$9.37 to \$8.98.
- Decreasing the Holmes Student Center Charge by \$0.50/credit hour from \$12.33 to \$11.83.
- Increasing the Student Activities & Services Charge by \$0.50/credit hour as follows:

	Undergraduate	Graduate	Law
FY19	4.63	2.12	3.18
FY20	5.13	2.62	3.68

- Increasing the Campus Recreation Charge by \$0.10/credit hour from \$8.03 to \$8.13.
- Decreasing the Capital Improvement Charge by \$0.10/credit hour from \$15.15 to \$15.05.

The reduction of the Health & Wellness Charge is the result of the agreement with Northwestern Medicine HealthCare (NMHC). In our agreement with NMHC, we committed to transmitting the savings from the agreement to the students.

The net of the remaining changes is to shift \$0.10/credit hour from the University Advancement Fee to the Student Support Service Fee. The decline of ten cents in the Campus Improvement Charge is part of the debt service schedule. Given the Holmes Student Center (HSC) renovations and the transition of the self-operated bookstore to a third party vendor (Follett), there is a projected decline in operating expenses for the facility. In light of these two reductions, the opportunity presents itself to strengthen other areas. The reallocation of \$0.10/credit hour to the Campus Recreation Charge will allow service hours and staffing to remain consistent. Absent the increase, reductions in hours and staffing would have been required. By reallocating \$0.50/credit hour of the Holmes Student Center Charge to the Student Activities and Services Charge, the Student Association will be able to continue to fund approximately the same number of student organizations and sports clubs as well as maintain the scope of campus programming currently offered.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2020 General Fee Pricing Recommendation.

FISCAL YEAR 2020 GRADUATE AND LAW TUITION PRICING RECOMMENDATION

Summary: The following item presents the pricing recommendation that addresses Northern Illinois University's tuition rates for Fiscal Year 2020. These recommendations were developed with the goals of maintaining fiscal responsibility and addressing affordability concerns - by keeping the total cost of attendance for full-time students as low as possible. The recommendations hold base tuition flat in FY20 for the fourth year in a row, while making modest adjustments, both up and down, to differential tuition rates.

Background and Summary: NIU has developed a refined set of tuition rates, to reflect the multiple student populations we serve. To bring clarity to this array of rates, we first lay out our rate structure, then indicate the rates for FY 19 and the rates proposed for FY 20.

NIU sets tuition on a per-credit hour basis. However, undergraduate students who enroll in 12 or more hours are charged for 13.5 times the per-credit hour rate. For the JD program and most graduate programs, students who enroll in 12 or more hours are billed at a rate that is 12 times the per-credit hour rate. The FY 20 rates indicated below apply to both new and returning graduate students and law students. Rates are set separately for graduate students and law students, subject to the following considerations:

- Bundling tuition and fees for graduate students
- Residency considerations (e.g. out-of-state and international students)
- Differential tuition for select programs

Graduate and Law Charge

The university presents graduate students with a single charge that includes an instructional charge and an institutional charge. These two components are analogous to undergraduate tuition and fees. These are presented as a single charge to assist graduate and law students with employer reimbursement.

Out-of-State and International Rates

NIU currently sets tuition for domestic students at the same rate as Illinois residents. The rate for international students is set at twice the in-state rate, subject to the following considerations:

- Within the integrated charge for graduate students, the instructional charge is doubled for international students, but the institutional charge is not.
- The university may enter into agreements with international partners for cohort or pipeline programs. For such programs, the university may agree to lower tuition (for undergraduates) or the instructional component (for graduate students) to no less than 1.5 times the FY20 in-state rate.

Differential Tuition

For select programs, NIU assigns a differential tuition. These differentials reflect the added value and added costs associated with those programs. For those programs, the differential rate is added to the base, and becomes the tuition rate charged for that program, subject to all of the policies above (e.g. truth-in-tuition, graduate and law combined charge, out-of-state and international rates). Differential rates are stated on a per-credit-hour basis. For full-time students, the differential rate is 12 times the per credit hour rate. Differential rates are re-validated annually.

Fiscal Year 2020 Tuition Recommendations

Graduate Base In-State Tuition	FY 19		FY 20	
	Part Time per Credit Hour rate 1 – 11 Credit Hours	Full Time Rate 12 or more Credit Hours	Part Time per Credit Hour rate 1 – 11 Credit Hours	Full Time Rate 12 or more Credit Hours
Instructional Charge	\$357.00	\$4,284.00	\$357.00	\$4,284.00
Institutional Charge	\$139.11	1,669.32	\$138.62	1,663.44
Total	\$496.11	\$5,953.32	\$495.62	\$5,947.44

College of Law In-State Tuition	FY 19		FY 20	
	Part Time per Credit Hour rate 1 – 11 Credit Hours	Full Time Rate 12 or more Credit Hours	Part Time per Credit Hour rate 1 – 11 Credit Hours	Full Time Rate 12 or more Credit Hours
Instructional Charge	\$677.29	\$8,127.48	\$677.29	\$8,127.48
Institutional Charge	\$238.52	2,862.24	\$238.03	2,856.36
Total	\$915.81	\$10,989.72	\$915.32	\$10,983.84

Institutional Charge Components

The graduate institutional charge and law institutional charge are built up out of component fees. These fees are very similar in structure to undergraduate fees, and many of the assessed values are identical to the rates for undergraduates. The components of the institutional charge are:

Student Support Services Fee is comprised of the following charges:

Student Activities and Services Charge supports the student government, student programming, campus wide programming initiatives (Welcome Days, Homecoming, Open Houses, etc.) and the activities of student recognized organizations. These charges are also allocated to departments to maintain and improve student services.

Holmes Student Center Charge supports the operational costs of Holmes Student Center and student programs provided in the facility.

Health and Wellness Charge allows students to use Health Services with little to no direct cost to students, and helps fund programing that promotes wellness and healthy lifestyle choices, as well as related state and federally mandated education and awareness campaigns.

Grants-in-Aid Charge supports an institutional merit-based scholarship program, as well as supporting a needs-based Financial Aid fund for students, by which state institutions are eligible for matching funds from the State of Illinois per statutory requirements.

Campus Recreation Charge is used for financing, constructing, maintaining, and improving new and existing recreational sports facilities and programs, including the sport club operations.

Northern Star has requested per university procedures the reinstatement of a fee to support their operations. After discussions and significant student support, the committee is recommending moving forward with a minimal credit hour charge in support of these efforts.

University Advancement Fee is comprised of the following charges:

Capital Improvement Charge This fee provides funding for educational and support facilities for students, faculty, and staff in a manner that maximizes the effectiveness of the capital investments, maximizes the use of existing facilities, and promotes orderly, planned campus development. Support for debt service of previously approved projects including west campus improvements and the living and learning initiatives are also included in this charge.

Transportation Access Charge All students will be assessed a transportation access fee which funds the Huskie Bus System, the Huskie Line, parking lot lights, security and maintenance, and the creation of additional parking and transportation services. This charge also supports the university's Huskie Line bus and Freedom Mobile paratransit services. All fee-paying students are eligible to utilize Huskie buses without being charged fares.

Athletic Fee is comprised of the following charges:

Athletic Program Charge supplements the University's diverse athletic programs and provides students with a means to enjoy the athletic events without direct cost to the student.

Convocation Center Charge helps fund the operational costs of the Convocation Center and supports student events held in the athletic space utilized by students.

Huskie Stadium Charge helps fund the operational costs of Huskie Stadium and provides support for student activities and programs that are held in the stadium.

Academic Program Enhancement and Instructional Surcharge is assessed in order to meet the ever-emerging demands for cutting edge academic programs and services for NIU students. Critical areas for funding include technology upgrades, as well as support for identified academic strategic planning initiatives designed to strengthen, direct and further improve academic programs, research, and the academic experience of students.

Graduate Program Support is comprised of the following charges:

Graduate Colloquium Charge supports the Graduate Colloquium program, which brings scholars, artists, professionals, and public figures to lecture or perform at NIU.

Career/Professional Development Charge supports career/professional development workshops, seminars, and coursework for graduate students

Graduate Outreach Charge is assessed to support infrastructure provided by the Division of Outreach, Engagement & Regional Development that is needed to deliver regional courses (e.g., operations of NIU regional centers, rental of non-NIU facilities).

Law Program Support is comprised of the following charges:

Law Student Bar Charge supports the Student Bar Association and student organization activities at the College of Law.

Law Excellence Charge provides enhancements to College of Law course offerings and experiential learning opportunities such as clinics, mock trial and moot court.

The rates for FY 19, and the proposed rates for FY 20, are:

Fee	Graduate Fees				College of Law Fees			
	FY 19 GENERAL FEES		FY 20 GENERAL FEES		FY 19 GENERAL FEES		FY 20 GENERAL FEES	
	PER CREDIT HOUR RATE (1 – 11 CREDIT HOURS)	MAX. RATE FOR 12 OR MORE CREDIT HRS	PER CREDIT HOUR RATE (1 – 11 CREDIT HOURS)	MAX. RATE FOR 12 OR MORE CREDIT HRS	PER CREDIT HOUR RATE (1 – 11 CREDIT HOURS)	MAX. RATE FOR 12 OR MORE CREDIT HRS	PER CREDIT HOUR RATE (1 – 11 CREDIT HOURS)	MAX. RATE FOR 12 OR MORE CREDIT HRS
Athletic	32.91	394.92	32.91	394.92	32.91	394.92	32.91	394.92
Student Support Service	33.52	402.24	33.13	397.56	34.58	414.96	34.19	410.28
University Advancement	26.68	320.16	26.58	318.96	26.68	320.16	26.58	318.96
Academic Program Enhancement Support	22.00	264.00	22.00	264.00	22.00	264.00	22.00	264.00
Graduate Program Support	24.00	288.00	24.00	288.00	0	0.00	0	0.00
Law Program Support	0	0.00	0	0.00	122.35	1468.20	122.35	1468.20
Total	139.11	1,669.32	138.62	1,663.44	238.52	2,862.24	238.03	2,856.36

Changes from FY 19 to FY 20

The following changes are proposed from FY 19 to FY 20:

- Decreasing the Health & Wellness Charge by \$0.49/Cr. Hr., from \$9.37 to \$8.88.
- Decreasing the Holmes Student Center Charge by \$0.50/Cr. Hr., from \$12.33 to \$11.83.
- Increasing the Student Activities & Services Charge by \$0.50/Cr. Hr., as follows:
-

	FY 19	FY 20
Graduate	\$2.12	\$2.62
Law	\$3.18	\$3.68

- Increasing the Campus Recreation Charge by \$0.10/Cr. Hr. from \$8.03 to \$8.13.
- Decreasing the Capital Improvement Charge by \$0.10/Cr. Hr. from \$15.15 to \$15.05.

The reduction of the Health & Wellness Charge is the result of the agreement with Northwestern Medicine HealthCare. In our agreement with NMHC, we committed to transmitting the savings from the agreement to the students.

The net of the remaining changes is to shift \$0.10/Cr. Hr. from the University Advancement Fee to the Student Support Service Fee. The decline of ten cents in the Campus Improvement Charge is part of the debt service schedule. Given the Holmes Student Center (HSC) renovations and the transition of the self-operated bookstore to a third party vendor (Follett), there is a projected decline in operating expenses for the facility. In light of these two reductions, the opportunity presents itself to strengthen other areas. The reallocation of \$0.10/Cr.Hr. to the Campus Recreation Charge will allow service hours and staffing to remain

consistent. Absent the increase, reductions in hours and staffing would have been required. By reallocating \$0.50/Cr.Hr. of the Holmes Student Center Charge to the Student Activities and Services Charge, the Student Association will be able to continue to fund approximately the same number of student organizations and sports clubs as well as maintain the scope of campus programming currently offered.

Graduate Differential Tuition

The per credit hour rates for FY 19, and the proposed rates for FY 20:

Program	FY 19 Differential	FY 20 Differential	Increase / (Decrease)
College of Business			
Graduate Certificate in Accountancy	\$325	\$325	\$0
Master of Accountancy	\$325	\$325	\$0
Master of Accounting Science	\$325	\$325	\$0
Master of Science in Taxation	\$325	\$325	\$0
Graduate Study in Enterprise Management Using SAP Analytics	\$200	\$200	\$0
Graduate Certificate in Data Analytics	\$200	\$200	\$0
Master of Science in Finance	\$400	\$400	\$0
Evening MBA	\$400	\$400	\$0
Global MBA	\$400	\$400	\$0
Graduate Certificate in Management Information Systems	\$200	\$200	\$0
Masters of Management Information Systems	\$200	\$200	\$0
Master of Science in Digital Marketing	\$400	\$400	\$0
Foundations of Accountancy Certificate	\$325	\$325	\$0
*Certificate of Graduate Study – Advanced Study in Accounting Analytics	\$0	\$325	\$325
*Certificate of Graduate Study – Advanced Study in Accountancy	\$0	\$325	\$325
Master of Science in Data Analytics	\$400	\$400	\$0
Graduate Study in Data Science for Business	\$400	\$400	\$0
College of Education			
EdD in Curriculum & Instruction	\$65	\$65	\$0
EdD in Education Administration	\$65	\$65	\$0
PhD/EdD in Instructional Technology (face-to-face)	\$30	\$40	\$10
PhD/EdD in Instructional Technology (online)	\$40	\$40	\$0
MSED in Instructional Technology (face-to-face)	\$15	\$20	\$5
MSED in Instructional Technology (online)	\$30	\$25	(\$5)
Graduate Certificate in Trauma-Informed Counseling (online)	\$35	\$35	\$0
EdD in Community College Leadership	\$55	\$55	\$0
MSED in Kinesiology & Physical Education	\$35	\$35	\$0
MS in Sports Management	\$35	\$35	\$0
Executive EdD in Adult & Higher Ed Weekend Cohort (online)	\$55	\$55	\$0
College of Engineering & Engineering Technology			
All programs	\$50	\$50	\$0
College of Health & Human Sciences			
Master of Speech-Language Pathology	\$160	\$160	\$0
Doctor of Audiology	\$185	\$185	\$0
Doctor of Physical Therapy	\$225	\$225	\$0
Doctor of Health Sciences (online)	\$513	\$513	\$0
Graduate Certificate in Eating Disorders (online)	\$105	\$180	\$75
Doctor of Nursing Practice	\$250	\$240	(\$10)
Master of Public Health (online)	\$180	\$180	\$0

Nursing Adult, GPCNP (online)	\$180	\$0	(\$180)
Master of Family Nurse Practitioner (online)	\$230	\$240	\$10
Nursing Education (online)	\$180	\$180	\$0
Nursing Post-Masters Certificate (online)	\$180	\$180	\$0
College of Liberal Arts & Sciences			
Computer Science MS	\$60	\$60	\$0
Master of Public Administration (online)	\$0	\$90	\$90
Graduate Certificate in Public Management (online)	\$0	\$90	\$90

*Pending Graduate Council approval

Rationale for Differential Tuition Rate Changes

Differential tuition rates are reviewed annually to ensure that the rates are competitive and are not adversely impacting enrollments. This year, most programs are maintaining their existing rates. A few adjustments are being made, and a few new programs are introducing differentials:

- A \$15/Cr. Hr. differential is proposed for the undergraduate pre-licensure Nursing program. Students in the RN-to-BSN program are not included. Nursing is a high-demand program with noteworthy additional costs associated with delivering a high-quality program. The \$15 differential will help ensure the quality of the program, and is not expected to impact enrollments, as even with the differential, NIU remains one of the most affordable pre-licensure programs in the region. The RN-to-BSN environment, on the other hand, is highly competitive, and there is concern that a price increase there would negatively impact enrollments.
- Nursing had differential rates for several graduate programs. As students in those programs often share courses, the school is adjusting prices so that students with common courses have common pricing.
- ETRA offers multiple graduate programs in both face-to-face and online modalities. The department proposes modest adjustments to better align prices for cognate programs.
- The increment for the Graduate Certificate in Eating Disorders is based on the rates of comparative programs and aligns with the MPH program.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee endorsed the amended Fiscal Year 2020 Graduate and Law Tuition Pricing Recommendation with the addition of the Graduate Certificate in Public Management online program differential included above and recommends Board of Trustees approval.

FISCAL YEAR 2020 ROOM AND BOARD FEE RECOMMENDATION

Summary: The following item presents a pricing recommendation that addresses Northern Illinois University's room and board fees for FY20. The collection of room and board from students living in University residence halls supports Housing and Residential Services as well as Campus Dining Services operations and related Revenue Bond obligations. These recommendations were developed to address the goal of student affordability. The University is recommending that room and board rates remain consistent to FY19 rates.

Background: Room rate recommendations typically address increased student wage and service contract costs, software support, indirect costs, contractual services, general operating expenses, and debt service payments related to renovations to the residence halls. This item describes the proposed room and board rates, then provides a summary of the fee rates for FY19 and recommendations for FY20. (NOTE: Rates for New Hall and Northern View, the Collegiate Housing Foundation II Project, are considered separately and are not included in this recommendation but are provided for informational purposes only.)

FY19		FY20			
LOCATION	RATE		LOCATION	RATE	variance
NEPTUNE HALL			NEPTUNE HALL		
Single-Occupancy	\$ 5,633		Single-Occupancy	\$ 5,633	0.0%
Double-Occupancy	\$ 4,750		Double-Occupancy	\$ 4,750	0.0%
GILBERT HALL			GILBERT HALL		
Single-Occupancy	\$ 6,181		Single-Occupancy	\$ 6,181	0.0%
Double-Occupancy	\$ 5,298		Double-Occupancy	\$ 5,298	0.0%
GRANT TOWERS			GRANT TOWERS		
Single-Occupancy	\$ 6,181		Single-Occupancy	\$ 6,181	0.0%
Double-Occupancy	\$ 5,298		Double-Occupancy	\$ 5,298	0.0%
STEVENSON TOWERS			STEVENSON TOWERS		
Single-Occupancy	\$ 6,181		Single-Occupancy	\$ 6,181	0.0%
Double-Occupancy	\$ 5,298		Double-Occupancy	\$ 5,298	0.0%
NEW HALL			NEW HALL		
Single-Occupancy (Room Only)	\$ 5,503		Single-Occupancy (Room Only)	\$ 5,559	1.0%
NEW HALL MEAL PLAN ONLY	\$ 1,127		NEW HALL MEAL PLAN ONLY	\$ 1,127	0.0%
Other Mandatory Residential Fees					
ResNet Access/Support Charge			\$92/semester		
Residence Hall Surcharge			\$50/Semester		
Other Residential Fees					
Winter Break fee			\$42/week or \$150/4 weeks		
Prior to deadline			\$56/week or \$200/4 weeks		
After deadline					
Living-Learning Communities			\$50/semester		
			All prices are in addition to the students applicable base Room and Board Fee		
Proposed Voluntary Meal Plan Upgrades - Flex dollars					
Block 12 with \$20 Flex per week			\$	272.50	
Block 12 with \$30 Flex per week			\$	400.00	
Block 12 with \$40 Flex per week			\$	512.50	

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2020 Room and Board Fee Recommendation.

LAUNCH OF JOBS FOR AMERICA'S GRADUATES (JAG) PROGRAMS IN ILLINOIS

Summary: The EdSystems Center (a department in the Division of Outreach, Engagement and Regional Development) is requesting a Purchase Order to Iowa Jobs for America's Graduates for \$667,500 over the next two fiscal years (\$147,500 in FY19; \$520,000 in FY20).

EdSystems has been contracted by the Illinois Department of Employment Security (IDES) to launch a new initiative: a Jobs for America's Graduates (JAG) program in Illinois. JAG programs already operate in 34 states, one of which is Iowa. The project will be modeled after the Iowa JAG program. Iowa JAG will assist and advise EdSystems in launching Illinois JAG.

Iowa JAG is named in the agreement with IDES. IDES will pay NIU \$800,000 over FY19-FY20 (\$210,000 in FY19; \$590,000 in FY20). The Iowa JAG subcontract is \$667,500 (\$147,500 in FY19; \$520,000 in FY20). NIU retains \$132,500.

Background: NIU's EdSystems Center, with funding provided per an agreement with the Illinois Department of Employment Security, is subcontracting with Iowa JAG, Inc. to incubate and launch a Jobs for America's Graduates (JAG) program in the State of Illinois. The project will begin as soon as approvals are secured; it will continue through June 30, 2020.

The JAG program model supports students who do not have the financial resources and do not have the academic performance records likely to make a successful transition to postsecondary education, employment, or the military. In high schools, the JAG program works with cohorts through student-centered learning strategy including project-based and work-based learning, an employability skills focus, career association membership, and other supports and interventions. Nationally, the JAG program has served 1.2 million young people in 30+ states over 38 years. Currently the Iowa JAG affiliate operates programs at two middle schools and two high schools in Illinois. With Iowa JAG's existing Illinois presence and experience, they will serve as an important partner in the launch of an Illinois JAG.

JAG previously operated at several sites in Illinois, however, these programs were discontinued due to the elimination of state funding support.

After June 30, 2020, Illinois JAG will operate as an independent nonprofit organization funded through a mix of public and private sources.

Funding: \$800,000 external funding (\$210,000 in FY19; \$590,000 in FY20) committed. The Purchase Order to Iowa Jobs for America's Graduates is \$667,500 over the next two fiscal years (\$147,500 in Y19; \$520,000 in FY20). Net revenue to NIU: \$132,500.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Launch of Jobs for American's Graduates programs in Illinois.

COLLEGE OF HEALTH & HUMAN SCIENCES CAMERAS/RECORDING SYSTEMS

Summary: Cameras/Recording System/Software for College of Health and Human Sciences (CHHS) clinics (Speech-Language-Hearing Clinic (SLHC), Couple and Family Therapy Clinic (CFTC), and Child Development and Family Center) are necessary to enable NIU students, faculty, and researchers to record, review, and manage audio video client/patient appointments/therapy sessions, simulations, and research studies in a secure and organized fashion. CHHS is requesting funding in support of a new Cameras/Recording System.

Background: CHHS clinics serve as the lab component for the following academic programs: audiology, speech-language pathology, child development, marriage and family therapy. The clinics provide the setting for NIU students to participate in clinical and research experiences required for their degree programs. An essential component of their academic and clinical training requires they have the ability to view and critique their client/patient appointments/therapy sessions (SLHC and CFTC) and their practicum classrooms (Child Development and Family Center). The current cameras/recording system used by the Speech-Language-Hearing Clinic is in disrepair and is no longer able to record video, which is a requisite for graduate students' clinical coursework, as well as for research studies. The current cameras/recording system used by the Couple and Family Therapy Clinic is outdated and does not record quality image and sound, which is necessary for graduate students' clinical coursework. The Child Development and Family Center is in need of a cameras/recording system for their practicum classrooms.

Funding: Institutional – Local Funds: \$260,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the College of Health & Human Sciences Cameras/Recording Systems request.

STEAM ISOLATION VALVE AND EXPANSION JOINT REPLACEMENT

Summary: As part of an Illinois Board of Higher Education (IBHE) mid-year inquiry on critical/urgent repair requirements which demonstrate the potential for campus-wide impact, this project was identified and submitted for possible appropriated funding. In September 2018, funds were released by the Governor's Office of Management and Budget (GOMB) to the Capital Development Board (CDB) to execute this project. The project may be accomplished by NIU contractors and reimbursed by the CDB.

Background: The scope of the project involves the replacement/addition of mechanical isolation valves and expansion joints in the steam tunnel distribution network which are at risk of failing or not operating as required. Failure of these system components could result in significant disruption to the heating system supporting the entire campus. Approximately, four (4) existing isolation valves at various locations have been identified for critical replacement due to failure risk, four (4) new isolation valves are required to allow sufficient isolation of the distribution network to mitigate the impact from line repairs, and four (4) expansion joints are beyond life expectancy and present a significant risk of failure. The project will involve some limited coordination by NIU personnel which will not be reimbursed by CDB. This coordination support by NIU personnel is anticipated to be less than \$25K.

Funding: Appropriated funds held by CDB - \$476,000
NIU local funding - \$25,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Steam Isolation Valve and Expansion Joint Replacement.

NORTHERN ILLINOIS CENTER FOR COMMUNITY SUSTAINABILITY (NICCS)

Summary: The Northern Illinois Center for Community Sustainability (NICCS), a hub of the Illinois Innovation Network (IIN) and an entirely new initiative leveraging NIU expertise and resources, will pursue basic and applied research, education and training, and economic development focused on two IIN themes: 1) food and agriculture, and 2) environment and water. In partnerships with the University of Illinois College of Agricultural, Consumer and Environmental Sciences (ACES), governmental agencies, and the private sector, NICCS will create new knowledge, inform policymaking, and inspire action in three interrelated areas of food systems innovation, water resources stewardship and development, and climate change adaptation. To support this development an approximately 30,000 square-foot research facility will be constructed on the western end of campus.

Background: Funds will be used for the construction of a single-level facility accommodating office, instructional, and research and innovation space located in the western campus. The facility will include a central core with offices for faculty, staff, and graduate students; state-of-the-art classrooms for on-site and off-site instruction; flexible collaboration space, and conference rooms. The core will be designed to accommodate up to three research and innovation wings of the IIN hub. The wings will comprise research and innovation laboratories and a high bay for equipment storage, and instrument storage and construction. Design efforts are anticipated to be conducted in 2019 with construction activities focused in 2020 and 2021.

The total cost of the initial facility will be \$22.9M, of which \$15M is requested from the Illinois Department of Commerce and Economic Opportunity (DCEO) and \$7.9M is provided by NIU. Funds for the project will be utilized for architectural design and engineering (A&E), project management, construction, and equipment. The funds from DCEO will be targeted for A&E and construction. NIU funds include \$5.0M for instrumentation and equipment and a \$2.9M in-kind contribution primarily for land and site improvements.

Authority is requested to proceed with this grant opportunity. Approval for execution of the required design, construction, and related expenditures to establish the research hub will be requested at future meetings of the Board of Trustees.

Funding: Illinois DCEO grant funding - \$15,000,000
NIU local funding - \$5,000,000

Recommendation: The Research, Innovation, Legal and Legislative Affairs Committee recommends Board of Trustees approval of the Northern Illinois Center for Community Sustainability.

PROFESSIONAL EXCELLENCE AWARDS FOR FACULTY AND STAFF

The university sponsors a number of programs designed to recognize excellence in faculty and staff performance. Two faculty members received the Board of Trustees Award, selected by a committee chaired by the Acting Executive Vice President and Provost. Two faculty members are recognized as Presidential Teaching Professors, selected by a faculty and alumni committee chaired by the Vice Provost. Two faculty members are also recognized as Presidential Research, Scholarship and Artistry Professors, selected by a faculty committee chaired by the Vice President for Research and Innovation Partnerships. Two additional faculty members are recognized as Presidential Engagement Professors, selected by a committee composed of members of the Outreach Advisory Committee, a dean, a student, and faculty chaired by the Vice President of Outreach, Engagement, and Regional Development. Another three faculty members received the Excellence in Undergraduate Teaching Award, and one instructor received the Excellence in Undergraduate Instruction Award, through a selection process initiated by students and reviewed by student advisory committees in each college, with the final decision made by the university-level Committee on the Improvement of the Undergraduate Academic Experience. The Operating Staff and Supportive Professional Staff Councils each selected four employees for recognition following a university-wide nomination process coordinated by a subcommittee of each council.

2018 Board of Trustees Professorship Awards

Dan Gebo	Professor, Anthropology
Philippe Piot	Professor, Physics

2018 Presidential Teaching Professors

Walker Ashley	Professor, Geographic and Atmospheric Science
Mylan Engel Jr.	Professor, Philosophy

2018 Presidential Research, Scholarship and Artistry Professors

Liam Teague	Professor, Music
Vishnu Zutshi	Professor, Physics

2018 Presidential Engagement Professors

Paul Wright	Professor, Kinesiology and Physical Education
Mansour Tahernezehadi	Professor, Electrical Engineering

2018 Excellence in Undergraduate Teaching Award Recipients

Emma Kuby	Assistant Professor, History
Jie Chen	Associate Professor, Nursing
Amanda Littauer	Associate Professor, Center for the Study of Women, Gender and Sexuality

2018 Excellence in Undergraduate Instruction Award Recipient

Daniel Libman	Instructor, English
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2018 Operating Staff Outstanding Service Award Recipients

Cathy Craddock	Administrative Assistant, Research and Innovation Partnerships
Debra Rempfer	Scholarship Coordinator, Financial Aid and Scholarship Office
Julie Miller	Electronic Research Administration Coordinator, Research and Innovation Partnerships
Kathryn Buffington	Office Administrator, Undergraduate Advising and Student Resources, College of Business

2018 Presidential Supportive Professional Staff Award for Excellence Recipients

Denise Burchard	Assistant to Chair, Public Administration
Gillian King-Cargile	Communications Specialist, NIU Outreach P-20
Abbey Wolfman	Director, Orientation & Family Connections
Carrie Zack	Associate Director, Educator Licensure & Prep

**ANNUAL FINANCIAL SUMMARY AS OF JUNE 30, 2018, AND
BUDGET TO GAAP RECONCILIATION**

Background Information: In an effort to provide more frequent information regarding the University's financial position, the University has prepared the preliminary fourth quarter financial summary to the Board of Trustees. A decline in enrollment continues to impact the University's revenues. The expense results demonstrate management's ongoing leadership on developing strategies that will effectively control expenses and contribute to long term financial sustainability. Prior year comparison suggests an improvement in net revenue contribution.

Revenues

- 1. Tuition and Fees:** All tuition, including differential tuition, course and materials fees, athletics fees, bus fees, and health services fees.
- 2. Gifts, Grants, & Contracts:** Includes on-campus scholarships, research grants and associated indirect cost pools, Pell grants, and sub-contract fees for research.
- 3. Other Fees and Fines:** Includes parking, residential living-learning community fees, parking fines, and transcript and commencement fees.
- 4. Sales:** Includes board plan and retail food sales, concessions sales, and advertising/sponsorship, sales of services to off-campus entities (including, but not limited to: catering, child care, conference services).
- 5. Rental & Room Income:** Includes room fees for residential students, rental of on-campus and off-campus meeting and conference space, hotel revenues, and Northern View apartment revenues.
- 6. Gate Receipts & Commissions:** Includes athletic ticket sales, performing arts ticket sales, commissions, and concert/event revenues from the Convocation Center.
- 7. Miscellaneous & Investment Income:** Includes athletics' game guarantees, NIU share of conference tournament revenues, rental of facilities, interest income from investments, gains and losses on disposals of fixed assets, and year-end transfers to mandated reserves in the auxiliary facilities system.
- 8. State of Illinois:** Represents the annual state appropriation to public universities.

Expenses

- 9. Cost of Sales:** Includes the cost of all items purchased for resale on campus such as food for dining units, parts and supplies to be charged out through the campus work order system, as well as paper for pay-to-print copiers and printers.
- 10. Personnel Services:** Includes all salaries paid to faculty, supportive professional staff, civil service, graduate assistants, extra help, and student employees. Also includes required payments for Medicare and employee health insurance.
- 11. Contractual Services:** Includes annual software support, subscriptions, conference registrations, non-employee travel reimbursements, service contracts, repairs & maintenance, grounds, building service work charges, speaking fees, and other arrangements with outside contractors to perform services for the University.
- 12. Travel:** Includes airfare, hotel rooms, mileage, meals (all up to limits set by the state and the University), and ancillary expenses for employees to travel to-and-from campus on official University business.
- 13. Automotive:** Includes the cost to rent cars, vans and buses from the University transportation department.
- 14. Scholarships:** Includes scholarships awarded, including Pell Grant funds disbursed (which, when netted against Pell Grant funds received, results in zero sum effect on the University's cash position).

15. Telecommunications: Includes the cost of providing phone, internet and other digital services to the University.

16. Equipment & Library Materials: Includes the cost of all items over \$100 with an estimated useful life of two years or more, as well as library books, journal subscriptions, manuscripts, films, music, and video materials

17. Capital Repairs, Debt Service & Other: Includes the cost of centralized capital repair funds, debt service payment on bonds, certificates of participation, and performance contracts. Also includes refunds issued for on-campus external programming and other expenses not classified elsewhere.

Following is a financial summary of the University's operations for the year-ended June 30, 2018, and a comparison perspective for the year-ended June 30, 2017.

University All Funds Comparison for the Year Ended June 30, 2018

	<u>Current Year FY2018</u>			<u>Prior Year FY2017</u>	
	Fourth Quarter			Fourth Quarter	
	<u>YTD Actuals</u>	<u>Annual Budget</u>	<u>Variance</u>	<u>YTD Actuals</u>	<u>Variance</u>
Revenue					
Tuition & Student Fees	\$ 178,545	\$ 183,873	\$ (5,328)	\$ 190,978	\$ (12,434)
Gifts, Grants, & Contracts	\$ 56,576	60,194	(3,618)	58,812	(2,236)
Other Fees and Fines	\$ 7,864	9,092	(1,229)	8,126	(262)
Sales	\$ 34,746	38,638	(3,891)	38,349	(3,603)
Rental & Room Income	\$ 31,048	34,555	(3,507)	31,479	(431)
Gate Receipts & Commissions	\$ 3,379	4,377	(998)	3,025	354
Miscellaneous & Investment Income	\$ 16,089	16,255	(166)	2,491	13,598
State of Illinois	\$ 82,020	82,020	-	48,316	33,704
Total Revenue & Transfers	\$ 410,266	\$ 429,004	\$ (18,738)	\$ 381,576	\$ 28,690
Expenses					
Cost of Sales	\$ 8,339	\$ 11,708	\$ (3,369)	\$ 9,173	\$ (833)
Personnel Services	\$ 216,913	221,646	(4,733)	216,708	205
Contractual Services	\$ 78,827	81,751	(2,924)	76,096	2,731
Commodities	\$ 6,013	7,444	(1,431)	6,332	(319)
Travel	\$ 4,409	5,226	(817)	4,243	167
Automotive	\$ 1,253	1,254	(1)	1,206	47
Scholarships	\$ 48,275	56,860	(8,585)	47,953	322
Telecommunications	\$ 950	966	(16)	246	704
Equipment & Library Materials	\$ 8,427	9,209	(782)	6,044	2,383
Capital Repairs, Debt Service & All Other	\$ 21,675	32,872	(11,197)	13,319	8,356
Total Expenses	\$ 395,081	428,935	(33,855)	\$ 381,319	\$ 13,762
Net Revenue	\$ 15,185	\$ 68	\$ 15,117	\$ 257	\$ 14,928

To ensure that the amounts reported per the budget are in line with the University's anticipated financial statements results, a reconciliation has been prepared between Budget (Fund Accounting) and GAAP (Generally Accepted Accounting Principles).

An explanation of Generally Accepted Accounting Principles (GAAP) versus Fund Accounting (Budget):

- GAAP - a common set of accounting principles, standards, and procedures that companies must follow when compiling financial statements.

- Budget - based on fund accounting which is a method of accounting that emphasizes accountability rather than profitability. The focus is on "fund balances" that are set aside to achieve a specific goal with the organization.

The change in net position as of June 30, 2018 is approximately \$40 million, due primarily to the University receiving the FY17 lapse appropriation in FY18.

Following is the reconciliation from the University's Budget to GAAP financial statements for the year ended June 30, 2018.

Budget to GAAP Reconciliation

(\$ in thousands)

Actual Net Revenue, per Budget	\$ 15,185
FY2017 Lapse Appropriation	42,700
Depreciation expense	(27,690)
Debt principal	<u>9,973</u>
 Increase in Net Position, per draft GAAP Financial Statements	 \$ 40,168

It is expected that the actual net position at June 30, 2018 will be approximately \$191 million, a decline of approximately \$4 million compared to fiscal year 2017 net position of \$195 million. This anticipated decline is due to the implementation of accounting standards related to other post-employment benefit (OPEB) costs that requires the restatement of beginning net position for OPEB liability of \$44 million.

Net Position

For the Year-Ended June 30, 2018 (in thousands)

Net Position, June 30, 2017	\$ 194,837
Restatement - Change in accounting principal for OPEB	<u>(44,390)</u>
*Net Position, July 30, 2017, as restated	\$ 150,447
 Increase in Net Position	 <u>40,168</u>
*Net Position, June 30, 2018	<u><u>\$ 190,615</u></u>

**Unaudited*

FIRST QUARTER FY19 FINANCIAL SUMMARY AS OF SEPTEMBER 30, 2018

Background Information: The University has prepared a first quarter financial summary.

As of the end of the first quarter of FY19, the University is tracking a positive performance net revenue of approximately \$69M, which suggests an increase of approximately \$15M from the prior year and \$12M over year to date budget. University tuition, fee, and room and board revenues have decreased by approximately \$5.7M from the prior year, primarily due to a decline in enrollment. Other revenues such as sales and the State of Illinois appropriation, which are up approximately \$16M compared to first quarter budgeted revenue, are forecasting to end the year on target with the budgeted revenue of \$422M. Expenses are tracking in the first quarter to be slightly above budget by approximately \$3.2M, but the annual forecast is tracking to come in under budget by \$2.6M. In an environment of declining enrollment, management is demonstrating its ongoing leadership to monitor and develop strategies to effectively control expenses in order to keep in line with expected revenue. At this pace, the University is forecasting the year to end with a balanced budget.

Revenues

- 1. Tuition and Fees:** All tuition, including differential tuition, course and materials fees, athletics fees, bus fees, and health services fees.
- 2. Gifts, Grants, & Contracts:** Includes on-campus scholarships, research grants and associated indirect cost pools, Pell grants, and sub-contract fees for research.
- 3. Other Fees and Fines:** Includes parking, residential living-learning community fees, parking fines, and transcript and commencement fees.
- 4. Sales:** Includes board plan and retail food sales, concessions sales, advertising/sponsorship, and sales of services to off-campus entities (including, but not limited to: catering, child care, conference services).
- 5. Rental & Room Income:** Includes room fees for residential students, rental of on-campus and off-campus meeting and conference space, hotel revenues and Northern View apartment revenues.
- 6. Gate Receipts & Commissions:** Includes athletic ticket sales, performing arts ticket sales, commissions and concert/event revenues from the Convocation Center.
- 7. Miscellaneous & Investment Income:** Includes athletics' game guarantees, NIU share of conference tournament revenues, rental of facilities, interest income from investments, gains and losses on disposals of fixed assets, and year-end transfers to mandated reserves in the auxiliary facilities system.
- 8. State of Illinois:** Represents the annual state appropriation to public universities.

Expenses

- 9. Cost of Sales:** Includes the cost of all items purchased for resale on campus such as food for dining units, parts and supplies to be charged out through the campus work order system, as well as paper for pay-to-print copiers and printers.
- 10. Personnel Services:** Includes all salaries paid to faculty, supportive professional staff, civil service, graduate assistants, extra help, and student employees. Also includes required payments for Medicare and employee health insurance.
- 11. Contractual Services:** Includes annual software support, subscriptions, conference registrations, non-employee travel reimbursements, service contracts, repairs & maintenance, grounds, building service work charges, speaking fees, and other arrangements with outside contractors to perform services for the University.
- 12. Travel:** Includes airfare, hotel rooms, mileage, meals (all up to limits set by the state and the University), and ancillary expenses for employees to travel to-and-from campus on official university business.
- 13. Automotive:** Includes the cost to rent cars, vans and buses from the University transportation department.

- 14. Scholarships:** Includes scholarships awarded, including Pell Grant funds disbursed (which, when netted against Pell Grant funds received, results in zero effect on the University's cash position).
- 15. Telecommunications:** Includes the cost of providing phone, internet and other digital services to the University.
- 16. Equipment & Library Materials:** Includes the cost of all items over \$100 with an estimated useful life of two years or more, as well as library books, journal subscriptions, manuscripts, films, music and video materials
- 17. Capital Repairs, Debt Service & Other:** Includes the cost of centralized capital repair funds, debt service payment on bonds, certificates of participation, and performance contracts. Also includes refunds issued for on-campus external programming and other expenses not classified elsewhere.

Following is a financial summary of the University's operations as of the quarter-ended September 30, 2018 and a comparison perspective to the quarter-ended September 30, 2017.

University All Funds Comparison
As of September 30, 2018
(\$ in thousands)

	Current Year FY19			Prior Year FY18		Current Year FY19			
	First Quarter			First Quarter		YTD Forecast	Annual		
	YTD Actuals	YTD Budget	Variance	YTD Actuals	Variance		Budget	Variance	
Revenue									
Tuition & Student Fees	\$ 88,714	\$ 92,720	\$ (4,006)	\$ 93,517	\$ (4,803)	\$ 175,427	\$ 178,307	\$ (2,880)	
Gifts, Grants, & Contracts	17,400	17,580	(180)	5,773	11,627	70,300	70,321	(21)	
Other Fees and Fines	2,885	2,141	744	2,989	(104)	9,040	8,564	476	
Sales	10,926	8,164	2,763	13,593	(2,667)	32,704	32,654	50	
Rental & Room Income	15,143	16,921	(1,778)	14,341	802	32,286	32,541	(255)	
Gate Receipts & Commissions	2,008	1,374	635	515	1,493	5,532	5,494	38	
Miscellaneous & Investment Income	1,132	3,339	(2,207)	1,096	36	13,327	13,357	(30)	
State of Illinois	34,174	20,915	13,259	17,909	16,265	83,659	83,659	-	
Total Revenue	\$ 172,381	\$ 163,153	\$ 9,227	\$ 149,733	\$ 22,648	\$ 422,275	\$ 424,897	\$ (2,622)	
Expenses									
Cost of Sales	\$ 677	\$ 1,228	\$ (551)	\$ 2,385	\$ (1,709)	\$ 4,707	\$ 4,910	\$ (203)	
Personnel Services	48,257	53,921	(5,665)	47,442	815	215,026	215,685	(659)	
Contractual Services	19,338	21,895	(2,557)	14,817	4,521	87,353	87,581	(228)	
Commodities	1,249	1,867	(618)	1,254	(5)	7,395	7,468	(73)	
Travel	849	1,389	(540)	925	(76)	5,496	5,555	(59)	
Automotive	260	316	(56)	276	(16)	1,038	1,264	(226)	
Scholarships	24,566	14,517	10,049	23,631	934	58,031	58,066	(35)	
Telecommunications	85	170	(85)	58	27	339	680	(341)	
Equipment & Library Materials	2,333	2,484	(151)	1,117	1,216	9,209	9,935	(726)	
Capital Repairs, Debt Service & All Other	5,420	8,438	(3,018)	4,005	1,415	33,680	33,753	(73)	
Total Expenses	\$ 103,033	\$ 106,224	\$ (3,192)	\$ 95,911	\$ 7,122	\$ 422,275	\$ 424,897	\$ (2,622)	
Net Revenue	\$ 69,348	\$ 56,929	\$ 12,419	\$ 53,822	\$ 15,526	\$ (0)	\$ (0)	\$ 0	

To ensure that the amounts reported per the budget are in line with the University's anticipated financial statements results, a reconciliation has been prepared between Budget (Fund Accounting) and GAAP (Generally Accepted Accounting Principles).

An explanation of Generally Accepted Accounting Principles (GAAP) versus Fund Accounting (Budget):

- GAAP - a common set of accounting principles, standards, and procedures that companies must follow when compiling financial statements.
- Budget - based on fund accounting which is a method of accounting that emphasizes accountability rather than profitability. The focus is on "fund balances" that are set aside to achieve a specific goal with the organization.

The change in net position is estimated as of September 30, 2018, and was calculated using the FY18 annual GAAP figures.

Following is the reconciliation from the University's Budget to GAAP financial statements as of the end of the quarter at September 30, 2018.

Budget to GAAP Reconciliation

(\$ in thousands)

Total Budgetary Excess Revenue over Expenditures	\$ 69,348
Depreciation expense	(6,923)
Debt principal	<u>2,493</u>
Estimated, Total Increase in Net Position as of September 30, 2018	\$ 64,918

**QUARTERLY SUMMARY REPORT OF TRANSACTIONS IN EXCESS OF \$100,000
FOR THE PERIOD JULY 1, 2018, TO SEPTEMBER 30, 2018**

Purchase Amount	No. of Transactions	Appropriated	Non-Appropriated	Total
Over \$100,000	16	\$749,560	\$1,872,680	\$2,622,240

TRANSACTIONS DETAIL:

Purchases:

1. Renewal was required of an open order with ASGK Public Strategies, LLC, d/b/a Kivvit for strategic issues management and crisis communications consulting services to provide advice, counsel, planning and implementation support, on an as-needed basis, for the management of issues that have a potential impact on the University's reputation for the period July 1, 2018 - June 30, 2019. This is the second of four one-year renewal options allowed for in a Request for Proposal opened February 25, 2016. The renewal was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. 175,000*
2. Renewal was required of the contract for Chicagoland public relations representation. This engagement provides for promotion of Northern Illinois University specific to the greater Chicagoland area in an effort to bolster name brand recognition and drive increased enrollment and alumni awareness. The proposed contract was the result of RFP #JLT152459, which opened October 29, 2014. This is the third of nine one-year renewal options. The renewal award was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. 186,000*
3. Permission was requested for orders for programming and affiliation fees required for the operation of Northern Public Radio for the period 10/31/17 - 9/30/18. The intent to award this contract as a sole source was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. The prior orders did not require President's approval. 230,000
4. The Department of Chemistry and Biochemistry requested permission to purchase used research equipment from Louisiana State University for Professor Evgueni E. Nesterov's start-up package. This equipment was originally selected and used by Professor Nesterov while a faculty member at LSU. This engagement is exempt from the Illinois Procurement Code under 30 ILCS 500/1-10 (b)(1) – contracts between governmental agencies. 151,130
5. Intercollegiate Athletics requested permission to issue an order for athletic officials funding for Fiscal Year 2019 sports. This order will be advertised on the Illinois Procurement Bulletin as an exemption according to 30 ILCS 500 / 1-13(b)(4). 120,000
6. Intercollegiate Athletics requested permission to issue an open order for third-party ticket sales services. The vendor performs sales and marketing activities to bolster ticket sales for Huskie Athletics. This order will be advertised on the Illinois Procurement Bulletin as an exemption according to 30 ILCS 500 / 1-13(b)(2). 110,000
7. Health Services requested permission to issue a contract for psychiatry services medical staffing during Fiscal Year 2019. This order will be advertised on the Illinois Procurement Bulletin as an exemption according to 30 ILCS 500 / 1-13(b)(5). 115,000
8. Renewal was required of the Ciena Software Maintenance contract for FY19. NIU (DoIT) owns and operates a high-speed Broadband network that provides business services to all NIU campuses and this network is supported by Ciena equipment. The annual 203,000

maintenance fee allows NIU to have technical support and replacement services for the equipment. Approved MHEC contract #02262015 will be utilized for this purchase and is exempt from advertising on the Illinois Procurement Bulletin.

- | | | |
|-----|--|----------|
| 9. | The Division of Information Technology requested permission to enter into a new one-year contract, with 2 one-year renewals, for access to Lynda.com training through LinkedIn. This training is available for all staff, faculty and students. The intent to award this contract as a sole source was advertised on the Illinois Procurement Bulletin (#KM167440). | 245,860* |
| 10. | The National Safety Education Center requested permission to issue purchase orders to the following host sites to offer OSHA courses to be taught during the period October 1, 2018 - September 30, 2019. These orders are exempt from the Illinois Procurement Code, according to Section 30 ILCS 500 / 1-13(b)(2). | 100,000 |
| 11. | The National Safety Education Center requested permission to contract with this vendor as part of a consortium that makes up the National Safety Education Center. The services include the planning and presentation of OSHA courses to be taught during the period October 1, 2018 - September 30, 2019. This order is exempt from the Illinois Procurement Code, according to Section 30 ILCS 500 / 1-13(b)(2). | 200,000 |
| 12. | The National Safety Education Center requested permission to issue orders to the following host sites to offer OSHA courses to be taught during the period July 1, 2018 - June 30, 2019. These orders are exempt from the Illinois Procurement Code, according to Section 30 ILCS 500 / 1-13(b)(2). | 200,000 |
| 13. | Intercollegiate Athletics requested permission to pay Fiscal Year 2019 Membership Dues to the Mid-American (MAC) Conference. Membership in the MAC Conference requires financial support in the form of annual Membership Dues. This order is exempt from the Illinois Procurement Code, according to Section 30 ILCS 500 / 1-13(b)(4). | 100,000* |

Capital Improvement Projects:

- | | | |
|----|---|-----------|
| 1. | Campus roadways and entry drives require regular patching and repair due to normal wear and tear, winter weather conditions, and snowplowing activities. Repairs are necessary on Stadium Drive West, University Circle Drive, Wirtz Quadrangle Drive, Anderson Service Drive, and Parking Lot 2 entrance. Repairs will include milling and re-surfacing to ensure improved safety for drivers and pedestrians. | 106,750** |
|----|---|-----------|

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

**Total Project - 106,750
 App/Income - 42,700*
 Rev. Funds - 64,050

- | | | |
|----|--|---------|
| 2. | Areas in Grant Towers C and D require touch up painting as part of a regular maintenance program to keep the building and facilities in good condition. In addition, areas of New Residence Hall will be painted. Rotation painting will include those areas that are in the poorest condition. Generally, when areas are clean and aesthetically pleasing they are less likely to be vandalized and will encourage members of the University community to take pride in their surroundings. | 249,000 |
|----|--|---------|

Work will be completed with our in-house workforce under the coordination of a NIU project manager. Existing surfaces will be cleaned and properly prepared prior to painting. Preparation will include the removal of chipping paint as well as patching and sanding. Where appropriate, masons will repair damaged areas of wall surfaces prior to painting.

3. The Art Department currently has student and faculty artist studios located in the Art Annex Building at 2211 Sycamore Road. Program Prioritization recommended that the art studios be relocated back to main campus to make the best use of underutilized space. To accommodate the relocation of the art studios to Grant Towers South, new entry door configurations, new locks and security modifications will be included to allow the use of the tower space for studios while maintaining security for the residents in Grant North. Minor clean-up and repairs will be made including minor maintenance to the mechanical and electrical infrastructure. 130,500

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

*Appropriated/Income Funds

PERIODIC REPORT ON INVESTMENTS FOR PERIOD ENDING SEPTEMBER 30, 2018

In accordance with the approved University Investment and Cash Management policy, this report on investments is submitted at the end of each calendar quarter to the Board of Trustees. The following schedules are included with this report:

- Cash and Investment Holdings Summary as of September 30, 2018
- Investment Earnings by Type and Duration for the three months ending September 30, 2018

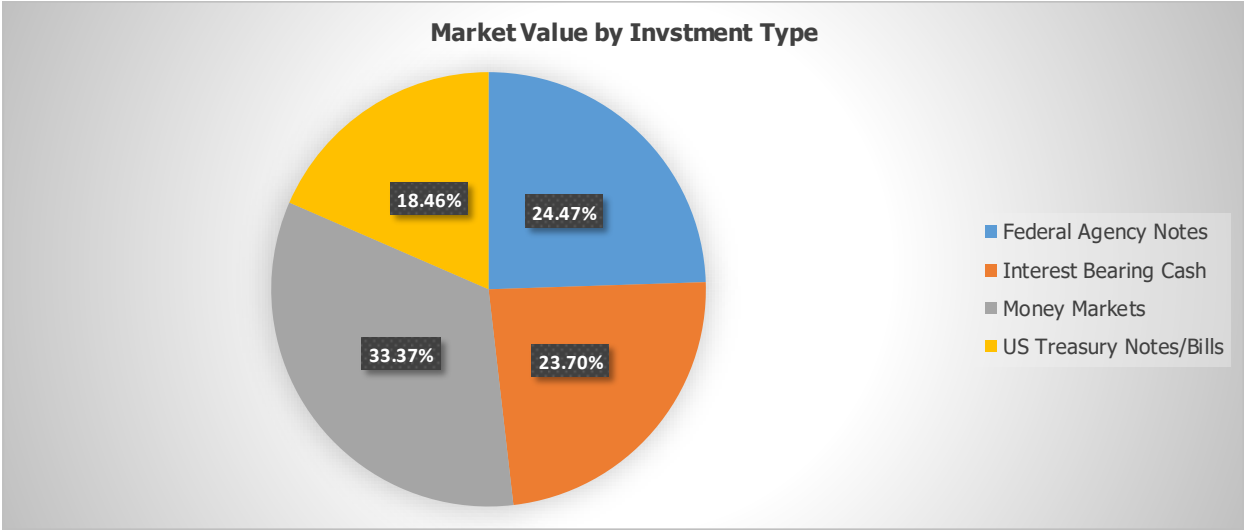
The *Cash and Investment Holdings Summary* shows the ending balances, book values, and market values for each type of investment in Northern Illinois University's custody. At September 30, 2018, Northern Illinois University's holdings total \$172.9 million, a growth of approximately \$23 million compared to the first quarter last year. This increase is largely due to the receipt of State appropriations.

The *Investment Earnings by Type and Duration* report shows the interest earnings for the first quarter of FY19 and the annualized rates of return for this quarter as well as the three previous quarters for all invested funds owned by the University. Interest earnings for July 1 through September 30, 2018 equal \$766,462, and the combined annualized rate of return is 1.73%, which is an increase of 75 basis points over the yield reported one year ago. As anticipated, the portfolio yield has steadily increased each quarter over the past year.

The investment committee continues to align its investment strategy with current market conditions and available cash while complying with the University's Investment and Cash Management policy and the Illinois Public Funds Investment Act. In anticipation of future rate increases, fixed income securities with short-term maturities will be purchased allowing the University to benefit from rising interest rates. Internal factors such as current demands on cash for operations and campus facility needs are important factors in the investment committee's decision-making, as well as external factors such as uncertainty of future State funding, the strengthening economy and rising interest rates.

**NORTHERN ILLINOIS UNIVERSITY CASH and INVESTMENT HOLDINGS SUMMARY
September 30, 2018 for Fiscal Year 2019**

Investment Type	Purch Price/ Ending Bal *	Book Value **	Market Value ***
Federal Agency Notes:			
Local Funds	\$ 42,253,362	\$ 42,320,646	\$ 42,192,904
Interest Bearing Cash Accounts:			
Local Funds	\$ 40,860,554	\$ 40,860,554	\$ 40,860,554
Project Funds	710	710	710
	<u>\$ 40,861,264</u>	<u>\$ 40,861,264</u>	<u>\$ 40,861,264</u>
Money Markets:			
Local Funds	\$ 35,241,917	\$ 35,241,917	\$ 35,241,917
Project Funds	22,281,145	22,281,145	22,281,145
	<u>\$ 57,523,062</u>	<u>\$ 57,523,062</u>	<u>\$ 57,523,062</u>
US Treasury Notes/Bills:			
Local Funds	\$ 31,900,919	\$ 31,941,109	\$ 31,827,809
TOTAL INVESTMENT HOLDINGS	\$ 172,538,607	\$ 172,646,081	\$ 172,405,039
Non-interest Bearing Cash	\$ 419,987	\$ 419,987	\$ 419,987
TOTAL CASH & INVESTMENT HOLDINGS	\$ 172,958,594	\$ 173,066,068	\$ 172,825,026
TOTAL REPORTED FOR 09/30/2017	\$ 149,111,221	\$ 149,068,205	\$ 148,958,151



* 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 2019 - July 1, 2018 - September 30, 2018

	September 30 Ending Balance	Average Daily Investment Balance	Percent of Portfolio	Income Earned	Annualized Rates of Return			
					FY 2019	FY 2018		
					1st Qtr	4th Qtr	3rd Qtr	2nd Qtr
Short-Term Investment Accounts								
Illinois Funds	\$ 35,241,917	\$ 35,191,148	20.01%	\$174,867	1.971%	1.746%	1.386%	1.120%
Investment Accounts - Financial Institutions	\$ 40,860,554	\$ 43,651,803	24.82%	\$222,759	2.025%	1.764%	1.437%	1.159%
Investment Accounts - Project Funds	\$ 22,281,855	\$ 22,900,773	13.02%	\$ 83,923	1.454%	1.227%	0.842%	0.452%
ST Investment Accounts Total	\$ 98,384,326	\$ 101,743,724	57.84%	\$481,549	1.878%	1.671%	1.337%	1.060%
Fixed Income Securities								
Local Funds	\$ 74,154,281	\$ 74,154,281	42.15%	\$284,913	1.537%	1.391%	1.280%	1.057%
Project Funds	\$ -	\$ -	0.00%	\$ -	-	1.614%	1.057%	1.024%
Fixed Income Securities Total	\$ 74,154,281	\$ 74,154,281	42.15%	\$284,913	1.537%	1.391%	1.257%	1.051%
Non-interest Bearing Cash	\$ 419,987	\$ -	-	-	-	-	-	-
COMBINED TOTAL	\$ 172,958,594	\$ 175,898,005	100.00%	\$766,462	1.73%	1.58%	1.32%	1.06%

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

**FISCAL YEAR 2018 ANNUAL REPORT OF
TRANSACTIONS INVOLVING REAL PROPERTY**

Three categories of real property transactions are included in this annual report. In-leases, where NIU acts as the lessee, serve to provide support when either there is insufficient or inadequate space for the requirement within University-owned property. Annual reviews are being conducted to verify the continuing need for the in-lease arrangement before renewals are executed. Leases may be terminated when the mission requirement ends or arrangements can be made to accommodate the function within University property or via another in-lease.

Out-leases, where NIU acts as the lessor, serve to effectively leverage under-utilized property either financially and/or through compatible support to the University mission. Annual reviews are being conducted to evaluate the out-lease value to the University prior to renewal.

Facility capital leases are long-term payment agreements with interim leases where the final objective is University ownership of the property.

Type	Number of Transactions	Transaction Percentage	Dollar Volume	Dollar Percentage
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In-leases (NIU as lessee): Includes support for academic activities (e.g. steel drum workshop, art studios, law clinic, temporary theater arrangements during Stevens construction), outreach activities (e.g. NPR operations), and research (e.g. robotic submarine).

Under \$100,000	12	100%	\$413,666	100%
\$100,000-\$250,000	--	--	--	--
Over \$250,000	--	--	--	--
Total	12	100%	\$413,666	100%

Out-leases (NIU as lessor): Includes support for government organizations (e.g. IL Board of Examiners, IL Dept of Agriculture, State University Retirement System), commercial operations (e.g. Subway fast food, ATM machines, farmland rental), and research (e.g. American Institute for Research in the Biological Sciences*, REV3 business incubator).

Under \$100,000	8	89%	\$228,265	47%
\$100,000-\$250,000	--	--	--	--
Over \$250,000	1*	11%	\$254,004	53%
Total	9	100%	\$482,269	100%

Facility capital leases: Includes the annual payments for the Illinois Association of School Business Officials (IASBO), the New Hall/Northern View Residential Complexes and the Chessick/Yordon Practice Centers.

IASBO Building	
– Payments made in FY18	\$69,926
– Payments to date	\$1,334,431
– Remaining debt	\$413,732
– Ending date of term	May 2024

New Residence Hall Complex/Northern View Residential Complex

- Payments made in FY18	\$10,066,794
- Payments to date	\$65,891,089
- Remaining debt	\$273,001,922
- Ending date of term	April 2043

Chessick Practice Center/Yordon Center

- Payments made in FY18	\$319,000
- Payments to date	\$8,400,269
- Remaining debt	\$957,000
- Ending date of term	February 2021

FISCAL YEAR 2018 REPORT ON FACILITIES AND INFRASTRUCTURE CAPITAL INVESTMENT ACTIVITIES

Overview

This report reviews and summarizes a holistic capital investment perspective based on the layered investment strategy of maintenance, major repairs, and mission enhancement (formerly described as discretionary) capital improvement projects. A historical view is presented from information collected from Fiscal Year 2000 through Fiscal Year 2018. This view is also categorized by the two major classifications of campus buildings as noted below. This differentiation is critical to understanding the source of funds required to support each type of building and the supported University operation.

- **General Revenue:** Consists predominantly of academic and administrative operations, associated buildings and proportional supporting infrastructure. This conservatively represents about \$1B of Plant Replacement Value (PRV) which serves as a common denominator for comparing buildings.
- **Auxiliary Revenue:** Consists predominantly of athletics, housing/dining, recreation, and Holmes Student Center operations, associated buildings, and proportional supporting infrastructure. This also conservatively represents about \$1B of PRV.

The format of this report is consistent with the FY17 annual capital investment report with the intent to (1) provide a strategic view of all investments made in facility assets, (2) present an indication of the level of investment required, and (3) continue to illustrate the overall health of the campus physical plant. A traditional reporting description of capital projects is provided in appendix A showing highlights of significant actions approved between FY12 and FY18. Appendix B is the semi-annual accounting of all current active projects >\$100,000. These appendices do not provide strategic perspective with the information provided, but help illustrate examples for the types of work supported by the various investment categories.

Information presented represents a best effort at collecting and interpreting historical financial data into a meaningful format and developing an investment strategy/model to guide future focus. Improvements and refinements are anticipated for subsequent reports as data is better characterized with future investments. The facility sustainment investment model, initially described in the FY17 report, continues to be utilized as a method of comparison to industry standards and a required investment level. The basis of this model is built on the premise that about 2% of a plant's replacement value (PRV) is the required maintenance and repair investment to keep up with the rate of deterioration. This sustainment investment model has been the inspiration for the financial modeling being done by the Illinois Board of Higher Education (IBHE) and is gaining recognition in the Governor's Office of Management and Budget (GOMB) and the state legislature as a reasonable approach for guiding renewed interest in infrastructure investments.

Maintenance Investments

Maintenance is fundamental investment required to keep facilities operational and functional. The actions represented in this investment category include (1) preventive maintenance (PM) which help ensure building systems function for the intended life, and (2) corrective repairs which allow for smaller critical (and sometimes interim) repair actions to keep the building functioning on a daily basis. A key strategy being implemented to help ensure available funding is utilized in the most effective manner, is the development of a formal PM program. The effort began in FY17 to document and track PM requirements for about 3,700 individual items representing the steady progress planned to continue through FY20, as shown in figure 1 below.

As more data fidelity is added to this critical maintenance function, more definitive work plans are being developed to clearly understand the staffing and material support required to accomplish these work requirements. Once fully implemented, future annual reports can begin to demonstrate the extent available resources will be able to support PM actions. A properly supported PM program will reduce the chances of unplanned failures and minimize disruptions on the campus.

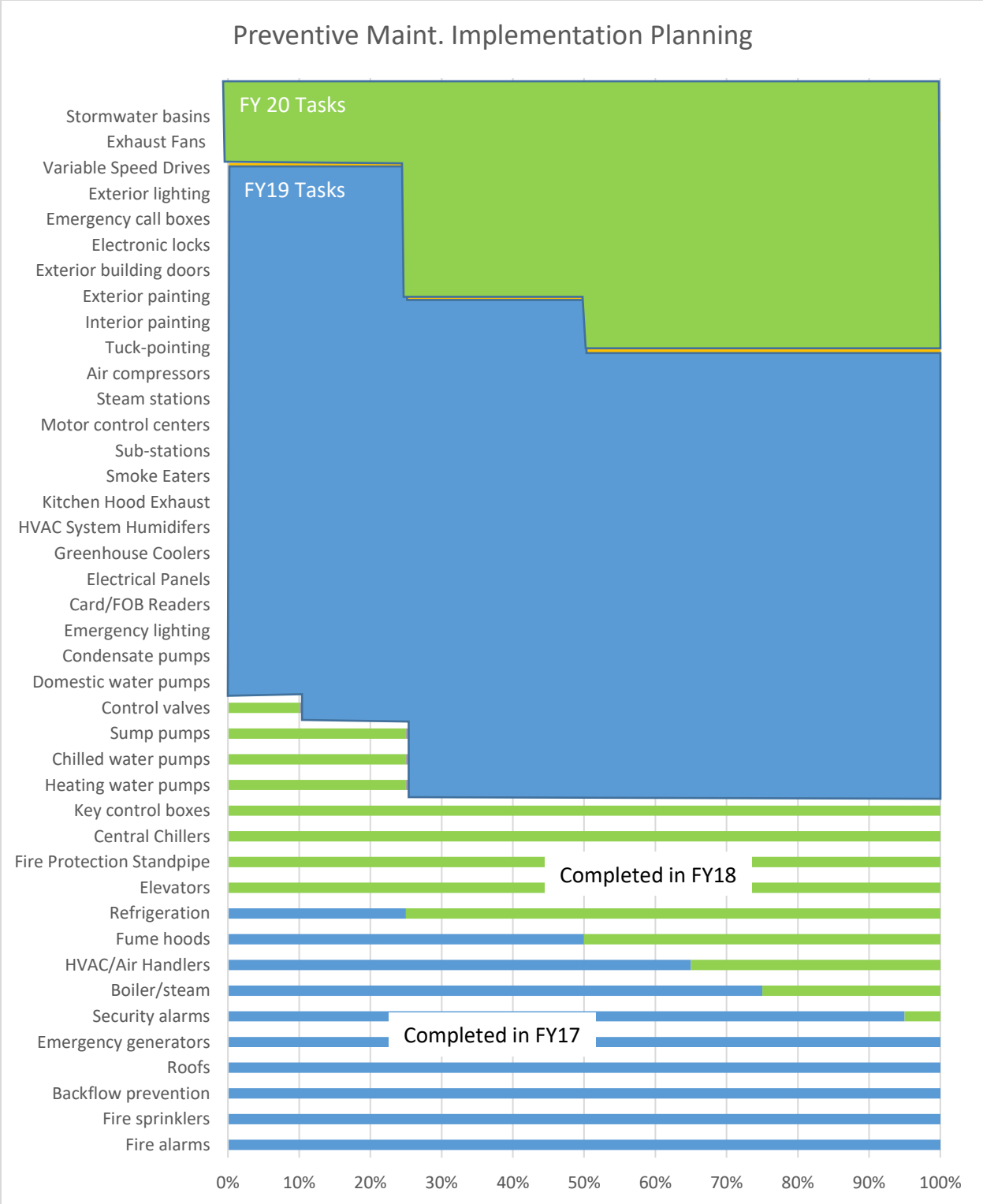


Figure 1

How much should be invested in maintenance depends on the necessary PM actions and historic levels required to address smaller corrective repairs. Presented in figure 2 below, is a historical view of maintenance investment made on general revenue facilities/infrastructure between FY00 through FY18. Utilizing a percentage of a plant's replacement value (PRV) as a basis for comparison and considering the effort underway for improving overall PM efforts, 0.5% approximates the target investment for the General

Revenue portion of the University's campus. This is an investment area that can be affected by the amount of State appropriations targeted for capital investments. As addressed later in this report, under investment in major repairs creates more demand and reliance on daily maintenance and corrective repair actions to keep building systems functioning while larger repair actions may be deferred.

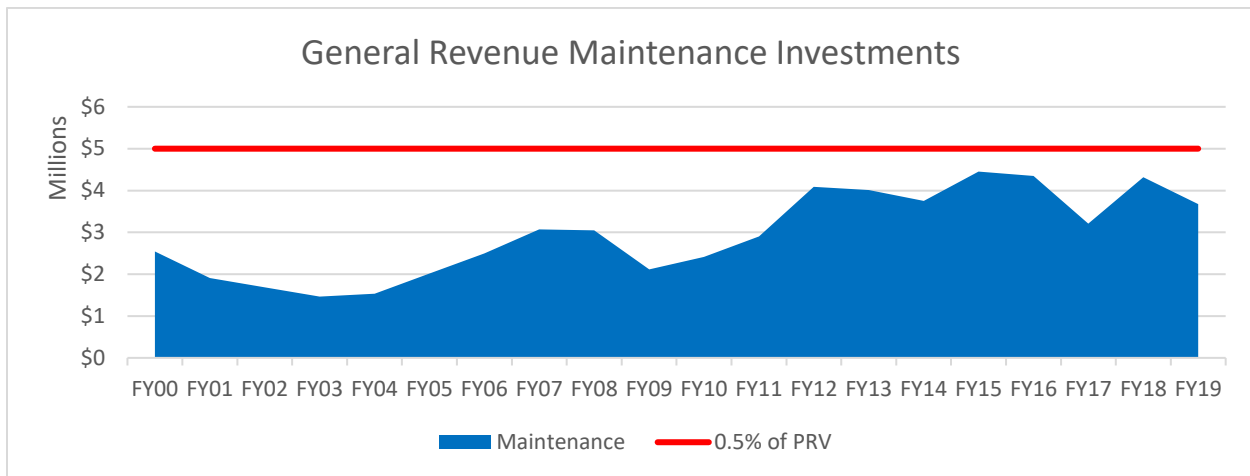


Figure 2

In general, the University has expended a significant effort to increase General Revenue maintenance investments over the past 19 years. From a low point in FY03 of just under \$1M, this investment has increased nearly 4 times to create a respectable investment level for this fundamental layer of facility sustainment. In FY17, this funding level dipped to \$3.1M due to the need to weather the uncertainty of state funding between FY16 and continuing into FY17. For FY19, the budgeted level of investment remains conservative at only \$3.7M which is slightly below the \$3.8M invested in FY18.

In a similar manner, the facility maintenance investment supporting Auxiliary Operations was plotted in figure 3. This shows an overall improved level of investment over this same period as compared to General Revenue investments which may be due to less volatility in funding support as the typical bond-based financing terms require more attention to protecting these facility assets. Similarly, as shown for the General Revenue maintenance, the rough target for Auxiliary maintenance is 0.5% of PRV. While this level of maintenance investment had been reached in FY09 and FY13-15, recent maintenance investment levels have fallen due to overall budgetary pressures caused by enrollment decline.

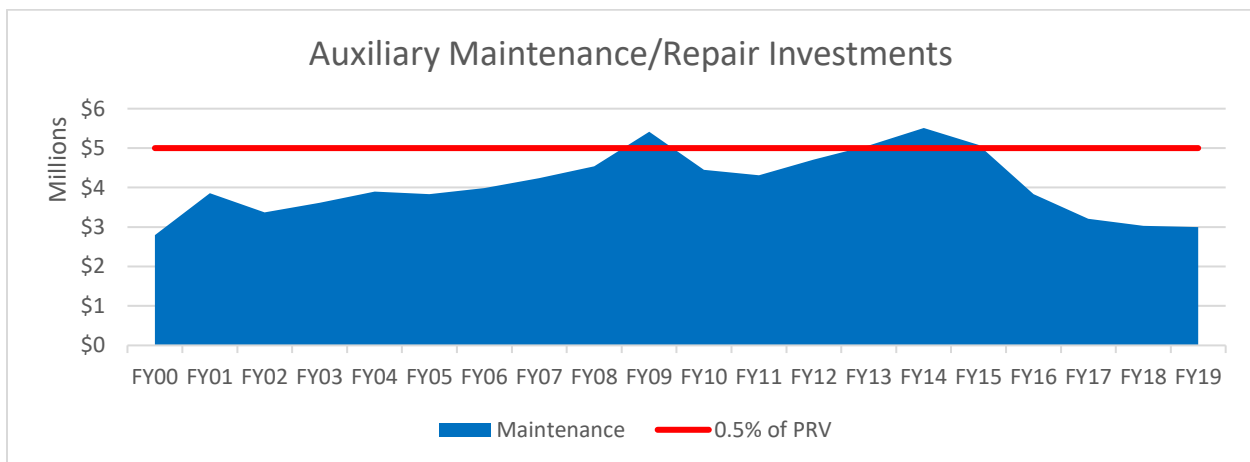


Figure 3

Major Repair Investments

Major repairs are the next critical investment priority after maintenance. Major repairs commonly include significant restoration/replacement of building components to return the system to near original operating capability. The combined investment of both maintenance and repair is key to maximizing a facility's service life. The investment model utilized for this report to assess the University's facility investment situation is a simple algorithm which measures the maintenance and repair investment as a percentage of overall Plant Replacement Value. In this model, 2% is viewed as a reasonable investment level to sustain facilities for their intended life span when facility management experts generally agree that investment levels of between 2% and 4% are required depending on the type of facility, level of use, and current state of deferred deficiencies. If investments are made too low, the backlog of deferred requirements continues to build as deficiencies accumulate, and overall repairs become more costly to restore to acceptable conditions as deficiencies worsen.

Viewing the campus under the General Revenue and Auxiliary portions as shown previously, each portion of the campus represents about \$1B of PRV for a conservative total of \$2B. Like with any valuation criteria, this PRV calculation will vary by time. The conservative \$2B total is considered a reasonable representation of average value for this nearly 20-year time span. A 2% investment in maintenance and repair would amount to a total of \$40M total, or \$20M for each portion. In figure 4, the complete maintenance and repair General Revenue investment history is presented since FY00, and, on average, the investment level has been only 0.4% despite the inclusion of sporadic support of State repair funding. The void between the investment levels made over the years and this 2% of PRV target represents over \$310M in under-investment in this 20-year period alone.

A minor investment surge occurred between FY12-FY16 which breached the 0.5% level with the help of some state renewal funding. Significant projects in this period consisted of repairs to the underground electrical infrastructure, repairing outdated fire alarm systems, repair/replacement of emergency generators, and roof replacements for seven campus buildings. For FY19, renewed State support for investing in repair requirements has led to an initial investment supplement of ~\$6.5M which will be targeted toward repairs for boilers and steam distribution requirements. Another ~\$20M in urgent requirements supporting additional steam distribution, electrical infrastructure, roofs, and building structural repairs has been identified for possible funding in FY19.

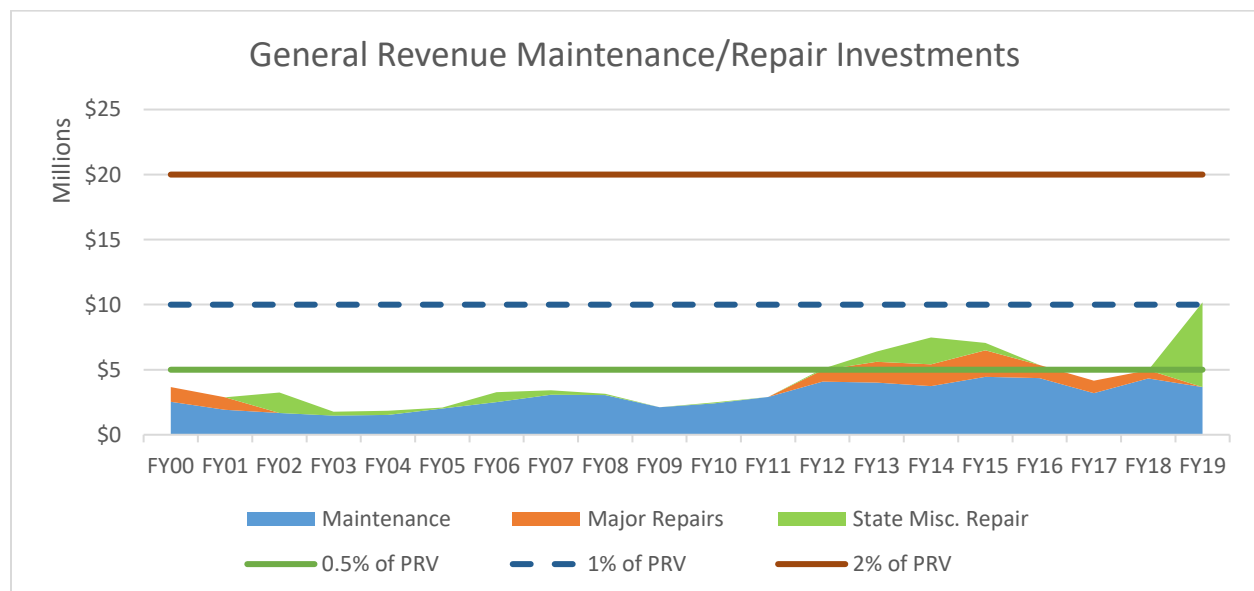


Figure 4

This level of historic and current level of investment has not been sufficient to keep up with the constant accumulation of facility deficiencies. FY18 General Revenue investments fell short of this 2% industry guideline by \$15M with total maintenance and repair investments barely reaching the 0.5% level.

To illustrate the impact of this long-term maintenance and repair underinvestment, a subjective condition assessment was developed for the inventory of General Revenue buildings using a grading scale as shown in table 1. While recognized as not a precise assessment of overall building condition, it does help illustrate the magnitude of concern and how conditions are likely to worsen if continued under investment occurs. A higher fidelity accounting of facility conditions can typically cost >\$200K and could not be justified at this time.

Building Condition Grading Spectrum: Table 1

Red (R)	Building or portions of building is not currently habitable without repair investment.
Yellow-Low (Y-L)	Building has significant repair needs that will impact mission within a year.
Yellow-High (Y-H)	Building in generally good condition with significant repair needs that may impact mission in 1-2 years.
Green-Low (G-L)	Building in generally good condition with some indication of significant repair needs in 2-3 years.
Green-High (G-H)	Building in good condition with normal maintenance/minor repair needs. Little risk to mission.

In figure 5 below, the condition of 62 General Revenue buildings is shown by overall count where each building is equally represented and then shown by square footage area. The representation by area is a more realistic view of the overall campus condition and demonstrates how over 2/3 of the General Revenue building space is at risk of needing significant repairs within a 2-year horizon to remain adequately mission capable. Continued underinvestment in maintenance and repair will cause this picture to worsen as more buildings become either unoccupiable or accumulate more deficiencies that increase the risk of mission impact. The red condition represents Adams Hall which is not occupied on the upper floors due to water infiltration and elevator repair deficiencies. Other buildings may be coming close to the threshold of not being able to support the intended mission.

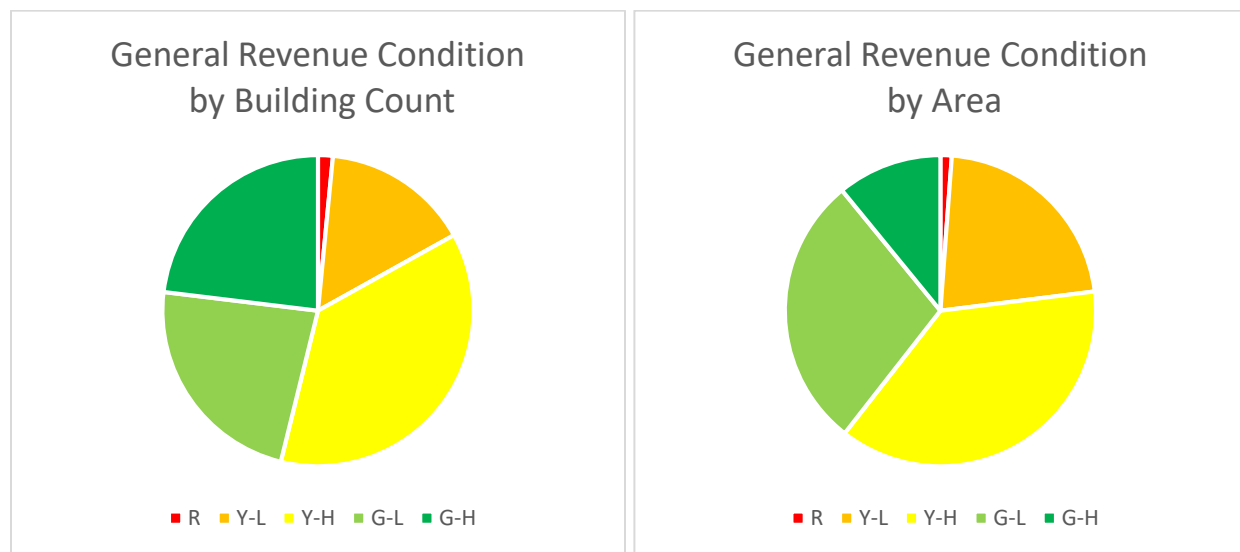


Figure 5

In a similar manner, the total facility maintenance/repair investment supporting Auxiliary operations was plotted in figure 6. On average, particularly with an investment spike in FY13-FY14 supported by Build America Bond financing, this investment level comes to 0.6% as opposed to the General Revenue investment level of 0.4%. As previously addressed under the construct of the 2% of PRV investment model, FY18 Aux/Bond investments fell short of the 2% industry standard by \$15.6M. When considered cumulatively over this 20-year period, the under-investment from the 2% of PRV objective represents over \$280M.

The investment surge in FY13-14 period supporting Aux/Bond structures included repair efforts such as electrical infrastructure improvements, parking lot patching/repaving, steam line/tunnel repairs, painting and roof replacement at the Recreation Center and Holmes Student Center.

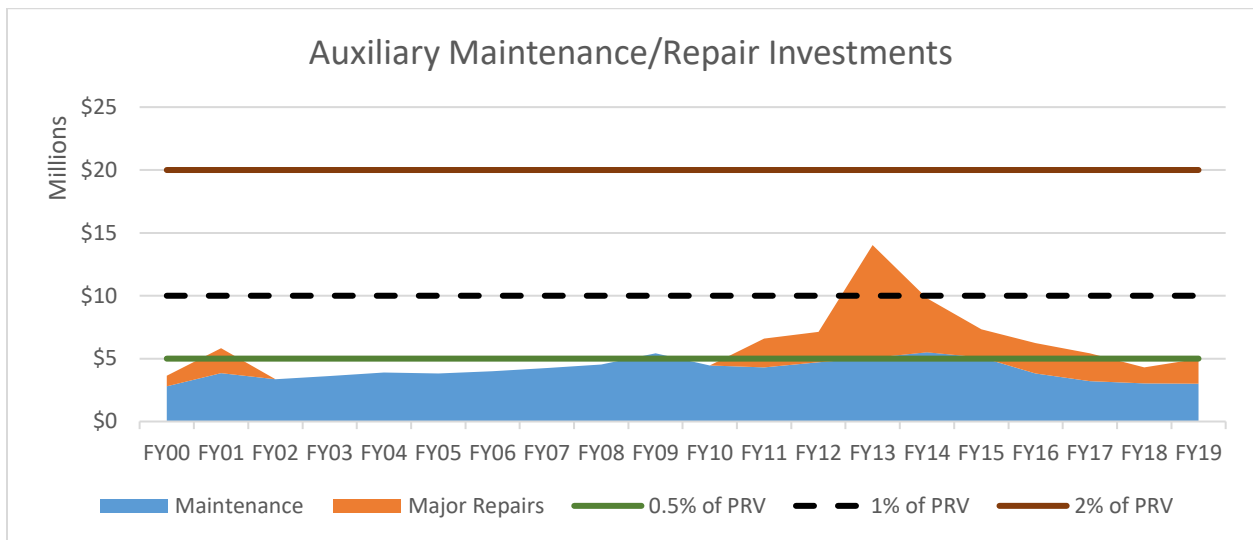


Figure 6

In figure 7 below, the condition of 31 Auxiliary/Bond Revenue buildings are shown by overall count where each building is equally represented and then shown by square footage area. The representation by area is a more realistic view of the overall condition and demonstrates how over 1/2 of the Aux/Bond building space is at risk of needing significant repairs within a 2-year horizon. Continued underinvestment in maintenance and repair will cause this picture to worsen as more buildings become either unoccupiable or accumulate more deficiencies that increase the risk of mission impact. The red condition represents the Lincoln Hall residential complex which is currently not capable of being utilized due to the state of deterioration. Given the reduced need for residential housing, Lincoln Hall represents an opportunity to right size the housing footprint through a future demolition effort.

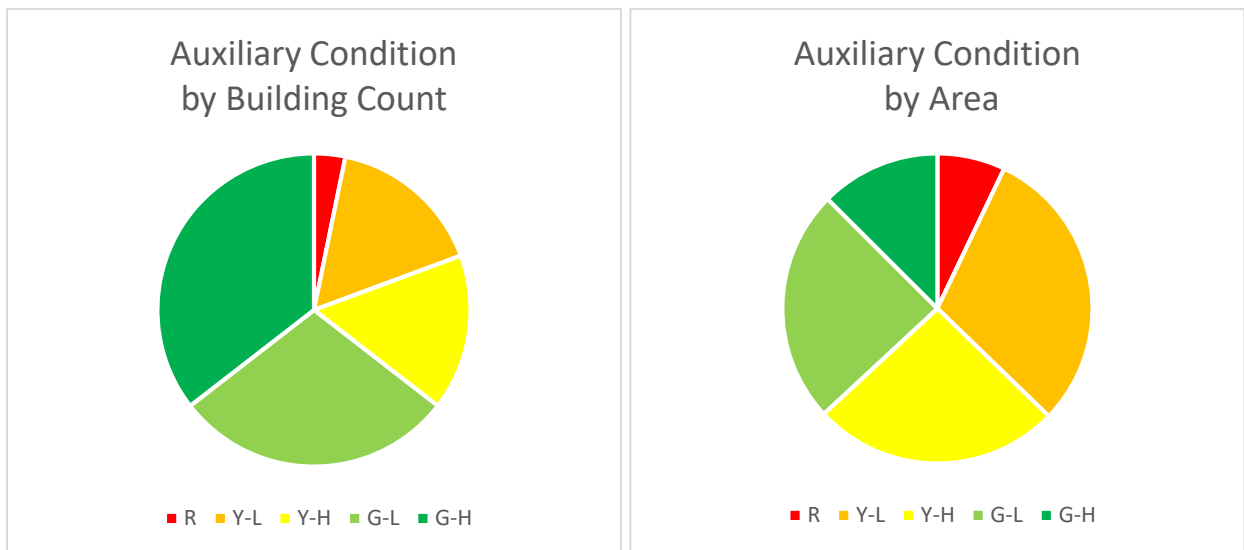


Figure 7

Mission Enhancement Investments

Mission enhancement investments in facilities are defined as improvements that are new or add to an existing capability. As such, these investments may or may not have a direct impact on sustaining a building for its intended life span. This could include updates to a building’s appearance, reconfiguring spaces to better accommodate the supported mission, or adding other capabilities not previously present in the structure. While still important investments for enhancing a building’s appeal and general functionality, this category is differentiated from the maintenance/repair investments which are meant to sustain facilities.

Mission enhancement investments in General Revenue buildings are plotted in figure 8 below. The % of PRV investment model is shown as a reference for the magnitude for this investment, but the entire mission enhancement investment should not be construed as directly contributing towards the 1% or 2% maintenance and repair investment targets. While these mission enhancement investments may have been important for updating, modernizing, or generally improving the building’s mission support, they may not be contributing towards the sustainment of the building by eliminating existing deficiencies.

Assuming for a moment that the entirety of mission enhancement investments did contribute towards a building’s sustainment, the combination of maintenance, repairs, and mission enhancement investments over this 20-year period averaged to only 0.8% of the PRV. This cumulative gap of over \$230M from reaching the 2% investment target further illustrates the magnitude of under-investment for the General Revenue facilities and infrastructure. Mission enhancement investments for FY18 consisted mostly of the state-funded Stevens construction project which ended in May.

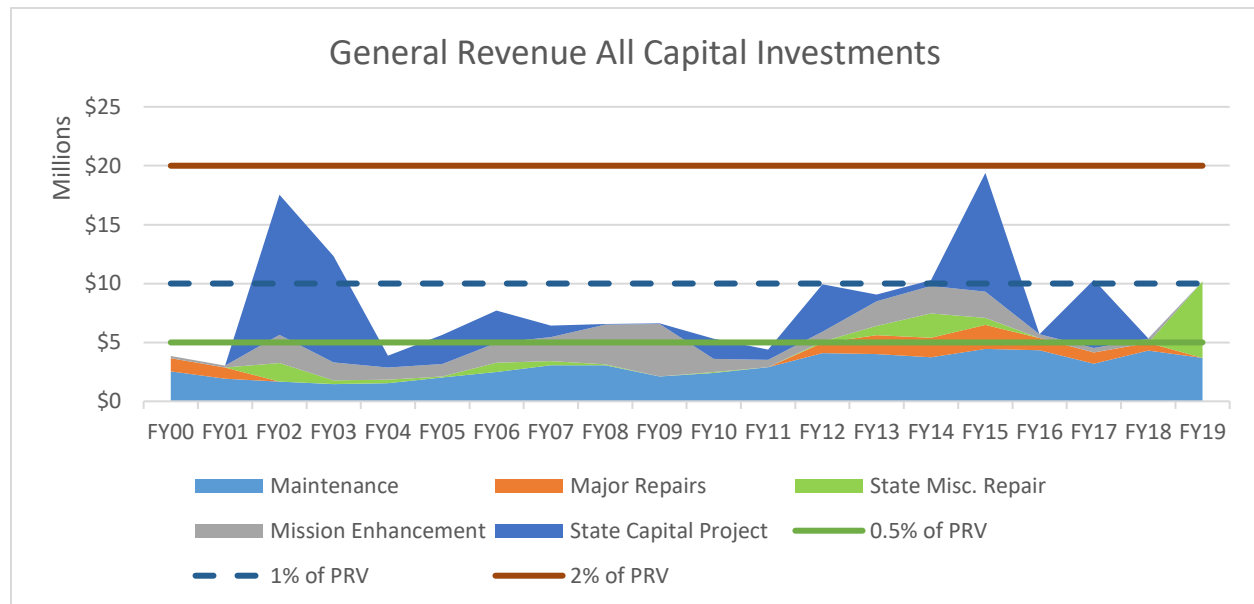


Figure 8

Mission enhancement investments in Auxiliary/Bond Revenue buildings are plotted in figure 9 below¹. Again, the % of PRV investment model is shown as a reference only to illustrate the magnitude for this investment. Assuming for a moment that the entirety of maintenance, repair, and mission enhancement investments would contribute towards sustaining a building/infrastructure, the total investments over this 20-year period average to 1% of PRV. While slightly better than the General Revenue side, this cumulative gap of over \$180M from reaching the 2% investment target also further illustrates the magnitude of under-investment in Auxiliary buildings/infrastructure. The largest period of investment in the Auxiliary portion of the campus occurred during the FY11-FY16 period and was spurred by the financing from the Build America Bonds. This supported projects such as the Gilbert Hall renovation, Grant North towers renovation, Outdoor Recreation Center construction, fire sprinkler installation for Stevenson Hall, and the Lucinda Ave extension following the Douglas Hall demolition. The remaining Build America Bond availability is planned to be expended mostly in FY19 and FY20 for the Holmes Student Center ground floor renovation.

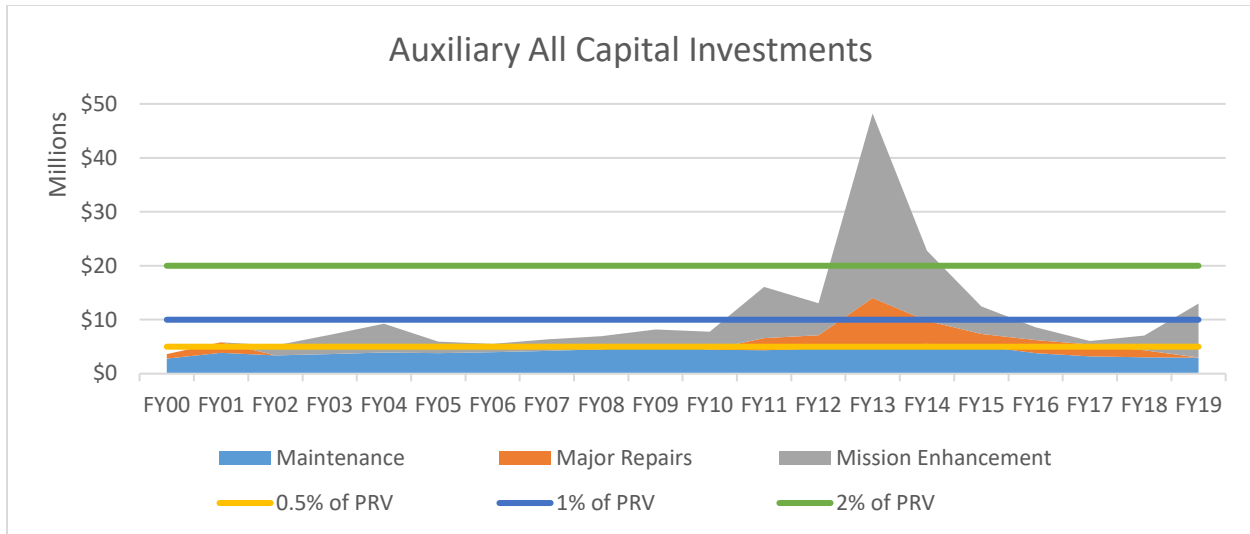


Figure 9

¹ The financed construction investment of the New Residential Hall was not able to be incorporated into this historical assessment at this time and will be evaluated in future assessment reports as more information is gathered.

Conclusion

This report continues to represent a fundamental shift in how the University is viewing facility investments and the overall health of the campus physical plant. The extended period of systematic underinvestment, shown in this report, has removed much of the flexibility facilities might typically have to endure periods of low funding support through deferred repairs with interim patches. Older facilities have endured this strain longer than newer facilities and will be the structures that exhibit the more significant future failures that may cause mission impacts. As more “repair attention” must be paid to these pending failing building systems, sacrifices are likely to be made by deferring timely repairs to the newer structures which tends to continue the overall cycle of deterioration rather than sustain a consistent level of overall condition across an inventory of buildings.

Efforts have continued to explain this dire investment requirement to various state leaders and there appears to be renewed interest from the legislature and GOMB on this topic. The funding released to date in FY19 allowing the Capital Development Board to proceed with critical repair projects focused on the steam infrastructure are a good indication of changing perspectives. Continuing discussions with these key stakeholders will focus on sustained investment levels through a multi-year investment plan and reintroduction of large mission enhancement investments such as new construction and whole building renovations.

In the meantime, the University continues to systematically prioritize maintenance and repair needs and integrate high impact mission enhancement investments, where possible. For FY18, as shown in figure 10, this has focused more funding towards maintenance/repair requirements. As the Holmes Student Center renovation project executes in FY19, this will show more investment mission enhancement investment for the auxiliary side than maintenance/repairs.

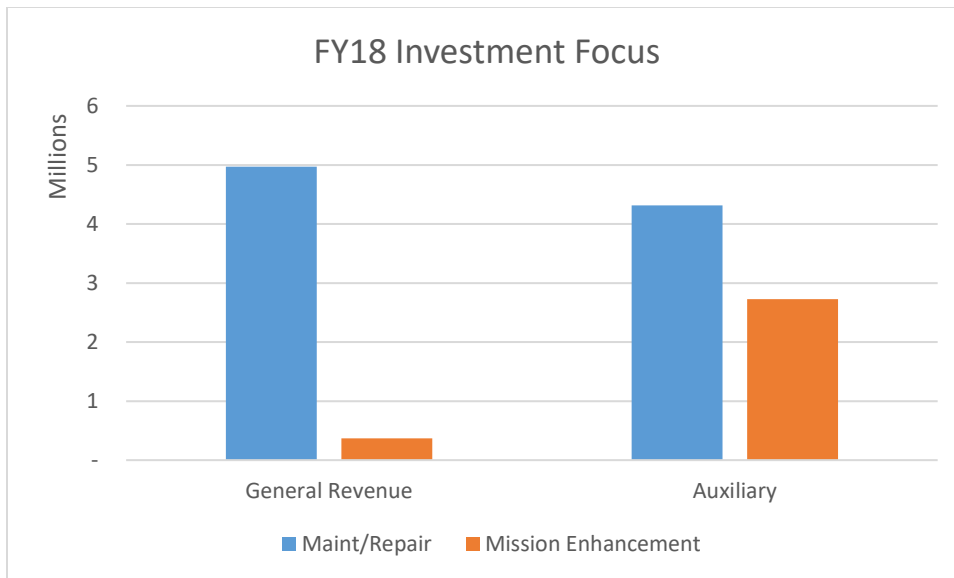


Figure 10

Appendix A

Historical Highlights of Approved Projects

In Fiscal Year 2011, the Board approved seven projects in excess of \$1.0 million: \$85.76 million for projects related to Campus Non-Instructional Modernization and Capacity Improvement, \$7 million for the renovation of parking facilities, \$5.24 million for a new Outdoor Recreation Facility, \$3.00 million for Grant Tower Renovation Phase I, \$2.88 million for Electrical Infrastructure upgrades, \$2.69 million for Stevenson Fire Sprinkler System and \$1.74 million approval of CDB Funds for Roof Replacement on seven general revenue buildings. There was one project between \$500,000 and \$1,000,000: \$970,000 was approved for the roof replacement at Holmes Student Center. There were two project approvals between \$250,000 and \$500,000 that totaled \$692,000: \$365,000 for Campus Alert Phase II, and \$327,000 to repair the building envelope at Lincoln Hall. There were three project approvals between \$100,000 and \$250,000 that totaled \$601,932 and twenty seven projects under \$100,000 were approved. There were ten repair and remodeling projects approved for research, learning, classroom, and support spaces.

In Fiscal Year 2012, the Board approved two projects in excess of \$1.0 million: \$3.30 million for Huskie Stadium scoreboard, \$1.80 million for campus 100% wireless coverage. In addition, the Capital Development Board approved a budget increase of \$2.90 million for Stevens Building Renovation. There was one project between \$500,000 and \$1,000,000: the CDB approved a budget increase of \$572,600 for roof replacements on seven campus buildings. There was one project approval between \$250,000 and \$500,000: \$385,000 for Campus Alert Phase III. There were ten project approvals between \$100,000 and \$250,000 that totaled \$1,799,048, there were twenty-seven projects under \$100,000 approved, fourteen of which were under \$25,000. There were eight repair and remodeling projects approved for research, learning, classroom, and support spaces. Notable projects include the new DOD super computer for Computer Science, 100% wireless coverage for campus, three smart classrooms and a new laboratory for Computer Science.

In Fiscal Year 2013, the Board approved two projects in excess of \$1.0 million: \$2.58 million for Electrical Infrastructure and \$1.25 million for Campus Alert Systems. In addition, Campus maintenance projects totaled \$1.65 million for general campus improvements. There was one item between \$500,000 and \$1,000,000 approved by the Board: \$650,000 for new electronic advertising fascia boards at Huskie Stadium. There was one project between \$250,000 and \$500,000: \$270,985 for emergency repairs of the entry plaza/mechanical room deck at Montgomery Hall. There were fifteen project approvals between \$100,000 and \$250,000 that totaled \$2,430,729 and there were twenty-three projects under \$100,000 approved, nine of which were under \$25,000. There were ten repair and remodeling projects approved

for research, learning, smart classroom, and support spaces. Notable projects include the new entry door system for Founders Library, four smart classrooms and a renovated temporary Anthropology lab space for use during the renovation of Stevens Building.

In Fiscal Year 2014, the Board approved two projects in excess of \$1.0 million: \$2.25 million for a new Public Safety radio system and \$1.38 million for Electrical Infrastructure. In addition, Campus maintenance projects totaled \$1.59 million for general campus improvements. There was one project between \$250,000 and \$500,000: \$450,000 for new "beta version" small bus transit system for central campus. There were ten project approvals between \$100,000 and \$250,000 that totaled \$1,685,620 and there were fifty projects under \$100,000 approved, thirty of which were under \$25,000. There were twenty repair and remodeling projects approved for research, learning, smart classroom, and support spaces. Notable projects include three smart classrooms, the new walk-in cooler for Geology research in Davis Hall and a new computerized video message board system for the College of Education.

In Fiscal Year 2015, the Board approved one project in excess of \$1.0 million: \$1.5 million for planning the renovation of Holmes Student Center and Neptune Residential Complex. There were two projects over \$500,000: Grant Central Roof Replacement at \$812,000 and renovation of the Animal Research Facilities located in Psychology / Computer Science and Montgomery Hall at \$850,000. Maintenance project approvals totaled \$3.03 million for general campus improvements with an additional \$373,071 approved for two emergency repairs. There were five projects between \$250,000 and \$500,000. Most notably two projects at Huskie Stadium: \$460,000 for a new turf field and \$300,000 for additional LED advertising ribbon boards. There were twenty-one project approvals between \$100,000 and \$250,000 that totaled \$4,760,342 and there were forty-nine project approvals under \$100,000, thirty were under \$25,000. There were seventeen repair and remodeling projects approved for academics, research, smart classrooms, and support spaces. Notable projects include the renovation of the Animal Research Facilities for Psychology and Biology, nine smart classrooms and classroom upgrades, additional compact storage for the Anthropology Museum, the first electric car charging station on campus, and this year one new facility was added, a new salt shed for Grounds Department to help manage purchasing and storing of winter de-icing salt.

In Fiscal Year 2016, the Board approved three projects in excess of \$1.0 million: The reallocation of \$20 million in Build America Bonds for the renovation of Holmes Student Center, \$1.9 million for renovation of New Hall Dining and Residence, \$1.25 million to replace the roof of Gabel Hall. There were five projects over \$400,000: \$750,000 for Grant Steam Vault, \$700,000 for the Boiler Assessment and Phase I Design, \$625,000 for Stevenson Towers Roof Replacement; \$440,000 for Lucinda Avenue Realignment; and \$400,000 for DuSable Steam Vault Repairs. There were four projects between \$200,000 and \$400,000. Most notable was the repair of the heating system for the Child Development Lab for \$246,300. There were twenty-three project approvals between \$25,000 and \$200,000 that totaled \$1,446,620 and there were twenty-eight projects under \$25,000 approved. There were twelve projects approved for General Revenue buildings. The majority of these projects were major repairs to critical building systems such as heating, ventilating, air conditioning, leaking roofs and deteriorated walls.

In Fiscal Year 2017, the State Budget impasse and the University's budget constraints played a major role in the number and dollar value of capital projects approved in Fiscal Year 2017. The Board approved only one project over \$1.0 million: the reallocation of \$5.4 million in Build America Bonds to begin remodeling, maintenance, repairs and updates to Neptune Residential Complex. There were only two projects over \$250,000: \$750,000 for Grant South Steam Vault replacement and \$500,000 to facilitate and complete the move-in to Stevens Building. The anticipated completion of Stevens by the State of Illinois Capital Development Board is spring 2018. There were six projects between \$100,000 and \$250,000 that totaled \$1,073,400 and six projects between \$50,000 and \$100,000 that totaled \$424,200. There were 52 projects between \$1,200.00 and \$50,000 totaling \$850,275. Total investment in Fiscal 2017 was 67 projects totaling \$8,997,875 in approvals. There were nine boiler, heating plant, steam tunnel, steam piping, and valve related repairs. Five other projects also related to mechanical systems and equipment on campus were completed. There was one major emergency repair to the water main at Neptune Residential Complex.

In Fiscal Year 2018, continuing enrollment and budget uncertainties played a role in the number and dollar value of capital projects approved in FY18. The Board reconfirmed approval of the budget and use of Build

America Bond funds for Holmes Student Center renovation at \$20 million. The Board approved only one additional project over \$1.0 million: \$1.27 million to replace the video boards and scoreboards at the Convocation Center. There were only two projects approved over \$250,000: \$468,000 for the renovation of Founders Café and \$275,000 for the renovation of the Nelson Suite at Convocation Center. There were eight projects between \$100,000 and \$250,000 that totaled \$1,262,600.00 and six projects between \$50,000 and \$100,000 that totaled \$449,000. In addition there were approximately 75 other projects totaling \$1,719,000. There was one major emergency repair to the steam tunnel on Normal Road at LaTourette Hall.

Appendix B

Semi-Annual Progress Report of Active Capital Projects with a Budget over \$100,000

All projects listed herein were previously approved by the Board of Trustees or the President and are currently in process. The Authorization Date is identified for all NIU-funded projects; the fiscal year is identified for all CDB-funded projects. Status reports are provided on any project, regardless of initiation date, until all work has been completed and all payments have been made.

CAPITAL DEVELOPMENT BOARD PROJECTS

I. Projects in the Planning Phase

N/A

II. Projects in the Design Phase

A. Remodeling and Rehabilitation

N/A

B. Site and Utilities

1. DeKalb Campus –West Heating Plant and Boiler Replacement Phase I

Total Project Budget: \$16,000,000
Source of Funding: Institutional - Auxiliary Reserves
FY2019 – CDB State Appropriated
Authorization Date: June 2017
Architect/Engineer: TBD

Status: The University will enter into an Inter-Governmental Agency Agreement with Capital Development Board to manage the Phase I Design and Construction of the Boiler Replacement project using a "Design/Build" project delivery method. The State Legislature granted authority to CDB to manage a portion of State funded construction projects using the design build process.

III. Projects in the Construction Phase

A. Remodeling and Rehabilitation

1. Stevens Building – Addition & Renovation

Total Project Budget: \$37,300,135 (estimated)
Source of Funding: FY2010 – CDB Amended FY2017
FY2017 – NIU Appropriated Funds
Architect/Engineer: PSA Dewberry/BCA - Elgin

Status: Construction work was completed in May and building commissioning was completed during the summer. School of Theatre and Dance and Department of Anthropology moved back into the facility in mid-May and the building is back in use for fall semester academic classes. Contractors are completing remaining punch list work and final payment applications are in process.

NORTHERN ILLINOIS UNIVERSITY PROJECTS

I. Projects in the Planning Phase

A. Remodeling and Rehabilitation

1. Holmes Student Center / Neptune Complex Redevelopment Plans

Total Project Budget: \$1,500,000
Source of Funding: Bond Series 2010 Project
Authorization Date: June 2014
Architect/Engineer: Dewberry - Peoria (Holmes)
Design Organization – Chicago (Neptune)

Status: Master planning work has been completed for both Holmes Student Center and Neptune Complex. Final payments for the planning work are in process.

2. Stevenson and Grant Residence Halls - Building Envelope Repairs

Total Project Budget: \$525,000
Source of Funding: Institutional - Auxiliary Reserves
Authorization Date: December 2016
Architect/Engineer: TBD

Status: An assessment of the existing building envelope systems (exterior walls) which include precast concrete, aluminum curtain wall and masonry wall systems will provide a reliable cost estimate and detailed specifications for repair. Efforts to proceed with this project have been delayed due to competing priorities. The University is preparing to contract with a qualified Architectural/Engineering firm to provide the assessment and design.

3. Holmes Student Center Hotel Tower - Building Envelope Repairs

Total Project Budget: \$250,000
Source of Funding: Institutional - Auxiliary Reserves
Authorization Date: December 2016
Architect/Engineer: TBD

Status: An assessment of the existing building envelope systems (exterior walls) which include aluminum curtain wall and masonry wall systems will provide a reliable cost estimate and detailed specifications for repair. Efforts to proceed with this project have been delayed due to competing priorities. The University is preparing to contract with a qualified Architectural/Engineering firm to provide the assessment and design.

II. Projects in the Design Phase

A. Remodeling and Rehabilitation

1. Stevenson Towers A & D – Roof Replacement

Total Project Budget: \$625,000
Source of Funding: Institutional – Auxiliary Reserves
Authorization Date: March 2016
Architect/Engineer: Arcon Associates - Lombard

Status: Design documents are in process. Construction work will be planned and scheduled to take advantage of semester breaks and summer schedules.

2. Holmes Student Center - Phase I Redevelopment

Total Project Budget: \$20,000,000
Source of Funding: Bond Series 2010 Project
Authorization Date: June 2016
Architect/Engineer: Dewberry - Peoria

Status: Design and construction bid documents are complete. A/E firm continues to assist with assessments during the construction phase.

3. Stevenson Towers B & C – Roof Replacement

Total Project Budget: \$625,000
Source of Funding: Institutional – Auxiliary Reserves
Authorization Date: September 2016
Architect/Engineer: Arcon Associates - Lombard

Status: Project design is complete. Construction work will be planned and scheduled to take advantage of semester breaks and summer schedules. Future reports of this project will be included in "Projects in the Construction Phase" section of this report.

B. Site and Utilities

1. Naperville Parking Lot Reconstruction – Phase II

Total Project Budget: \$1,215,000
Source of Funding: Local Funds - NIU Naperville Operations
Authorization Date: September 2015
Architect/Engineer: Engineering Resource Associates, Inc. - Warrenville

Status: Project is cancelled in lieu of smaller repair actions. Larger repair actions will be reassessed for the future. Last report for this action.

III. Projects in the Construction Phase

A. Remodeling and Rehabilitation

1. DeKalb Campus – Campus Alerting System Phase IV

Total Project Budget: \$1,250,000
Source of Funding: Appropriated Funds
Authorization Date: March 2013
Architect/Engineer: NIU A&E Services

Status: This project encompasses the final phase of the campus alert system. The work is approximately 70% complete. The construction work will be planned and scheduled to take advantage of semester breaks, weekends, and summer schedules. Project has been temporarily delayed due to cash flow considerations. Once the overall University budget is stabilized, the project is expected to be completed in 18 months.

2. Holmes Student Center - Phase I Redevelopment

Total Project Budget: \$20,000,000
Source of Funding: Bond Series 2010 Project
Authorization Date: June 2016
Architect/Engineer: Dewberry - Peoria

Status: Construction bids were received in August and construction contracts with the five prime contractors have been completed. Construction work started in October. The construction fence is in place, demolition and removal of remaining equipment is in process.

3. Neptune Complex Upgrade

Total Project Budget: \$5,400,000
Source of Funding: Bond Series 2010 Project
Authorization Date: March 2017

Architect/Engineer: Cordogan Clark - Aurora
NIU A/E Services

Status: Additional work in Neptune West was completed during the summer break of 2018. Remaining renovation improvements are planned for Neptune East and are anticipated to be completed by summer 2019.

4. Founders Library – Café Renovation

Total Project Budget: \$467,500
Source of Funding: Institutional – Auxiliary Operating Funds
Institutional – Auxiliary Reserves
Authorization Date: October 2017
Architect/Engineer: NIU A/E Services

Status: All work is complete. Final payments to the contractors are in process.

5. Founders Library – Discover Financial Services Renovation

Total Project Budget: \$1,000,000 (est.)
Source of Funding: Lessee Improvement
Authorization Date: December 2017
Architect/Engineer: Gensler - Chicago

Status: Discover has completed all renovation work as planned and successfully implemented the internship program in the new space for the beginning of the fall semester. Contractors are completing remaining punch list work and final payment applications are in process.

6. Residence Halls – FY18 Rotation Painting

Total Project Budget: \$220,500
Source of Funding: Institutional – Auxiliary Reserves
Authorization Date: February 2018
Architect/Engineer: NIU Physical Plant

Status: Work is complete. Final payments have been made. This will be the final report on this project.

7. Convocation Center – Replace Video Board/Scoreboard

Total Project Budget: \$1,270,000
Source of Funding: Institutional – Auxiliary Reserves
Institutional – Local Funds
Authorization Date: March 2018
Architect/Engineer: NIU A&E Services & Intercollegiate Athletics

Status: Work on the video and scoreboard has been completed. Training and programming is complete. Contractors are completing remaining punch list work and final payment applications are in process.

8. Lincoln Hall – Salvage Equipment from Building

Total Project Budget: \$107,600
Source of Funding: Institutional – Auxiliary Reserves
Authorization Date: March 2018
Architect/Engineer: NIU Physical Plant

Status: Work is complete. Final payments have been made. This will be the final report on this project.

9. Lorado Taft Campus – Repair Roofs on Five Buildings

Total Project Budget: \$214,200
Source of Funding: Institutional – Local Funds
Authorization Date: March 2018
Amended May 2018
Architect/Engineer: NIU Physical Plant

Status: All work is complete. Final payments to the contractors are in process.

10. Convocation Center – Update Nelson Suite

Total Project Budget: \$275,000
Source of Funding: Foundation – Local Funds
Authorization Date: March 2018
Architect/Engineer: Populus - Kansas City, Missouri
Larson Darby – Rockford, Illinois

Status: Design work and donor review was completed, and construction documents are complete. Work will be scheduled when feasible and will take advantage of semester breaks and event schedules.

11. Telephone & Security – Asian American Resource Center Relocation

Total Project Budget: \$132,650
Source of Funding: Appropriated – Income Funds
Authorization Date: June 2018
Architect/Engineer: NIU A/E Services

Status: Renovations were undertaken during summer break, all work is now complete. Final payments are in process.

12. DuSable Hall – Remodel the Dusable Food Venue

Total Project Budget: \$105,000
Source of Funding: Institutional – Auxiliary Reserves
Authorization Date: June 2018
Architect/Engineer: NIU A/E Services

Status: Renovations were made during summer break. Contractor is working on punch list items. Final payments are in process.

13. Residence Halls – FY19 Rotation Painting

Total Project Budget: \$249,000
Source of Funding: Institutional – Auxiliary Reserves
Authorization Date: July 2018
Architect/Engineer: NIU Physical Plant

Status: Work will be scheduled when feasible and will be scheduled to take advantage of semester breaks to minimize disruptions. The work is approximately 35% complete; the work will continue with completion anticipated in May 2019.

14. Grant Tower A – Art Studios Relocation from Art Annex

Total Project Budget: \$130,500
Source of Funding: Appropriated – Income Funds
Authorization Date: September 2018
Architect/Engineer: NIU A/E Services

Status: Renovations, ventilation and security improvements will allow the Art Studios to move into Grant Tower A. Work will continue to be scheduled to take advantage of semester breaks and as schedules allow.

B. Site and Utilities

1. DeKalb Campus – Electrical Infrastructure Replacement Phase II

Total Project Budget: \$2,580,000 (estimated)
Source of Funding: Bond Series 2010 Project
Appropriated Funds – Administrative Support
Authorization Date: March 2013
Architect/Engineer: NIU A&E Services

Status: Construction started in Fall 2013 and is approximately 95% complete. A consulting engineer is completing a critical survey of the existing electrical service at each building. This work will continue to be scheduled to take advantage of semester breaks and as schedules allow.

2. DeKalb Campus - Electrical Infrastructure Replacement Phase III

Total Project Budget: \$2,550,000 (estimated)
Source of Funding: Appropriated Funds
Bond Series 2010 Project
Authorization Date: March 2014
Architect/Engineer: NIU A&E Services

Status: Construction work began in late 2014 and is approximately 29% complete. Work has been temporarily delayed due completing priorities.

3. DeKalb Campus – Steam Tunnel – Supports and Stanchion Repairs

Total Project Budget: \$105,900
Source of Funding: Institutional - Auxiliary Reserves
Authorization Date: May 2017
Architect/Engineer: NIU Heating Plant

Status: All work is complete. Final payments have been made. This will be the final report on this project.

4. DeKalb Campus – Electrical Distribution & Steam Tunnel Emergency Repairs

Total Project Budget: \$249,000 (estimated)
Source of Funding: Appropriated – Income Funds
Authorization Date: August 2017
Architect/Engineer: NIU A&E Services

Status: All repair work is complete. Reimbursement claims are being made to responsible parties via insurance provider. This will be the final report on this project.

5. DeKalb Campus – Parking Lot Repairs

Total Project Budget: \$124,800
Source of Funding: Institutional - Auxiliary Reserves
Authorization Date: August 2017
Architect/Engineer: NIU A&E Services

Status: All work is complete. Final payments have been made. This will be the final report on this project.

6. DeKalb Campus – FY18 West Campus Steam Outage Repairs

Total Project Budget: \$108,850
Source of Funding: Institutional - Auxiliary Reserves
Appropriated – Income Funds
Authorization Date: May 2018
Architect/Engineer: NIU Physical Plant

Status: All work is complete. Final payments are in process.

7. DeKalb Campus – FY19 Roadway Repairs

Total Project Budget: \$106,750
Source of Funding: Institutional - Auxiliary Reserves
Appropriated – Income Funds
Authorization Date: July 2018
Architect/Engineer: NIU A&E Services

Status: All work is complete. Final payments are in process.

STATE LEGISLATIVE UPDATE

2018 Midterm General Election Overview

On November 6, Illinois voters had their last chance to go to the polls and vote for their preferred candidates for Governor, all statewide offices (Attorney General, Comptroller, Secretary of State and Treasurer), 39 out of 59 state senate seats, and all 118 state representative seats.

Illinoisans elected the following individuals to Illinois' statewide offices:

- JB Pritzker, Governor-Elect
- Juliana Stratton, Lt. Governor-Elect
- Kwame Raoul, Illinois Attorney General-Elect
- Susana A. Mendoza, Illinois Comptroller
- Jesse White, Illinois Secretary of State
- Michael W. Frerichs, Illinois Treasurer

Come January 2019, there will be a change in Executive Administration, with JB Pritzker and Juliana Stratton slated as Governor-Elect and Lt. Governor-Elect. Since the election, Governor-Elect Pritzker has begun to announce the members of his transition teams, which thus far include individuals from both partisanship. Notably, former Governor Jim Edgar will serve as a co-chair of the Transition Committee, former Comptroller Dan Hynes will serve as a senior advisor to the Transition Committee and as Chair of the Budget and Innovation Committee, and former Senate Minority Leader Christine Radogno will come out of retirement for the duration of the transition to serve on Pritzker's Budget and Innovation Committee.

At the time of this report, in the General Assembly, the Senate Democrats hold a total of 39 (+2) seats, retaining their super majority status. The Senate Republicans hold 19 (-2) seats, and the race for Senate District 21 has not yet been called. The House Democrats hold a total of 73 (+6) seats, bringing their Caucus to super majority status. House Republicans hold a total of 43 seats, and the races for House Districts 51 and 54 have not yet been called.

Northern Illinois University has three new alumni joining the General Assembly, all in the House of Representatives, bringing the total count of NIU alumni in the Illinois Legislature to ten members.

The new NIU alumni slated to join the General Assembly in January 2019 are as follows:

- Representative-Elect Amy Grant, House District 42
- Representative-Elect Bob Morgan, House District 58
- Representative-Elect Lance Yednock, House District 76

Governor-Elect JB Pritzker on Higher Education:

During his campaign for Governor, JB Pritzker released an overview of his plan for higher education. The Governor-Elect's plan is to grow a globally competitive workforce in Illinois, with a focus on three specific areas: (1) increasing college affordability, (2) keeping Illinois students in the state, and (3) expanding economic opportunity and promoting innovation.

Specifically, Governor-Elect Pritzker has noted the following highlights—all of which are policy decisions that would benefit NIU students, the campus community, and the overall health of the university:

- Increase funding for Monetary Award Program (MAP) grants by 50% and raise the maximum MAP award each student can receive. Currently, MAP is funded \$401 million and the maximum MAP award per student is \$4,968. A 50% increase would raise funding to just over \$601.5 million.
- Restore funding for public universities to pre-Rauner Administration levels, which would be FY15 initially enacted state appropriation levels.
- Create a common application process that allows students to fill out a single application for submission to every public university in Illinois.

- Launch new competitive programs that reward and encourage entrepreneurship and innovation.
- Facilitate collaboration between public and private universities to advance research and innovation.

2018 Legislative Veto Session

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

Vetoes to Watch

Over the past few months, Governor Rauner has vetoed a handful of bills that relate to higher education, or would require compliance if enacted. The following vetoed bills are being watched:

- **HB 4710 (Amendatory Veto)** – Creates the College Student Credit Card Marketing and Debt Task Force to be administered by the Illinois Department of Financial and Professional Regulation and study various factors regarding credit marketing and offers to Illinois college students, specifically ages 18-21 years. Names four of the nine public institutions as representatives of the task force: EIU, ISU, SIU and U of I. The Governor’s amendatory veto adds four items to the list of factors to be examined by the task force.
- **HB 4882 (Total Veto)** – Expansion of the Grow Your Own Teacher Education Act. If the Governor’s total veto is overridden, potential program candidates of the Grow Your Own Teacher program administered by the Board of Higher Education (IBHE) would be expanded to include high school students enrolled in dual credit courses offered by a participating institutions of higher education. IBHE is a proponent of the expansion.
- **SB 34 (Total Veto)** – Creates the Voices of Immigrant Communities Empowering Survivors (VOICES) Act, which sets consistent standards for law enforcement agencies that work with survivors of domestic violence, sexual assault, trafficking, and other certain crimes, codifying in law protocols for handling certification requests needed for victims to seek federal protection. NIU supports an override of the Governor’s total veto.
- **SB 2481 (Amendatory Veto)** – Amends the Court of Claims Act and increases the maximum award for certain claims sounding in tort from the current cap of \$100,000 to \$2 million, and provides annual adjustment based on the Consumer Price Index (CPI). The legislation was a procedural response to respectfully raise the maximum claim award for any future joint claim filed by the families and victims of the legionnaire’s outbreak(s) at the state’s Quincy Veteran’s Home. However, as written, the new \$2 million maximum would apply to all state agencies and public institutions—producing concerns of potential, unintended impact. Governor Rauner’s amendatory veto reduces the cap from \$2 million as passed by the General Assembly to \$300,000.

Additional Legislation of Note

There are a number of bills that have not yet passed the General Assembly that are being watched for movement during the two weeks of Veto Session. The following non-vetoed bills are being watched:

- **HB 3142** – Creates the Criminal History in College Applications Act and provides that a public college may not inquire about or consider an applicant’s criminal history information at any time during the admission decision-making process, including consideration of the most serious of offenses—murder and rape. The legislation prohibits NIU from screening the admission of potential threats to its students and campus community. In the best interest of student and campus safety, NIU opposes HB 3142 in its current form. *The bill passed the House 65-49 and is currently in the Senate Assignments committee.*
- **HB 4956** – 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. NIU opposes HB

4956 in its current form. *The bill passed the House 96-11-2 and is currently in the Senate Assignments committee.*

- **HB 5970** – Creates the Safe Spaces in Public Places Act and provides that beginning with the 2019-2020 academic year, institutions of higher education must install and operate walk-through metal detectors at each public entrance of the institution, as well as during any special event on campus if more than 1,000 people are present at the event. Rough estimates project that it would cost tens of millions of dollars to install and operate metal detectors at NIU's 218 public entrances. Further, it would require NIU to address class scheduling logistics, such as adjustment of between-class time periods and the number of courses offered daily. Any rebuilding of the course schedule has the potential to impact time-to-degree. NIU opposes HB 5970 in its current form and suggests the consideration of other measures that would more effectively address student safety. *The bill has not yet passed either chamber and is currently in the House Rules committee.*
- **HR 1017** – Resolves to support institutes of higher education in the implementation and expansion of evidence-based efforts that demonstrably improve outcomes for low-income, minority, and first generation students. HR 1017 further resolves that the Illinois P20 Council shall consider altering the goals to reach 60x2025 to include equity-focused targets aimed at closing institutional racial and socioeconomic achievement gaps. NIU strongly supports HR 1017 as it closely relates to NIU's commitment to addressing and closing achievement gaps at every level. *At the time of this report, HR 1017 was scheduled to be heard in House Higher Education Committee on 11/14.*
- **AIM High Trailer Bill** – While there has not yet been a bill filed, NIU is advocating for a trailer bill to the recent AIM High grant program that would allow public universities to retain unspent funds from a given fiscal year to use for scholarship grant renewals in subsequent fiscal years.

Special Events

During Veto Session, the following special events are scheduled to take place in Springfield:

- ❖ 11/14 – House Higher Education Committee, HR 1017
- ❖ 11/14 – Senate Higher Education Committee, subject-matter hearing on solutions regarding the shortage of behavioral healthcare workers in Illinois
- ❖ 11/27 – NIU testimony before the Legislative Audit Commission
- ❖ 11/27 – New Member Reception in Springfield, IL hosted by the University of Illinois
- ❖ 11/27 – IL Public University Presidents dinner with Senator Sandoval, Chairman of the Senate's Special Committee on Supplier Diversity
- ❖ 11/28 – Joint NIU and U of I Caucus meeting with university leadership to discuss updates on the Discovery Partner's Institute / Illinois Innovation Network

FEDERAL RELATIONS REPORT

This report covers the period of August through October 2018. The Office of Federal Relations (OFR) will provide an in-person briefing for the committee regarding the outcome of the November 6th elections.

The Administration

The Department of Education announced the commencement of the negotiated rulemaking process to address higher education accreditation and innovation. The main committee will focus on accreditation while three subcommittees will address distance learning and educational innovation, faith-based entities' participation in Title IV programs and TEACH Grants. The committee will meet three times in January-March 2019. In a departure from typical practice, the Department of Education would provide negotiators with a draft of regulations to start the process.

The National Science Foundation (NSF) and National Institutes of Health (NIH) are redoubling their focus on combating sexual misconduct in academia. As of October 21, the NSF has a new term and condition for awards whereby awardee organizations, such as NIU, must report "any findings or determinations that an NSF-funded principal investigator or co-principal investigator committed harassment, including sexual harassment or sexual assault". They must additionally report any "administrative action relating to a harassment or sexual assault finding or investigation". Following a report, the NSF would work with the awardee organization to decide on appropriate action. On September 17, the NIH issued a statement about the pervasive problem of sexual harassment in science, reaffirmed NIH's commitment to addressing the problem, and launched a comprehensive website on its anti-sexual harassment policies and activities.

The National Science Foundation (NSF) and National Institutes of Health (NIH) have also turned their attention to the issue of foreign influence and national security vulnerabilities in the American research enterprise. On October 24, the National Science Board of the NSF published a new statement that reaffirmed the principle behind NSDD-189, a Reagan era directive committing to global leadership in science and technology and a research environment that promotes that. The statement called for serious consideration of risks and benefits with all stakeholders before any organization "restrict[s] fundamental research beyond NSDD-189". The directive ends by asking institutions to "embrace transparency and rigorously adhere to conflict of interest and conflict of commitment policies [as well as] educate their communities about how to protect the integrity of research". On August 22, the NIH sent a letter to all grantees raising concerns about inappropriate foreign influence which poses risks to US biomedical research and other fields of science.

President Trump has nominated Dr. Kelvin Droegemeier, former Vice President for Research at the University of Oklahoma, as the Director of the White House Office of Science and Technology Policy. Dr. Droegemeier has widespread support from the scientific community. His nomination easily passed the Senate Commerce, Science, and Transportation Committee on September 5th and is now awaiting consideration by the full Senate.

Congress

Congress completed much of the Fiscal Year 2019 (FY19) appropriations process, providing funding for many of NIU's priority agencies including the Departments of Education, Energy, Defense, and Health and Human Services (which includes the NIH). Congress was unable to come to agreement on those appropriations bills that impact immigration, therefore those bills are on a continuing resolution (CR) which holds their funding flat at FY18 levels until December 7th. Among the agencies affected by the CR are NIU priority agencies the NSF, National Institute for Standards and Technology (NIST), and the Economic Development Administration (EDA) because they are appropriated through the bill that also funds the Department of Justice. These agencies are experienced at operating under a CR and minimal disruption to NIU equities is expected.

For context, FY18 was the largest year-on-year increase in regular spending for science-related accounts in seventeen years, so flat-to-modest gains across the federal science and technology portfolio were

expected in FY19 and that is the outcome we saw for those bills that were completed. Overall, education funding largely remained flat compared to FY18. Of particular note, Pell Grant funding remained flat while the maximum individual award cap increased by \$100 to \$6,195. Congress returns from its recess on November 13. While the lame duck agenda will be shaped by the election outcome, the remaining appropriations bills will likely top the agenda.

Federal Engagement with NIU

Recent and upcoming federal engagements with NIU include:

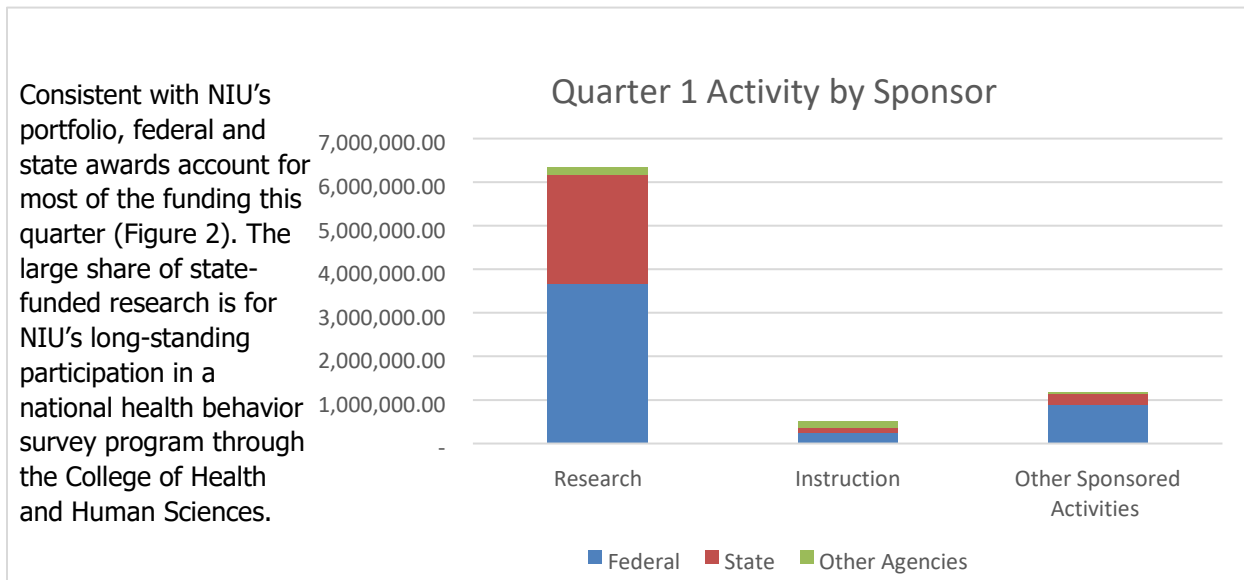
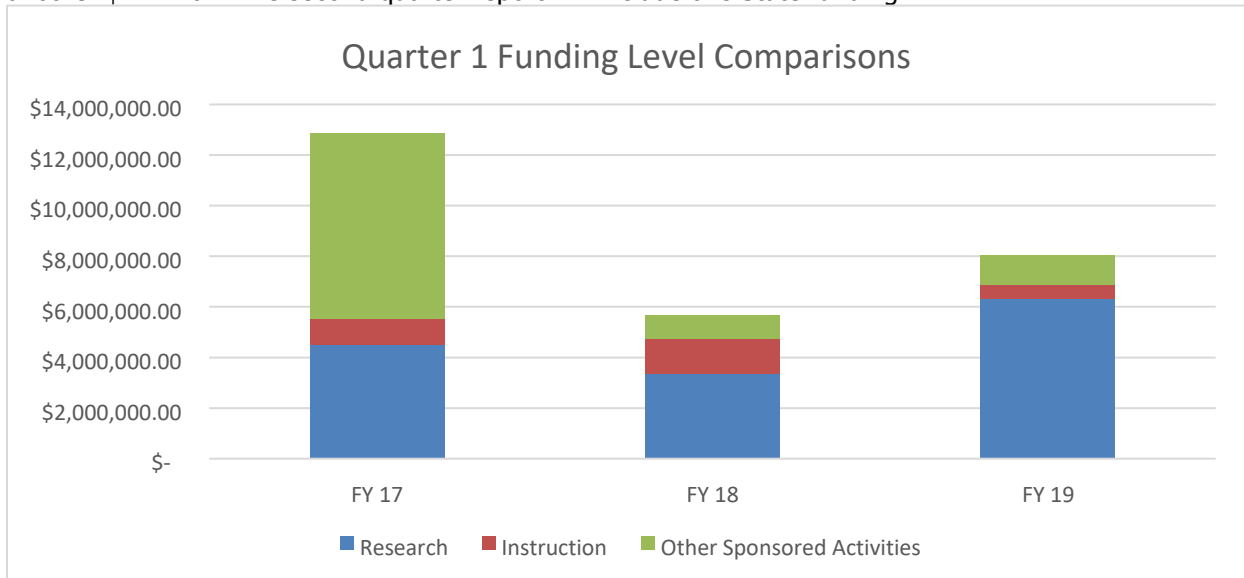
- October 19: Congresswoman Robin Kelly. Congresswoman Robin Kelly entered into the Congressional Record a statement entitled "Recognizing Northern Illinois University and Her New President, Dr. Lisa C. Freeman."
- Planning for March 13, 2019: Federal Agency Visits and NIU Congressional Reception. Building on last year's success, NIU Federal Relations, the NIU Foundation, and the NIU Alumni Association are partnering on a congressional reception that will showcase NIU federally funded researchers and build relationships with our alumni, federal agency officials, IL congressional delegation, and key stakeholders in national science and education policy. Researchers will visit relevant federal agencies while in DC.
- Planning for March 10-14, 2019: NIU Spring Break Trip to DC. Twelve NIU undergraduate students will visit DC to learn about the federal government through touring federal buildings and meeting with federal officials from the legislative and executive branches.

February through April is the busiest time of the year for campus visitors to Washington, DC, so the list of upcoming federal engagements with NIU will undoubtedly grow during the next quarter.

The Director of Federal Relations visited campus on July 23-27, August 15-16, and November 15 to attend in-person the Research and Innovation, Legal and Legislative Affairs Committee meeting.

SPONSORED PROGRAMS ADMINISTRATION

For the first quarter of FY19, NIU received 45 externally funded awards totaling \$8 million with well over half (79%) of these funds for research (Figure 1). SPA is finalizing several State of Illinois contracts and execution of these contracts is expected to increase sponsored funding (other sponsored activities) by another \$7 million. The second quarter report will include this State funding.



Tables one and two break out federal funding and research funding by agency.

Over half of this quarter's funding is from the federal government, this includes both direct federal funding and federal dollars passed through to NIU from a non-federal entity (Table 1). The large share of Department of Education funding is to support two well established NIU programs, Visual Disabilities Education and Training in the College of Education and Southeast Asian Language Studies in the Center for Southeast Asian Studies.

Table 1 - Federal Funding by Agency		
Department of Education	\$	871,000.00
National Science Foundation	\$	682,192.00
Argonne National Lab	\$	628,846.00
National Institutes of Health	\$	408,171.00
Department of Energy	\$	272,001.00
Department of State	\$	250,000.00
Fermilab	\$	73,007.00
Brookhaven National Lab	\$	10,800.00
Total Direct Federal Funding	\$	3,196,017.00
IL Manufacturing Extension Consortium - IMEC/Department of Commerce	\$	1,576,747.00
City of DeKalb/Department of Justice	\$	29,820.00
Asia Foundation/Department of State	\$	5,000.00
IL State Board of Education/Department of Education	\$	2,400.00
Total Federal Pass Through Funding	\$	1,613,967.00
Total Federal Funding	\$	4,809,984.00

A significant portion of this quarter's research funding is the result of the previously mentioned health behavior study and NIU's participation as an IMEC site. See Table 2 on the following page. The mix of federal agencies providing funding is expected for NIU's research programs. Various STEM departments secured National Science Foundation awards this quarter while the departments of Computer Science, Chemistry and Biochemistry, and Physics received Argonne support for multiple research programs and joint appointments. The National Institutes of Health funding is a competitive award secured by a Principal Investigator in the Department of Psychology to evaluate the potential of anti-Nogo-A immunotherapy to improve spatial orientation performance in rats.

Table 2 - Research Funding by Agency		
Illinois Department of Public Health	\$	2,489,600
Illinois Manufacturing Extension Consortium	\$	1,576,747
National Science Foundation	\$	682,192
Argonne National Lab	\$	628,846
National Institutes of Health	\$	408,171
Department of Energy	\$	272,001
Fermilab	\$	73,007
CTL Global, Inc.	\$	63,400
Miaoli County Government Education Department, Taiwan	\$	50,000
City of DeKalb	\$	29,820
Office of Ergonomics Research Committee	\$	28,000
Jamco Products	\$	20,391
Chalmers St. Consulting	\$	14,944
Brookhaven National Lab	\$	10,800
Primate Conservation, Inc.	\$	4,100
Total Funding	\$	6,352,019

Overall, funding this quarter aligns with normal funding patterns for NIU colleges and divisions. Funding in the College of Health and Human Sciences is for the health behavior survey work, and the Division of Outreach, Engagement, and Regional Development will see an increase in funding when SPA reports the State of Illinois contracts still in negotiation. A detailed listing of all awards received this quarter can be found on the following page. Additional information is available upon request.

Table 3

College/Division	Research	Instruction	Other
College of Education	\$50,000	\$250,000	\$ -
College of Engineering and Engineering Technology	\$126,735	\$ -	\$ -
College of Health and Human Sciences	\$2,489,600	\$ -	\$ -
College of Liberal Arts and Sciences	\$2,062,937	\$153,196	\$891,000
College of Visual and Performing Arts	\$ -	\$ -	\$25,000
Outreach, Engagement and Regional Development	\$ -	\$ -	\$250,200
Other Academic Units	\$1,622,747	\$117,000	\$5,000
Total	\$6,352,019	\$520,196	\$1,171,200

ANTHROPOLOGY

Primate Conservation, Inc. for "Investigation of the roles of tannins in decreased protein intake of Diademeds Sifakas." Emma Thureau/Mitchell Irwin.

Award: \$4,100.00.

May 20, 2018 - June 30, 2019. (Organized Research) Applied Research.

This study of tannins and Sifaka will develop conservation by providing plant data for reforestation and selective logging to maintain populations within fragmented sites and help develop suitable habitats and diets for translocated species.

BIOLOGICAL SCIENCES

Nature Conservancy for "Student Internship at the Nature Conservancy." Wesley Swingley.

Award: \$5,000.00.

August 16, 2018 - December 31, 2018. (Instructional Programs).

Funds will support a student internship at the Nature Conservancy.

National Science Foundation for "CAREER: Evolutionary Genomics of Enzymes for Complex Carbohydrate Metabolism." Yanbin Yin.

Award: \$203,795.00. (Cumulative \$431,375.00).

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

To study the evolutionary mechanisms of plant cell wall formation and degradation using both genomics and bioinformatics approaches.

CENTER FOR BURMA STUDIES

Asia Foundation for "2018 Burma Studies Conference." Catherine M. Raymond/Carmin Berchiolly.

Award: \$5,000.00.

June 25, 2018 - August 5, 2018. (Other Sponsored Activities) Conference.

Funds will be used to support the 2018 International Burma Studies Conference to be held in Bangkok, Thailand.

CENTER FOR GOVT STUDIES

Illinois State Board of Education for "Centralized Demographic Database Administrator." Diana L. Robinson.

Award: \$247,800.42.

July 1, 2018 - June 30, 2019. (Other Sponsored Activities) Public Service.

CGS will manage the Common Demographic Data Administrator for the multi-agency Illinois Longitudinal Data System.

CENTER FOR SOUTHEAST ASIAN STUDIES

Department of State for "PYLP: Engaging Young Advocates in Environmental Preservation and Peacebuilding." Rhodalyne Q. Crail/Eric A. Jones.

Award: \$250,000.00.

September 17, 2018 - December 31, 2019. (Other Sponsored Activities) Public Service.

Exchange program bringing teenagers and adult educators from the Philippines to the U.S. for exposure to/training in civic education, leadership, diversity, and community engagement, and preparation to conduct projects at home that serve a community need.

Office of Postsecondary Education/Department of Education for "National Resource Center and Foreign Language and Areas Studies Fellowships." Eric A. Jones.

Award: \$621,000.00.

August 15, 2018 - August 14, 2019. (Other Sponsored Activities) Other.

Funds will continue to be used to support the Center for Southeast Asian Studies.

CHEMISTRY AND BIOCHEMISTRY

Argonne National Laboratory for "Cycling stable electrode interfaces for lithium batteries with covalently bonded fluorocarbon monolayers." Xu, Tao.

Award: \$29,693.36. (Cumulative \$29,693.00).

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

The project will attempt to improve the cycling stability and reliability of high energy density electrode materials, and conceivably develop batteries that have at least a doubled lifetime compared with the current state-of-the art.

Argonne National Laboratory for "Joint Appointment Dr. Tao Li." Tao Li.

Award: \$109,466.15.

August 16, 2018 - August 14, 2019. (Organized Research) IPA or Joint Appointment.

Funds are being used for a joint appointment between NIU and Argonne in support of Dr. Tao Li

Argonne National Laboratory for "Investigating the interfacial stability of battery materials." Tao Li.

Award: \$117,461.23.

September 1, 2018 - August 31, 2019. (Organized Research) Applied Research.

Objectives include fundamental understanding of the nature, quantitative measurement of the kinetics, and interfacial engineering of Li-ion battery material for rational suppression of the parasitic reactions for a safer and longer life chemistry.

COMPUTER SCIENCE

Argonne National Laboratory for "High Performance Computing Research." Michael Papka.

Award: \$80,600.99.

August 16, 2018 - August 15, 2019. (Organized Research) Applied Research.

The funds support research and development in high performance computing, including visualization and analysis of abstract datasets based on ALCF operational logs, quantum computing algorithms, and dashboard development for monitoring of systems.

EDUCATIONAL TECHNOLOGY, RESEARCH AND ASSESSMENT

Miaoli County Government Education Department, Taiwan for "Immersive Knowledge Network - Opening the World." Wei-Chen Hung.

Award: \$50,000.00.

August 15, 2018 - November 30, 2019. (Organized Research) Applied Research.

This project develops a student leadership and diversity awareness development program that allows Taiwanese high school students to become champions of an accepting, equitable learning community.

GEOGRAPHIC AND ATMOSPHERIC SCIENCES

DeKalb County Economic Development Corporation for "DCEDC Internships." Ryan James.

Award: \$10,316.00.

August 15, 2018 - August 14, 2019. (Instructional Programs).

This project provides one Graduate Assistant to the DeKalb County Economic Development Corporation to provide research services of mutual benefit to NIU and DCEDC.

MetLife, Inc. for "Extended Range Tornado Activity Forecast Model." Victor Gensini.

Award: \$20,000.00.

July 23, 2018 - July 31, 2019. (Other Sponsored Activities) Testing/Evaluation.

Funding is for a pilot project to provide access to forecast models through a unique portal in order for the company to evaluate business usability.

GEOLOGY AND ENVIRONMENTAL GEOSCIENCES

National Science Foundation for "Collaborative Proposal: REU Site: Water Quality and Tourism in the Riviera Maya, Mexico." Melissa E. Lenczewski.

Award: \$133,254.00. (Cumulative \$400,000.00).

September 1, 2018 - August 31, 2019. (Organized Research) Research Training.

Funds will be used to engage Latino/as and other students in research projects that link history and culture of the Yucatan Peninsula to modern water issues to develop and encourage those interested in water sciences to be our next leaders in the field.

GRADUATE SCHOOL

Illinois Board of Higher Education for "Diversifying Higher Education Faculty in Illinois FY2019." Bradley G. Bond.

Award: \$117,000.00.

July 1, 2018 - June 30, 2019. (Instructional Programs).

NIU will serve as Fiscal Agent for IBHE for FY 2019 in administering grants awarded by the Diversifying Higher Education Faculty in Illinois ("DFI") Program Board to fellows at the institution under the DFI Program.

National Science Foundation for "GRFP Holthuijzen, Wieteke Aste." Bradley G. Bond/Wieteke Holthuijzen/Holly Jones.

Award: \$46,000.00.

July 15, 2018 - June 30, 2019. (Organized Research) Applied Research.

To determine the ecological impacts of invasive mice on MANWAR through measures of seed predation, seed preference, and plant and arthropod community composition both before and after mouse eradication and on islands with and without mice.

INDUSTRIAL AND SYSTEMS ENGINEERING

Office Ergonomics Research Committee for "Evaluation of Biomechanical Exposures in the Neck and Upper Extremities during Augmented Reality Interactions." Jaejin Hwang.

Award: \$28,000.00.

June 11, 2018 - June 10, 2019. (Organized Research) Applied Research.

The goal is to characterize the biomechanical stresses of the neck and the shoulder, comfort, and usability, and create 3-dimensional recommended research envelop during simulated AR tasks.

CTL Global, Inc. for "Omni-Channel Distribution Center Warehouse Assessment." Purushothaman Damodaran.

Award: \$63,400.00.

August 15, 2018 - August 14, 2019. (Organized Research) Applied Research.

This project provides Continental Logistics Solutions with an assessment of their omni-channel distribution center/warehouse, with the aim of improving the put-away and inventory slotting.

Jamco Products for "Quality and Lean Initiatives at Jamco Products." Purushothaman Damodaran.

Award: \$20,391.00. (Cumulative \$51,330.00).

August 16, 2018 - December 31, 2018. (Organized Research) Applied Research.

This project will minimize quality defects/issues in welding at JamCo Products; develop a value stream map for the cabinet assembly line; and, create, track and develop metrics and key performance indicators for the cabinet assembly line.

Chalmers St. Consulting for "Purchasing and Payment Processing Improvement." Purushothaman Damodaran.

Award: \$14,944.15. (Cumulative \$29,943.00).

July 1, 2018 - December 15, 2018. (Organized Research) Applied Research.

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

MATHEMATICAL SCIENCES

National Science Foundation for "Collaborative Research: Second-order Variational Analysis in Structured Optimization and Algorithms with Applications." Jose Yunier Bello Cruz.

Award: \$99,143.00.

September 1, 2018 - August 31, 2019. (Organized Research) Basic Research.

To develop the theory of second-order variational analysis and use it as a main tool to study stability and sensitivity analysis.

MUSIC

Defiant Requiem Foundation for "Defiant Requiem: Verdi et Terezin." Eric A. Johnson.

Award: \$25,000.00.

August 7, 2018 - August 6, 2019. (Other Sponsored Activities) Public Service.

This project offers an on-campus presentation of Defiant Requiem: Verdi et Terezin, along with supporting activities for NIU and the surrounding community.

P-20 CENTER

Illinois State Board of Education for "Migrant Education Incentive Grant Summer 2018." Gina Caronna/Amy Jo Clemens.

Award: \$2,400.00.

June 15, 2018 - August 31, 2018. (Other Sponsored Activities) Public Service.

Funds will be used to expand on and supplement services and activities under the Migrant Education summer grant. PHYSICS

Fermi National Accelerator Laboratory for "Development of the MU2E Preliminary Design." David R. Hedin/Nicholas Pohlman/Vishnu V. Zutshi.

Award: \$73,007.00. (Cumulative \$674,878.00).

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

The purpose of this project is to support NIU's role in developing the Muon Beamstop, SiPM Characterization, and design of the Upstream Extinction Monitor.

National Science Foundation for "Searches for New Phenomena at the Energy Frontier." Dhiman Chakraborty/Jahred Adelman.

Award: \$200,000.00.

August 1, 2018 - July 31, 2019. (Organized Research) Applied Research.

Funds are requested to search for physics beyond the Standard Model using the ATLAS detector at the Large Hadron Collider.

Argonne National Laboratory for "Synthesis, Single Crystal Growth and Diffraction Studies of Multiferroic and Functional Oxides." Omar H. Chmaissem.

Award: \$35,910.00.

September 1, 2018 - August 31, 2019. (Organized Research) Applied Research.

This proposal aims to develop the know-how and the precise control of design variables for new multiferroic materials and related functional oxides.

Brookhaven National Laboratory for "Search for Pair Production of Higgs Bosons Through Vector Boson Fusion Using the Final State with the ATLAS Detector." Puja Saha/Dhiman Chakraborty.

Award: \$10,800.00.

July 18, 2018 - September 30, 2019. (Organized Research) Basic Research.

Funds are requested to search for pair production of Higgs Bosons through Vector Boson fusion using the final state with the ATLAS detector.

Argonne National Laboratory for "Joint Appointment ANL/NIU." Andreas Glatz.

Award: \$140,375.26.

August 16, 2018 - August 15, 2019. (Organized Research) IPA or Joint Appointment.

Funds are being used for a joint appointment between NIU and Argonne in support of Dr. Andreas Glatz.

Argonne National Laboratory for "Joint ANL/NIU Appointment." Zhili Xiao.

Award: \$115,339.43.

August 16, 2018 - August 15, 2019. (Organized Research) IPA or Joint Appointment.

Funds will be used to support the appointment of an NIU faculty member to conduct research and development activities under the direction and guidance of Argonne National Laboratory.

Department of Energy for "High-current electron sources for superconducting radiofrequency injectors." Phillippe R. Piot/Venumadhav Korampally/Iman Salehinia.

Award: \$86,001.00. (Cumulative \$162,001.00).

September 25, 2018 - September 24, 2019. (Organized Research) Applied Research.

Funds are requested to explore the coupling of a high-current electron source to a superconducting accelerator with ultimate goal of forming electron beams with Mega-Watt average power.

Department of Energy for "X-ray Spectroscopy on Excited and Decaying Systems." Michel A. Van Veenendaal.

Award: \$131,000.00. (Cumulative \$390,000.00).

September 15, 2018 - September 14, 2019. (Organized Research) Basic Research.

The major goal is to theoretically investigate X-ray spectroscopy and scattering on nonequilibrium and decaying systems.

Department of Energy for "Studies of Conventional and ERL-Based Recirculator Electron Cooling for an Electron Ion Collider." Bela Erdelyi.

Award: \$55,000.00. (Cumulative \$366,000.00).

August 15, 2018 - August 14, 2019. (Organized Research) Applied Research.

Funds are requested to continue the development of PHAD with large-scale parallelization on hybrid architecture computer clusters, enhancing the performance and fidelity of electron cooling simulations.

PSYCHOLOGY

National Institutes of Health/DHHS for "Septohippocampal neuroplasticity influences on spatial orientation." Douglas G. Wallace.

Award: \$408,171.00.

July 15, 2018 - June 30, 2019. (Organized Research) Applied Research.

This project evaluates the potential of anti-Nogo-A immunotherapy to improve spatial orientation performance in rats.

PUBLIC ADMINISTRATION

Village of Oswego for "MPA Program Graduate Student Internship." Denise Burchard.

Award: \$27,000.12.

August 16, 2018 - August 15, 2019. (Instructional Programs).

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

City of Burlington, Wisconsin for "MPA Program Graduate Student Internship." Denise Burchard.

Award: \$25,200.00.

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 the NIU MPA program.

Village of Mukwonago, Wisconsin for "MPA Graduate Student Internship." Denise Burchard.

Award: \$26,999.91.

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 the NIU MPA program.

Village of Winfield for "MPA Graduate Student Internship." Denise Burchard.

Award: \$27,000.00.

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 the NIU MPA program.

Village of Wilmette for "MPA Graduate Student Internship." Denise Burchard.

Award: \$10,800.00.

August 16, 2018 - May 15, 2019. (Instructional Programs).

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

City of Sun Prairie, Wisconsin for "Administrative Intern (Marc Hooks)." Denise Burchard.

Award: \$9,360.00. (Cumulative \$21,840.00).

August 16, 2018 - May 15, 2019. (Instructional Programs).

The purpose of this project is to provide a valuable experiential learning opportunity to a graduate student within the NIU MPA program.

City of Rockford for "Planning and Public Administration Intern." Denise Burchard.

Award: \$11,520.00.

August 16, 2018 - May 15, 2019. (Instructional Programs) Instructional Programs.

The purpose of this project is to provide a valuable experiential learning opportunity to a graduate student within the NIU MPA program.

SCHOOL OF HEALTH STUDIES

Illinois Department of Public Health for "County Wide BRFSS." Kathryn Mazurek.

Award: \$2,489,600.00.

September 5, 2018 - October 31, 2021. (Organized Research) Applied Research.

The purpose of this project is for data collection, data management, reporting and technical support on the Illinois County Behavioral Risk Factor Surveys.

SOCIOLOGY

City of DeKalb for "Development of a Comprehensive Strategic Plan in Support of a Department of Justice Mental Health Collaboration Grant." John M. King/Carol Walther.

Award: \$29,820.00.

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

This project develops a strategic plan for the City of DeKalb in consideration of developing a comprehensive mental health court system.

SPECIAL AND EARLY EDUCATION

Office of Special Education and Rehabilitative Services/Department of Education for "Preparing New Teachers of Students with Visual Impairments and Existing Personnel with Certifications in Assistive Technology for the 21st Century Workforce." Stacy Kelly/Sean Tikkun.

Award: \$250,000.00. (Cumulative \$750,000.00).

May 2, 2018 - May 1, 2019. (Instructional Programs).

The purpose of this program is to train undergraduate and graduate students as teachers and assistive technology instructors to serve the needs of children who are blind or visually impaired in preschool through 12th grade.

DIVISION OF RESEARCH AND INNOVATION PARTNERSHIPS

Illinois Manufacturing Excellence Center for "Illinois Manufacturing Extension Partnership FY19." Gerald C. Blazey/Anne Kaplan.

Award: \$1,576,747.00.

October 1, 2018 - September 30, 2019. (Organized Research) Applied Research.

The purpose of this project is to perform research services directed toward increasing the productivity and global competitive advantage of regionally-based manufacturing and technology-related firms.

INTELLECTUAL PROPERTY PROCEDURES AND PORTFOLIO

The Division of Research and Innovation Partnerships' Office of Innovation (OI) administers the NIU Intellectual Property Policy and receives, evaluates, and protects IP submitted by faculty, staff, and students covered under the policy. Over the past decade NIU has received about 100 invention disclosures and prosecuted about 45 patents. These numbers are typical for institutions with similar research portfolios.

OI receives approximately ten disclosures per year. When an invention disclosure is received, OI staff utilize two rubrics for evaluation - a research relevance and inventor engagement rubric, that evaluates the inventions compatibility with NIU's mission, vision and values; and a market analysis rubric, which identifies the size and location of the invention's commercialization market. Third-party market assessment reports to assist in potential manufacturing and potential partner locations are also utilized as needed. Generally, OI uses three criteria for considering advancement of IP for protection.

1. Proof-of-concept data is sufficient for our patent attorney to capture the essence of the invention in draft claims.
2. The invention has not been publicly disclosed (or has been revealed in the last 12 months in the US).
3. The invention is within the scope of the inventor's university responsibility and advances NIU's research mission.

From FY08 to FY18, OI has received 96 invention disclosures. Approximately 85% of our disclosures come from faculty in the College of Engineering & Engineering Technology and College of Liberal Arts & Sciences, with about a third of those coming from the Department of Chemistry and Biochemistry. NIU disclosures in the life and physical sciences are typically very early stage in terms of technological readiness. A chemical synthesis for drug discovery has a much longer commercial path (10-17 years) than inventions derived in technology-based departments like mechanical engineering. However, NIU's early stage research needs patent protection so the faculty member can publish and apply for grant funding to further develop the IP without loss of rights. In addition to faculty disclosures, we have received ten disclosures from individual students or student teams. Under the IP Policy undergraduate students are not obligated to disclose to the OI unless they are employed by the university or use significant resources to develop their IP but are welcome to do so for evaluation and possible patenting.

Approximately 45% of NIU disclosures received in the past decade were advanced for patent protection. Again, chemistry applications were the most common due to the early nature of discovery needing protection for public disclosure. Patent applications can be filed domestically and internationally and may encompass additional filings based on a patent examiner's review of the invention (i.e. more than one invention is identified in the application or rejection of a portion of the claims), or in various countries where patent rights may be of high value (e.g. location of potential licensees, manufacturers, users). NIU has been granted 45 patents in the United States and in foreign countries in the last ten years.

In the past ten years, NIU, via OI or the Northern Illinois Research Foundation, have entered into seven license agreements. To date, two remain active - one to a Texas startup for an electrical engineering invention and the other to a NIU chemistry startup. There is also one license currently pending for a recently formed chemistry startup. Generally, inventions in engineering or technology rate higher on a technology readiness level and are most marketable. NIU's IP portfolio is heavily chemistry-based and these inventions need more time for development, regulatory clearance, and clinical trials than their engineering counterparts. Identifying licensees that are willing to invest in early stage research in this area is challenging but can be highly lucrative. For NIU, protecting IP is an avenue to protect and promote faculty research and disseminate their findings for advancing knowledge for the public good.

**Agenda Item 7.c.1.
December 6, 2018**

Information

SUPPORTIVE PROFESSIONAL STAFF AND CIVIL SERVICE PRESENTATION

Laura Alexander, Senior Associate Vice President of Human Resource Services, and Celeste Latham, Associate Vice President of Administration Human Resource Services, will make a presentation about how university personnel are employed in accordance with the rules of the State Universities Civil Service System (SUCSS).

SECOND AMENDMENT TO DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT

**SECOND AMENDMENT TO DIRECTOR OF ATHLETICS EMPLOYMENT
AGREEMENT**

THIS SECOND AMENDMENT TO DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT (“Second Amendment”) is made by and between the BOARD OF TRUSTEES OF NORTHERN ILLINOIS UNIVERSITY (“University” or “NIU”) and SEAN FRAZIER (“Employee”; together with the University, “the Parties”).

WHEREAS, the University and the Employee entered into a Director of Athletics Employment Agreement (“Agreement”) effective on August 1, 2013; and

WHEREAS, the University and the Employee entered into a First Amendment to Director of Athletics Employment Agreement (“First Amendment”) last signed by the Parties on July 25, 2016; and

WHEREAS, the University and the Employee wish to further amend said Agreement;

NOW, THEREFORE, for and in consideration of the mutual promises and covenants set forth herein, the University and the Employee agree as follows:

1. ARTICLE II of that certain Agreement shall be deleted in its entirety, and the following shall be substituted in its place:

ARTICLE II - TERM

Subject to earlier termination pursuant to the terms and conditions of Article X of this Agreement, the term of this Agreement (“Term”) shall begin on the Effective Date and continue through June 30, 2023.

2. ARTICLE III of that certain Agreement shall be deleted in its entirety, and the following shall be substituted in its place:

ARTICLE III - DUTIES AND RESPONSIBILITIES

As Director of Athletics, Employee shall have the responsibility for the planning, supervision and coordination of all aspects of the Program, including but not limited to:

1. Making recommendations to the NIU Administration regarding the employment and salary of all Program personnel;
2. The assignment of duties and supervision of all Program personnel; and
3. Planning, supervising, and coordinating the budget, fund-raising, student-athlete success and public relations activities for the Program.

Employee shall also perform such other duties and responsibilities as may be assigned from time-to-time by the University President that are customary for the role of Athletics Director of an NCAA Division I athletics program.

Employee further agrees to diligently seek to abide by, to comply with, and to cause the University's athletic programs, coaches, student-athletes and other

DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT

Athletic Department personnel to abide by and comply with the *Constitution, Bylaws*, and interpretations of the National Collegiate Athletic Association ("NCAA") and the Mid-American Conference ("MAC"), as well as all NCAA, MAC (and/or any future Conference) and University rules, regulations, policies, procedures and agreements relating to the conduct and administration of the Program, as now constituted or as any of the same may be amended during the Term. In the event that Employee becomes aware or reasonably believes that material violations of such *Constitution, Bylaws*, interpretations, rules or regulations have taken place, Employee shall report the same promptly to the University President or the President's designee.

Employee agrees that Employee has an affirmative obligation to cooperate fully in the NCAA infractions process, including the investigation and adjudication of a case. Employee understands and agrees that if Employee is found in violation of NCAA regulations, Employee shall be subject to disciplinary or corrective action as set forth in the provisions of the NCAA infractions process, including suspension without pay or termination of employment. Full cooperation by Employee includes, but is not limited to, (i) affirmatively reporting instances of noncompliance to the NCAA in a timely manner and assisting in developing full information to determine whether a possible violation has occurred and the details thereof; (ii) timely participation in interviews and providing complete and truthful responses; (iii) making a full and complete disclosure of relevant information, including timely production of materials or information requested, and in the format requested; (iv) disclosing and providing access to all electronic devices used in any way for business purposes; (v) providing access to all social media, messaging and other applications that are or may be relevant to the investigation, to the extent permitted by Illinois law (820 ILCS 55/); and (vi) preserving the integrity of an investigation and abiding by all applicable confidentiality rules and instructions.

Employee recognizes that his statements about the University and its senior administrators are often publicized and he agrees to use reasonable efforts to keep positive and constructive in tone and substance any public comments he makes about University policies or actions taken by senior administrators during the Term.

Employee agrees to seek to comply with all Federal and State laws such as, but not limited to, the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act ("Clery Act") and Title IX of the Education Amendments of 1972 ("Title IX"). The Parties acknowledge that Employee, faculty advisors and all coaches at the University are considered as "Campus Security Authorities" ("CSAs") and as such Employee shall perform duties consistent with that title including the prescribed training and requirement of reporting certain crimes, including but not limited to acts of sexual misconduct involving University personnel and/or students.

DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT

3. ARTICLE IV(D) of that certain Agreement shall be deleted in its entirety, and the following shall be substituted in its place:

D. Retention Bonus.

As an incentive and inducement for Employee to remain as Director of Athletics through the Term, then in addition to the compensation and benefits described in Paragraphs (A) - (C) of this Article IV, the University will pay Employee the sum of \$20,000 for each fiscal year that Employee served as Director of Athletics as of June 30, 2018 (“Vesting Date 1”), for a total amount not to exceed \$100,000. The retention bonus earned by Employee shall be paid by the University not later than March 15, 2019. Additionally the University will pay Employee the sum of \$20,000 for each fiscal year that Employee served as Director of Athletics from July 1, 2019 through June 30, 2021 (“Vesting Date 2”), for a total amount not to exceed \$60,000. The retention bonus earned by Employee as of Vesting Date 2 shall be paid by the University not later than March 15, 2022. Additionally the University will pay Employee the sum of \$20,000 for each fiscal year that Employee served as Director of Athletics from July 1, 2021 through June 30, 2023 (“Vesting Date 3”), for a total amount not to exceed \$40,000. The retention bonus earned by Employee as of Vesting Date 3 shall be paid by the University not later than March 15, 2024. Provided, always, if before any Vesting Date, Employee is no longer serving as Director of Athletics as a result of an “accelerated vesting date” as defined below, then Employee (or his legal representative, if applicable) shall be entitled to receive, not later than March 15 immediately following the calendar year in which the accelerated vesting date occurs, an amount representing the accrued portion of the retention bonus (*i.e.*, \$20,000 for each fiscal year of employment completed by Employee as Director of Athletics, plus a pro-rated amount thereof for any partial fiscal year based on the number of full months of service completed by Employee in that capacity during the fiscal year). For purposes hereof, an “accelerated vesting date” means (i) the effective date of the termination of Employee’s employment by the University for its convenience in accordance with ARTICLE X, (ii) the date of Employee’s death, (iii) the effective date of the termination of employment on account of a permanent disability in accordance with ARTICLE X, (iv) the effective date of the reassignment of Employee pursuant to ARTICLE VII hereof, or (v) the effective date of the termination of Employee’s employment pursuant to an election to terminate the Agreement for the reason set forth in ARTICLE IV, Paragraph A.

4. The section titled **Termination by Employee** of ARTICLE X of that certain Agreement shall be deleted in its entirety, and the following shall be substituted in its place:

Termination by Employee.

The Employee recognizes and accepts that his promise to work for the University for the entire term of this multi-year Agreement is the essence of this Agreement with the University.

DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT

The Employee also recognizes that the University is making a highly valuable investment in the Employee's continued employment by entering into this Agreement and that its investment would be lost were the Employee to resign or otherwise terminate his employment with the University prior to fulfilling the terms of this Agreement. While recognizing these agreements and this entire Agreement, the parties agree that the Employee may, nevertheless, voluntarily terminate his employment under this Agreement prior to the expiration of the Term, in which case Employee shall not be entitled to the payment of any salary, performance incentives, benefits or damages beyond the effective date of said resignation (except for amounts earned, accrued, or due prior to such date), but only upon the following terms and conditions:

A. Should another coaching or administrative opportunity be presented to Employee or should Employee be interested in another coaching or administrative position at a NCAA member institution or professional team or league during this Agreement, the Employee must notify the President of such opportunity or interest in writing before any discussions can be held by the Employee with the anticipated administrative or coaching-position principals.

B. If the Employee chooses to resign as Director of Athletics to accept another coaching or administrative position at a NCAA member institution or professional team or league before completion of the Term, the University would sustain losses or incur expenses including, but not limited to, the cost of a search for his replacement, a loss to the continuity and/or success of Intercollegiate Athletics, and a loss to the University's reputation. It is acknowledged that it is difficult, if not impossible, to determine the exact actual damages and, therefore, except as otherwise provided in paragraph C below, if Employee terminates this Agreement at any time prior to June 30, 2023 to accept coaching or administrative employment with another NCAA member institution or professional team or league, the Employee, as a repayment of compensation, perquisites and benefits previously paid to him under the premise that he would fulfill the Term, will pay (or cause another to pay) to the University in a lump sum within 90 days of the effective date of Employee's resignation a sum equal to the applicable amount specified in this paragraph. This payment will uncontestably and undisputably be as liquidated damages, in lieu of all other damages, and not as a penalty.

The lump sum amount payable to the University pursuant to this paragraph B shall be determined in accordance with the following schedule:

DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT

Resignation Occurs...	Amount
On or before June 30, 2014	\$500,000
After June 30, 2014 and before July 1, 2015	\$450,000
After June 30, 2015 and before July 1, 2016	\$0
After June 30, 2016 and before July 1, 2017	\$150,000
After June 30, 2017 and before July 1, 2018	\$150,000
After June 30, 2018 and before July 1, 2019	\$100,000
After June 30, 2019 and before July 1, 2020	\$100,000
After June 30, 2020 and before July 1, 2021	\$50,000
After June 30, 2021 and before July 1, 2022	\$50,000
After June 30, 2022 and before July 1, 2023	\$50,000

Acceptance by the University of such payment will constitute full settlement of any claim that the University might otherwise assert against Employee or any third party arising out of this Agreement, or Employee's employment with the University.

C. Intentionally Omitted.

D. It is agreed that the provisions in this paragraph and elsewhere in this Agreement are fair and equitable and shall be considered neither a penalty nor a punishment.

5. The section titled **Termination for University's Convenience** of ARTICLE X of that certain Agreement shall be deleted in its entirety, and the following shall be substituted in its place:

Termination for University's Convenience.

The University may terminate the employment of Employee without Cause, at any time, by providing ninety (90) days' written notice to Employee. In the event that the University exercises this right, then in addition to the payment of any salary, performance incentives, or benefits earned or accrued through the effective date of termination, it shall be responsible to continue payment of Employee's Base Salary at the rate then in effect through the remainder of the Term. Subject to federal law, state law and University regulation and policy, if Employee elects to continue coverage for himself, his spouse and/or eligible dependents under the University's group health plan, subject to and in accordance with federal law, then the University shall waive premiums that otherwise would have been required by Employee to the extent in excess of the amount the contributions that Employee would have been required to pay for coverage as its Director of Athletics. Employee will exercise reasonable diligence and efforts to obtain comparable employment, such as employment as a NCAA Division I athletic director, as soon as reasonably possible after such termination by the University to mitigate the University's obligation hereunder and the University's obligation hereunder shall be reduced by the Employee's gross earnings from such position during the remainder of the Term.


DIRECTOR OF ATHLETICS EMPLOYMENT AGREEMENT

In all other respects the terms and conditions of that certain Agreement shall remain in full force and effect.

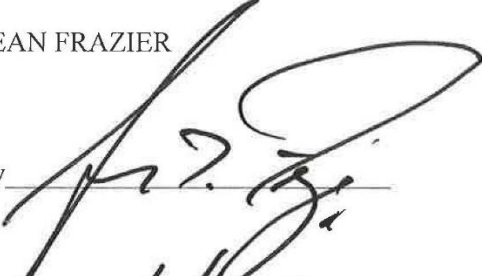
IN WITNESS WHEREOF, the Parties have executed this Agreement on the dates below.

BOARD OF TRUSTEES OF
NORTHERN ILLINOIS UNIVERSITY

SEAN FRAZIER

By 

Dr. Lisa C. Freeman
President

By 

Date 11/28/2018

Date 12/3/2018

FISCAL YEAR 2019 PRESIDENTIAL GOALS

**FY2019 PRESIDENTIAL GOALS
SUMMARY**

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

Recommendation: The University recommends Board of Trustees approval for the Fiscal Year 2019 Presidential Goals.

Category	Objective	Weight	Value		
			No Progress	Progress	Met/Exceed
Enrollment (25%)	<u>Short-term Recruitment Goals</u>				
	For Fall 2019:				
	<ul style="list-style-type: none"> Stabilize total enrollment at approximately 16,750 	6%	15,715	16,230	16,750
	<ul style="list-style-type: none"> Sustain main campus undergraduate enrollment at or above 11,700 with new freshman enrollment at or above 1850 and new transfer enrollment at or above 1575 	5%	11,500 1800 1525	11,600 1825 1550	11,700 1850 1575
<ul style="list-style-type: none"> Grow online enrollment so that total online enrollment exceeds 950 students, approximately 60% graduate and 40% undergraduate 	5%	775	865	950	
<ul style="list-style-type: none"> Increase the number of new undergraduate Hispanic/Latinx students to 800, in support of long-term goal of achieving HSI status 	5%	730	765	800	
	<u>Long-term Recruitment Goals</u>				
	Increase new freshman enrollment 10% (to 2,052) by fall 2023, while maintaining academic quality and diversity measures.				
	Increase college transfer enrollment 5% (to 1,656) by fall 2023.				
	Increase new graduate enrollment 5% (to 894) by fall 2023, while maintaining academic quality and diversity measures.				
	Increase new international student enrollment 20% (to 294) by fall 2023.				
	Increase overall online program enrollment by 1,000 students (to 1,773) by fall 2023.				
	Become a designated Hispanic Serving Institution (HSI) by increasing the number of new undergraduate Hispanic/Latinx students by at least 9% each year.				
	Raise minimum graduate student stipend to \$1500/month and increase the competitiveness of graduate student stipends in departments where levels most significantly lag disciplinary norms.				

	<p><u>Short-term Student Success Goals</u> Partner with state and national programs dedicated to closing equity gaps to identify, implement and scale effective practices.</p> <p><u>Long-term Student Success Goals</u> Maintain the 1st year retention rates for Latinx and Asian-American students 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 sustain 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 within 1% to 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 sustain gaps no greater than 6%.</p>	4%	0 partners 1 partners ≥ 2 partners
<p>Diversity, Equity, Inclusion (20%)</p>	<p>Close Achievement Gaps Pursue and progress towards achievement of short and long-term student success goals noted above.</p> <p>Business Enterprise Program <u>Short-term (FY19)</u> Improve NIU’s progress toward achieving the 20% aspirational goal in support of the State of Illinois’ Business Enterprise Program (BEP).</p> <p><u>Long-term</u> Work with public universities and state government on procurement reforms that will facilitate BEP improvement.</p> <p>Faculty and Staff Diversity Complete APLU faculty diversity self-assessment, and use to develop campus action plan</p> <p>Increase utilization of affirmative action data to enhance hiring methods</p> <p>Establish stronger graduate student and post-doc fellowship pipelines</p>	<p>3%</p> <p>3%</p> <p>4%</p> <p>3%</p> <p>2%</p>	<p>Y/N</p> <p>\$925,000 \$1.5M \$2M</p> <p>Y/N</p> <p>Y/N</p> <p>Y/N</p>

	Increase diversity recruitment materials and web presence, and diversify advertising network	2%	Y/N		
	Build an Inclusive Community Have 25% of faculty and staff complete cultural competency training by end of FY19, with a long-term goal of 75% of all faculty and staff to have completed cultural competency training by 2023.	3%	10-15%	20%	25%
Research, Artistry, Innovation and Regional Engagement (20%)	Research, Artistry and Innovation <u>NICCS (FY 2019 Research Cluster)</u> Implement center as evidenced by establishment of oversight and advisory committees, progress on architectural engineering and design, as well as creation of multi-year faculty hiring plan.	6%	Oversight and Advisory Committees: Not formed Appointed Productive		
	<u>CREATE (FY 2018 Research Cluster)</u> Continue progress establishing/growing center, with progress defined as follows: No progress = web presence only, no publications or proposals submitted, no interdisciplinary efforts; Progress = web presence and physical footprint, 1-3 publications and 1-2 proposals submitted, and 1 interdisciplinary effort initiated; and Met/Exceed = physical footprint and web presence established, four scholarly publications and three proposals submitted; two interdisciplinary efforts initiated.	3%	Architectural Engineering, Design: Not initiated Initiated Design in process		
	<u>Doctoral Programs</u> Move at least one of the three CEET doctoral programs in development through curricular process and IBHE approval processes in FY19 .	3%	Multi-year hiring plan: Y/N		
	<u>Graduate Stipends</u> Establish plans for raising minimum stipend for full-time graduate student (0.5 FTE) to \$1500/month, and increasing the competitiveness of graduate student stipends in departments where levels most significantly lag disciplinary norms.	4%	Presence: Website Only Website Footprint Website Footprint		
			Total Publications + Proposals: 0 2 to 5 6 to 7		
			Interdisciplinary Initiatives: 0 1 2		
			Y/N		
			No plans	Incomplete drafts	Plans in place

	<p>Regional Engagement The survey performed in 2018 documented a total of 370 collaborative, cooperating or coordinating partnerships exclusive of paid partnerships and affiliate agreements. Of these, 64 were new for 2017-18 and 306 were established earlier and sustained. A majority of these partnerships (332 or 89%) were in two divisions of the university, Academic Affairs and OERD.</p> <p>The 2018-19 goals are to have no fewer than 410 new and sustained partnerships across the university, and to increase the number of collaborative relationships in divisions other than OERD and Academic Affairs.</p>	4%	370	390	410
<p>Key Leadership Initiatives (15%)</p>	<p>Revise Vision, Mission, Values Statement Present to BoT for approval at June 2019 meeting</p>	2%		Y/N	
	<p>Executive VP/Provost Search Complete search by end of 2018-19 academic year</p>	2%		Y/N	
	<p>General Counsel Search Complete search by end of 2018-19 academic year</p>	2%		Y/N	
	<p>University-wide Planning Identify time-line and methodology for university-level strategic plan, including a facilities master plan that creates opportunities for investment in the DeKalb campus, and supports investment in the surrounding community.</p>	9%		Y/N	
<p>Fiscal Sustainability (20%)</p>	<p>Align Mission and Budget <u>Short-term</u> Produce and manage to a balanced budget that, in the face of funding pressures, continues to support the University's vision and its priorities with respect to program quality, student services, research support, and community engagement.</p> <p>Identify funding and implement an initiatives fund, within the university's budget, in support of areas of strategic importance.</p>	7%		Y/N	
	<p><u>Long-term</u> Improve NIU's financial sustainability by increasing discretionary revenue from partnership activity in non-academic divisions such Administration and Finance, Division of Information Technology, Student Affairs, and Athletics (8-10% over 5 years).</p>	3%	\$250K	\$500K	\$1M

	Philanthropy				
	<u>Short-term (FY19)</u>				
	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 \$20M with goal of increasing support for unrestricted scholarships.	7%	\$10.8M	\$15M	\$17.5M
	Implement CHANCE 50 th Anniversary Fund	3%	\$25,000	\$50,000	\$75,000
	<u>Long-term</u>				
	Establish target and plan for fully endowing CHANCE program				

**NORTHERN ILLINOIS CENTER FOR COMMUNITY SUSTAINABILITY
CAPITAL PROJECT APPROVAL**

Summary: The Northern Illinois Center for Community Sustainability (NICCS), a hub of the Discovery Partners Institute (DPI) and an entirely new initiative leveraging NIU expertise and resources, will pursue basic and applied research, education and training, and economic development focused on two DPI themes: 1) food and agriculture, and 2) environment and water. In partnerships with the University Of Illinois College of Agricultural, Consumer and Environmental Sciences (ACES), governmental agencies, and the private sector, NICCS will create new knowledge, inform policymaking, and inspire action in three interrelated areas of food systems innovation, water resources stewardship and development, and climate change adaptation. To support this development an approximately 30,000 square-foot research facility will be constructed on the western end of campus.

Background: Funds will be used for the construction of a single-level facility accommodating office, instructional, and research and innovation space located in the western campus. The facility will include a central core with offices for faculty, staff, and graduate students; state-of-the-art classrooms for on-site and off-site instruction; flexible collaboration space, and conference rooms. The core will be designed to accommodate up to three research and innovation wings of the DPI hub. The wings will comprise research and innovation laboratories and a high bay for equipment storage, and instrument storage and construction. Design efforts are anticipated to be conducted in 2019 with construction activities focused in 2020 and 2021.

Today, the project has an estimated total cost of \$22.9M, of which \$15M is requested from the Illinois Department of Commerce and Economic Opportunity (DCEO) and \$7.9M is provided by NIU. Funds for the project will be utilized for architectural design and engineering (A&E), project management, construction, and equipment. The funds from DCEO will be targeted for A&E and construction. NIU funds include \$5.0M for instrumentation and equipment and a \$2.9M in-kind contribution primarily for land and site improvements.

Authority is requested to take advantage of this grant opportunity and proceed with design efforts and contracted project management support for this research hub. Subsequent Board approval will be requested prior to proceeding beyond design efforts.

Funding: Illinois DCEO grant funding \$2,020,000

Recommendation: The University requests Board of Trustees authorization to proceed with a project that includes work orders, all necessary contracts with consultants, contractors, and suppliers as necessary to proceed with design efforts and contracted project management support for this research hub.

**REQUEST FOR AGREEMENT AND DELEGATED AUTHORITY REGARDING
NORTHERN ILLINOIS UNIVERSITY PRESS**

Background: Founded in 1965, the NIU Press (NIUP) publishes outstanding works of scholarship for a global audience and has 600 books in print promoting the reputation and research mission of the University. Upon release of the Program Prioritization report recommending further review of the NIUP, the University received letters and emails citing the academic excellence of the NIUP, the positive impact on the University reputation, and the outstanding support of academic scholarship in Slavic and Orthodox Christian studies. In response to the Program Prioritization recommendation and acknowledging the academic impact of the NIUP, the Division of Research and Innovation Partnerships (RIPS) has diligently explored options for sustainability of the NIUP that would ensure support for scholarship in topical areas for which the NIUP has a world-wide reputation.

Options have been explored with the guidance of the Association of University Presses (AUP) and the assistance of an external expert. Management by an external, established university press was deemed the most likely option to serve the academic community, ensure the continuity of the imprint, and ensure a sustainable path forward. In 2017, RIPS offered a request for proposals (RFP), open to AUP members in the U.S., to form a collaborative relationship with the NIU Press imprint. There was no response to the RFP. Subsequently, RIPS posted a sole source request to enter into a contract with the Cornell University Press (CUP) in which NIUP will continue acquisition and editorial board functions while CUP will manage the manuscript editing, design, production, marketing, and fulfillment of 15-25 books per year under the NIU imprint. We anticipate a formal arrangement will be completed in early 2019 with a term of five years and an option for five additional years.

Funding: Total costs for services provided by CUP are anticipated to be over \$250,000.

Recommendation: The University requests Board of Trustees authorization to enter into the proposed agreement with Cornell University Press, consistent with the program goals outlined above, once final details and terms are negotiated. The authorization shall be delegated to the President for final signature on the agreement. The president shall report to the Board when the final agreement is executed and the final terms and conditions of the agreement. If the terms and conditions of the proposed arrangement deviate substantially from the program goals and framework outlined above, the President will return the matter to the Board for consideration of substantial modifications to the proposal.

**CONVOCATION CENTER – UPDATE NELSON SUITE
CAPITAL PROJECT AMENDMENT**

Summary: In March 2018, the Board approved a budget of \$275,000 for the renovation of the “Nelson Suite” located in the Convocation Center main arena. Northern Illinois University Foundation received a donor gift directed to Intercollegiate Athletics for this renovation. During construction demolition, unforeseen structural conditions were encountered and additional project authority is required to complete the project. Approval is requested to increase the project budget by \$25,000 for a new total of \$300,000. Athletics has identified additional funds for the increased budget.

Funding: Foundation – Donor Funds: \$275,000
Local Auxiliary Operations: \$25,000

Recommendation: The University requests Board of Trustees authorization to increase the project budget and proceed with the project that includes work orders, all necessary contracts with consultants, contractors, and suppliers as necessary to complete the work.

**YORDON NUTRITION CENTER AND WEIGHT ROOM IMPROVEMENTS
CAPITAL PROJECT APPROVAL**

Summary: Northern Illinois University Foundation received a donor-directed gift for the naming of the 'Performance Center' located in the east corridor of the Yordon Center. This gift, along with donations for the project by NIU Athletics alumni and donors, will be directed to a new nutrition center as well as improvements to the existing weight room area.

Background: With NCAA regulations passed in 2014 and 2017, institutions have the opportunity to provide nutritional support more frequently to all student-athletes, directly affecting their nutritional goals and athletic performance. Nutritional eating plans are essential for our 400+ student-athletes to train and compete at the highest levels.

The renovation project will include new signage, equipment, and cosmetic improvements within the weight room as well as a full build out of the Nutrition Center, resulting in a full-service sports performance area. This space will allow for enhanced nutritional meals and supplements for NIU student-athletes along with nutritional education and consultation by nutrition experts to meet the demands of our student-athletes. The 'Performance Center' will be named the "Northwestern Medical Performance Center" in recognition of the leadership gift donated to support this project.

Funding: Foundation – Donor Funds: \$275,000

Recommendation: The University requests Board of Trustees authorization to proceed with a project that includes work orders, all necessary contracts with consultants, contractors, and suppliers as necessary to complete the work.

HONORARY DOCTORATE RECOMMENDATION

Summary: The Honorary Degree Committee met on November 12, 2018, to consider the candidacy of three nominees. The Committee unanimously recommended Mr. Dean DuCray and Dr. Marcia Grant for honorary doctorate degrees. The Committee recommended that Mr. DuCray be awarded an honorary doctorate in humane letters and Dr. Marcia Grant an honorary doctorate in science.

Mr. Dean DuCray was nominated by Dean Balaji Rajagopalan of the College of Business with support from Dr. Rebecca Shortridge, Chair of Accountancy, and Dr. James Young, former Chair of Accountancy. Mr. DuCray, who is an NIU alum (B.S. 1964, M.S. 1969), is a successful businessman and philanthropist. After obtaining his bachelor's degree, he served in the Peace Corps and spent two years assisting with civic and community development in Liberia. He then returned to NIU to complete a master's degree and went on to have a successful career as a businessman. He specialized in turning around struggling companies. He retired as vice president and CFO of York International. His dedication to and support of NIU, especially the Department of Accountancy, has been boundless.

Dr. Marcia Grant was nominated by Dr. Laura Beamer, Associate Professor in the School of Nursing with support from Dr. Marilyn Stromborg, Professor Emeritus. Dr. Grant, a Fellow of the American Academy of Nursing, has been the recipient of \$35 million in external grants. She has published at least 333 scholarly pieces and mentored over 200 nurse scientists. She has been a research collaborator with NIU nursing faculty since the 1990s.

Recommendation: The University requests Board of Trustees approval for the recommendations to award an honorary doctorate in humane letters to Mr. Dean DuCray and an honorary doctorate in science to Dr. Marcia Grant.

CLOSED SESSION MINUTES REVIEW AND RELEASE

The Illinois Open Meetings Act requires public bodies to review the minutes of their Closed Session Minutes on a semiannual basis and to determine what parts of the minutes they should make available to the public because they no longer require confidential treatment. Upon review and advice of the Board's Parliamentarian, it is recommended that the Board approve no additional release from confidentiality of any of the previously unreleased sections of the Executive Session minutes at this time. Those sections which are still subject to confidentiality, together with sections from subsequent meetings, will be considered again in six months.