



Regular Meeting
of the
Board of Trustees

December 5, 2019

**Regular Meeting of the
BOARD OF TRUSTEES OF NORTHERN ILLINOIS UNIVERSITY
9:00 a.m. – Thursday – December 5, 2019
Board of Trustees Room
315 Altgeld Hall**

AGENDA

1. Call to Order and Roll Call
2. Verification of Quorum and Appropriate Notification of Public Meeting
3. Meeting Agenda Approval..... *Action*..... i
4. President’s Report No. 138
 - a. Resolution Authorizing Issuance of Auxiliary Facilities System Revenue Bonds and Adoption of an Amended and Restated Bond Resolution *Action*.....1
 - b. Division of Administration and Finance Investment Banking Services Vendor Pool.....
..... *Action*.....7
5. Review and Approval of Minutes of November 14, 2019..... *Action*.....8
6. Chair's Comments/Announcements
7. Public Comment*
8. Reports of the Board Committees and Board Liaisons..... *Information*.....12
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 - b. Finance, Audit, Compliance, Facilities and Operations Committee (FACFO)
 - c. Research and Innovation, Legal and Legislative Affairs Committee (RILLA)
 - d. Illinois Board of Higher Education
 - e. Universities Civil Service Merit Board
 - f. Northern Illinois University Alumni Association
 - g. Northern Illinois Research Foundation
 - h. Northern Illinois University Foundation
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 - a. University Recommendations Forwarded by the Board Committees
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 - 3) Authorization to Retain Executive Search Firms to Support Selected Searches for the Division of Athletics *Action*.....17
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14. Adjournment	

*Individuals wishing to make an appearance before the Board should consult the [Bylaws of the Board of Trustees of Northern Illinois University](#), Article II, Section 4 – *Appearances before the Board*. Appearance request forms can be completed [online](#) in advance of the meeting or will be available in the Board Room the day of the meeting. For more information contact Karen Campbell, kcampbell5@niu.edu, Recording Secretary to the Board of Trustees, Altgeld Hall 300, DeKalb, IL 60115, 815-753-1273.

Anyone needing special accommodations to participate in the NIU Board of Trustees meetings should contact Karen Campbell, kcampbell5@niu.edu or (815) 753-1273, as soon as possible.

**RESOLUTION AUTHORIZING ISSUANCE OF AUXILIARY FACILITIES
SYSTEM REVENUE BONDS AND ADOPTION OF AN AMENDED AND
RESTATED BOND RESOLUTION**

Summary: Northern Illinois University has \$175.5M in outstanding Series 2010, 2011 Auxiliary Facilities System (AFS) bonds. The average rate on that current debt outstanding is approximately 5.25%. Both issues will be re-financeable with tax-exempt bonds beginning on January 1, 2020. The refinancing offers opportunity for both short and long-term savings depending on the structure of the new debt and based on market conditions. Following an explanation of this and other relevant background, a resolution will be presented for approval by the Board.

The resolution has been developed in consultation with bond counsel at Chapman and Cutler.

DECEMBER 5, 2019

WHEREAS, the Board of Trustees (the “*Board*”) of Northern Illinois University (the “*University*”) has the authority to issue Auxiliary Facilities System Revenue Bonds (“*Bonds*”) under the Northern Illinois University Revenue Bond Law, 110 ILCS 686/31-1 *et seq.* (the “*Act*”); and

WHEREAS, the Board of Regents of the State of Illinois, acting for and on behalf of the University, on August 1, 1985, did adopt a resolution, as subsequently supplemented and amended by resolutions duly adopted by the Board (as so supplemented and amended, the “*Original Resolution*”), pursuant to which the Board has issued certain series of Bonds; and

WHEREAS, the Board, pursuant to the Act and the Original Resolution, authorized and issued Northern Illinois University Auxiliary Facilities System Revenue Bonds, Series 2010 (Build America Program—Taxable) in the original aggregate principal amount of \$126,025,000 all of which is currently outstanding (the “*Series 2010 Bonds*”) and Northern Illinois University Auxiliary Facilities System Revenue Bonds, Series 2011 (Refunding—Tax-Exempt) in the original aggregate principal amount of \$67,135,000 of which \$49,525,000 is currently outstanding (the “*Series 2011 Bonds*”) (see following addendum for additional information); and

WHEREAS, the Board, for and on behalf of the University, on due consideration and investigation, does now find and determine that it is advisable and necessary and in the interest of the University and the welfare of its students and faculty (i) to refund in advance of their maturity, and to redeem on or after the first call date of April 1, 2020, all of the Board’s outstanding Series 2010 Bonds and Series 2011 Bonds (the “*Refunded Bonds*”) and (ii) to adopt an Amended and Restated Bond Resolution, which will amend and restate the Original Resolution to update it to reflect current auxiliary facility financing and market practices, and pursuant to which the Board will issue future series of Bonds (the “*Amended and Restated Bond Resolution*”); and

WHEREAS, in order to finance the cost of refunding the Refunded Bonds, it is advantageous to the Board and necessary that the Board borrow money and issue and sell one or more series of

Bonds under the provisions of the Act and pursuant to an Amended and Restated Bond Resolution; and

WHEREAS, the Board does now find and determine that it is advisable and necessary and in the interest of the University and the welfare of its students and faculty, given the current status of the financial markets, to authorize the issuance of Bonds and the execution of various documents and certificates relating thereto, the final terms of one or more series of Bonds within the parameters set forth in paragraph numbered 2 hereof, in connection with the refunding of the Refunded Bonds, and to delegate to the Authorized Officers or an Authorized Officer (as defined below), as the case may be, the authority to approve, within the parameters of this Resolution, certain matters;

THEREFORE, BE IT RESOLVED by the Board of Trustees of Northern Illinois University in regular meeting assembled, that:

1. The Board hereby determines it to be desirable to and hereby authorizes the (i) issuance of one or more series of its Northern Illinois University Auxiliary Facilities System Revenue Bonds, with such additional designations, modifications or revisions as determined by the Authorized Officers to reflect the calendar year of the issuance of the Bonds, whether the Bonds are being issued initially at a fixed or a variable rate, or any other authorized feature of the Bonds (the "*Series 2020 Bonds*"), within the parameters set forth in paragraph numbered 2 below, to refund the Refunded Bonds, and (ii) adoption of the Amended and Restated Bond Resolution (which will amend and restate the Original Resolution to, without limitation, (a) update the facilities that comprise the Northern Illinois University Auxiliary Facilities System (the "*System*") and the provisions relating to adding or disposing of System facilities, (b) modify certain financial covenants, including adding "Pledged Tuition" to the System rate covenant and additional bonds test, and adjusting rate covenant and other coverage ratios, and (c) revise provisions governing the use of excess funds of the System) to be executed by the Chair and attested by the Secretary of the Board in the form consistent with this Resolution and based upon the recommendation of University Counsel and the Board's Financial Advisor, pursuant to which the Series 2020 Bonds and any additional future Bonds will be issued, and such execution shall conclusively evidence approval by the Board of the terms of the Amended and Restated Bond Resolution.

2. The Board approves the qualified pool of bond underwriting and placement agent firms selected pursuant to its October 2019 Request for Proposal for Investment Banking Services, and authorizes the Treasurer of the Board to select from among those firms one or more underwriters and placement agents in connection with the issuance and sale of the Series 2020 Bonds. Further, the Board authorizes the sale of the Series 2020 Bonds to an underwriter or underwriters (each, an "*Underwriter*" and collectively, the "*Underwriters*") and/or to a purchaser or purchasers (each, a "*Purchaser*" and collectively, the "*Purchasers*"), that are designated from among pool members and pursuant to the Amended and Restated Bond Resolution, subject to the following conditions: (i) given rapidly changing market conditions, the Series 2020 Bonds may be sold in a public and/or private sale as the Authorized Officers may deem best in the public interest; (ii) the Series 2020 Bonds to be issued shall not exceed an aggregate principal amount of \$185,000,000, the proceeds of which shall be used to (a) pay the costs of refunding the \$175.55 mm in Refunded Bonds, including accrued interest (b) pay the costs

of issuance of the Series 2020 Bonds and (c) fund a debt service reserve account and/or surety bond, and to purchase bond insurance for the Series 2020 Bonds, if determined by the Authorized Officers to be in the best financial interest of the Board; (iii) the Series 2020 Bonds will have a final maturity of no later than April 1, 2041; (iv) the price at which the Series 2020 Bonds will be sold will not be less than 97% of the par amount thereof (net of original issue discount or premium, if any, and underwriter's discount); (v) if any Series 2020 Bonds are initially issued as variable rate obligations, the initial interest rate shall not exceed 4.75% per annum; and (vi) if any Series 2020 Bonds are initially issued as fixed rate obligations, the true interest cost of that borrowing shall not exceed 4.75% per annum. The approval by University Counsel, the President and the Treasurer of the Board (collectively, the "Authorized Officers" and each, an "Authorized Officer") of such final terms of the Series 2020 Bonds, within the parameters set forth in this paragraph, shall be evidenced by execution of a Notification of Sale by an Authorized Officer upon the sale of the Series 2020 Bonds, which such Notification of Sale shall be delivered to the Board and filed in the office of the Secretary of the Board.

3. Amalgamated Bank of Chicago, Chicago, Illinois, is hereby authorized to serve as Bond Registrar and Paying Agent for the Series 2020 Bonds and as Escrow Agent for the Refunded Bonds.

4. The law firm of Chapman and Cutler LLP is hereby retained to serve as Bond Counsel to the Board with respect to issuance of the Series 2020 Bonds.

5. The firm of Longhouse Capital Advisors, LLC is hereby retained to serve as Financial Advisor to the Board with respect to issuance of the Series 2020 Bonds.

6. The Board approves the preparation and distribution by the Underwriter or Underwriters of a Preliminary Official Statement and an Official Statement in connection with the sale of a series of the Series 2020 Bonds subject to a public offering in substantially the forms of the Preliminary Official Statement and Official Statement used in connection with the issuance and sale of the Series 2010 Bonds and the Series 2011 Bonds, each updated to contain current disclosure information, including information relating to the University and its financial condition, and the terms of the Series 2020 Bonds. An Authorized Officer (or one of their respective designees) is hereby authorized and directed to execute the Official Statement in the name of and on behalf of the Board, his or her execution thereof to constitute conclusive evidence of the Board's approval of all changes from the form used in connection with the issuance and sale of the Series 2010 Bonds and the Series 2011 Bonds.

7. The Board approves a Bank Purchase Agreement or Agreements in connection with the sale of a series of the Series 2020 Bonds to a Bank Purchaser or Purchasers in a private placement in substantially the form or forms approved by the Authorized Officers (or their respective designees). An Authorized Officer (or one of their respective designees) is hereby authorized and directed to execute the Bank Purchase Agreement or Agreements in the name of and on behalf of the Board, his or her execution thereof to constitute conclusive evidence of the Board's approval of the terms of the Bank Purchase Agreement or Agreements.

8. The Board approves a Seventh Supplemental Auxiliary Facilities System Revenue Bond Resolution, an Escrow Agreement or Agreements, a Bond Purchase Agreement or Agreements, and a Continuing Disclosure Agreement or Agreements in substantially the forms of such documents used in connection with the issuance and sale of the Series 2010 Bonds and the Series 2011 Bonds, as the case may be, with such changes as may be approved by the Authorized Officers (or their respective designees). An Authorized Officer (or one of their respective designees) is hereby authorized and directed to execute such documents in the name of and on behalf of the Board, and the Secretary of the Board (or his designee) is hereby authorized to attest any such documents, his or her or their execution thereof to constitute conclusive evidence of the Board's approval of all changes from the forms of such documents used in connection with the issuance and sale of the Series 2010 Bonds and the Series 2011 Bonds, as the case may be.

9. Each Authorized Officer is hereby authorized and directed to perform all such acts and to make, execute and deliver all such other instruments and documents on behalf of the Board as may be by any such Authorized Officer deemed necessary or appropriate in connection with the provisions of the Preliminary Official Statement, the Official Statement, the Seventh Supplemental Auxiliary Facilities System Revenue Bond Resolution, the Escrow Agreement or Agreements, the Bond Purchase Agreement or Agreements, the Bank Purchase Agreement or Agreements, and the Continuing Disclosure Agreement or Agreements, including a Tax Exemption Certificate and Agreement or Agreements in form or forms satisfactory to University Counsel, Bond Counsel and the Board's Financial Advisor, and to ratify, approve and confirm all acts and things whether heretofore or hereafter done or performed by any of the officers of the Board which are in conformity with the intents and purposes of this Resolution.

Adopted in a regular meeting assembled this 5th day of December 2019.

**Board of Trustees of
Northern Illinois University**

Dennis L. Barsema

Chair

Attest: Robert W. Pritchard

Secretary

ADDENDUM

SERIES 2010-2011 BOND REISSUANCE SUMMARY

The Finance, Audit, Compliance, Facilities, and Audit (FACFO) Committee of the Board of Trustees for Northern Illinois University was briefed on the opportunity to refinance the Series 2010 and Series 2011 Bonds during the November 14, 2019 meeting. At the meeting, the Committee engaged in a discussion in support of refinancing the \$175.5M in outstanding bonds including the guiding principles, goals, process, and timeline (the details are explained in the following document). Refinancing the existing bonds is expected to:

- Yield total savings of about \$28M, assuming the current financing climate;
- 2020 Bonds to amortize fully, including both interest and principal payments; with the new bonds' maturity date not to extend beyond the April 1, 2041 maturity date of the Series 2010 bonds; and
- Create operational flexibility by modernizing existing covenants and reducing the annual costs in support of debt servicing.

The Committee endorsed moving forward with the refinance and the University's proposed approach. Administration committed to bringing to the Board of Trustees a plan to execute the refinance of the bonds, along with requesting the necessary approvals.

Overview of Opportunity

Northern Illinois University has \$175.5M in outstanding Series 2010, 2011 Auxiliary Facilities System (AFS) bonds. The average rate on that current debt outstanding is approximately 5.25%. Both issues will be re-financeable with tax-exempt bonds beginning on January 1, 2020. NIU can issue either fixed or variable rate bonds, or both. NIU's financial management team is considering the use of variable rate, tax-exempt bank debt for a portion of the refinancing, likely \$20-\$50M of the total. This would facilitate easy prepayment of a portion of its AFS debt should NIU receive a significant upfront payment in exchange for the sale or use of an existing building or portion of campus. The refinancing offers opportunity for both short and long-term savings depending on the structure of the new debt and based on market conditions as of September 4, 2019. A refinance of these bonds during the current financing climate is currently projected to yield total savings of about \$28M.

Refinancing also provides a chance to modernize the University's AFS documents which includes: modifying certain financial covenants; adjusting rate covenant and other coverage ratios; reconfiguring the AFS to take out non-producing buildings; making it easier to add buildings into or take them out of the AFS; and revise provisions governing the use of excess funds of the system, allowing excess funds to be taken out of the AFS and used for general University purposes, once certain conservative thresholds of System health are met. Currently the University's AFS system is a "closed" one, which does not allow excess funds to be taken out of the system. The refinancing can close as early as February 2020.

Financing Climate

Northern Illinois University's Moody's rating outlook was upgraded from "Ba2" negative to "Ba2" stable in May 2019. In the past year, overall tax-exempt rates have dropped by 1%, and the rate differential between higher and lower-rated credits has narrowed. NIU can issue either on the basis of its own rating (unenanced) or with bond insurance. The University's current bond insurer AGM, insurer of the 2010/2011 bonds, has indicated interest in insuring the refinancing. This would provide any fixed rate bonds in the Refinancing with an AA (S & P) rating.

Guiding Principles

The management team has adopted the following guiding principles for this refinancing:

- The bond issue will refinance the Series 2010 and 2011 AFS bonds and related refinancing costs;
- The new debt payments will not extend beyond the April 1, 2041 maturity date of the Series 2010 bonds;
- The refinancing is expected to close in first quarter CY20 to fully benefit from anticipated low interest rates and associated savings;
- The refinancing will be structured to maximize savings in FY20-FY23 to mitigate budgetary impact of closing the structural budget gap; and
- The AFS documents will be modernized.

Bond Underwriting “Request for Proposal” Process

To refinance AFS bonds, the University and its long-time financial advisor, Longhouse Capital Advisors, have drafted an RFP for an underwriter that was distributed on October 4th, with responses due October 28, 2019. The University received 11 complete proposals in response to the RFP, all of which included a Business Enterprise Program (BEP) commitment.

The RFP will establish a pool of bond underwriting firms. A subset of firms from the pool will be selected to work on the initial refinancing issue. The bond underwriter pool was selected in November 2019 and is presented for Board approval during its December 5th meeting. The bond underwriting pool will last up to five years and could be called on to cover future needs.

Potential Savings from Refinancing

Final savings will be subject to changes in rates; to the final insurance premium from the bond insurer, if an enhanced issue is chosen; or to the Bonds’ underlying rating, if not; and to the mix of fixed and variable rate debt in the refinancing issuance, among other factors.

The savings numbers conservatively reflect an all-fixed-rate financing using rates as of September 4, 2019. Refinancing rates could rise 1.25% vs. the rates used in the initial analysis and still provide a “Present Value Savings” metric above 3%, the minimum efficiency percentage typically deemed acceptable for a refinancing, based on current financing assumptions.

General Financing Assumptions:

- Assured Guaranty bond insurance with a bond insurance premium of 2.25% X total principal and interest on the refunding bonds.
- Underwriter's discount of 0.35% X par amount.
- Estimated other costs of issuance of \$650,000 for the financing.
- The Series 2010 BABs subsidy payment due 4/1/2020 is assumed to be received and paid at the current subsidy rate of 32.935% (\$1,666,770).
- Interest rate scale with Assured Guaranty insurance provided by RBC Capital Markets based on markets as of September 4, 2019. Scale assumes an optional call date of 4/1/2030 at par.
- In estimating savings, analysis conservatively assumes future subsidy payments on the Series 2010 BABs at the full 35% even though it is currently at the lower subsidy rate of 32.935%.
- New issue does not include a debt service reserve fund.

DIVISION OF ADMINISTRATION AND FINANCE INVESTMENT BANKING SERVICES VENDOR POOL

Summary: The Division of Administration and Finance is requesting approval to create a qualified pool of vendors to provide investment-banking services to the University for a period of five years with the option for an additional five-year renewal. A request for proposal process was completed in November 2019 and five bond underwriter firms were selected to include into this pool. These firms will have the opportunity to submit quotes on an as-needed basis for investment banking services throughout the term of the contract. The first opportunity will be refinancing of the University's Series 2010 and 2011 Auxiliary Facility System (AFS) bonds.

Background: The Division of Administration and Finance and its long-time financial advisor, Longhouse Capital, provided an overview of the opportunity to refinance the University's Series 2010 and 2011 AFS bonds at the Finance, Audit, Compliance, Facilities and Operations Committee meeting of November 14, 2019. The University has \$175.5M in outstanding Series 2010 and 2011 AFS bonds, and a refinance of these bonds during the current financing climate is currently projected to yield total savings of about \$28M. The financial management team has adopted the following guiding principles for the refinancing:

- The bond issue will refinance the Series 2010 and 2011 AFS bonds and related refinancing costs;
- The new debt payments will not extend beyond the April 1, 2041 maturity date of the Series 2010 bonds;
- The refinancing is expected to close in first quarter CY20 to fully benefit from anticipated low interest rates and associated savings;
- The refinancing will be structured to maximize savings in FY20-FY23 to mitigate budgetary impact of closing the structural budget gap; and
- The AFS bond documents will be modernized.

As a result of the request for proposal process, five bond underwriting firms, all of which provided a Business Enterprise Program (BEP) commitment, were selected to be included into a pool to provide investment banking services, as needed. A subset of firms from the pool will be selected to work on the Series 2010 and 2011 AFS refinancing issue.

Funding: Revenue Bonds – Local Funds

Underwriter fees are estimated at a maximum of \$3M per vendor (5) totaling \$15M in the aggregate, for the five year contract period.

Recommendation: The University requests Board approval to create a qualified pool of five vendors to provide investment-banking services to the University.

Minutes of the
NIU Board of Trustees of Northern Illinois University
Special Meeting
November 14, 2019

1. CALL TO ORDER AND ROLL CALL

The meeting was called to order at 8:32 a.m. by Board Chair Dennis Barsema in the Board of Trustees Room, 315 Altgeld Hall. Recording Secretary Karen Campbell conducted a roll call. Members present were Rita Athas, John Butler, Montel Gayles, Veronica Herrero, Madalynn Mershon, Bob Pritchard, Vice Chair Eric Wasowicz, and Board Chair Dennis Barsema.

Also present: President Lisa Freeman; General Counsel Bryan Perry; Board Liaison Matt Streb; Vice President for Administration and Finance Sarah McGill; and University Advisory Council (UAC) Representatives Catherine Doederlein, Kendall Thu, Janson Hanna, Alex Gelman, and Sarah Marsh.

2. VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING

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

3. MEETING AGENDA APPROVAL

Chair Dennis Barsema asked for a motion to approve the meeting agenda. Trustee Montel Gayles so moved and Trustee Bob Pritchard seconded. The motion was approved.

4. REVIEW AND APPROVAL OF MINUTES OF SEPTEMBER 12, 2019

Chair Dennis Barsema asked for a motion to approve the minutes of September 12, 2019. Trustee John Butler so moved, and Trustee Rita Athas seconded. The motion was approved.

5. CHAIR'S COMMENTS/ANNOUNCEMENTS

Chair Dennis Barsema welcomed the members of the University Advisory Committee.

UAC Representative Catherine Doederlein stated that the collaborative work that resulted in the collective bargaining agreement to be voted on shortly was exciting. The faculty are vital to the university and the heart and core of the institution.

Representative Doederlein then spoke on behalf of the last body that has no collective bargaining agreement, the Supportive Professional Staff (SPS). She stated that many people from within her SPS constituency say that the faculty now have a lot with their salaries and increases which will officially be codified today, and SPS members are nervous. Representative Doederlein has explained that she feels confident with this administration and this Board, who have shown a willingness and interest to ensure fairness. Considering increases and things of that nature should apply for everyone.

UAC Representative Kendall Thu told a story about his father's being fired from a junior college for trying to organize faculty and students into having a greater voice in the direction of the junior college. Because of that experience, Representative Thu said that the Collective Bargaining Agreement for Faculty to be considered at this meeting has a special, personal meaning. He went on to congratulate President Lisa Freeman and her leadership team, as well as his colleagues in the union, for their work on the agreement. He noted that it was a good day for NIU.

UAC Representative Alex Gelman agreed with Representative Thu that it was a great day for NIU. He expressed his excitement for the increased faculty compensation. He also said that the new arts fee would make artistic events on campus more accessible to students, contributing to their overall education and growth as well as creating a smart, knowledgeable citizenry that will lead us forward to brighter days.

Chair Barsema announced his agreement that it was a wonderful, great and historic day for NIU.

Chair Barsema went on to applaud the efforts of the Student Association for declaring this “No Plastic November.” In support of that, the Board of Trustees will now use reusable containers for water.

Chair Barsema further thanked the Holmes Student Center (HSC) Starbucks for the delivery of coffee to the Board of Trustees. He also noted that the opening of the new HSC had gone very well, especially for the Starbucks and The Grill in the Huskie Den. The HSC is being well used by faculty, staff, and students.

Chair Barsema mentioned that this meeting was the first time that a Board of Trustees Meeting was live streamed. This will be the practice going forward. All the information about where to go and what to do to watch the live stream is available on the Board of Trustees website.

Finally, Chair Barsema congratulated the Huskie football team for beating Toledo, and thanked everyone for their presence on a historic day for NIU.

6. PUBLIC COMMENT

General Counsel Bryan Perry indicated that no timely requests for public comment were received.

7. PRESIDENT’S REPORT NO. 137

Agenda Item 7.a. Collective Bargaining for United Faculty Alliance

President Lisa Freeman introduced Agenda Item 7.a. She said that this is a special board meeting in every sense of the word and emphasized her pleasure and pride in putting forward the collective bargaining agreement between NIU and the United Faculty Alliance University Professionals of Illinois, Local 4100 IFT, AFT, AFLCIO. The collective bargaining unit represents approximately 580 tenure and tenure track faculty and it is an exciting day to bring this forward for approval by the Board of Trustees. The incredible value of NIU’s faculty cannot be overstated. Their research, artistry and scholarship; their compassion and dedication for students, and their commitment to NIU’s mission, vision and values is immeasurable. NIU faculty’s diverse talents and expertise contribute to the region, to the nation, and to global society. From start to finish, negotiating this new contract was a lengthy process. But more importantly, it was a thoughtful process on both sides that resulted in a fair contract that supports faculty, that respects shared governance, and that will be used to retain and recruit talented and diverse faculty going forward.

Chair Dennis Barsema responded that the Board is very pleased about Dr. Freeman’s recommending this contract move forward for approval, and echoes her statements on how just incredible NIU faculty are.

Chair Barsema next shared a story of mentoring a student who chose NIU over other schools because she felt at home at NIU. The student said that her best friend at another university complains often about her professors. The student mentee said that she has never had a bad experience with an NIU professor and loves every one of her professors. So, when people think about the strengths of NIU and the reasons why students not only come to NIU, but stay at NIU, the top of the list is faculty. Chair Barsema thanked the faculty and stated that it is a pleasure for the Board of Trustees to be a part of this vote on such a historic day for NIU. It was important to

the Board to hold this special meeting early enough that as many of the faculty who wanted to be here who could join in this day and still get back to teaching schedules.

Chair Barsema called for a motion to approve agenda item 7.a. Trustee Rita Athas so moved, and Trustee Montel Gayles seconded.

Trustee John Butler noted that he works in the labor movement, so this is a special day for him personally. The best agreements clearly contend with issues and address the concerns of the bargaining unit and also express the values shared between labor and management in a clear and ideally bold manner. Trustee Butler was pleased when reading this contract that both those components were present. At the heart of any labor movement is a quest for justice, and this is a sign that the quest was joined by the university administration in a serious effort. This agreement also differentiates the working terms and conditions of NIU faculty from the working terms and conditions in place at other universities and therefore, the contract will serve as an instrument of sustainability and enhancement of faculty life at NIU. That should be the goal and this contract moves the university in that direction.

President Freeman stated that she wanted to recognize not only the faculty but also the administrative representatives on the bargaining team. She especially commended Provost Beth Ingram, and Vice Provost Bill Pitney, who played a key role in completion of the agreement.

Chair Barsema said that this is a very fair and competitive contract that speaks to the needs of faculty, students, and NIU. The Board echoes the words already said and is very thankful for the efforts not only of those who worked to get to this day, but for those who will work going forward to implement this new contract.

Chair Barsema called the vote for Agenda Item 7.a. The motion was approved.

8. OTHER MATTERS

There were no other matters.

9. NEXT MEETING

The next regularly scheduled meeting of the full Board of Trustees is December 5, 2019 at 9am.

10. RECESS FOR ACADEMIC AFFAIRS, STUDENT AFFAIRS, AND PERSONNEL COMMITTEE AND FINANCE, AUDIT, COMPLIANCE, FACILITIES AND OPERATIONS COMMITTEE MEETINGS

Chair Dennis Barsema stated that the Board needed to recess for committee meetings and asked for a motion to do so. Trustee Montel Gayles so moved, and Trustee Eric Wasowicz seconded. The motion was approved.

The Board recessed at 8:55a.m.

(Trustee Veronica Herrero joined the Academic Affairs, Student Affairs, and Personnel Committee Meeting at 9:00am)

11. CLOSED SESSION

The Board returned from recess at 12:37p.m.

Chair Dennis Barsema asked for a motion to move to closed session. Trustee John Butler so moved, and Trustee Montel Gayles seconded.

Roll Call Vote:

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes
Trustee Madalynn Mershon: Yes
Vice Chair Eric Wasowicz: Yes

Trustee Veronica Herrero: Yes
Trustee Bob Pritchard: Yes
Board Chair Dennis Barsema: Yes

The Board closed the public meeting at 12:40p.m.

The meeting reconvened from closed session at 4:00p.m. Chair Barsema asked for a roll call. Trustees present were Rita Athas, John Butler, Montel Gayles, Madalynn Mershon, Bob Pritchard, Vice Chair Eric Wasowicz, and Chair Dennis Barsema.

Roll Call:

Trustee Rita Athas: Present
Trustee Montel Gayles: Present
Trustee Madalynn Mershon: Present
Vice Chair Eric Wasowicz: Present

Trustee John Butler: Present
Trustee Veronica Herrero: Absent
Trustee Bob Pritchard: Present
Board Chair Dennis Barsema: Present

12. ADJOURNMENT

Chair Dennis Barsema asked for a motion to adjourn. Trustee Veronica Herrero so moved, and Trustee Montel Gayles seconded. The motion was approved. Meeting adjourned at 4:01p.m.

Respectfully submitted,

Karen Campbell

Recording Secretary

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

REPORTS OF BOARD COMMITTEES AND BOARD LIAISONS

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

The Academic Affairs, Student Affairs and Personnel Committee met on November 14, 2019. The Committee received three action items: New Degree Program in Bachelor of Arts/Sciences in Women, Gender and Sexuality Studies; New Degree Program in Doctor of Philosophy in Kinesiology and Physical Education; and an Authorization to Retain Search Firms to Support Selected Searches for the Division of Athletics. They also received four informational items: Professional Excellence Awards for Faculty and Staff; Oversight of Academic Programs; Community College Partnerships; and a College of Education Overview.

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

The Finance, Audit, Compliance, Facilities and Operations Committee met on November 14, 2019. The committee was presented with three Financial Update items: Annual Financial Summary and Budget to GAAP Reconciliation, Quarterly Financial Summary – FY20 First Quarter, and Series 2010-2011 Bond Reissuance Update. The committee approved four action items related to FY21 pricing recommendations (Undergraduate Tuition, General Fee, Room and Board, and Graduate and Law) and five additional action items including Student Success Collaborative and Academic Performance Solutions, Holmes Student Center Tower Elevator Upgrades, Burma Art Collection Compact Storage, FY20-24 Fire Services Agreement with the City of DeKalb, and Internal Audit Department Charter. The committee also received five information items. These included Quarterly Report of Transactions in Excess of \$100,000, Periodic Report on Investments, FY19 Annual Report of Transactions Involving Real Property, FY19 Report on Facilities and Infrastructure, and FY19 Internal Audit Update.

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

The Research and Innovation, Legal and Legislative Affairs Committee did not meet on November 14, 2019. The next scheduled meeting is February 13, 2019.

d. Illinois Board of Higher Education

The State of Illinois Board of Higher Education (IBHE) has not posted minutes for any meetings after the June 4, 2019. The IBHE report of that date was included in the September 12, 2019 Board of Trustees meeting report.

e. Universities Civil Service Merit Board

Oral update to be given by UCSMB representative John Butler.

f. Northern Illinois University Alumni Association

Enrollment Management Partnership: The NIUAA has a strong partnership with enrollment management. We currently execute 8 collaborative programs, with ongoing discussions about bringing additional programs online. Last enrollment cycle, we had 25,000+ alumni interactions with prospective students. 86% of students who enrolled at NIU received a letter from an alumnus, via the “Letters from Alumni” program. 75% of students who attended an Admitted Huskies Reception enrolled at NIU.

The NIUAA and NIUF have created the “enrollment Strategic Initiatives” fund, which will pay for the ongoing programmatic costs. Anybody can donate to that fund via a designation.

Communications: The new Northern Now was sent out in mid-November, being mailed to 4,500 households, and distributed to all 240,000+ alumni digitally. You can find it at northernnow.com. The FY2019 Alumni Association Impact Report is going to print and will be mailed out after Thanksgiving.

Travel: The NIUAA Travel Program just announced its first trip to Antarctica with new partner Abercrombie & Kent. This trip will feature Dr. Reed Scherer, faculty member and micropaleontologist, as one of the speakers. Additionally, we have 7 international and 1 domestic trip planned or executed in FY20.

g. Northern Illinois Research Foundation

The NIRF Board of Directors was scheduled to meet on December 3, 2019. A summary of that meeting will be submitted for the next NIU Board of Trustees meeting.

h. Northern Illinois University Foundation

Fundraising: Through the first quarter of FY20, fundraising total achievement totaled \$3,136,723 vs. \$1,488,287 for the same period last fiscal year.

Engagement: The four months of activity focused on engagement of alumni and donors through Huskie Football activities, including very successful hosted events in Utah, Nebraska and Tennessee, as well as a full slate of activities in support of Homecoming 2019.

Upcoming Events: In the coming months, “Blitz” activities will include donor trips to Florida, Los Angeles, Phoenix and Washington, D.C. Planning has begun for the 125th Anniversary year, which feature both the Red and Black and also a new event to celebrate the “Founders Forum,” a giving society for lifetime donors who have given \$50,000 or greater to NIU.

NIU Foundation Board: Michael Cullen took on the chairmanship of the NIU Foundation Board of Directors on July 1, following the very successful tenure of Jeffrey Yordon, who completed his 3 year term. In the first quarter, Foundation board members Jeff Yordon and David Heide hosted key donor events in the city of Chicago and the south suburbs respectively. Additionally the Foundation hosted a welcome event for Provost Beth Ingram and General Counsel Bryan Perry locally in DeKalb. The Distinguished Donor Event was held on August 1st at the Elmhurst Art Museum, which featured exhibits by NIU faculty and alumni artists.

Campaign Planning: The Foundation, in collaboration with university leadership, is in the planning stages of a comprehensive fundraising campaign that could potentially launch a quiet phase in early 2021. Activities in the current fiscal year are designed to increase institutional readiness and include identification of priorities, development of a case for support, development of internal campaign communications and training for staff and volunteers.

REQUEST FOR NEW DEGREE PROGRAM IN B.A./B.S. IN WOMEN, GENDER, AND SEXUALITY STUDIES

Summary: All new degree programs require the approval of the Board of Trustees and the approval of the Illinois Board of Higher Education. This new program request has received all of the required curricular approvals at the department, college, and university levels, and the concurrence of the provost.

Description: The University seeks approval for a Bachelor of Arts/Bachelor of Science in Women, Gender, and Sexuality Studies degree program to be offered on campus. This program will be housed in the Center for the Study of Women, Gender, and Sexuality (CSWGS) within the College of Liberal Arts and Sciences.

Rationale: This proposal is the result of a recommendation by the Program Prioritization Academic Task Force at Northern Illinois University. CSWGS was ranked as a “Candidate for Enhancement,” by the Task Force with an official endorsement to develop a major in this discipline.

Adding this major would help NIU become current with the discipline and better meet the needs of our students. Women, Gender, and Sexuality Studies is a widely recognized discipline. It has a core set of principles, a theoretical “canon,” a shared research methodology, a national organization (the National Women’s Studies Association), and 42 highly ranked, competitive scholarly journals housed in multiple disciplines. According to several sources, enrollment in Women’s and Gender Studies is on the rise nationally. For example, a 2017 article in *USA Today, College* used data from the National Center for Education Statistics to assert that “the number of women’s and gender studies degrees in the United States has increased by more than 300% since 1990.”¹ This major can further enhance NIU’s already impressive reputation for being an open and welcoming campus for LGBTQ+ people.

Students seek out academic credentials and services in the CSWGS because they want to see their own lives, experiences, and histories represented; they want a “home” on campus; and they want the tools to recognize and respond to structural and interpersonal inequalities in society. The major is desired by current and past students. It will provide students with skills sought by employers in a variety of fields and will prepare them to be good citizens in a diverse social world. Students are eager to pursue the courses offered by the CSWGS and many of them double-minor in both Women’s and Gender Studies and LGBTQ+ Studies.

The CSWGS is poised and ready to offer this new major. The CSWGS already offers a broad array of courses regularly taught by joint appointment faculty, Graduate Assistants, and staff. The Center offers rigorous and relevant undergraduate credentials, including a certificate and a minor in Women’s and Gender Studies and a certificate and a minor in LGBTQ+ Studies. The WGSS major would encompass our entire curriculum, bringing us up to date with a vibrant, multifaceted, and inherently interdisciplinary field of study that speaks to contemporary societies in ways that are especially evident in the present moment. Grounded in social movements and reaching toward more just and equitable futures, the field of Women, Gender, and Sexuality Studies empowers students to become deeply informed agents of personal and collective transformation.

¹ Smith, C. (2017, March 5). Women’s Studies has changed over the years – and it’s more popular than ever. *USA Today, College*. Retrieved from <http://college.usatoday.com/2017/03/05/womens-studies-popular/>.

Funding: This proposal is largely cost neutral. CSWGS hired a new faculty member who began this fall, and CLAS approved \$29,500 in additional instructional staffing funds for FY19 to pay overloads to faculty and staff and to hire instructors to cover courses. This funding remains in place for FY20. This major can be offered with no new financial resources. Modest increases in non-personnel expenses and potentially an additional hire or partial appointment could be necessary if student demand grows as we expect over the next 5 years.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustee approval of the Request for the New Degree Program in B.A/B.S. in Women, Gender and Sexuality Studies.

REQUEST FOR NEW DEGREE PROGRAM IN PH.D. IN KINESIOLOGY AND PHYSICAL EDUCATION

Summary: All new degree programs require the approval of the Board of Trustees and the approval of the Illinois Board of Higher Education. This new program request has received all of the required curricular approvals at the department, college, and university levels, and the concurrence of the provost.

Description: The University seeks approval for a Doctor of Philosophy (Ph.D.) in Kinesiology and Physical Education degree program to be offered on campus. This program will be housed in the Department of Kinesiology and Physical Education (KNPE) within the College of Education.

Rationale: The proposed Ph.D. in Kinesiology and Physical Education will serve to further the university and college's mission and priorities in both teaching and scholarship. The program is designed as an interdisciplinary doctorate across the sub-disciplines across the exercise and sport sciences contained within KNPE, with primary emphases being on preparing future academicians with strong research and teaching skills, and in aligning with KNPE's research strengths in the areas of (1) sport for development, i.e. the ability for sport to be a tool for social change, and (2) exercise and movement science. Students will complete a rigorous research and statistics core, including a minimum of 36 research-intensive credit hours. With a series of core seminar courses in teaching and research in the sport sciences, students will be able to customize their degree, in alignment with faculty expertise, across the aforementioned sport and exercise science disciplines. Additionally, this proposed program will further distinguish itself from peer programs by focusing dually on training in both research and teaching. The multitude of faculty positions in academia, including institutions like NIU, are housed at universities where both teaching and scholarship are valued in relatively equal parts. Many Ph.D. programs focus almost exclusively on research training, as is the case with the only two other on-campus doctoral programs in kinesiology in the State of Illinois (UIUC and UIC). This proposed program will possess a competitive advantage over those other programs with this balanced focus.

Funding: This program is designed to be resource-neutral. Much of the students' coursework, particularly the research/statistics core and elective coursework, will take place in already-existing classes throughout the college and university. Only five new classes will be offered as part of the KNPE core of the program, a series of seminars on teaching, research, and the academy in the sport and exercise science disciplines. The classes will be offered on a two-year rotational basis for efficiency purposes. Faculty capacity to teach this small number of doctoral candidates will be created by having doctoral students teach lower-level undergraduate courses that tenure-line professors or instructors would have taught otherwise. It is worth noting that doctoral graduate assistants can teach and help KNPE generate credit hours in its extensive 100-level activity course and general education offerings at a significantly reduced cost compared to other faculty, which will further provide strong teaching experience for doctoral candidates as they prepare to enter the academic job market. No new resources are being requested with this program proposal.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for New Degree Program in Ph.D. in Kinesiology and Physical Education.

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

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

Recommendation: It is recommended that the President be authorized to select executive search firms to support selected searches for head coaches in the Division of Athletics. It is further recommended that the President report plans to retain such search firms to the Board as soon as practicable, and periodically report back to the Board regarding the selection and status of such searches.

The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval for the Authorization to Retain Executive Search Firms to Support Selected Searches for the Division of Athletics.

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

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

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

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

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

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

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

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

FISCAL YEAR 2021 UNDERGRADUATE TUITION PRICING RECOMMENDATION

Summary: The following item presents the pricing recommendation that addresses Northern Illinois University's tuition rates for Fiscal Year 2021. These recommendations were developed with the goals of addressing affordability concerns and maintaining fiscal responsibility by keeping the total cost of attendance for full-time students as low as possible. The recommendation is to hold base tuition flat in FY21 for the fifth year in a row. There will be no change to differential tuition rates.

Background: NIU has developed a refined set of tuition rates to reflect the multiple student populations. To bring clarity to this array of rates, first described is the rate structure and then the rates for FY20 and the rates proposed for FY21.

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

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

Truth in Tuition

Tuition rates for Illinois residents seeking an undergraduate degree are subject to Illinois' Truth-in-Tuition law. Under the law, entering degree-seeking undergraduate students are guaranteed the same base tuition rate for four continuous years. NIU policy adds one additional semester to this four-year guarantee. After nine continuous semesters of enrollment, the guaranteed undergraduate tuition rate adjusts to the tuition rate paid by students who entered the University one fiscal year after the date of original entry for an additional three semesters.

In the event of a decrease in undergraduate tuition, we anticipate 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.

Hence, when NIU sets undergraduate tuition rates for FY21, 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.

Out-of-State and International Rates

NIU currently sets tuition for domestic, out-of-state 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 FY21 domestic rate.

Fiscal Year 2020 Tuition Recommendations

Base Domestic Tuition	Per Credit Hour Rate	Capped Tuition at
	1 – 11	12 or more Credit Hours
Undergraduate Tuition	\$348.84	\$4,732.80

Fiscal Year 2021 Tuition Recommendations

Base Domestic Tuition	Per Credit Hour Rate	Capped Tuition at
	1 – 11	12 or more Credit Hours
Undergraduate Tuition	\$348.84	\$4,732.80

Differential Tuition

For select programs, NIU charges a differential tuition. These differentials reflect the added value and added costs associated with those programs. The differential rate is added to the base and becomes the tuition rate charged for that program, subject to the policies previously listed. Differential rates are stated on a per-credit-hour basis. The maximum differential rate is capped at 12 times the per-credit-hour rate. Differential rates are re-validated annually.

Undergraduate Differential Tuition per Credit Hour Rates

Program	FY20 Differential	FY21 Differential
College of Engineering & Engineering Technology		
All programs	\$50	\$50
College of Health & Human Sciences		
Nursing (pre-licensure, not including pre-majors nor RN to BSN)	\$15	\$15
College of Liberal Arts & Sciences		
Computer Science (including pre-majors)	\$40	\$40

The 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, College of Engineering & Engineering Technology, Nursing, and Computer Science are maintaining their existing rates.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of Fiscal Year 2021 Undergraduate Tuition Pricing Recommendation.

FISCAL YEAR 2021 GENERAL FEE PRICING RECOMMENDATION

Summary: The following item presents a pricing recommendation that addresses Northern Illinois University's general fees for Fiscal Year 2021. These recommendations were developed with the goals addressing affordability concerns and maintaining fiscal responsibility by keeping the total cost of attendance for full-time students as low as possible. The recommendations include the introduction of an Arts and Culture Fee, though the overall fees are decreasing from FY20 to FY21.

Background: 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 FY20 and recommendations for FY21.

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.

Decrease of \$0.03 from FY20 (\$5.13) to FY21 (\$5.10)

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

Decrease of \$0.03 from FY20 (\$11.83) to FY21 (\$11.80)

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.

Decrease of \$1.08 from FY20 (\$8.98) to FY21 (\$7.90)

Grants-in-Aid Charge supports needs-based and special initiative Financial Aid grants to students.

Remains flat at \$1.40

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

Decrease of \$0.13 from FY20 (\$8.13) to FY21 (\$8.00)

Northern Star is the student-run newspaper and provides free access to the campus community.

Decrease of \$0.02 from FY20 (\$0.29) to FY21 (\$0.27)

Arts and Culture Fee enhances the University's arts culture and provides students with a means to enjoy the School of Music and School of Theater and Dance productions without direct cost to the student.

**New* \$0.80 for inaugural year*

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.

Decrease of \$0.15 from FY20 (\$15.05) to FY21 (\$14.90)

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.

Decrease of \$3.03 from FY20 (\$11.53) to FY21 (\$8.50)

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.

Remains flat at \$22.29

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

Decrease of \$0.02 from FY20 (\$8.22) to FY21 (\$8.20)

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.

Remains flat at \$2.40

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).

Remains flat at \$50.00

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).

Remains flat at \$56.00

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.

Remains flat at \$125 per semester for students enrolled in 6 or fewer credit hours and \$250 for 7 or more credit hours

FY20 Rates and Recommendations for FY21 Rates

General Fees	Per Credit Hour Rate (12 Hours Max. Rate)		
	FY20	FY21	Difference
Athletic	\$ 32.91	\$ 32.89	\$ (0.02)
Student Support Services	35.74	35.27	(0.47)
University Advancement	26.58	23.40	(3.18)
TOTAL	\$ 95.23	\$ 91.56	\$ (3.67)
Academic Program Enhancement Support*	250.00	250.00	-
Regional Delivery**	50.00	50.00	-
Outreach***	56.00	56.00	-

*Charged as a flat fee of \$125 per semester for students enrolled for six or fewer credit hours; and a flat fee of \$250 for students enrolled for seven or more credit hours.

**Undergraduate off campus delivery fees. Regional Delivery fee for courses in the School of Nursing is \$100.

***Assessed for undergraduate students in off-campus courses.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2021 General Fee Pricing Recommendation.

FISCAL YEAR 2021 ROOM AND BOARD FEE RECOMMENDATION

Summary: The following item presents a pricing recommendation that addresses Northern Illinois University's room and board fees for Fiscal Year 2021. 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 FY20 with the following exceptions: an increase to Neptune Complex rates, a reduction to Stevenson Complex rates, and a change in dining's meal plan structure.

Recent improvements to the Neptune Complex have increased the popularity of this facility with students. Amenities have been improved, and students are requesting additional enhancements demonstrating this is a destination home for students. The recommendation is a 1.3% increase to the room and board rate in this complex.

Conversely, more campus services have departed the Stevenson Complex in recent years, and student demand for the location has decreased. For these reasons, a 1% rate reduction for all room types, except suites, is recommended.

The latest phase of the Dining strategy welcomes a fully renovated Holmes Student Center that will include several new retail dining options for campus, including Starbucks and Qdoba Grill. These options will complement the improved offerings in Stevenson Complex. Campus Dining is recommending a robust change to the residential meal plan offerings that shifts the default meal plan included in Room and Board pricing to the Block 12 meals per week, which provides 12 meals per week + \$100 dining dollars to be used at any location on campus. This change to weekly meal plans will provide more dining flexibility for all residential students, with optional meal exchanges all day in the Stevenson food court and evenings in the HSC venues. The rate for the default plan will not change for FY21. Student consultations have also led to the recommendation of three voluntary upgrade plans.

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 and dining locations. This item describes the proposed room and board rates, then provides a summary of the fee rates for FY20 and recommendations for FY21. (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. Furthermore, the second incidence of the location "Neptune Hall" has been updated from the November 14th submission, which erroneously read "Neptune Hall West.")

FY20

FY21

LOCATION	RATE	VARIANCE	LOCATION	RATE	VARIANCE
NEPTUNE HALL			NEPTUNE HALL		
Double-Occupancy	\$ 4,892	0.0%	Double-Occupancy	\$ 4,954	1.3%
GILBERT HALL			GILBERT HALL		
Single-Occupancy	\$ 6,323	0.0%	Single-Occupancy	\$ 6,323	0.0%
Double-Occupancy	\$ 5,440	0.0%	Double-Occupancy	\$ 5,440	0.0%
GRANT TOWERS			GRANT TOWERS		
Single-Occupancy	\$ 6,323	0.0%	Single-Occupancy	\$ 6,323	0.0%
Double-Occupancy	\$ 5,440	0.0%	Double-Occupancy	\$ 5,440	0.0%
STEVENSON TOWERS			STEVENSON TOWERS		
Single-Occupancy	\$ 6,323	0.0%	Single-Occupancy	\$ 6,278	-1%
Double-Occupancy	\$ 5,440	0.0%	Double-Occupancy	\$ 5,404	-1%
Suite, with bathroom	\$ 5,440	0.0%	Suite, with bathroom	\$ 5,440	0.0%
NEW HALL			NEW HALL		
Single-Occupancy	\$ 6,828	0.0%	Single-Occupancy	\$ 6,969	2%
NORTHERN VIEW			NORTHERN VIEW		
2 Bedroom unit	\$ 3,762	0.0%	2 Bedroom unit	\$ 3,860	2.6%
3 Bedroom unit	\$ 3,651	0.0%	3 Bedroom unit	\$ 3,724	2.0%
Single unit	\$ 4,343	0.0%	Single unit	\$ 4,500	3.6%
2 Bedroom buyout	\$ 7,525	0.0%	2 Bedroom buyout	\$ 7,780	3.4%

Residential Fees (included in charges above)

ResNet Access/Support Charge	\$92/semester
Residence Hall Surcharge	\$50/semester

Optional Charges

Living-Learning Communities	\$50/semester
Double Room Buyout Charge	\$1,070/semester

All prices are in addition to the students applicable base

Proposed Residential Meal Plan Upgrades (Dining dollars)	Room and Board Fee	Rate
Block 12 per week with \$100 dining dollars per term	Included with room and board	
Block 15 per week with \$100 dining dollars per term		\$175
Block 19 per week with \$100 dining dollars per term		\$275
Huskie Classic		\$275

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2021 Room and Board Fee Recommendation.

December 5, 2019

FISCAL YEAR 2021 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 2021. These recommendations were developed with the goals of addressing affordability concerns and maintaining fiscal responsibility by keeping the total cost of attendance for full-time students as low as possible. The recommendations hold base tuition flat in FY21 for the fifth year in a row, while making modest adjustments to differential tuition rates.

Background: NIU has developed a refined set of tuition rates to reflect the multiple student populations. To bring clarity to this array of rates, first described is the rate structure and then the rates for FY20 and the rates proposed for FY21.

NIU sets tuition on a per-credit-hour basis. 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 FY21 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 and law students
- Differential tuition for select programs
- Residency considerations (e.g., out-of-state and international students)

Graduate and Law Charge

The University presents graduate students with a single charge that includes an instructional charge and an institutional charge. The 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, out-of-state students at the same rate as Illinois residents. The rate for international students is set at twice the domestic 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.
- International Students appointed as graduate assistants or fellows are billed at the domestic law or graduate student 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 (for undergraduates) or the instructional component (for graduate students) to no less than 1.5 times the FY21 domestic rate.

Differential Tuition

For select programs, NIU charges a differential tuition. These differentials reflect the added value and added costs associated with those programs. The differential rate is added to the base and becomes the tuition rate charged for that program, subject to the policies previously listed.

Differential rates are stated on a per-credit-hour basis. The maximum differential rate is capped at 12 times the per-credit-hour rate. Differential rates are re-validated annually.

Fiscal Year 2021 Tuition Recommendations

Graduate Base Domestic Tuition	FY20		FY21	
	Per Credit Hour 1-11	12 or more Credit Hours	Per Credit Hour 1-11	12 or more Credit Hours
Instructional Charge	\$357.00	\$4,284.00	\$357.00	\$4,284.00
Institutional Charge	\$138.72	\$1,664.64	\$135.06	\$1,620.72
Total	\$495.72	\$5,948.64	\$492.06	\$5,904.72

College of Law Domestic Tuition	FY20		FY21	
	Per Credit Hour 1-11	12 or more Credit Hours	Per Credit Hour 1-11	12 or more Credit Hours
Instructional Charge	\$677.29	\$8,127.48	\$677.29	\$8,127.48
Institutional Charge	\$238.13	\$2,857.56	\$234.46	\$2,813.52
Total	\$915.42	\$10,985.04	\$911.75	\$10,941.00

Institutional Charge Components

The graduate and law institutional charges are the sum of component fees. The 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 contains 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.

Grad - Decrease of \$0.02 from FY20 (\$2.62) to FY21 (\$2.60)

Law – Decrease of \$0.03 from FY20 (\$3.68) to FY21 (\$3.65)

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

Decrease of \$0.03 from FY20 (\$11.83) to FY21 (\$11.80)

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, as well as related state and federally mandated education and awareness campaigns.

Decrease of \$1.08 from FY20 (\$8.98) to FY21 (\$7.90)

Grants-in-Aid Charge supports needs-based and special initiative Financial Aid grants to students.

Remains flat at \$1.40

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

Decrease of \$0.13 from FY20 (\$8.13) to FY21 (\$8.00)

Northern Star is the student-run newspaper and provides free access to the campus community.

Decrease of \$0.02 from FY20 (\$0.29) to FY21 (\$0.27)

Arts and Culture Fee is used to support student and guest performances on campus and allows students to attend these events at reduced or no cost.

**New* \$0.80 for inaugural year*

University Advancement Fee contains 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.

Decrease of \$0.15 from FY20 (\$15.05) to FY21 (\$14.90)

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.

Decrease of \$3.03 from FY20 (\$11.53) to FY21 (\$8.50)

Athletic Fee contains 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.

Remains flat at \$22.29

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

Decrease of \$0.02 from FY20 (\$8.22) to FY21 (\$8.20)

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.

Remains flat at \$2.40

Academic Program Enhancement and Instructional Surcharge (Technology 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.

Remains flat at \$22.00 per credit hour for Graduate and Law students

Graduate Program Support contains 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.

Remains flat at \$2.00

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

Remains flat at \$4.00

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).

Remains flat at \$18.00

Law Program Support contains the following charges:

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

Remains flat at \$2.35

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

Remains flat at \$120.00

The rates for FY20 and the proposed rates for FY21 are:

Graduate and College of Law Fees	Per Credit Hour Rate (12 Hours Max. Rate)					
	Graduate			Law		
	FY20	FY21	Difference	FY20	FY21	Difference
Athletic	\$ 32.91	\$ 32.89	\$ (0.02)	\$ 32.91	\$ 32.89	\$ (0.02)
Student Support Services	33.23	32.77	(0.46)	34.29	33.82	(0.47)
University Advancement	26.58	23.40	(3.18)	26.58	23.40	(3.18)
Graduate Program Support	24.00	24.00	-	-	-	-
Law Program Support	-	-	-	122.35	122.35	-
Technology Surcharge	22.00	22.00	-	22.00	22.00	-
TOTAL	\$ 138.72	\$ 135.06	\$ (3.66)	\$ 238.13	\$ 234.46	\$ (3.67)

Graduate Differential Tuition

The per credit hour rates for FY20 and the proposed rates for FY21 are detailed below:

Program	FY20 Differential	FY21 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	\$325	\$325	\$0
Certificate of Graduate Study – Advanced Study in Accountancy	\$325	\$325	\$0
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)	\$40	\$40	\$0
PhD/EdD in Instructional Technology (online)	\$40	\$40	\$0
MSED in Instructional Technology (face-to-face)	\$20	\$20	\$0
MSED in Instructional Technology (online)	\$25	\$25	\$0
Graduate Certificate in Trauma-Informed Counseling (online)	\$35	\$35	\$0
EdD in Community College Leadership	\$55	\$70	\$15
MSED in Kinesiology & Physical Education	\$35	\$35	\$0
MS in Athletic Training ¹	-	\$35	\$35
MS in Sports Management	\$35	\$35	\$0
Executive EdD in Adult & Higher Ed Weekend Cohort (online)	\$55	\$70	\$15
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	\$553	\$40
Graduate Certificate in Eating Disorders (online)	\$180	\$180	\$0
Doctor of Nursing Practice	\$240	\$240	\$0
Master of Public Health (online)	\$180	\$200	\$20
Master of Family Nurse Practitioner (online)	\$240	\$240	\$0
Nursing Education (online)	\$180	\$180	\$0
Nursing Post-Masters Certificate (online)	\$180	\$180	\$0

¹ New program in Summer 2020.

College of Liberal Arts & Sciences			
Computer Science MS	\$60	\$60	\$0
Master of Public Administration (online)	\$90	\$90	\$0
Graduate Certificate in Public Management	\$90	\$90	\$0

Rationale for Differential Tuition Rate Changes

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

- In the *College of Health and Human Sciences*, the differential for the online Doctor in Health Sciences is increasing by \$40, and the differential for the online Master of Public Health is increasing by \$20. The increase in the Health Sciences program will be used to support scholarships and graduate student research. The additional Public Health funds will be used to support program quality, interactive classes, reduce class size, accreditation costs, and practicum experiences.
- In the *College of Education*, the differential for the EdD in Community College Leadership and for the Executive EdD in Adult & Higher Education Weekend Cohort will each increase \$15; these additional funds will continue to support the hiring of qualified instructors, graduate students as they complete their dissertations, and administrative costs. The differential for the Master's in Athletic Training, a new program for summer 2020, will support equipment needs and engaged learning spaces.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Graduate and Law Tuition Pricing Recommendation.

STUDENT SUCCESS COLLABORATIVE AND ACADEMIC PERFORMANCE SOLUTIONS

Summary: The University is requesting approval to purchase membership in the Educational Advisory Board's (EAB) Student Success Collaborative (SSC) and Academic Performance Solutions (APS). These programs provide access to best-practice research, data analytics, and technology platforms that support student retention efforts and resource allocation decisions.

Background: Membership provides the University access to two separate but complementary programs that will enhance its efforts in serving students.

The Student Success Collaborative provides the University with access to a comprehensive student management technology platform (Navigate), best practice research and networking, and ongoing technical support. This program brings together universities to conduct research on predictors and drivers of student success. Unlike vendors providing student tracking and communication software, the Navigate platform is an active research collaboration involving many universities, all sharing a common technology platform. The program also enables the sharing of best practices and benchmarking data across the group of member institutions.

NIU has been a member of the SSC since 2011 and has been a Beta build partner with EAB for the Navigate platform. This has enabled NIU to contribute significantly to the development of the platform, while ensuring the platform includes customizations that align with NIU's institution-specific retention needs. Additionally, as part of the University's comprehensive retention and enrollment management strategy, the use of the SSC and Navigate platform is currently being expanded more fully across campus. This will enable academic advisors and others on campus to leverage predictive analytics to better identify academically at-risk students, enabling proactive student support interventions. Academic administrators gain insights into systemic and correctable challenges impeding student progress. Utilizing SSC more robustly across campus may facilitate improved individual student success both inside and outside of the classroom, while maintaining progress toward graduation. This purchase will enable NIU to continue participation in the collaborative and continue use of the Navigate platform through December 11, 2024.

The University is also requesting approval to purchase membership in EAB's Academic Performance Solutions. APS includes a decision-support platform, utilizing data and best practice research to help academic leaders make more data-informed, effective, and timely decisions. Through the APS program, EAB extracts, validates, and consolidates NIU data and constructs a series of custom analytical reports and visualizations for assessing key performance indicators. APS includes benchmarking with other member institutions, enabling comparisons against both internal and external benchmarks. For example, APS will identify both over-enrolled (bottleneck) and under-enrolled (potentially consolidated) courses. The APS platform will enhance NIU's ability to make data-informed decisions to align resources with the NIU mission, vision, and goals.

Funding: Provost's Office, Non-Appropriated Funds

The anticipated costs for membership in SSC are \$136,962 annually during the proposed five-year membership term from December 12, 2019 through December 11, 2024, for a total of \$684,810. The anticipated costs for membership in APS for December 12, 2019 through December 11, 2020 is \$119,000, and \$99,000 annually from December 12, 2020 – December 11, 2024, for a total of \$515,000. The total anticipated cost for both memberships over the five-year term is \$1,199,810.

FY20: \$255,962
FY21: \$235,962
FY22: \$235,962
FY23: \$235,962
FY24: \$235,962
TOTAL: \$1,199,810

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Student Success Collaborative and Academic Performance Solutions.

HOLMES STUDENT CENTER TOWER ELEVATOR UPGRADES CAPITAL PROJECT APPROVAL

Summary: The Holmes Student Center has three elevators on the west side of the building that service all levels of the 16-story tower portion of the building. These elevators are heavily used for hotel and conference room access. They have been in service for 52 years since this addition to the building opened in 1967 and require significant component upgrades to improve overall reliability.

Background: The majority of the existing elevator equipment is original and beyond its useful life. In recent years, the elevators have been experiencing component failures more frequently and repairs are more challenging due to the age and availability of replacement system components. The scope of the project includes replacing and upgrading control equipment, motors, and leveling equipment, as well as upgrading the elevator cab components.

Funding: Institutional – Auxiliary Reserves \$1,500,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Holmes Student Center Tower Elevator Upgrades Capital Project.

BURMA ART COLLECTION COMPACT STORAGE CAPITAL PROJECT APPROVAL

Summary: The Center for Burma Studies curates, archives, and displays a unique collection of 2,870 art objects donated over the past three decades. A grant from the Department of Education Institute of Museums and Library Sciences (IMLS) has been awarded to the Center to improve the storage accommodations for this collection. This project will relocate the collection from Swen Parson to a space in the Founders Memorial Library housing a compact storage shelving system. This project will utilize grant funding for the purchase of the storage system and will be augmented with NIU funds to accommodate the installation and related space accommodations.

Background: The most significant conservation and preservation challenge facing the Burma art collection is the sub-optimal storage environment in the basement of Swen Parson. This project will not only address the need for better storage for collections care but also provide undergraduate and graduate students the opportunity to be trained in museum methodologies for reporting, photographing, transporting, conservation, and preservation of a collection.

In a sequenced process, the space will be prepared to receive the compact storage system including painting, lighting modifications, and climate accommodation adjustments as required. Staff and students will learn proper documentation requirements, condition reporting, and proper handling for packing techniques. Subsequently, custom mounts will be created to move items to their permanent storage locations. A portion of the grant will provide funding for eminent museum scholars to direct workshops for teaching best practice methods during this process.

The overall effort will not only better accommodate the storage for preservation requirements but will also improve the accessibility for students, faculty, and international scholars to utilize the collection.

Funding:	IMLS Grant Funding	\$250,000
	Institutional – Local Funds	<u>\$100,000</u>
	Total	\$350,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Burma Art Collection Compact Storage Capital Project.

FISCAL YEAR 2020 – 2024 FIRE SERVICES AGREEMENT WITH THE CITY OF DEKALB

Summary: The current agreements for unplanned fire protection/ambulance services and planned ambulance event support with the City of DeKalb expires on December 31, 2019. In June 2019, the Board approved a six-month extension on the five-year general fire services agreement to allow additional time for both the City and NIU to determine a reasonable cost-share strategy for this important emergency services support. After a series of discussions with the City and researching other municipal-university arrangements, a five-year agreement for approximately \$4.9M is considered a reasonable cost share. The agreement will include a maximum \$50K provision for the University's proportional share of possible major equipment purchases and a \$125K annual allowance for planned ambulance support at University events.

Background: Cost-share funding arrangements at other locations have been found to vary widely and no predominant standard had been found for cost-sharing rationale. In some states, statutes require municipalities to provide fire services support at no additional cost to universities and, in other cases, states separately fund municipalities for this university support. Some examples have been found where arrangements have been based on emergency response calls as a reasonable representative model for cost-sharing. This approach seems to best apply to the DeKalb-NIU situation and provides a reasonable logic for determining the cost-share rationale.

The University's current share of the emergency responses represents approximately 7.5% of the total community responses, and the current agreement provides annual funding of \$831,714 which is approximately 7.5% of the fire department budget. Recognizing that this methodology relies on the reasonableness of the City fire department budget, the City has committed to keeping growth of their budget in check and, as a sign of this commitment, has agreed to limit inflationary increases on this agreement to 0% for the first two years and only 1% for the final three years.

This initial annual cost baseline of \$831,714 forms the basis for the overall cost of the five-year agreement and is combined with a one-time \$50K allowance for equipment replacements and a \$125K annual allowance for planned ambulance event support. Planned ambulance support for University events will be charged by an hourly rate based on the type and number of vehicles/staff required for the specific events.

Funding: Institutional – Local Funds \$4,900,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2020-2024 Fire Services Agreement with the City of DeKalb.

Current comparable contract cost: \$4.3M

- Figures include \$125K/yr. allowance for ambulance event support for appropriate comparison with projected costs noted above.
 - o FY19: \$956,714
 - o FY18: \$805,523
 - o FY17: \$779,349
 - o FY16: \$754,182
 - o FY15: \$1,004,983 (included \$275K for equipment purchase)

INTERNAL AUDIT DEPARTMENT CHARTER

Summary: The Chief Audit Executive must periodically review the Internal Audit Charter and present it to senior management and the board for approval.

The Internal Audit Charter was last reviewed and approved by the Board of Trustees in 2016. After this year's comprehensive review of the current Internal Audit Charter, the Internal Audit Director has made changes which include formatting and minor content revisions.

Background: The Internal Audit Department is required to comply with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*, the Code of Ethics, and the Fiscal Control and Internal Auditing Act of the State of Illinois. The *Standards* require that "the purpose, authority, and responsibility of the internal audit activity be formally defined in an internal audit charter."

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Internal Audit Department Charter.

Northern Illinois University Internal Audit Department Charter

Mission

The mission of the Internal Audit Department is to provide independent and objective assurance and consulting services to assist the Board of Trustees and University administration in the effective discharge of their oversight, management, and operating responsibilities.

Purpose

Internal auditing is defined as an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objective by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

Based on an objective assessment of evidence, the Internal Audit Department is to determine whether the University's internal control, risk management, and governance processes, as designed and implemented by management, are adequate and functioning as intended.

Responsibilities

Internal audit provides assurance services, consulting services, follow-up reviews, and assists with investigations. The nature and scope of an assurance engagement are determined by the Internal Audit Director. An assurance audit provides an opinion or conclusion regarding the activity under review and, depending on the engagement, includes:

- Determining that risks are appropriately identified and managed.
- Reviewing and appraising the adequacy and effectiveness of accounting, financial, and operating controls.
- Determining the extent of compliance with established policies, plans, and procedures, and with applicable laws and regulations.
- Evaluating the accuracy, reliability, and timeliness of accounting and operational information developed within the organization.
- Identifying areas of cost savings and/or operational improvement.
- Evaluating the extent to which University assets are accounted for and safeguarded from losses of all kinds.
- Reviewing the design of or modifications to major electronic data processing systems prior to their implementation.
- Assessing the potential for the occurrence of fraud and how the institution manages the fraud risk.

Opportunities to improve internal control may be identified during assurance audits. They will be communicated to the appropriate level of management and follow-up actions by management will be reviewed to determine whether appropriate actions have been taken. The Internal Audit Director will advise the President when internal audit recommendations are not implemented. If corrective action is required, the President shall notify the chair of the Board of Trustees and the Chair and Vice Chair of the Finance, Audit, Compliance, Facilities and Operations (FACFO) Committee of the Board of Trustees.

In addition to performing assurance audits, the Internal Audit Department provides consulting services that are advisory in nature and are generally performed at the specific request of an engagement client. Consulting may range from formal engagements with defined scope and objective, to advisory activities, such as participating in standing or ad hoc committees or project

teams. Consulting may also include formal guidance provided on an as-needed basis. Consulting services are conducted in accordance with applicable standards.

As the Chief Audit Executive, the Director of Internal Audit is generally responsible for the administration of this policy and for effectively directing and managing internal audit activities at Northern Illinois University. The Director is specifically responsible for:

- Communicating all material results of internal audit activity to senior management and the FACFO Committee.
- Developing a flexible, two-year audit plan, using an appropriate risk-based methodology and submitting the plan to the President for approval by June 30 each year. The plan should include risks and control concerns identified by senior leadership through the annual risk assessment process and address compliance requirements established by the Fiscal Control and Internal Auditing Act (FCIAA).
- Implementing the audit plan, as approved by the President, by performing operational, compliance, technology, financial, and fraud prevention and detection audits, as well as any special projects requested by management or the FACFO Committee.
- Issuing periodic reports to the President, senior leadership, and/or the FACFO Committee summarizing the results and status of audit activities.
- Reporting annually to the President and FACFO Committee regarding audit plans, activities, staffing, accomplishments, and the organizational structure of the Internal Audit Department. The annual report is due by September 30 each year and should also include a summarization of the scope and results of internal audits and status of management's corrective action plans.
- Establishing a follow-up process to monitor and identify whether management corrective action plans have been implemented or senior management has accepted the risk of not taking action. This includes proper disclosure to the FACFO Committee when risks have been accepted.
- Assisting management in the coordination of the annual FCIAA certification of internal controls for the University.
- Reviewing the authority, responsibility, and performance related to the internal audit plan on a periodic basis and providing the Internal Audit Charter to the President and FACFO Committee for review and approval.
- Considering the scope of work of external auditors and regulatory agencies as appropriate, to reduce duplication and optimize audit coverage.
- Assisting in the investigation of significant suspected fraudulent activities within the institution and notify management of the results.
- Ensuring all internal auditors maintain sufficient knowledge, skills, and experience to meet the requirements of state statutes and the requirements of this charter.

Authority

The Internal Audit Department reports functionally and administratively to the President of the University and The Board of Trustees (BOT) through its Finance, Audit, Compliance, Facilities and Operations Committee (FACFO). This reporting relationship permits independent and unbiased judgments essential to the proper conduct of audits. Internal Audit staff have free and unrestricted communication with management and members of the FACFO Committee.

With the concurrence of the President and the Board of Trustees and in accordance with the Fiscal Control and Internal Auditing Act (Illinois Compiled Statutes, 30 ILCS 10/1001), the Internal Audit Department is authorized to review and evaluate policies, procedures, and practices of any University activity, program, or function. This authority provides for full access to all records,

properties, and personnel relevant to the subject under review. Persons requesting an audit, special project, or investigation to be performed by the Internal Audit Department should direct their request to the Office of the President. In performing the audit engagements, the Internal Audit Department has no direct responsibility for or authority over any of the activities reviewed. Therefore, the internal audit review and appraisal process does not in any way substitute or relieve other University personnel from their assigned responsibilities.

Internal audit records are not public documents. Internal Audit reports are made available to University administration, the FACFO Committee and to others as mandated by legal, statutory, or regulatory requirements. Requests for an internal audit report should be directed to the Internal Audit Director and when approved by the President will be distributed within established parameters.

Professional Standards

The Internal Audit Department must carry out its duties in accordance with the Fiscal Control and Internal Auditing Act enacted by the State of Illinois (Illinois Compiled Statutes, 30 ILCS 10). This includes performing audits in accordance with the Institute of Internal Auditor's *International Professional Practices Framework (IPPF)* which were adopted by the State of Illinois Internal Audit Advisory Board as the standard of performance for all state internal auditors. The IPPF requires mandatory adherence to the Core Principles of the Professional Practice of Internal Auditing, Definition of Internal Auditing, the Code of Ethics, and the Standards. Other professional accounting and auditing standards will be followed as applicable, including the government auditing standards published by the U.S. General Accounting Office.

PROFESSIONAL EXCELLENCE AWARDS FOR FACULTY AND STAFF

The university sponsors a number of programs designed to recognize excellence in faculty and staff performance. One faculty member received the Board of Trustees Award, selected by a committee chaired by the Acting Executive Vice President and Provost. One faculty member is recognized as a Presidential Teaching Professor, 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. One additional faculty member is recognized as Presidential Engagement Professor, 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.

2019 Board of Trustees Professorship Awards

Kathleen McFadden Operations Management and Information Systems

2019 Presidential Teaching Professors

Laurence Lurio Physics

2019 Presidential Research, Scholarship and Artistry Professors

Jeffrey Einboden English

Tao Xu Chemistry

2019 Presidential Engagement Professors

Leila Porter Anthropology

2019 Excellence in Undergraduate Teaching Award Recipients

Kate Cady Communication

Myoung Jung Special and Early Education

Tim Ryan English

2019 Excellence in Undergraduate Instruction Award Recipient

Mary Landeros Sociology

2019 Operating Staff Outstanding Service Award Recipients

Ron Barshinger Libraries

Ellen Cabrera Public Administration

Marj Holliday Psychology

Patricia Kee Leadership, Educational Psychology and Foundations

2019 Presidential Supportive Professional Staff Award for Excellence Recipients

Jeremy Benson

STEM Outreach

Karinne Bredberg

Research and Innovation Partnerships

Brooke Ruxton

Counseling and Consultation Services

Mary Strub

Center for Government Studies

OVERSIGHT OF ACADEMIC PROGRAMS

Northern Illinois University engages in numerous processes to monitor the quality of its academic degree programs and to inform planning and decision making about the programs. Processes internal to the university include program review and the assessment of learning outcomes, which are required of all programs by our regional accreditor the Higher Learning Commission and by the Illinois Board of Higher Education. Processes that include external constituencies or external indicators include the reviews of doctoral departments by outside evaluators, external reviews of dissertations, accreditation, licensure and certification examinations and advisory committees.

Internal Processes

Program Review: NIU has a long-standing history of conducting thorough reviews of its academic programs and research and public service centers through the program review process. In the past, all programs were reviewed every eight years on a schedule determined by the university. As a result of a recommendation from the Program Review Process Improvement Task Force of 2013, this schedule was modified in 2015-2016 to better align with accreditation cycles for programs with disciplinary and/or college accreditation. The default review schedule for programs that do not have disciplinary and/or college accreditation remains every eight years. Departments scheduled for review prepare in-depth self-study documents, which incorporate information from the sources cited above as well as other data collected by the program and data provided by offices from across the university. The program review documents are appraised by the Academic Planning Council. The council makes recommendations about the programs to the provost. The findings, recommendations and actions that result from the university's review of programs are reported to the departments and colleges as well as the NIU Board of Trustees and the Illinois Board of Higher Education.

The programs in the College of Liberal Arts and Sciences for review in 2018-2019 were the:

- B.A./B.S. in Philosophy
- M.A. in Philosophy
- M.S.T. – Mathematics Education
- B.S. in Chemistry
- M.S. in Chemistry
- Ph.D. in Chemistry

The programs in the College of Education scheduled for review in 2018-2019 were the:

- M.A.T. in Elementary Education
- B.S. in Kinesiology
- M.S. in Sport Management
- B.S.Ed. in Middle Level Teaching and Learning
- B.S.Ed. in Elementary Education
- M.S.Ed. in Literacy Education
- B.S.Ed. in Special Education
- M.S.Ed. in Special Education
- B.S. in Early Childhood Education
- M.S.Ed. in Early Childhood Education
- M.S.Ed. in Adult and Higher Education
- Ed.D. in Adult and Higher Education

The programs in the College of Health and Human Sciences scheduled for review in 2018-2019 were the:

B.S. in Communicative Disorders
M.A. in Communicative Disorders
Doctor of Audiology
B.S. in Public Health
Master in Public Health
B.S. in Health Sciences

The program in the College of Law scheduled for review in 2018-2019 was the:

Juris Doctor (J.D.)

The IBHE also requires that the university review organized research and public service centers on a regular schedule. During 2018-2019, the following center was reviewed:

Speech-Language-Hearing Clinic

The Vice President for the Division of Research and Innovation Partnerships (RIPS) also reported on the research center reviews undertaken by RIPS for:

Center for the Interdisciplinary Study of Language and Literacy (CISLL)
Northern Illinois Center for Accelerator and Detector Development (NICADD)
Center for the Study of Family Violence and Sexual Assault (CSFVSA)

The information submitted to the IBHE to meet its reporting requirement for 2018 has also been forwarded to the Board of Trustees under separate cover.

Assessment of Learning Outcomes: All NIU degree programs engage in the systematic assessment of student learning, and the overall assessment process is linked to program review. All degree programs have University Assessment Panel approved assessment plans that outline the methods, processes and time frames for the implementation of the plans. Each year, every program prepares an annual assessment update that provides a snapshot of the last 12 months related assessment activities, the evidence gathered from the activities and the actions taken on the evidence. These updates are submitted to Accreditation, Assessment, and Evaluation that conducts a review of the updates using standardized rubrics, provides feedback to the individual programs and prepares a consolidated report on the extent to which the criteria for the updates were met. The assessment process also incorporates a review and/or revision of the overall plan to ensure that the plan reflects the programs' current practices. In year four of the program-review cycle, the whole assessment plan is submitted for review and (re)approval by the University Assessment Panel. The panel uses a standardized rubric and reporting form to provide feedback to the programs.

External Processes

Accreditation: Accreditation is a “process of external quality review created and used by higher education to scrutinize colleges, universities and programs for quality assurance and quality improvement” (Overview of U.S. Accreditation, CHEA, 2009), and more than 26 specialized agencies accredit NIU programs across seven academic colleges. Accreditation is earned through a comprehensive process that involves self-study, peer review, site visits and action from the accrediting agency's commission affirming that threshold standards have been met. All of NIU's programs that have sought accreditation are fully accredited by their specialized accrediting agency.

Licensure and Certification Examinations: Graduates from NIU's accountancy, athletic training, clinical and school psychology, counseling, law, teacher education and health sciences programs take licensure or certification examinations that permit them to practice in their discipline. The results of these examinations give programs the means to benchmark NIU graduates' performance against state and/or national performance rates.

Advisory Committees: Many programs and departments engage in periodic discussion with alumni, employers and/or professionals in the discipline who comprise their advisory committees. These individuals provide feedback related to the performance and competencies of the program's alumni, curricular content and new trends in the discipline, which is used in numerous ways to ensure that programs are preparing students with contemporary knowledge and skills



Northern Illinois University

2019 Program Review Report

October 2019

Reporting Institution: Northern Illinois University
Date: 2018-2019
Contact Person: Dr. Carolinda Douglass
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Program: M.A.T. (13.0101)

Major Findings and Recommendations:

- Major changes in the program: The Master of Arts in Teaching (M.A.T.) with a Specialization in Elementary Education with Initial Licensure prepares students with bachelor's degrees in any field to sit for the Professional Educator License in first- through sixth-grade in Illinois schools. As an approved licensure program in the state, coursework and field experiences are governed by mandates found in the Illinois Administrative Code. These mandates identify standards related to curricular areas, human growth and development, planning and instruction, professionalism; requirements of coursework in three areas of the sciences (i.e., physical, life, and earth and space), as well as the applicable tests that students must pass (i.e., basic/foundational skills, content-area tests, and the teacher performance assessment) for licensure in the state. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, elementary education teachers work in public and private schools and job growth in this field is projected at three percent (slower than average) from 2018 to 2028.
- Major findings and recommendations: The program provides an opportunity for students who have not completed a B.S.Ed. in Elementary Education to access an alternative route to becoming elementary education teachers in Illinois. Therefore, it is not the primary route for individuals who wish to become elementary education teachers and enrollments are expected to be lower than for an elementary education program at the bachelor's level. Enrollments in the program, while low, have been increasing over time. In 2018-2019, seven graduates of the program were employed as elementary education teachers in Illinois. The program is offered to two rotating off-campus cohorts, one at NIU Rockford and one at NIU Naperville. The department is currently exploring other partnerships with school districts and outreach opportunities. Assessment of student learning outcomes over the review period have been consistently reported and the program appears to be using assessment data for program improvement plans. The program is recommended to work with NIU's Division of Enrollment Management, Marketing and Communications to improve recruitment materials, specifically promoting job placement success.
- Actions taken since the last review: A number of circumstances have arisen since the time of the last review of this program in 2012-2013. Among these are a high level of turnover in departmental leadership; changes in state administrative code; faculty attrition through retirement, movement or loss (i.e., six faculty members have left the department in the last two years); and the hiring of faculty with new skill sets. The program is seeing a shift in focus to one that is more responsive to the ever-changing demands and needs of elementary education teachers and schools. Some of the students enrolled in the M.A.T. program are "career changers" who have worked in one or more other fields and now seek pathways to become elementary education teachers. Others are paraprofessionals or aides in the classroom and desire to be regular classroom teachers. Other students have an emergency

licensure within bilingual education, which requires the students to get their Professional Educator License within a limited period of time. The program works through comprehensive advising to address the needs of all students in the program.

- Actions taken as a result of this review: In response to the findings of this program review, the program has planned three initiatives for program improvement of the M.A.T.: (1) program area faculty will explore options for a blended delivery of hybrid and online system for the M.A.T. program; peer and home institution models will be examined for feasibility of implementation; (2) recruitment efforts will be increased to include exploring direct admission possibilities with community college working partners, hosting open-houses on NIU campus and community college sites, and development of a systematic evaluation system to determine recruitment outcomes based on numbers of enrolled students by recruitment effort; and (3) marketing and communication efforts will be increased to promote greater marketing visibility.

Outcome

- Decision:

___x___ Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation cycle).

Explanation: The Master of Arts in Teaching (M.A.T.) with a Specialization in Elementary Education with Initial Licensure provides a viable alternative route for individuals wishing to become elementary education teachers. While enrollments are low, the program has successful graduates, consistent assessment of student learning outcomes, and is working on improving recruitment efforts.

Program: M.S.Ed. in Higher Education and Student Affairs (formally the M.S.Ed. in Adult and Higher Education) (13.0403)

Major Findings and Recommendations:

- Major changes in the program: The Master of Science in Education (M.S.Ed.) in Adult and Higher Education program in 2016 underwent extensive curricular revisions to include two specializations, one in Higher Education, and another in Adult Education. In 2019, the President approved a name change for the program and it is currently designated as the M.S.Ed. in Higher Education and Student Affairs in the university catalog. This program prepares students for a variety of leadership and administrative positions in student affairs and higher education. It involves mandatory internship experiences in local or national settings, covering at least 120 hours of field experience. Several student affairs units within the university (e.g., Admissions, Career Services, Diversity and Cultural Resource Centers, Housing and Residential Services, Greek Life, Student Conduct, etc.) support graduate assistantships and student field experiences for enrolled students, thus providing opportunities for real-world and hands-on experiences to these students. Program graduates are employed as postsecondary administrators who oversee student services, academic supports, and faculty research in public and private colleges and universities. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth in fields related

to postsecondary higher education is projected at seven percent (faster than average) from 2018 to 2028.

- Major findings and recommendations: Current review of the program indicated that although the number of degrees conferred by the program has held steady (30 in 2013 to 29 in 2017), enrollments have declined from 77 in 2013 to 55 in 2017. The program is committed to diversity in terms of its curricular offerings (e.g., offers a standalone course in diversity and social justice), faculty diversity (e.g., half of the faculty identify as faculty of color and there is diverse representation of gender), and student diversity. Most recently in 2017, 45 percent of students identified as white non-Hispanic, 20 percent as Hispanic, and 22 percent as African-American non-Hispanic. Females represented 65 percent of enrollment, a trend similar to previous years. Alumni outcomes during the last four years indicate that full-time employment for program graduates ranges between 85 and 93 percent. Alumni communicated satisfaction with time to degree (95 to 100 percent) and overall satisfaction with the degree program (above 85 percent during the past four years). During the program's external review in 2017, the reviewers acknowledged the high quality of this master's program and noted that the addition of the social change curriculum would likely enhance the visibility of the program. The external reviewers recommended developing an advisory or alumni board to assist with vision planning. The program is encouraged to continue its focus on increasing enrollments and improving assistantship opportunities with other units on campus to provide greater interdisciplinary experiences to students.
- Actions taken since the last review: Quality improvement activities that have taken place since the last review have consisted of curricular revision (e.g., using ePortfolios to assess student learning outcomes), course sequencing through revised curricular mapping, and the use of a cohort model. In response to a shift in interest, the program now focuses on higher education and student affairs administration and, thus, faculty with this expertise have been recruited and hired.
- Actions taken as a result of this review: As a result of the current review, the program intends to increase graduate assistantship opportunities for enrolled students by working internally with units across Student Affairs and extending partnerships with external institutions. The program intends to continue providing innovative assignments and course delivery options to stay current with professional trends. Finally, the program intends to continue monitoring its revised student learning outcomes and assessment practices in order to inform decisions for quality improvement at the curricular and programmatic levels.

Outcome

- Decision:

 x Program in good standing (review in eight years).

Explanation: The Master of Science in Education in Adult and Higher Education program, now cataloged as the Master of Science in Education in Higher Education and Student Affairs, is committed to diversity in terms of its curricular offerings, and faculty and student diversity, as it prepares future postsecondary professionals. Graduates of the program report strong student outcomes in terms of jobs and high satisfaction levels with degree preparedness for these jobs. The program recently revised their student learning outcomes to align these closely with professional standards in higher education and student affairs.

Program: Ed.D. in Higher Education (formally the Ed.D. in Adult and Higher Education) (13.0403)

Major Findings and Recommendations:

- Major changes in the program: The Doctor of Education (Ed.D.) in Higher Education prepares working professionals to advance their careers in the areas of instruction, educational policy, administration, and research. Enrolled students may choose one of two focus areas, the college teaching track or the higher education administration track. Graduates are employed in leadership roles in a variety of postsecondary contexts including student affairs, academic affairs, and other areas of higher education administration such as teaching faculty roles. Offered as a three-year weekend executive cohort program with face-to-face and online hybrid format, the program focuses on analytical, theoretical and foundational groundings to address contemporary issues facing higher education educators, administrators and institutions. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth in fields related to postsecondary higher education is projected at seven percent (faster than average) from 2018 to 2028. In 2019, the President approved a name change for the program and it is currently designated as Ed.D. in Higher Education in the university catalog.
- Major findings and recommendations: Following a declining trend in enrollments over the past four years (138 in 2013 to 95 in 2016), an uptick in enrollment (120 students) was observed in 2017. The number of degrees conferred by the program have held steady (15 in 2013 to 13 in 2017). The program has a 95 percent retention rate. Commitment to diversity in terms of the curricular offerings (e.g., offers a standalone course in diversity and social justice), faculty diversity (e.g., half of the faculty identify as faculty of color and there is diverse representation of gender), and student diversity is demonstrated by the program. Most recently in 2017, 44 percent of students identified as white non-Hispanic, 8 percent as Hispanic, and 32 percent as African-American non-Hispanic. Females represented 73 percent of the total enrollment, a trend similar to previous years. Alumni outcomes during the last four years indicate that full-time employment for program graduates was approximately 77 percent. Satisfaction with time to degree ranged from 60 to 83 percent and overall satisfaction with the degree program was on average 87 percent during the past four years. During the program's external review in 2017, the reviewers acknowledged the positive impact of curricular revisions and revised delivery format as meeting the needs of the target population. The reviewers also noted a concern in that faculty are assigned high dissertation loads.
- Actions taken since the last review: Several quality improvement activities have been undertaken since the last review in terms of major curricular revisions, implementation of a revised delivery format i.e., the weekend cohort model in contrast to the traditional format offered previously, and revised specializations such as the Community College Leadership track. These changes have enhanced alignment of the program's curriculum with both student interest (e.g., organizational leadership) as well as the current needs of the profession of higher education (e.g., strategic marketing, retention).
- Actions taken as a result of this review: As a result of the current review, the program intends to continue its efforts toward implementation of cohort model programs, flexible programming that incorporates online delivery, development of curricula that address professional demands of students who are employed full-time, continued promotion of the

high level of faculty and student diversity present in the program, and enhancement of faculty scholarship activities. The program also intends to work with the College of Education to prioritize faculty hires given the recent departure of two full-time faculty and a high number of potential dissertation students assigned to each current faculty member.

Outcome

- Decision:

__x__ Program in good standing (review in eight years).

Explanation: The Doctor of Education in Adult and Higher Education, now cataloged as the Doctor of Education in Higher Education program is designed to meet the needs of working professionals eager to pursue their doctoral degree for career advancement and successfully graduates students who are employed in postsecondary teaching and leadership positions. Alumni of the program report high satisfaction with degree preparedness for advancement in careers. The program recently revised its curriculum to better align with student and market needs, and continues to demonstrate successful and ongoing assessment processes for assessing student learning.

Program: B.S.Ed. in Elementary Education (13.1202)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science in Education (B.S.Ed.) in Elementary Education is designed to prepare future educators with the knowledge and pedagogical approaches necessary to serve the needs of young learners. The program prepares students to sit for the Professional Educator License in Illinois for first- through sixth-grades. The program offers students the opportunity to complete one of four emphases: Bilingual/ESL, Elementary Mathematics Education, Reading Teacher, and Special Education. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, elementary education teachers work in public and private schools and job growth in this field is projected at three percent (slower than average) from 2018 to 2028.
- Major findings and recommendations: The program has managed to successfully maintain enrollments during the review period, despite overall enrollment declines within the university. While students enrolled in the program are primarily white and female, recent years have seen an increase in Hispanic and African-American students. Degrees conferred has remained relatively level (at approximately 90 per year), particularly during the past four years of the review period. Overall alumni satisfaction with the program is high, ranging from 89 percent to 97 percent. Assessment of student learning outcomes demonstrates consistent and comprehensive processes. The program is in good standing with disciplinary accreditation. The program is recommended to continue pursuing opportunities with area community colleges and school districts to develop additional partnerships and alliances to promote student enrollment in the program. Further, the program is recommended to host additional state and national level seminars to advertise the quality of the program to attract additional faculty and students. The program is also recommended to consider utilizing graduate assistants to aid in the ongoing development and implementation of assessment processes.

- Actions taken since the last review: A number of circumstances have arisen since the time of the last review of this program in 2012-2013. Among these are a high level of turnover in departmental leadership; changes in state administrative code; faculty attrition through retirement, movement or loss (i.e., six faculty members have left the department in the last two years); and the hiring of faculty with new skill sets. The program is seeing a shift in focus to one that is more responsive to the ever-changing demands and needs of elementary education teachers and schools. In the last few years, the College of Education has implemented a series of “Educate and Engage” programs at local, national, and international sites. Educate Local includes multiple regional opportunities for engaged learning opportunities; Educate U.S. provides students opportunities to experience diverse educational settings in another part of the country; and Educate Global does the same internationally.
- Actions taken as a result of this review: As a result of the current review, the program has expanded its work with two units within the College of Education, External and Global Programs and Student Services, in an effort to better connect with area community colleges and school districts to increase partnerships and alliances. The program is expanding state and national level seminars (e.g., increasing the number of times NIU’s Social Justice Summer Camp for Educators is offered). In the upcoming year, the program will train graduate assistants in assessment processes to ease the data collection burden on faculty.

Outcome

- Decision:

___x___ Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation and Specialized Professional Association cycles).

Explanation: The Bachelor of Science in Education in Elementary Education has steady enrollments, steady degrees conferred, and high alumni satisfaction. Assessment processes are consistent and comprehensive, and the program has clearly developed mechanisms for ongoing continuous improvement.

Program: B.S.Ed. in Middle Level Teaching and Learning (13.1203)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science in Education (B.S.Ed.) in Middle Level Teaching and Learning was created as a stand-alone degree program at NIU in 2016 following changes from the State of Illinois that required teachers to obtain this specific degree to teach grades five through eight. The degree program prepares students to teach two content areas (one major and one minor) to children in these grades. Major content areas available to students include English Language Arts, Mathematics, Science, and Social Science. In addition, students choose an additional minor content area including Art, English Language Arts, Family and Consumer Science, Foreign Language Spanish, Health Education, Learning Behavior Specialist – 1, Mathematics, Physical Education, Science, and Social Science. According to the Bureau of Labor Statistics’ Occupational Outlook Handbook, middle school teachers work in public and private schools and job growth in this field is projected at three percent (slower than average) from 2018 to 2028.

- Major findings and recommendations: The program offers a wide variety of major and minor content areas, providing flexibility for students. The program has strong partnerships with local school districts and a strong commitment to engaged student learning (e.g., Educate Local, Educate U.S., and Educate Global). A comprehensive assessment plan for the assessment of student learning outcomes is in place and assessment data are being collected and analyzed. The program was recommended to continue data collection for assessment purposes and to seek additional resources for program advertising.
- Actions taken since the last review: This is the first review for the B.S.Ed. in Middle Level Teaching and Learning.
- Actions taken as a result of this review: In the upcoming year, the program will train graduate assistants in assessment processes to ease the data collection burden on faculty. The program has also begun working with the College of Education's Director of Communications to further develop and distribute recruitment materials for the program. These include, but are not limited to, email blasts to area schools, utilizing social media platforms, and advertising at professional conferences.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation and Specialized Professional Association cycles).

Explanation: The Bachelor of Science in Education in Middle Level Teaching and Learning serves students looking to prepare for teaching in grades five through eight. The program offers flexibility for students, has strong partnerships with local school districts, and is committed to engaged student learning.

Program: M.S.Ed. in Literacy Education (13.1315)

Major Findings and Recommendations:

- Major changes in the program: The Master of Science in Education (M.S.Ed.) in Literacy Education prepares experienced teachers to be socially responsible practitioner scholars and to work and learn within multicultural and multilingual contexts to foster literacy and language development for all learners across the lifespan. The program requires students to complete a minimum of 33 semester hours and includes a thesis or non-thesis option. The M.S.Ed. in Literacy Education program comprises two distinct foci that lead to different endorsements: (1) ESL/Bilingual with an ESL endorsement and (2) Reading Specialist with a Reading Specialist endorsement. Because the curriculum within these licensure foci is dictated by the state, there is little overlap of courses.
- Major findings and recommendations: Enrollments in the M.S.Ed. in Literacy Education program have climbed over the review period from 86 in Fall 2013 to 116 in Fall 2017. Likewise, degrees conferred in the program have grown from 44 in FY2013 to 63 in FY2017. Alumni report high levels of satisfaction with their degrees from a low of 85 percent to a high of 100 percent over the review period. Likewise, alumni report high levels of

employment from 89 percent to 100 percent over the same period. The program seeks to increase diversity both in the student population and faculty ranks. The program is engaged in substantial community service and outreach. For example, the Jerry L. Johns Literacy Clinic represents a commitment by the program and department to community needs for literacy support for local K-12 youth. The clinic serves as the primary site for the federal program *America Reads* as well as other tutoring services in reading. The program's assessment of student learning outcomes have demonstrated well-established and comprehensive processes. The program is in good standing with disciplinary accreditation. The program is recommended to continue to work on diversity issues both with students and faculty and collect additional data on program evaluation for continuous quality improvement.

- Actions taken since the last review: A number of circumstances have arisen since the time of the last review of this program in 2012-2013 including a high level of turnover in departmental leadership and restructuring of units within the College of Education. Based upon increased interest and decreased enrollments in multiple geographical locations, the M.S.Ed. in Literacy Education program, with a focus in Reading, began offering an online option, which alternates with more traditional geographically based cohorts at NIU Hoffman Estates and NIU Naperville.
- Actions taken as a result of this review: In response to the current program review, the program intends to continue to work on diversity issues both with students and faculty. The program will identify higher education institutions that serve a majority of students of color and work on developing agreements for recruitment of graduate students and faculty. Further, the program will develop videos and other materials that illustrate program benefits, and distribute those materials. The program will also continue to collect data for program evaluation and will set up an in-department shared data site for rapid access and analysis of program information, including competitor analysis.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation and Specialized Professional Association cycles).

Explanation: Enrollments and degrees conferred in the Master of Science in Education in Literacy Education program have increased over the review period. Alumni outcomes are strong and the program is engaged in data-informed continuous quality improvement efforts.

Program: B.S. in Kinesiology (31.0501)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science (B.S.) in Kinesiology program is designed to prepare students to work in careers across a variety of health, wellness, and sport performance settings. Program graduates are employed as corporate wellness managers, strength and conditioning coaches, fitness instructors, weight training instructors, and intramural sports directors. Some students also pursue graduate study in areas such as

biomechanics and physical and occupational therapy. Students in the B.S. in Kinesiology program choose an area of focus in terms of wellness, performance, or sport management, prior to completing a culminating internship. The program has high demand, particularly with transfer students (e.g., the admit-to-enrolled yield for transfer students is 70 percent while the same yield for new freshman is 36 percent). The B.S. in Kinesiology program is recognized by the National Strength and Conditioning Association in the category of an Education Recognition Program and is a member of the American Kinesiology Association. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth in fields related to exercise physiology and fitness training is projected at 10-13 percent (much faster than average) from 2018 to 2028. The same source cites the median annual wage for these professions from \$39,820 to \$49,270 in 2018.

- Major findings and recommendations: Enrollments have been overall steady over the last five years with 248 undergraduate students in 2017, making it one of the largest majors within the institution. Peaks in enrollment were seen in 2015 (278 students) and 2016 (274 students). As a result, the program has seen a marked increase in the number of degrees conferred (116 in 2017), which is an 80 percent increase from 2013 (65 degrees conferred). The program is ethnically diverse in that approximately 52 percent of the current students are white non-Hispanic, 18 percent are Hispanic, and 23 percent identify as African-American non-Hispanic. However, females represent only 30 percent of enrollment, a widespread trend noted in the field of Kinesiology. Alumni outcomes during the last four years indicate that full-time employment for program graduates ranges between 50 and 64 percent, with a trend toward a higher proportion of graduates (54 percent in 2016) seeking additional degrees following attainment of the B.S. in Kinesiology degree. Alumni communicated satisfaction with time to degree (85 to 100 percent) and overall satisfaction with the B.S. in Kinesiology degree (above 85 percent during the past four years). The program is encouraged to continue pursuing 2+2 partnership opportunities with area community colleges and strengthen their outreach with area school districts as they develop additional partnerships and alliances to promote student enrollment, and focus on increasing gender equity within the program. The review team acknowledged the program's need to pursue remodeling laboratory facilities with institution appropriated funds. Assessment processes in the program are mature and provide program faculty with robust data on which to make informed program improvements.
- Actions taken since the last review: Several improvements have been undertaken by the program since its last review. These include revising the curriculum in 2016 to include three distinct tracks within Kinesiology, development of 2+2 community college partnerships, creation of 3+2 accelerated program, and piloting of engaged activities such as the inaugural faculty-led student trip to the U.S. Olympic Training Center in Colorado. Furthermore, the program hired a permanent program director in Fall 2018 to replace the interim position in effect for the previous two years.
- Actions taken as a result of this review: As a result of the current review, the program intends to continue its efforts to work with the College of Education and central administration to renovate and modernize space for the motor behavior and exercise physiology laboratory facilities. This is a top priority for the program as it relates directly to training of students. Further, the program is continuing its efforts to complete the refinement of the three tracks in the B.S. in Kinesiology curriculum, and further expand student engagement and outreach activities such as faculty-led student activities and community partnerships.

Outcome

- Decision:

__x__ Program in good standing (review in eight years).

Explanation: The Bachelor of Science in Kinesiology has steady enrollments, increased number of degrees conferred, high alumni satisfaction, and is in high demand as a major. The program's assessment processes are consistent and comprehensive, and the program has clearly developed mechanisms for ongoing continuous improvement.

Program: M.S. in Sport Management (31.0504)

Major Findings and Recommendations:

- Major changes in the program: The Master of Science (M.S.) in Sport Management program prepares graduates for a variety of sport management career opportunities including professional sports (e.g., MLB, NBA/WNBA, NFL, and NHL), college athletics (e.g., intercollegiate athletics), campus recreation, and parks departments. The program places a strong emphasis on experiential learning through internships and networking events with professionals in the field. For example, the mandatory internship is a full-time management experience in an off-campus sport management setting with minimum requirement of 150 hours. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, sports occupations are projected to grow five percent from 2018 to 2028, about as fast as the average for all occupations.
- Major findings and recommendations: While keeping enrollments steady (56 in 2013 to 59 in 2017) during the review period, the program successfully increased enrollment of female students (12 in 2013 to 18 in 2017). This is noteworthy given that sport management has traditionally been a male dominated field of study. The program continued efforts to recruit diversity in student and faculty population in terms of race and ethnic backgrounds. Currently, the percentage of African-American non-Hispanic students in the program has held relatively constant (18 percent in 2013 to 20 percent in 2017) and efforts towards hiring diverse faculty members is evidenced by the recent hires of a female tenure-track faculty member and a female instructor. The program averaged over 29 degrees conferred each year since 2013, with a high of 39 in 2016. Overall alumni satisfaction with degree preparedness for jobs is high (above 88 percent on average), as is satisfaction with time to degree (100 percent), and overall satisfaction with the program (average 87 percent). Assessment of student learning outcomes demonstrates consistent and comprehensive processes providing robust data on which to make informed program improvements. The program continues to build strong ties with major Chicago sports teams that provide internship opportunities for current students and employment possibilities for graduates. Faculty scholarship and external grant submissions is robust.
- Actions taken since the last review: Several initiatives have been undertaken since the last review including a revision to the program's curriculum in 2016 to include addition of a professional development course and greater flexibility with elective selections. The B.S. in Sport Management degree program was launched recently and minors in sport management and sales were introduced. Furthermore, the program established clear admission pathways

for University Honors students to enroll in the graduate program and increased its focus on building networks and partnerships with area sports teams for student professional development since the last review.

Actions taken as a result of this review: As a result of the current review, the program intends to review the impact of curricular revisions on student learning outcomes. Additionally, the program intends to focus its efforts on strengthening professional partnerships for internships, experiential learning opportunities, and outreach activities.

Outcome

- Decision:

__x__ Program in good standing (review in eight years).

Explanation: The Master of Science in Sport Management has steady enrollments and degrees conferred, high alumni satisfaction rates, and a growing demand for jobs in the industry. Assessment processes are consistent and comprehensive, and the program continues to build a stronger network of partnerships with sports companies to promote experiential learning and internships for its students.

Program: B.S. in Early Childhood Education (13.1210)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science (B.S.) in Early Childhood Education program is accredited by the Council for the Accreditation of Educator Preparation (CAEP). The program prepares students to become teachers in preschool through second-grade classrooms, childcare administrators, family services workers, parent educators, resource and referral specialists, family childcare providers, and early childhood intervention specialists. The program offers four of six courses for an additional English as Secondary Language (ESL) endorsement within the program curriculum to interested students, thus making it more accessible for students to work towards this endorsement. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth for early childhood educators is projected at three percent (slower than average) from 2018 to 2028. The same source cites the annual mean wage for childhood educator jobs in Illinois as \$55,660.
- Major findings and recommendations: The enrollment growth in the B.S. in Early Childhood Education has shown a consistent trend since Fall 2013 (28 students) to Fall 2017 (55 students), which represents an overall 96 percent increase. Over the last four years, about 76 percent of students have identified as white non-Hispanic, while Hispanic and African-American non-Hispanic students have represented less than 11 percent and 6 percent respectively of the total enrollment trends. The program is comprised of almost all female students, a trend observed within the larger field of early childhood programs. Overall retention rates for students is over 95 percent. Alumni satisfaction with the program, degree preparedness for current job, and time to degree are consistently reported as high, ranging from 85 to 100 percent. The program demonstrates excellent use of assessment and retention data for decision-making and quality improvement, and has frequently been invited to NIU's annual assessment expo to showcase their assessment of student learning outcomes

processes. The program is in good standing with National Association for the Education of Young Children (NAEYC). In 2016, the program revised its curriculum to align with revised NAEYC standards. As a part of this redesign, the program now offers a greater number of courses in ESL, enhanced clinical experiences for enrolled students, and has an intensified focus on promoting positive candidate dispositions toward teaching in high-need schools with diverse classrooms. For example, the program has continued to expand the Open Door project initiated in 2013, to promote training and knowledge of diverse students and diverse schools in order to prepare current students to feel confident in working in diverse environments. Student feedback collected by the program indicated that a high majority reported increased knowledge, skills, and confidence in working within diverse environments as a result of the project participation. Students also reported project participation led to a synthesis of knowledge gained from courses covered within the program.

- Actions taken since the last review: In 2016-2017 the program redesigned its curriculum and clinical experiences to meet the revised Illinois Teaching Standards and program-specific standards in their professional organization. Consequently, the revised program was approved by the Illinois State Board of Education in 2016-2017. Furthermore, the program aligned itself with the Gateway to Opportunity Early Childhood Education Credential Competencies (level 5) in 2017-2018. Most recently, the program successfully hired three tenure-track positions in Early Childhood.
- Actions taken as a result of this review: As a result of the current review, the program is working on several short- and long-term priorities including: (1) increasing course offerings in ESL to fully embed the ESL endorsement within the program to meet the growing demand for early childhood educator jobs requiring ESL endorsements, (2) enhancing collaborations with local community colleges in the Fox Valley region to support 2+2 transfer agreements to leverage high admit-to-enroll yields within this population, and (3) expanding online, hybrid, and summer course offerings to support student schedules. In terms of long-term priorities, the program intends to take steps in supporting faculty research scholarship by instituting a mentoring program within the department. Finally, the program is working on improving recruitment of individuals representing diversity in race, ethnicity, and gender.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation and Specialized Professional Association cycles).

Explanation: The Bachelor of Science in Early Childhood Education has growing enrollments and high alumni satisfaction. Assessment processes and use of data to inform continuous program improvement is strong and the program is in good standing with its discipline-specific accreditor. The program serves as a model for best practices in assessment of student learning outcomes and use of continuous data to make quality improvements.

Program: B.S.Ed. in Special Education (13.1001)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science in Education (B.S.Ed.) in Special Education prepares graduates to work in schools and community settings with students from preschool through age 21 who have a variety of disabilities. Students are prepared to meet all Illinois State Board of Education (ISBE) requirements for teacher licensure as they complete the degree program by choosing one of two distinct areas of emphasis: (1) the Learning-Behavior Specialist-1 (LBS-1) program, which prepares teacher education students to become licensed special educators in all disability areas (except the sensory areas of visual and hearing impairments) in grades kindergarten through grade 12; and (2) the Teacher of Visually Impaired (TVI) emphasis, which prepares teachers to teach students with blindness and vision issues in grades kindergarten through grade 12. Both licensure programs also adhere to the Council for Exceptional Children (CEC) standards for initial teacher licensure. According to the Bureau of Labor Statistics, the overall employment of special education teachers is projected to grow three percent from 2018 to 2028 (slower than average). Current median annual wage for special education teachers is reported by this same source at \$59,780.
- Major findings and recommendations: Enrollments in the B.S.Ed. in Special Education program have been declining over the review period from 328 in Fall 2013 to 217 in Fall 2017. The admitted-to-enrolled yield rates have consistently been higher for transfer students in comparison to new freshman. The number of degrees conferred have also declined from 74 in FY2013 to 46 in FY2017, a trend seen nationwide. In spite of these trends, alumni of the program report high levels (100 percent) of degree satisfaction and high employment rates (from 93 percent to 100 percent) over the review period. Key features of this program are a strong and comprehensive advising system, expanded opportunities for student-faculty research collaborations, and increased partnerships with local schools. The B.S.Ed. in Special Education program's curriculum relies heavily on diverse real-world learning opportunities with three early clinical experiences prior to student teaching. Students in the program also have opportunities to participate in the "*Educate and Engage Program*" that provides learning experiences in global, domestic, and local educational settings. Program assessment of student learning outcomes demonstrate well-established and comprehensive processes that inform curricular and programmatic decisions. It was recommended that the program continue to work with advisors on freshman admission rates, continue to develop the non-teaching licensure program to counter declining trends in teacher professions, and explore expansion of online and hybrid courses, where feasible, to address student need.
- Actions taken since the last review: Several key changes occurred following the last program review. Faculty collaborated on a significant curricular revision process approximately six years ago wherein they engaged in extensive curricular mapping and realigned all courses and field experiences to meet the new Illinois Teaching Standards and revised standards in the program's professional organization. These revisions enhanced the program's core content and made course assignments more relevant to preparing students for the state-mandated edTPA assessment. Ultimately, these changes supported the program's recognition by the Council for the Accreditation of Educator Preparation (CAEP). As an additional advancement in teaching and learning pedagogy, the program formalized expectations for faculty to complete peer observations and provide constructive feedback to each other, and also included systematic mentoring of non-tenured faculty and instructors as a priority for the

program. Finally, the program intensified their collaborative efforts in local schools to promote more reciprocity with local partners in instruction, field experience, and research.

- Actions taken as a result of this review: In response to the current program review, the B.S.Ed. in Special Education program intends to focus on increasing enrollments by enhancing links with alumni, articulating success on outcomes (employment rates and satisfaction) and exploring the possibility of a 2+2 program with community college partnerships. The program also intends to promote two recently approved new non-teacher licensure programs (Special Populations and Blind Rehabilitation) and explore other additional non-teaching licensures to support enrollment trends.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation).

Explanation: The Bachelor of Science in Education in Special Education program offers a high quality teacher preparation experience in addition to providing various emphases in working with special needs population in the school and community settings. Alumni outcomes and satisfaction with the degree are strong as is the program's accredited status with its discipline-specific accreditor.

Program: M.S.Ed. in Early Childhood Education (13.1210)

Major Findings and Recommendations:

- Major changes in the program: The Master of Science in Education (M.S.Ed.) in Early Childhood Education program is accredited by the Council for the Accreditation of Educator Preparation (CAEP). The program prepares its graduates to work with children from birth through age 8 in the capacity of preschool teachers, elementary school (K-2) teachers, child care administrators, family services workers, parent educators, and early childhood intervention specialists. The program provides enrolled students with the option of choosing one of two optional concentrations: one that meets requirements for a Professional Educator License to teach early childhood, and the other that meets special education approval requirements for teaching birth through age 6. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth for early childhood educators with master's degrees is projected at three percent (slower than average) from 2018 to 2028. Enrolled students may choose a thesis or research focused option or a non-thesis option, each requiring successful completion of a comprehensive exam.
- Major findings and recommendations: Enrollment in the M.S.Ed. in Early Childhood Education program has remained relatively steady since 2013 (27 students) to 2017 (24 students), with a low enrollment of 15 students in 2015. Retention in the program increased in successive years likely due to addition of more hybrid and online courses. About 90 percent of enrolled students are female, with over 75 percent on average identifying as white non-Hispanic. Degrees conferred have also remained steady with six degrees conferred in

2013 and nine in 2017. Overall satisfaction with the degree as reported by alumni has been close to 100 percent, with similarly high levels of satisfaction (above 85 percent on average) with degree preparedness for jobs reported during the review period. In the recent years, all students have passed the state content test (edTPA) with average scores higher than the state average. For example, most recently in 2018, all students passed the edTPA with an average score of 40, which exceeded the state passing score of 37. The program demonstrates excellent use of assessment and retention data for decision-making purposes.

- Actions taken since the last review: In 2016-2017 the program redesigned its curriculum and clinical experiences to meet the revised Illinois Teaching Standards and program-specific standards in their professional organization. As a part of this redesign, students were strongly encouraged to complete coursework for the English and Secondary Language endorsement and the Early Childhood Special Education approval. The program aligned itself with the Gateway to Opportunity Early Childhood Education Credential Competencies (level 5) in 2017-2018.
- Actions taken as a result of this review: As a result of the current review, the program is working on increasing enrollments by expanding online and hybrid course offerings to meet the needs of students with diverse needs. The program further intends to enhance marketing strategies to promote it in state professional conferences and via program website. Additionally, the program intends to enhance faculty and student research collaborations.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation and Specialized Professional Association cycles).

Explanation: The Master of Science in Education in Early Childhood Education program has steady enrollments and overall high alumni satisfaction with the degree. Graduates demonstrate above average pass rates on the state content test (edTPA). Assessment processes and use of data to inform continuous program improvement is excellent and the program has addressed conditions highlighted for improvement by its discipline-specific accreditor.

Program: M.S.Ed. in Special Education (13.1001)

Major Findings and Recommendations:

- Major changes in the program: The Masters of Science in Education (M.S.Ed.) in Special Education program prepares its graduates to teach children, adolescents, and young adults with special needs through specialization in one of two options: (1) Advanced Special Education Practices and (2) Learning Behavior Specialist I (an accredited program). In addition, students may pursue graduate certificates in Applied Behavior Analysis (ABA) and Directors of Special Education, both of which are offered by the department. Many students complete an additional certification e.g., Board Certified Behavior Analyst (BCBA) as part of the degree program. The program provides graduate education endorsements to teacher cohorts in off-campus locations such as Rockford and Elgin within the state of Illinois. Median starting salaries for program graduates are in the range \$46,000 to \$65,000.

- Major findings and recommendations: Enrollments in the M.S.Ed. in Special Education program have steadily increased over the review period from 78 in Fall 2013 to 132 in Fall 2017. Degrees awarded in the program have also followed the upward trend ranging from 45 in FY2013 to 49 in FY2017. Although the program has higher female enrollment, a trend seen nationally in comparable degree programs, the number of male students has been slowly increasing within the program. Alumni of the program report high levels (90 to 100 percent) of degree satisfaction, high levels of employment (upwards of 90 percent), and satisfaction (average 80 percent over the last three years) with level of preparedness for their current job, following graduation. Program strengths were noted in areas of faculty teaching and service, with high levels of external federal grants secured by faculty in Vision Impairments. Program strengths were also noted in efforts to offer students strong and comprehensive advising, availability of experiential learning opportunities through research and teaching, and expanded opportunities for research collaborations with highly recognized faculty. The program was encouraged to explore ways that individuals from non-teaching backgrounds can obtain a master's degree or endorsement in special education with greater efficiency. Another recommendation was to identify if additional courses or course sections can be offered online or in hybrid formats based on student needs.
- Actions taken since the last review: Since the last review, the M.S.Ed. in Special Education program has started to offer an award-winning Board Certified Behavior Analyst (BCBA) program, ranked #34 in the nation, and is currently only one of two such programs within the state of Illinois. Other key initiatives have included a comprehensive revision of the Advanced Special Education Practices specialization in Fall 2017, offering of online credit and non-credit bearing workshops to vision professionals around the nation, and expansion of the graduate program delivery to teacher cohorts in Rockford and Elgin areas.
- Actions taken as a result of this review: In response to the current review, the program intends to continue to explore ways that individuals from non-teaching backgrounds can obtain a master's degree or endorsement in special education with greater efficiency. Further, the program will identify if additional courses or course sections can be offered online or in hybrid formats based on student needs. Finally, the program intends to continue to leverage its alumni to increase donor giving for graduate scholarships and for mentorship opportunities to be availed by current students. These measures have been successful over the last few years and continue to be a priority for the program.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with the Council for the Accreditation of Educator Preparation).

Explanation: Enrollments and degrees conferred in the Master of Science in Education in Special Education program have been on the rise over the review period. Alumni outcomes are strong and the program has demand for its graduate certificate programs (e.g., the nationally reputed BCBA certification), some of which are completed by current students during the course of their enrollment within the M.S.Ed. in Special Education program.

Program: B.S. in Communicative Disorders (51.0201)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science (B.S.) in Communicative Disorders program is designed to prepare students in combining interests in communicative disorders with preparation for advanced study in fields such as speech-language pathology, audiology, medical sciences, dentistry, physical or occupational therapy, community health, linguistics, or rehabilitation counseling. Graduates enter careers with job titles such as residential counselor, hospital patient relations specialist, healthcare interpreter, clinical intake specialist, and applied behavior analysis line therapist. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth is projected at seven percent (faster than average) over the next decade for graduates with a B.S. in Communicative Disorders.
- Major findings and recommendations: The B.S. in Communicative Disorders program demonstrates excellence in teaching and advising, strong articulation with community colleges, and high retention rates for enrolled students. While the credit hour production has declined in the lower division (100-200 level) courses (4,947 in Fall 2013 to 1,926 in Fall 2017), the credit hour generation in the upper division (300-400 level) courses has been stable over the past three years (7,747 in Fall 2017). A higher proportion of transfer students tend to matriculate into the undergraduate degree program (65 percent in 2013 to 72 percent in 2017) compared to freshman matriculation trends (32 percent in 2013 to 29 percent in 2017). Overall enrollment has declined from 198 students in 2013 to 146 students in 2017, with 49 degrees conferred in 2017 compared with 68 in 2013. The vast majority of alumni (over 70 percent) report pursuing additional degrees following the B.S. in Communicative Disorders. The current program review identified a need to enhance faculty research and publications to balance the strong service commitment demonstrated by program faculty.
- Actions taken since the last review: Following the last review, the B.S. in Communicative Disorders program revised its student learning outcomes and implemented a new assessment plan in 2015. Curricular improvements have been undertaken by adding two writing-infused courses and an internship course to promote degree-related engaged experiences. Further, to increase competitiveness in the job market, the program major also initiated a requirement for students to earn a minor prior to graduation.
- Actions taken as a result of this review: As a result of the current review, the program intends to continue its efforts toward increasing enrollment and degrees conferred by attracting talented students through articulation with area community colleges and strengthening advising, peer tutoring, and mentoring activities. For instance, the program recently developed the Speech-Language Pathology Assistant (SLPA) to the B.S. in Communication Disorders articulation plan with College of DuPage. Further, the program intends to support faculty efforts to enhance their productivity especially in the areas of awards and grants.

Outcome

- Decision:

 x Program in good standing (review in eight years).

Explanation: The Bachelor of Science in Communicative Disorders has recently initiated several strategies to increase enrollments by engaging in articulation agreements with area community colleges and strengthening advising, peer tutoring, and mentoring activities to support enrollment. Projected job growth for graduates is encouraging and the degree serves as a conduit for graduate programs. Over 70 percent of alumni reported pursuing additional certification and/or graduate education for professional careers in health related fields.

Program: M.A. in Communicative Disorders (51.0201)

Major Findings and Recommendations:

- Major changes in the program: The Master of Arts (M.A.) in Communicative Disorders program offers specializations in: (1) Speech-Language Pathology (SLP), and (2) Audiology, and may be completed with a thesis or non-thesis option. The SLP specialization is accredited by the Council on Academic Accreditation (CAA) in Audiology and Speech-Language Pathology of the American Speech-Language-Hearing Association. Students in this specialization are trained to assess, diagnose, treat, and help to prevent communication and swallowing disorders in children and adults. Most states, including Illinois, require SLPs to be licensed prior to practicing in schools and healthcare facilities. Graduates also seek employment in research settings to assist in the development of augmentative and alternate communication. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job outlook is projected at 27 percent (much faster than average) over the next decade for SLP practitioners. According to the same source, median annual pay for SLP was \$77,510 in 2018. The specialization in the Audiology track is completed by students who continue into the Doctor of Audiology (Au.D.) program.
- Major findings and recommendations: The M.A. in Communicative Disorders demonstrates high degree completion rates (three-year average at 95 percent) as well as 100 percent placement rates for employment. Enrollment has been stable and trending upwards (41 in 2013 to 47 in 2017) with the instructional cost per credit hour at \$230 in 2016, much lower than the mean \$394 for Integrated Post-Secondary Education Data System (IPEDS) peer group. The program was recently (2018) fully reaccredited by CAA as it met all accreditation standards. Three-year averages for SLP Praxis licensure pass rates are consistently upwards of 95 percent, making this a degree with excellent graduate outcomes. Diversity in the student body is low, with over 90 percent female and a majority of students identifying as white non-Hispanic.
- Actions taken since the last review: In response to updated educational standards by CAA, the program revised its student learning outcomes and assessment plan in 2015. At that time, the program faculty also conducted a syllabus review to align curriculum with CAA recommended knowledge, skills, and competencies being taught, demonstrated, and evaluated in the program. Since the previous review, the program has continued to leverage area and state professional networks for enhancing clinical opportunities for enrolled students and instituted a mentoring program that pairs graduate students with undergraduates, thereby enhancing engagement for both groups of students.
- Actions taken as a result of this review: As a result of the current review, the program intends to continue its efforts toward increasing the number and diversity of clinical opportunities for licensure and certification, and as such attracting talented students to the master's program.

Further, program faculty are focusing their efforts toward greater scholarship and achievement of awards and grants. Finally, enrollment of a more diverse student body is also a key priority for the program.

Outcome

- Decision:

 x Program in good standing (review in eight years to align with CAA).

Explanation: The Master of Arts in Communicative Disorders has stable enrollment trends, and excellent degree completion and job placement rates. Time to first job is typically less than six months and licensure pass rates are consistently high for the Speech-Language Pathology specialization. Alumni of the program report very high satisfaction on degree preparedness and the program fulfills a growing need for health-care professions that are growing faster than average.

Program: Doctor of Audiology (51.0202)

Major Findings and Recommendations:

- Major changes in the program: The Doctor of Audiology (Au.D.) program provides students with knowledge, skills, and competencies within the field of audiology and trains them to conduct basic and applied research as they prepare for professional practice in the area of audiology. Program graduates are employed in healthcare facilities such as audiology clinics and hospitals, and educational settings such as school districts. The program meets the academic and clinical requirements for the *Certificate of Clinical Competence in Audiology* awarded by the American Speech-Language-Hearing Association and Illinois state licensure requirements. According to the U.S. Bureau of Labor Statistics, employment of audiologists shows a projected growth of 16 percent from 2018 to 2028, which is much faster than the average for all occupations. According to the same source, the median annual pay for audiologists in 2018 was \$75,920.
- Major findings and recommendations: The Au.D. degree is a four-year, full-time, nationally accredited program (by the Council on Academic Accreditation (CAA) in Audiology) that includes a 12-month external placement in the fourth year. The program's curricular sequence is aligned with CAA standards and students are supported with strong advising services in the curriculum and clinical practice experiences. According to the most recent *US News and World Report*, this program's national ranking has climbed from #60 to #45. Student outcome data indicate that program graduates demonstrate high completion rates (three-year average at 84 percent) and have competitive job offers prior to graduation. During the review period 100 percent of graduates responding to alumni surveys reported being employed within six months of seeking employment. Enrollments in the audiology program have been stable during the review period (32 in 2013 to 33 in 2017), with an average number of eight degrees conferred each year over the 2014 to 2017 span. Twenty-four percent of the current study body is from underrepresented populations. The program was recently reaccredited in 2018 and is in full compliance with educational standards set by the CAA. Three-year averages for Audiology Praxis licensure pass rates are 100 percent, making this a degree with excellent graduate outcomes.

- Actions taken since the last review: Since the last review in 2014, the Au.D. program has revised its student learning outcomes and assessment practices to align with revised CAA standards and has actively increased external rotation opportunities for current students. With stronger advising and enhanced admission requirements, the program has attracted externships that are more competitive, has increased student research and conference presentations, and enhanced its national rankings making it a more competitive program within the state.
- Actions taken as a result of this review: As a result of the current review, the Au.D. program intends to continue its focus on recruitment and retention, and program quality. Specifically, the program intends to: (1) launch a centralized application system which increases program visibility in national searches and reduces application times; (2) continue assigning a dedicated academic advisor to each cohort in addition to clinical advisors available during each clinical experience; (3) provide remediation opportunities, when needed, for students to meet the knowledge and skills acquisition standards set by the CAA accreditation; and (4) enhance networks with local, regional, and national audiology programs and practitioners to increase number of external rotation opportunities for each student in the program.

Outcome

- Decision:

 x Program in good standing (review in eight years to align with CAA accreditation for the Doctor of Audiology program).

Explanation: The Doctor of Audiology program is a nationally accredited professional program that demonstrates stable enrollment trends, excellent completion and job placement, and a 100 percent licensure pass rate by program graduates. The national rankings for the program are growing, making it a competitive program offered by an Illinois public school to meet market demands of a profession that is expected to grow at a faster than average rate.

Program: B.S. in Public Health (51.2201)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science (B.S.) in Public Health program offers four emphases to prepare its graduates for careers in health administration, environment and health, health promotion, and general public health. Within these contexts, graduates have held positions as environmental health inspectors, health administrators, community health workers, epidemiologists, and patient service representatives. According to the Bureau of Labor Statistics' Occupational Outlook Handbook, job growth is projected at 11 percent (faster than average) over the next decade for graduates with a B.S. in Public Health degree. The median annual wage for community health workers was \$39,540 and health educators was \$54,220.
- Major findings and recommendations: The B.S. in Public Health program is the largest undergraduate degree program in the College of Health and Human Sciences at NIU, with 248 enrolled majors in Fall 2017. It is also the most ethnically diverse program with 32 percent white non-Hispanic, 32 percent African-American non-Hispanic, 24 percent Hispanics, 5.5

percent Asians, and 6.5 percent mixed race students. Enrollment in the B.S. program has remained high (238 in Fall 2013 to 248 in Fall 2017), with a greater proportion of female students (184 females to 64 males in 2017), and a higher percent of transfer students. Pre-nursing and other pre-professional students tend to enroll in the lower division public health courses. Degrees awarded in the program have followed an upward trend ranging from 92 in FY2013 to 100 in FY2017. Program strengths are noted in focused student engagement practices including undergraduate academic advising and career mentoring in addition to the mandatory 360 clock hours of internship experiences required for degree completion. The B.S. in Public Health program is open enrollment and contributes heavily to the university's general education program. The program has excellent online course offerings that are attracting greater enrollments.

- Actions taken since the last review: In 2018, the program initiated an accelerated bachelor to master's in Public Health (B.S./M.P.H.) degree for high achieving undergraduate students to be completed in five years. Such an option has potential for positive impacts for recruitment and retention of undergraduate and graduate students. Further, the program has focused on quality improvement practices including strengthening assessment practices, involving community agencies and an advisory board for program improvement, and hiring an internship coordinator to facilitate undergraduate internships and other engaged experiences.
- Actions taken as a result of this review: In response to the current review, the program intends to pursue short and long term priorities geared toward: (1) enhancing student enrollment, especially steadily increasing the number of male students in the program, (2) supporting faculty scholarship, and (3) expanding online course offerings based on current student need. The program further intends to bolster advising support for students considering this degree choice.

Outcome

- Decision:

 x Program in good standing (review in eight years).

Explanation: Enrollments and degrees conferred in the Bachelor of Science in Public Health program have demonstrated a steady to upward growth during the review period. The program is noteworthy for its diverse racial and ethnic representation and contributes strongly to the university's general education program. Demand for careers in public health is high and expected to grow over the next decade.

Program: Master of Public Health (51.2201)

Major Findings and Recommendations:

- Major changes in the program: During the previous program review in 2009-2010, the Master of Public Health (M.P.H.) program was housed in the School of Nursing and Health Studies (NUHS), together with the nursing programs. In 2016, the College of Health and Human Sciences (CHHS) underwent a reorganization, which separated public health from Nursing and resulted in a School of Health Studies (SHS), comprised of Public Health, Nutrition and Dietetics, and Medical Laboratory Sciences disciplines. These actions have

allowed for greater interdisciplinary collaborations between all these health-related fields. The M.P.H. program has been nationally accredited by the Council on Education for Public Health (CEPH) since 1997, and was most recently reaccredited until July 2023. This degree program prepares graduates for professional leadership positions in public health and other health-related agencies based on their acquired skillset in multidisciplinary and collaborative research, identification of large-scale health issues, and in meeting the health needs of diverse populations. The program offers two specializations: Health Promotion and Health Services Management. Graduates typically pursue careers as public health managers, research scientists, epidemiologists, biostatisticians, health communication specialists, and in other management positions in nutrition, international health, and health practice. According to the Bureau of Labor Statistics, the current median pay for such professions is \$69,000. In Fall 2012, an online M.P.H. program was initiated, in addition to the face-to-face version.

- Major findings and recommendations: The M.P.H. program is one of eight such programs in the State of Illinois and one of four that offer online program options. It is the only program offering an online M.P.H. degree with a specialization in Health Promotion. Enrollment in the M.P.H. program has remained relatively consistent over the past five years, ranging between 48 and 52 between (between Fall 2013 and Fall 2017). Although student diversity of the M.P.H. program is increasing, currently it remains less diverse than the undergraduate program. For example, among the 2018 matriculated students, 52 percent are white non-Hispanic, 14 percent are international and 34 percent identified as minority. There is also a gender imbalance, reflecting the field as a whole, which is skewed towards more female students. Degrees awarded in the program have stayed consistent ranging from 15 in FY2013 to 18 in FY2017. The program's disciplinary accreditor, CEPH, requires that 80 percent of program graduates are either employed, continuing their education, or not seeking employment 12 months after graduation. Graduates of the program have surpassed this bar every year within the last five years. Most recently, in 2015-2016, 76 percent of students were employed within six months, and another additional 14 percent were enrolled in additional education including medical school.
- Actions taken since the last review: The M.P.H. program has undergone several quality improvements since the last review. A completely online M.P.H. program was launched starting with the Health Services Management specialization in 2012, and then expanding to the Health Promotion Specialization in 2014. Another development was the elimination of the Graduate Record Examination (GRE) requirement for admission into the M.P.H. program and the initiation of the B.S. in Public Health to M.P.H. accelerated degree program in 2018. Further, in response to the most recent accreditation review, the program implemented steps to improve their comprehensive exam pass rates, enhanced in-service activities for online students outside of their internship experiences, and developed strategies to increase faculty diversity in the program. During AY2017-2018, the program's faculty and staff collaboratively revised the M.P.H.'s student learning outcomes and assessment plan to align better with the foundational competencies required for accreditation.
- Actions taken as a result of this review: In response to the current program review, the M.P.H. program intends to continue efforts to grow enrollment by promoting the online program while pursuing Quality Matters (QM) standards for online course revisions and delivery, instituting priority consideration for fall applicants to the graduate program, and promoting the accelerated 5-year bachelors to graduate degree for retention of highly talented students. The program further intends to explore joint graduate degree programs with other health-related fields such as Nutrition and Dietetics to meet growing industry demands.

Outcome

- Decision:
__x__ Program in good standing (review in six years to align with CEPH accreditation).

Explanation: The M.P.H. program is nationally accredited and is one of eight graduate programs in public health offered within the State of Illinois. It is also one of four online programs offered within the state and has a niche as the only one that offers an online specialization in Health Promotion. Alumni outcomes in terms of job placement and time to job are strong for this degree program.

Program: B.S. in Health Sciences (51.1504)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science (B.S.) in Health Sciences program prepares students with a health science-based curriculum with a focus on healthcare leadership skills, financial principles, management strategies, and standards to improve patient care. Program graduates are employed in fields of medical laboratory sciences, nursing, physical therapy, and other health professions as entry-level workers. Median salary for such professions ranges from \$40,000 - \$45,000 per the Bureau of Labor Statistics' Occupational Outlook Handbook. NIU's B.S. in Health Sciences program was revised in 2017 to support the large number of pre-majors (non-degree seeking) students by offering three emphases: (1) Pre-Physical Therapy, intended for students wanting to pursue a graduate degree in Physical therapy, (2) General Emphasis, intended for students wanting to pursue nursing or medical laboratory sciences degrees, and (3) Degree Completion, which is an online/off-campus degree completion program for health and human science professionals.
- Major findings and recommendations: The B.S. in Health Sciences program underwent significant revision in 2017 to include consolidation of the health sciences-focused programs, establishment of degree paths for intended nursing and medical laboratory sciences students, revision of student learning outcomes, and updates to the program's curricular priorities to include interprofessional education and diversity and retention initiatives. The program is continuing to monitor trends in enrollment, retention, and degree completion in the three emphases areas. Data are also being collected for post-baccalaureate outcomes following the 2017 revisions. Alumni outcomes between 2012 and 2016 (prior to the restructuring efforts) indicated about 45 percent of alumni reported being full-time employed, with 60-70 percent pursuing additional degrees. Overall satisfaction with the program ranged on average at 75 percent.
- Actions taken since the last review: The B.S. in Health Sciences program underwent significant revisions in academic year 2017-2018. Since then the program has continued to target student outcomes including improving student retention rates, progress to degree, and preparation for job-entry with a B.S. degree or preparation for additional education by program graduates.
- Actions taken as a result of this review: In response to the current review, the program

intends to continue focusing its efforts on retention of enrolled students and degree completion outcomes for all students (including non-degree seeking) enrolled in the program. Similarly, the program intends to focus efforts on enrollment and advising. Finally, the current program review highlighted a need for the program to track courses and emphases followed by enrolled students, so that specific courses within these emphases may be offered in a hybrid or online format based on student needs and interests.

Outcome

- Decision:

 x Program in good standing (review in eight years).

Explanation: The B.S. in Health Sciences program was recently restructured to provide degree paths for intended health-related professions such as nursing, physical therapy, and medical laboratory sciences. Program graduates are typically employed in entry-level positions, and more than 60 percent of the graduates pursue additional education, mostly in health-related fields. The program is monitoring outcomes following the revised curriculum and learning outcomes.

Program: Juris Doctor (J.D.) (22.0101)

Major Findings and Recommendations:

- Major changes in the program: The Juris Doctor (J.D.) program prepares graduates to successfully acquire legal jobs as “practice-ready lawyers” with its focus on infusing the legal curriculum with enhanced opportunities to improve writing and communication skills, and mandating student participation in multiple experiential learning projects. Graduates of the program practice law in several fields such as civil law, constitutional law, business and commercial law, environmental law, immigration, and labor and employment. According to the U.S. Bureau of Labor Statistics, the outlook for employment of lawyers is projected to grow six percent (as fast as average) from 2018 to 2028. The J.D. program was most recently reaccredited by the American Bar Association (ABA) in 2017. The College of Law also renewed its membership with the Association of American Law Schools (AALS) in 2017.
- Major findings and recommendations: Enrollments in the J.D. program have steadily increased from 253 students in Fall 2015 to 269 students in Fall 2017. During this time, enrollments for males increased (132 in 2015 to 147 in 2017) faster than females. Current ultimate two-year bar passage rate for graduates of the program is 86 percent with stable employment outcomes for the past four years. For example, 88 percent of alumni reported full-time employment while a small percentage (three percent) reported pursuing additional education. Degree satisfaction rates reported by alumni are on average 95 percent or higher and median reported salary was \$52,000. As the only public program in northern Illinois, the College of Law entered the *US News Rankings* list of ranked law schools in 2016. The program’s high demand is evident in the 24 percent increase in applications in 2017 compared to the eight percent increase at national ABA accredited law schools.
- Actions taken since the last review: Since the last program review, the program has increased

its certificate offerings and now offers a total of six certificates (i.e., business law, civil advocacy, public interest law, criminal practice, international law, and law and women's and gender studies). The College of Law has also increased its focus on accelerated 3+3 degree partnerships that lead to both an undergraduate degree (B.A. or B.S., depending on the program) and a J.D. at the end of six years. Disciplines involved in these partnerships include art history, business administration, management, sociology, history, engineering, engineering technology, political science, philosophy, management, world languages, and university honors program.

- Actions taken as a result of this review: The College of Law intends to continue efforts to expand the dual-degree opportunities with other departments and is working to open the "accelerated law degree" option to the entire undergraduate population at NIU. Additionally, efforts will also be geared towards supporting enrollment by recruiting potential students nationwide and offering some asynchronous online courses that meet Quality Matters (QM) standards. The current review further highlighted the need for increasing fundraising in conjunction with the recent hire of a Development Officer in the College for this purpose.

Outcome

- Decision:

 x Program in good standing (review in seven years to align with ABA accreditation).

Explanation: The Juris Doctor program has stable to growing enrollments, average to high level of attainment of student outcomes as demonstrated by the bar exam pass rates and is experiencing steady student demand.

Program: M.S.T. (13.1399)

Major Findings and Recommendations:

- Major changes in the program: The Master of Science in Teaching (M.S.T.) is designed for licensed teachers seeking endorsements at the master's level in disciplines approved by the university. All students pursuing the degree are required to complete core experiences in which they demonstrate knowledge, skills, and dispositions related to assessment, diversity and special needs, human development and learning, and pedagogy in their content area. For this review period, there was only one specialization active for this degree, the Specialization in Mathematics Education.
- Major findings and recommendations: Enrollments have been relatively low over the review period but alumni outcomes for the program are strong including 88 to 100 percent reported satisfaction with the degree. The program is recommended to gather more information from alumni on the benefits of the program and enlist them in recruiting efforts. The reporting of assessment of student learning has been incomplete during the review period. The program will be required to submit an updated Assessment Plan and Status Report to the University Assessment Panel in Fall 2021. Further, the program is recommended to modify and/or expand the M.S.T. degree to meet the Illinois State Board of Education (ISBE) requirement to better serve the changing needs for teachers.

- Actions taken since the last review: This was the first review of this Master of Science in Teaching program for the Specialization in Mathematics Education.
- Actions taken as a result of this review: In response to the current review for the M.S.T. with a Specialization in Mathematics Education, the program will take the following actions: contact alumni to get further information on the benefits of the program and assist in recruitment efforts; modify the program as needed in order to address recent licensure changes from ISBE, with the goal of increasing program enrollment; work with relevant college and university personnel to develop a marketing strategy for increasing enrollment and promoting the program in regional school districts; and solicit outside grant funding through various state and national agencies to support program development and recruitment, including tuition support (especially for teachers in under-represented groups).

Outcome

- Decision:

__x__ Program in good standing (review in seven years to align with Council for the Accreditation of Educator Preparation cycle and submit updated Assessment Plan and Status Report to the University Assessment Panel in Fall 2021).

Explanation: Alumni outcomes are strong and the program is working to increase enrollments. The reporting of assessment of student learning outcomes requires improvement.

Program: B.S. in Chemistry (40.0501)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Science (B.S.) in Chemistry program offers a choice of four emphases or degree paths including: (1) chemistry, (2) biochemistry, (3) educator licensure for secondary teaching, and (4) chemistry for pre-professional degrees. The chemistry and biochemistry emphases are certified by the American Chemistry Society (ACS). The B.S. in Chemistry program prepares students for many career options including teaching in junior and high schools, continuing in advanced degrees and research, and working as chemists and material scientists. The ACS certification for this degree program significantly aids in graduates' employability and demonstrates the program has continued to have the complete breadth and adequate depth needed for student preparation. According to the U.S. Bureau of Labor Statistics, the outlook for employment of undergraduates with chemistry degrees is projected to grow four percent (as fast as average) from 2018 to 2028.
- Major findings and recommendations: The B.S. in Chemistry program allows a choice of clear curricular options and training with high-quality instrumentation in preparation for advanced degrees or teaching and practitioner careers. In spite of decline in university enrollment, offerings in upper division (300-400 level) credit hours have been stable as have the number of majors. A 2018 external review of the undergraduate program concluded this program compares favorably with national peers. External reviewers applauded the program for its rigor in involving students in research and instrumentation as they prepare for

advanced degrees or careers in industry. Requirements for majors to conduct at least two credit hours of research is a strength. The program has a robust record of enrollment, a good program for advising, and an expanding level of student financial support through recent NSF Scholarships for STEM students (S-STEM) and Research Experience for Undergraduates (REU) grants. Alumni survey trends indicate relatively quick time to employment following graduation and high overall satisfaction with the B.S. in Chemistry degree.

- Actions taken since the last review: Since 2016, the Department of Chemistry and Biochemistry has received a \$275,000 grant from the NSF to host a three-year REU program and twice spearheaded a \$1,000,000 grant application to the NSF S-STEM program to provide scholarships to STEM students in the College of Liberal Arts and Sciences. Since the last program review, the program has invested in modernizing instruments in introductory labs to serve the majority of undergraduate students. Student financial support has been expanded through the S-STEM program wherein academically talented, financially disadvantaged rising juniors at NIU and new community college transfers are financially supported. These measures have reduced equity gaps, enhanced retention, and are projected to expand diversity in the U.S. STEM workforce within the state.
- Actions taken as a result of this review: In response to the current program review, the program intends to revise and modernize its curriculum by addressing changes in the ACS accreditation requirements to teach more interdisciplinary subjects. The B.S. in Chemistry program also intends to continue its efforts to update manuals for first-year chemistry laboratories and improve efficiency and safety in organic chemistry laboratories. Further, the program will continue to narrow the equity gaps in freshman classes by incorporating a recitation section to supplant instruction in freshman courses with large class sizes.

Outcome

- Decision:

 x Program in good standing (review in eight years).

Explanation: The Bachelor of Science in Chemistry provides a variety of emphases considered to be in high demand including two ACS certified tracks in Chemistry and Biochemistry areas. Requirements for majors to conduct at least two credit hours of research is a strength. The program has a robust record of enrollment, a good program for advising, and an expanding level of student financial support through recent NSF Scholarships. The program compares favorably with those nationally and offers good employment prospects as well as training for advanced degrees.

Program: M.S. in Chemistry (40.0501)

Major Findings and Recommendations:

- Major changes in the program: The Master of Science (M.S.) in Chemistry program prepares graduates in developing skills necessary for research, education and professional practice in the industry. In order to meet diverse career demands, the program has six tracks for students

to choose from including: (1) analytical, (2) biological, (3) inorganic, (4) organic, (5) physical, and (6) interdisciplinary nanotechnology.

- Major findings and recommendations: A significant co-curricular component of graduate training in chemistry at NIU is the availability of advanced equipment and instrumentation, and access to the excellent research facilities such as the Argonne National Laboratory. In 2018 faculty instituted a novel “Industrial Master’s” program targeting practicing chemists for graduate work via online courses, research projects at students’ job sites (supervised by an NIU faculty member in consultation with their supervisor), and a master’s theses based on research relevant to students’ current jobs. The program has recently approved a new set of curricular requirements for M.S. in Chemistry students that reduces course requirements and streamlines the curriculum, enabling students to enter research labs earlier in the sequence. Increased engagement with industry partners is on the rise. For example, recently Shimadzu Scientific Instruments initiated a research fellowship program for sponsoring one M.S. in Chemistry student each year. Graduates of the M.S. in Chemistry program are employed in chemical and pharmaceutical companies as well as government laboratories, especially within the Midwest. While internships are rare in the chemistry community, the department has taken advantage of the connection with Argonne National Laboratory, where both students and faculty can broaden their experiences. Although the program’s cohort is relatively small, enrollments encompass a mix of ethnic, first generation, international, and female students. On average, the program graduates 3-4 M.S. in Chemistry students with the typical time to degree being 2-2.5 years.
- Actions taken since the last review: In 2016, the program hired three new faculty members with common interests in Nano science and strong ties to Argonne National Laboratory which has helped develop research groups for graduate students. In collaboration with Shimadzu Scientific Instruments, the department is in the process of opening an analytical chemistry lab and utilizing the instrumentation for research and teaching.
- Actions taken as a result of this review: In response to the current program review, the department intends to expand graduate course offerings and focus on efforts to diversify its faculty. For example, plans are underway to offer a new online graduate corporate program (the “Industrial Master’s”) for meeting industry demands for graduate work in chemistry. Further, the program intends to upgrade its current scientific instrumentation and develop partnerships with instrument manufacturers to expand the Shimadzu Fellows program. Finally, the program intends to collaborate with Division of Enrollment Management, Marketing and Communications to craft and implement an advertising strategy for the M.S. in Chemistry program.

Outcome

- Decision:

__x__ Program in good standing (review in eight years).

Explanation: The Master of Science in Chemistry program compares favorably to peer R2 schools in providing a solid foundation and training in skills necessary for research, development and education. The program graduates students in a timely manner and graduates have reported satisfaction with job placements and time to degree completion. In

response to market demands, efforts are underway to implement the new online graduate corporate program, the “Industrial Master’s,” for meeting industry demands for graduate work in Chemistry.

Program: Ph.D. in Chemistry (40.0501)

Major Findings and Recommendations:

- Major changes in the program: The Doctor of Philosophy (Ph.D.) in Chemistry focuses on preparing students in both interdisciplinary and traditional chemistry disciplines by learning new technologies, innovating and performing the very latest, cutting-edge research. Graduates can specialize in any one of six areas of emphasis in chemistry including (1) analytical, (2) biological, (3) inorganic, (4) organic, (5) physical, and (6) interdisciplinary nanotechnology. The program prepares students to teach in postsecondary institutions, and conduct research and innovate in private and government funded research laboratories and corporations.
- Major findings and recommendations: The Ph.D. in Chemistry program has strong regional ties and access to excellent research facilities such as Argonne National Laboratory. Although enrollment in the program has declined slightly since 2014 (40 doctoral candidates) to Fall 2017 (30 doctoral candidates), the number of degrees conferred (seven average per year) has remained stable. Enrolled students represent a mix of ethnic, first generation, and female students, with 52 percent identifying as white non-Hispanic, and 47 percent female. Doctoral students serve as Teaching Assistants in introductory laboratory courses, upper and lower division courses for organic and biochemistry majors, and other science, engineering, and health profession courses, thus assuring teaching experience and funding through at least two years. The current review indicates that graduate recruitment could be enhanced by increased research funding to support students throughout the entirety of their doctoral studies. The average time for completion of the Ph.D. program is 5.3 years, which is comparable to national norms. In the last five years, the program completed its first major National Science Foundation-Major Research Initiative grant (\$360,000) which has supported research initiatives. Grant awards have steadily increased from 2015 (\$115,000) to 2019 (\$1,293,000), as has scholarly research productivity.
- Actions taken since the last review: Since the last review, the program has hired 3.5 faculty members including one joint appointment with Argonne National Laboratory, which has supported the growth of research groups especially in Nano science and increased overall publication rates in the program. Additionally, the program has focused efforts on recruiting potential graduate students by leveraging existing offerings by the department e.g., research interested students enrolled in the National Science Foundation Research Experience for Undergraduates (NSF-REU) program hosted since 2016 are approached for considering NIU’s doctoral program in Chemistry. Finally, major curricular revisions were proposed to the doctoral program in 2017, and a major research instrumentation grant (\$253,000) was secured from the NSF.
- Actions taken as a result of this review: Based on the current program review, enhancing funding for doctoral students is a key priority for the program. Consequently, the program intends to escalate efforts to increase grant funding to support current doctoral students on research grants beyond the first two years, and guarantee funding for new students for least five years. Further, the program intends to continue its momentum in recruiting talented

faculty members, acquiring instrumentation, and securing external grant funding. These initiatives will be in tandem with priorities to replace retiring faculty members and recruit more doctoral students by improving funding support. Other initiatives planned to increase recruitment of highly talented and diverse faculty and students include exploring certification in the American Association for Advancement of Science's STEM Equity Achievement (SEA) program, pursuing NSF's Traineeship program, and enhancing research assistantship opportunities for doctoral students to develop robust research streams and enhance research productivity.

Outcome

- Decision:

 x Program in good standing (review in eight years).

Explanation: The Doctor of Philosophy in Chemistry is a robust program contributing to the research mission of the university and demonstrates good student outcomes in terms of training, research and teaching pedagogy, and employment. Completion and graduation rates exceed national averages.

Program: B.A./B.S. in Philosophy (38.0101)

Major Findings and Recommendations:

- Major changes in the program: The Bachelor of Arts (B.A.) and Bachelor of Science (B.S.) in Philosophy program prepares students to pursue employment as program coordinators in non-profits organizations, paralegals, senior software engineers/developers, IT managers, and retail store managers, among others. According to the Bureau of Labor Statistics, the median salaries in such employment contexts range from \$40,000 - \$50,000. The program has initiated various 2+2 agreements with area community colleges to enhance recruitment of transfer students. Further, several courses have now been prepared for online delivery and the program initiated an Equity Committee in 2018 to support inclusion of women and minority students to the undergraduate program.
- Major findings and recommendations: The B.A./B.S. in Philosophy program focuses on engaged learning and high impact practices including writing-intensive courses, capstone projects, research mentoring, honors thesis, independent studies, and service learning opportunities in courses offered. The program demonstrates robust enrollments (35 average per year) and is ranked fourth in the state for enrollments, with a steady increase in demand for minors (27 in Fall 2013 to 35 in Fall 2017). Although gender disparity within the program continues to be a concern, the program has made significant gains in increasing female and minority enrollment and graduation in this major. For example, during the last five years, average enrollment for women was at 31 percent (up from 21 percent) and minority enrollment was at 31 percent, up from 15 percent. Rates for degrees conferred grew from 15 percent to 24 percent for women and 7 percent to 31 percent for minority students in the program. The program demonstrates excellent assessment practices and use of data collected to make decisions regarding student learning outcomes. As a result, this program has been a model at NIU for using assessment to make continuous improvement.

- Actions taken since the last review: The program has addressed all three areas that were recommended for improvement during the last review in 2010. These include revising program requirements, increasing students' performance on analytical essay writing, and expending effort towards increasing enrollment and degrees conferred for female and minority students. Consequently, the program created: (1) the B.S. degree option developed in 2010 that, on average, graduates 29 percent of the majors in the undergraduate philosophy programs and developed (2) the accelerated 3+3 B.A./B.S. in Philosophy to Juris Doctor (J.D.) degree program in 2017. Additionally, the program conducted a comprehensive review of program requirements and course offerings, revised 20 course descriptions, deleted nine courses, and created six new courses to address the program's student learning outcomes. The program also added the junior writing sequence and the senior capstone as core course requirements to strengthen its core curriculum. Departmental faculty made efforts to increase the representation of female and minority majors and degree recipients by following disciplinary recommendations for diversifying required readings and by making a focused effort to recruit female and minority students to the major. Average annual enrollments have increased 10 percent for females and 15 percent for minority students; degrees conferred have increased 10 percent for females and 23 percent for minority students since the last review.
- Actions taken as a result of this review: As a result of the current review, the program intends to promote its newly created 3+3 accelerated B.A./B.S. to J.D. degree program offering to top-feeder community colleges and to first- and second-year NIU students. Additionally, the program plans to increase its efforts to get its majors to take advantage of the many internship opportunities available through the office of the College of Liberal Arts and Sciences Student Professional Development program. Lastly, the program intends to work collaboratively with the College of Liberal Arts and Sciences to track graduate outcomes more closely, increase information about internship opportunities, and involve alumni for their contributions to the program.

- **Outcome**

- Decision:

 x Program in good standing (review in eight years).

Explanation: The Bachelor of Arts and Bachelor of Science in Philosophy program demonstrates strong student outcomes, steady enrollments, numbers of degrees conferred, and high alumni satisfaction. Consistent and comprehensive assessment processes address the program's student learning outcomes and are considered a model for other undergraduate programs. Actions followed over the last review cycle have increased program viability and supported the enrollment and degree attainment of diverse groups of students.

Program: M.A. in Philosophy (38.0101)

Major Findings and Recommendations:

- Major changes in the program: The Master of Arts (M.A.) in Philosophy program focuses on the core areas of contemporary analytic philosophy—metaphysics, epistemology, ethics,

political philosophy, philosophical logic, philosophy of language, philosophy of mind, and philosophy of science. Most graduates continue advanced work in leading doctoral programs in philosophy or teach philosophy at the community college level. Some alumni pursue additional education in fields other than philosophy and work in a wide variety of careers

- outside the academy (e.g., international aid, database design, data analytics, and pastoral ministry).
- Major findings and recommendations: The M.A. in Philosophy program is ranked #2 nationally for “faculty quality” among terminal M.A. programs in philosophy. *Philosophy News* reported that the program has the 3rd-best record of doctoral-program placement among terminal M.A. programs in philosophy. Eighty-eight percent of NIU graduates who applied in the last 10 years were placed into top-50 doctoral programs in philosophy, with full funding. Faculty productivity is high in terms of journal articles and conference proceedings per faculty member. Demand for the program, as measured by the high annual volume of applications (third most among the College of Liberal Arts and Sciences graduate programs, and tenth most among all NIU graduate programs) is strong. Graduates have good success entering Ph.D. programs and alumni report high satisfaction with the program. Enrollments have remained stable since 2013 (28 students) to 2017 (27 students) while degrees conferred have started to inch upwards (10 in 2013 to 14 in 2017). Programmatic assessment practices to inform student learning outcomes are strong and have informed significant changes to increase 2-year completion rates from 68 percent to 92 percent over the review period. The program’s strong assessment practices have made it a model for using assessment results to make continuous program improvements. Gender disparity and diversity of the student body continues to be a challenge to be addressed.
- Actions taken as a result of this review: As a result of the current review, the program’s main focus area for action is recruitment of diverse and underrepresented students by: (1) intentional and aggressive recruitment of underrepresented students through robust offers of funding support, and (2) collaboration with NIU’s Director of Diversity, Equity, and Inclusion and the Director of Communications from the college to market the M.A. program to students at other colleges and universities with large numbers of underrepresented students. The program also intends to apply for a University Diversity Equity and Inclusion (DEI) Postdoctoral Fellowship to support these efforts.

Outcome

- Decision:

__x__ Program in good standing (review in eight years).

Explanation: The Master of Arts in Philosophy program has an excellent national reputation and demonstrates steady enrollments, high numbers of degrees conferred, and strong student outcomes. It provides solid foundational and research training that serves as a pipeline to various doctoral programs. The program’s assessment processes are strong and comprehensive, and the program has clearly developed mechanisms for ongoing continuous improvement.

Center: Speech-Language-Hearing Clinic (90.5102)

Major Findings and Recommendations:

- Major changes in the program: The Speech-Language-Hearing Clinic (SLHC) is the teaching, research, and service unit of the Doctor of Audiology Program (Au.D.) and the M.A. in Communicative Disorders, specialization in Speech-Language Pathology Program (SLP) within the School of Allied Health and Communicative Disorders (AHCD). The SLHC operations encompass providing clinical laboratory experiences to graduate students, and providing specialized clinical services rendered by graduate students under the supervision of Clinical Assistant Professors. Typically a nominal fee is charged on a sliding scale for service rendered. The specialized clinical services include consultations and diagnosis of hearing and balance concerns, cognitive-communication, swallowing disorders, and other language and audiology related concerns such as tinnitus evaluation and treatment, balance evaluations, and cochlear implant evaluations. In addition to honing their skills in clinical practice, students gain training on topics such as importance of protecting client health information and billing practices using the Point and Click Electronic Health Records system. The SLHC generates over \$700,000 annually in clinic revenue, which offsets the costs associated with SLHC operations.
- Major findings and recommendations: The current review reflected the services provided by the SLHC as a laboratory, and critical component of the Communication Disorders academic program. SLHC has continuing partnerships with local community early intervention services, NIU's Child Development and Family Center, other developmental labs, and area school districts to provide services to over 3,500 NIU students and community members. Recently, the SLHC received an internal grant from the College of Health and Human Sciences to study and implement telehealth services, an area of expansion for the clinic. Overall, the SLHC maintains a stellar reputation within the local community as a service provider and clinical faculty within the clinic have presented research and clinical cases, at local, national and international forums.
- Actions taken since the last review: Since the last review, the SLHC hired a Clinical Assistant Professor, purchased an Audiology Video Head Impulse Testing (vHit) machine, initiated provision of in-home early intervention services, and has offered summer camps for children with articulation and language delays and disorders. These activities have helped the SLHC grow its capacity to provide services, expand breadth of training experiences for graduate students, and further enhance its reputation as a reliable clinic within the DeKalb area.
- Actions taken as a result of this review: As a result of the current review, SLHC intends to continue growing its early intervention services, expand telehealth services to train students and provide service to a wider base of clients, and offer enhanced bilingual feeding therapy SLP services. Furthermore, SHLC intends to enhance marketing efforts to grow current service offerings and provide students with a more opportunities for practice and training.

Outcome

- Decision:

__x__ Center is in good standing (review in eight years).

- Explanation: The Speech-Language-Hearing Clinic (SLHC) provides an excellent teaching environment for students and has a strong reputation within the community for the services it provides.

ANNUAL FINANCIAL SUMMARY AND BUDGET TO GAAP RECONCILIATION AS OF JUNE 30, 2019

Summary: The University has prepared the fourth quarter financial summary to the Board of Trustees. Tuition and fees were less than budget for Fiscal Year 2019. With the launch of the strategic enrollment management plan and thoughtful coordination across campus, strategies were deployed to align the University's multi-year budget plan with expected enrollment targets. 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 shows a decline in net revenue contribution.

Revenues

- 1. Tuition and Fees:** All tuition, including differential tuition, course and materials fees, athletics fees, bus fees, and health service 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, sales of services to off-campus entities (including, but not limited to catering, childcare, and 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, and 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

- 1. 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.
- 2. 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.
- 3. 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.
4. **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.
 5. **Automotive:** Includes the cost to rent cars, vans, and busses from the University transportation department.
 6. **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).
 7. **Telecommunications:** Includes the cost of providing phone, internet, and other digital services to the University.
 8. **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
 9. **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 end of June FY19 and a comparison perspective to the end of June FY18.

**University All Funds Comparison
As of June 30, 2019**

	Current Year FY19			Prior Year FY18	
	Twelve Months Ended			Twelve Months Ended	
	YTD Actuals	YTD Budget	Variance	YTD Actuals	Variance
Revenue					
Tuition & Student Fees	\$ 172,481	\$ 178,307	\$ (5,826)	\$ 178,545	\$ (6,063)
Gifts, Grants, & Contracts	57,580	70,321	(12,741)	56,576	1,004
Other Fees and Fines	8,009	8,564	(555)	7,864	145
Sales	32,218	32,654	(436)	34,746	(2,528)
Rental & Room Income	31,198	32,541	(1,344)	31,048	149
Gate Receipts & Commissions	4,392	5,494	(1,102)	3,379	1,014
Miscellaneous & Investment Income	19,337	13,357	5,980	16,089	3,248
State of Illinois	83,647	83,659	(12)	82,020	1,628
Total Revenue	\$ 408,862	\$ 424,897	\$ (16,035)	\$ 410,266	\$ (1,404)
Expenses					
Cost of Sales	\$ 5,012	\$ 4,910	\$ 102	\$ 8,339	\$ (3,328)
Personnel Services	217,088	215,685	1,403	216,913	175
Contractual Services	83,134	87,581	(4,448)	78,827	4,307
Commodities	6,251	7,468	(1,217)	6,013	239
Travel	4,622	5,555	(933)	4,409	213
Automotive	1,220	1,264	(44)	1,253	(33)
Scholarships	51,179	58,066	(6,887)	48,275	2,905
Telecommunications	623	680	(58)	950	(328)
Equipment & Library Materials	8,095	9,935	(1,840)	8,427	(333)
Capital Repairs, Debt Service & All Other	30,996	33,753	(2,758)	21,675	9,321
Total Expenses	\$ 408,218	\$ 424,897	\$ (16,679)	\$ 395,081	\$ 13,138
Net Revenue (Budgetary Basis)	\$ 644	\$ (0)	\$ 644	\$ 15,185	\$ (14,542)

To ensure that the amounts reported per the budget are in line with the University's FY19 financial statement results, a reconciliation between Budget (Fund Accounting) and GAAP (Generally Accepted Accounting Principles) has been prepared.

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, 2019 is a preliminary draft and will not be final until the FY19 audit has concluded and the audit report released around January 2020. Following is the reconciliation from the University's Budget to GAAP financial statements as of June 30, 2019.

Budget to GAAP Reconciliation
As of June 30, 2019
(\$ in thousands)

Net Revenue, per Budget	\$	644
Depreciation Expense		(28,232)
Debt principal		10,502
<i>Decrease in Net Position, before adjustments</i>		(17,086)
 <u>One-time Adjustments:</u>		
Student Accounts Receivable - change in allowance methodolog		(4,650)
Construction in Progress - change in estimate		(4,657)
<i>Decrease in Net Position, one-time adjustments</i>		(9,307)
 Total Decrease in Net Position, per draft Financial Statements*	 \$	 (26,393)

**Unaudited*

The decrease to net position for the year-ended June 30, 2019 is \$26.3M. This decrease is based on the forecasted decline related to the budget-to-GAAP adjustments for depreciation expense and debt principal totaling \$17.0M. In addition, one-time adjustments to the balance sheet related to a change in methodology for allowance for student bad debt and a change in estimate for assets held in construction-in-progress were required to ensure accurate financial reporting per GAAP. The ending net position for Fiscal Year 2019 is as follows:

FY19 Change in Net Position
For the Year-Ended June 30, 2019
(\$ in thousands)

Net Position, June 30, 2018	\$	192,252
Decrease in net position		(26,393)
Net Position, June 30, 2019*	\$	165,859

**Unaudited*

**QUARTERLY FINANCIAL SUMMARY
FISCAL YEAR 2020 - FIRST QUARTER
AS OF SEPTEMBER 30, 2019**

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

As of the end of the first quarter of FY20, the University recorded a positive performance of approximately \$70M. Although this is a slight increase of approximately \$600K over prior year, the University is ending first quarter \$983K worse than budget.

University tuition and student fees revenues have decreased by approximately \$2.9M from the prior year and is in line with the enrollment expectations of the University's Strategic Enrollment Management Plan. Other revenues for first quarter FY20 are tracking in line with budgeted targets and are projected to end the year in line with budget. Expenses for the quarter lagged budget by approximately \$3.2M, contributing to a full-year projection of below-budget spending by \$8.7M. In total, the first quarter net results are \$983K worse than budget.

Current projections suggest the University will end the year with negative net revenue of \$5.9M, approximately \$760K worse than budget if no additional actions are taken to align expenses with expected revenues.

With the rollout of a multi-year budget plan and the Strategic Enrollment Management Plan, management is demonstrating its ongoing leadership to monitor and develop strategies to effectively control expenses in order to keep in line with expected revenue. Efforts are underway to review planned expenses through the remainder of the year and make the necessary adjustments to align expenses with revenues.

Revenues

- 1. Tuition and Fees:** All tuition, including differential tuition, course and materials fees, athletics fees, bus fees, and health service 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, sales of services to off-campus entities (including, but not limited to catering, childcare, and 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, and 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

1. **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.
2. **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.
3. **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.
4. **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.
5. **Automotive:** Includes the cost to rent cars, vans, and busses from the University transportation department.
6. **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).
7. **Telecommunications:** Includes the cost of providing phone, internet, and other digital services to the University.
8. **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
9. **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 end of September FY20 and a comparison perspective to September FY19.

Northern Illinois University
as of September 30, 2019
(\$ in thousands)

	Current Year FY20			Prior Year FY19		Current Year FY20		
	First Quarter			First Quarter		Annual		
	YTD Actuals	YTD Budget	Variance	YTD Actuals	Variance	YTD Forecast	Budget	Variance
Revenue								
Tuition & Student Fees	\$ 85,769	\$ 90,567	\$ (4,798)	\$ 88,714	\$ (2,945)	\$ 167,408	\$ 176,085	\$ (8,677)
Gifts, Grants, & Contracts	16,240	17,929	(1,689)	17,400	(1,160)	58,540	59,331	(791)
Other Fees and Fines	2,874	2,584	291	2,885	(11)	7,979	7,172	807
Sales	11,416	11,057	359	10,926	490	33,663	32,606	1,057
Rental & Room Income	16,199	16,375	(176)	15,143	1,056	33,372	33,735	(363)
Gate Receipts & Commissions	575	2,199	(1,623)	2,008	(1,433)	4,392	4,809	(417)
Miscellaneous & Investment Income	4,749	672	4,077	1,132	3,617	11,130	11,479	(349)
State of Illinois	35,187	35,872	(685)	34,174	1,013	87,804	87,804	-
Total Revenue	\$ 173,009	\$ 177,254	\$ (4,245)	\$ 172,381	\$ 628	\$ 404,289	\$ 413,021	\$ (8,732)
Expenses								
Cost of Sales	\$ 944	\$ 756	\$ 188	\$ 677	\$ 267	\$ 6,589	\$ 5,599	\$ 990
Personnel Services	49,652	46,865	2,787	48,257	1,395	215,364	210,829	4,535
Contractual Services	15,968	19,791	(3,823)	19,338	(3,370)	80,000	85,079	(5,079)
Commodities	1,284	1,254	30	1,249	35	6,000	6,276	(276)
Travel	1,135	1,016	119	849	286	4,272	5,531	(1,259)
Automotive	264	245	19	260	5	1,226	1,153	73
Scholarships	26,758	28,482	(1,724)	24,566	2,192	55,411	59,338	(3,927)
Telecommunications	52	44	8	85	(33)	324	323	1
Equipment & Library Materials	1,653	2,702	(1,049)	2,333	(681)	8,261	9,374	(1,113)
Capital Repairs	280	3,295	(3,016)	3,059	(2,779)	2,650	2,650	(0)
Debt Service	3,258	1,846	1,413	1,387	1,871	24,804	31,921	(7,117)
Miscellaneous Expense	1,810	23	1,787	974	836	4,546	105	4,441
Total Expenses	\$ 103,057	\$ 106,318	\$ (3,262)	\$ 103,033	\$ 24	\$ 409,447	\$ 418,179	\$ (8,732)
Net Revenue	\$ 69,952	\$ 70,935	\$ (983)	\$ 69,348	\$ 604	\$ (5,158)	\$ (5,158)	\$ -

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

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 annual net position is a projection for FY20 and was calculated using the FY19 annual GAAP figures. Following is the reconciliation from the University’s Budget to GAAP financial statements based on year-to-date projections.

Budget to GAAP Reconciliation
Year End Projection
(\$ in thousands)

Net Revenue, per Budget	\$ (5,158)
Depreciation Expense	(28,232)
Debt - Principal	<u>10,504</u>
Total Decrease in Net Position, per draft Financial Statements*	\$ (22,886)

**Unaudited*

SERIES 2010-2011 BOND REISSUANCE UPDATE

Overview of Opportunity

Northern Illinois University has \$175.5M in outstanding Series 2010, 2011 Auxiliary Facilities System (AFS) bonds. The average rate on that current debt outstanding is approximately 5.25%. Both issues will be re-financeable with tax-exempt bonds beginning on January 1, 2020. NIU can issue both fixed and variable rate bonds, or both. NIU's financial management team is considering the use of variable rate, tax-exempt bank debt for a portion of the refinancing, likely \$20-\$50M of the total. This would facilitate easy prepayment of a portion of its AFS debt should NIU receive a significant upfront payment in exchange for the sale or use of an existing building or portion of campus. The refinancing offers opportunity for both short and long-term savings depending on the structure of the new debt and based on market conditions as of September 4, 2019. The minimum total savings is expected to be \$28M. Refinancing also provides a chance to modernize the University's AFS documents which includes: lowering covenant thresholds for additional debt; reconfiguring the AFS to take out non-producing buildings; making it easier to add buildings into or take them out of the AFS; and, allowing excess funds to be taken out of the AFS and used for general University purposes, once certain conservative thresholds of System health are met. Currently the University's AFS system is a "closed" one, which does not allow excess funds to be taken out of the system. The refinancing can close as early as February 2020.

Financing Climate

Northern Illinois University's Moody's rating outlook was upgraded from "Ba2" negative to "Ba2" stable in May 2019. In the past year, overall tax-exempt rates have dropped by 1%, and the rate differential between higher and lower-rated credits has narrowed. NIU can issue either on the basis of its own rating (unenhanced) or with bond insurance. The University's current bond insurer AGM, insurer of the 2010/2011 bonds, has indicated interest in insuring the refinancing. This would provide any fixed rate bonds in the Refinancing with an AA (S & P) rating.

Guiding Principles

The management team has adopted the following guiding principles for this refinancing:

- The bond issue will not include any monies for new projects;
- The new debt payments will not extend beyond the April 1, 2041 maturity date of the Series 2010 bonds;
- The refinancing will close in first quarter CY20 to fully benefit from anticipated low interest rates and associated savings;
- The refinancing will be structured to maximize savings in FY20-FY23 to mitigate budgetary impact of closing the structural budget gap; and
- The AFS documents will be modernized.

Bond Underwriting "Request for Proposal" Process

To refinance AFS bonds, the University and its long-time financial advisor, Longhouse Capital Advisors, have drafted an RFP for an underwriter that was distributed on October 4th, with responses due October 28, 2019. The University received several proposals in response to the RFP, all of which included a Business Enterprise Program (BEP) commitment.

The RFP will establish a pool of bond underwriting firms. A subset of firms from the pool will be selected to work on the initial refinancing issue. The bond underwriter pool is to be selected in

November 2019, subject to Board approval of the pool and approval of a parameters resolution at its December 5th meeting. The bond underwriting pool will last up to five years and could be called on to cover future needs.

Potential Savings from Refinancing

Final savings will be subject to changes in rates; to the final insurance premium from the bond insurer, if an enhanced issue is chosen; or to the Bonds' underlying rating, if not; and to the mix of fixed and variable rate debt in the refinancing issuance, among other factors.

The savings numbers conservatively reflect an all-fixed-rate financing using rates as of September 4, 2019. Refinancing rates could rise 1.25% vs. the rates used in the initial analysis and still provide a "Present Value Savings" metric above 3%, the minimum efficiency percentage typically deemed acceptable for a refinancing, based on current financing assumptions.

General Financing Assumptions:

- Assured Guaranty bond insurance with a bond insurance premium of 2.25% X total principal and interest on the refunding bonds.
- Underwriter's discount of 0.35% X per amount.
- Estimated other costs of issuance of \$650,000 for the financing.
- The Series 2010 BABs subsidy payment due 4/1/2020 is assumed to be received and paid at the current subsidy rate of 32.935% (\$1,666,770).
- Interest rate scale with Assured Guaranty insurance provided by RBC Capital Markets based on markets as of September 4, 2019. Scale assumes an optional call date of 4/1/2030 at par.
- In estimating savings, analysis conservatively assumes future subsidy payments on the Series 2010 BABs at the full 35% even though it is currently at the lower subsidy rate of 32.935%.
- New issue does not include a debt service reserve fund.

**QUARTERLY SUMMARY REPORT OF TRANSACTIONS IN EXCESS OF \$100,000
FOR THE PERIOD JULY 1, 2019 TO SEPTEMBER 30, 2019**

Purchase Amount	No. of Transactions	*Appropriated	Non-Appropriated	Total
Over \$100,000	15	\$573,089	\$1,726,671	\$2,299,760

TRANSACTIONS DETAIL:

Purchases:

1. Intercollegiate Athletics requested permission to issue an order for athletic officials funding for FY20 sports. This order was advertised on the Illinois Procurement Bulletin as an exemption according to 30 ILCS 500 / 1-13(b)(4). (Repay LLC, Salt Lake City, UT) 140,000
2. The Division of Information Technology requested permission to utilize the renewal option of Bid #CAB156820 for the period 7/1/19-6/30/20 for 10 Gig ISP link for ISP services to DeKalb Wellness and Literacy Center, located at 3100 Sycamore Road. This was the fourth of nine renewal options based on a bid opened September 29, 2015. The renewal award was advertised in the Illinois Procurement Bulletin. (Syndeo Networks, Inc., St. Charles, IL) 162,000
3. The department of Continuing Professional Education requested permission to issue an FY20 open order to the following host site to offer OSHA courses to be taught during the period 7/1/19-6/30/20. This order was exempt from advertising in the Illinois Procurement Bulletin because it was below the bid threshold. (National Safety Council, Itasca, IL) 100,000
4. Renewal was required of the contract for the Illinois Century Network for 10 Gig NIU Internet connectivity during the period 7/1/19-6/30/20. This contract provides increased bandwidth of internet services by 10Gig through the State of Illinois Central Management System using the Illinois Century Network's existing IGA that NIU has with CMS. This order was exempt from advertisement on the Illinois Procurement Bulletin because the vendor was a governmental agency. (Dept. of Innovation & Technology, Sterling, IL) 180,300
5. The Information Technology Services Department requested permission to purchase software maintenance and service for the OneCard Program and point of sale system for the period 7/1/19-6/30/20. An RFP failed to provide a timely award. An emergency purchase was advertised on the Illinois Procurement Bulletin. (Transact Inc., Phoenix, AZ) 159,921

- | | |
|---|----------|
| 6. Renewal was required of the contract for Identify Management Software that is used to programmatically manage computing accounts for the entire University involving students and staff. The period of coverage is August 1, 2019 – July 31, 2020. This purchase was exempt from posting on the Illinois Procurement Bulletin as it was covered by an MHEC contract. (Micro Focus Software Inc., Provo, UT) | 107,139* |
| 7. RIPS requested permission to purchase an electronic research administration system. This system has the ability to cover all facets of research administration and compliance within one software package from one vendor. FY20 is the initial term with nine, one-year renewal options to follow. This item was advertised on the Illinois Procurement Bulletin – RFP #KMC21544 on 4/4/19. (InfoEd International Inc., Albany, NY) | 130,000 |
| 8. An open order was requested for the Trevor Noah performance at the Convocation Center on October 12, 2019. This purchase was exempt from advertising as follows: athletic, artistic or musical services, performances, events, or productions by or for a public institution of higher education. (30 ILCS 500 / 1-13(b)(4)). (Hamba Baba Productions Inc., Sherman Oaks, CA) | 110,500 |
| 9. Renewal was required of the contract with Apogee for campus-wide cable services for Fiscal Year 2020. This is the sixth year of nine renewal options based on a Request for Proposal opened on November 15, 2012 (#BML110112). The renewal notice was advertised in the Illinois Procurement Bulletin and was waived by the PPB. (Apogee Telecom Inc., Austin, TX) | 204,000 |
| 10. The Office of the Executive Vice President and Provost requested permission to issue an FY20 order for executive search firm services for the Dean of College of Law. This Procurement was processed under the authority of IPHEC RFP #1243. (Greenwood/Asher & Associates, Miramar Beach, FL) | 115,000* |
| 11. Athletics requested permission to issue payment for the Student Athlete Book Program for Summer 2018, Fall 2018, and Spring 2019. This procurement was processed under the authority of IFP # of JMT05012018 (Follett Bookstore Management) award and was previously advertised in the Illinois Procurement Bulletin. (Follett Higher Education Group Inc., Westchester, IL) | 196,000 |
| 12. 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 is the result of RFP #JLT152459, which opened October 29, 2014. This is the fourth of nine, one-year renewal options. The renewal award was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. (ASGK Public Strategies LLC, Chicago, IL) | 186,000* |
| 13. The Convocation Center requested permission to issue payment to Harlem Globetrotters International Inc. for a performance on January 30, 2020. This item was exempt from advertising according to exemption code (30 ILCS 500-1-1-13(b)(4)). (Harlem Globetrotters Intl. Inc, Peachtree Corners, GA) | 145,000 |

Capital Improvement Projects:

1. The existing roof on the Broadcast Center was installed in 1990. The roof system is 29 years old, and beyond its performance life, and has shown signs of failure including moisture intrusion, seam and flashing failure, and other roof issues. Numerous repairs have been made on the roof system. Full roof replacement is the appropriate course of action to ensure that moisture intrusion does not continue that will over time cause damage to the integrity of the roof deck and supports below. 164,950*

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

2. The Holmes Student Center has a small passenger elevator located inside the original south entrance of the building. It is the primary means of ADA access between Ground level, Main level, and Second floor in this quadrant of the building. This elevator has not been functioning consistently for several years and needs a controls overhaul. It is most important to have functioning to serve the many meeting rooms on the second floor directly adjacent. Work will consist of upgrading controls, drive motor, wiring, ropes, rollers, hall buttons, door and cab operators, and fire service recall. 198,950

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

*Appropriated/Income Funds

PERIODIC REPORT ON INVESTMENTS FOR PERIOD ENDING SEPTEMBER 30, 2019

In accordance with the approved University Investment and Cash Management policy, this report on cash and investments is submitted at the end of each calendar quarter to the Board of Trustees. This report is required by Board of Trustees *Regulations* (Section V, Subsection D). The following schedules are included:

- Cash and Investment Holdings Summary as of September 30, 2019
- Investment Earnings for the quarter ended September 30, 2019

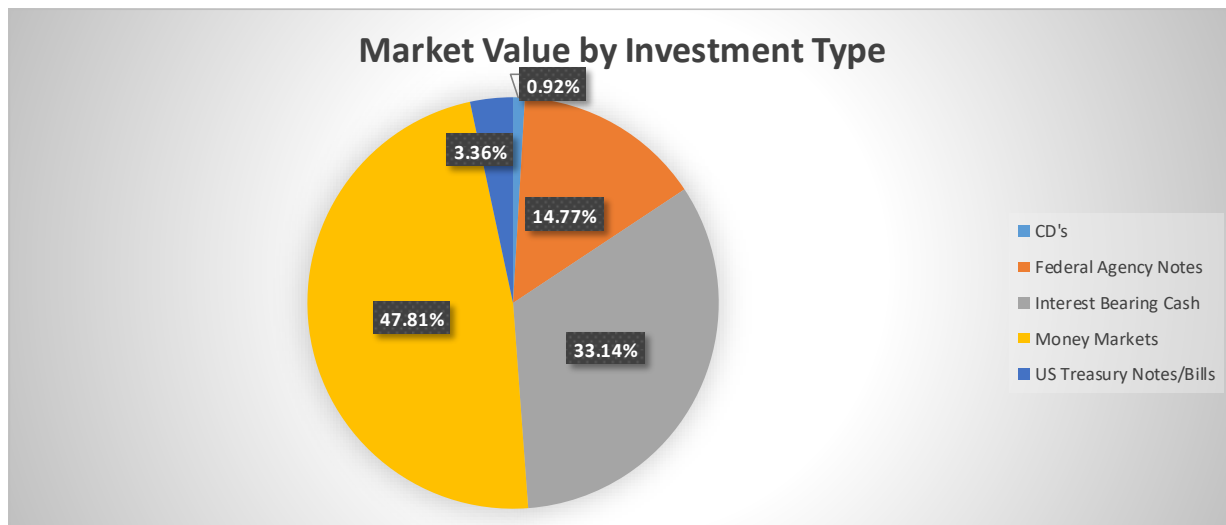
The *Cash and Investment Holdings Summary* at September 30, 2019 shows NIU's total holdings at \$163.5 million. This balance is \$9.5 million lower than the balance at September 30, 2018 which is largely due to NIU spending Build America Bond proceeds on the Holmes Student Center renovation. Approximately 74% of these assets are allocated between money market funds and investment savings accounts. This strategy remained in place because cash and cash equivalents were earning higher yields than long term investment instruments during the first quarter of Fiscal Year 2020.

The *Investment Earnings* report shows the interest earnings for the 1st quarter at \$928,068 and an overall annualized rate of return of 2.23%. The decrease in return this quarter over last quarter can be explained by the Federal Open Market Committee's decision to reduce the federal funds interest rate.

The Federal Reserve reduced the federal funds interest rate twice this year, once in July and again in September. As expected, investment yields also declined. The Treasury yield curve remains inverted, meaning investors earn higher rates on short-term notes than they would by purchasing long term notes. A strong labor market and an inflation rate below 2% is evidence the US economy is in a period of moderate growth. This economic position along with a steady inflow of State appropriations provides a positive outlook for Northern Illinois University's financial team.

NORTHERN ILLINOIS UNIVERSITY
CASH and INVESTMENT HOLDINGS SUMMARY
September 30, 2019
For Fiscal Year 2020

Investment Type	Purch Price/ Ending Bal *	Book Value **	Market Value ***
CD's:			
Local Funds	\$ 1,504,275	\$ 1,504,275	\$ 1,504,275
Federal Agency Notes:			
Local Funds	\$ 23,852,133	\$ 24,094,487	\$ 24,112,848
Interest Bearing Cash Accounts:			
Local Funds	\$ 54,111,196	\$ 54,111,196	\$ 54,111,196
Project Funds	713	713	713
	<u>\$ 54,111,909</u>	<u>\$ 54,111,909</u>	<u>\$ 54,111,909</u>
Money Markets:			
Local Funds	\$ 69,802,158	\$ 69,802,158	\$ 69,802,158
Project Funds	8,265,719	8,265,719	8,265,719
	<u>\$ 78,067,877</u>	<u>\$ 78,067,877</u>	<u>\$ 78,067,877</u>
US Treasury Notes/Bills:			
Local Funds	\$ 5,527,960	\$ 5,493,439	\$ 5,492,075
TOTAL INVESTMENT HOLDINGS	\$ 163,064,154	\$ 163,271,987	\$ 163,288,984
Non-interest Bearing Cash	\$ 386,957	\$ 386,957	\$ 386,957
TOTAL CASH & INVESTMENT HOLDINGS	\$ 163,451,111	\$ 163,658,944	\$ 163,675,941
TOTAL REPORTED FOR 09/30/2018	\$ 172,958,594	\$ 173,066,068	\$ 172,825,026



* 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
For Fiscal Year 2020
July 1, 2019 - September 30, 2019

	September 30 Ending Balance	Average Daily Investment Balance	Percent of Portfolio	Income Earned	Annualized Rates of Return				
					FY 2020	FY 2019			
					1st Qtr	4th Qtr	3rd Qtr	2nd Qtr	
Short-Term Investment Accounts									
Illinois Funds	\$ 69,802,158	\$ 63,564,527	38.40%	\$ 358,763	2.239%	2.435%	2.448%	2.244%	
Investment Accounts - Financial Institutions	\$ 54,111,196	\$ 59,008,042	35.65%	\$ 348,283	2.342%	2.477%	2.424%	2.279%	
Investment Accounts - Project Funds	\$ 8,266,432	\$ 10,166,219	6.14%	\$ 55,800	2.178%	2.245%	2.052%	1.735%	
CD's	\$ 1,504,275	\$ 1,065,868	0.64%	\$ 4,403	1.639%	1.710%	-	-	
ST Investment Accounts Total	\$ 133,684,061	\$ 133,804,656	80.84%	\$ 767,249	2.275%	2.414%	2.371%	2.138%	
Fixed Income Securities									
Local Funds	\$ 29,380,093	\$ 31,709,772	19.17%	\$ 160,819	2.029%	1.883%	1.475%	1.643%	
Fixed Income Securities Total	\$ 29,380,093	\$ 31,709,772	19.17%	\$ 160,819	2.029%	1.883%	1.475%	1.643%	
Non-interest Bearing Cash	\$ 386,957	\$ -	-	-	-	-	-	-	
COMBINED TOTAL	\$ 163,451,111	\$ 165,514,428	100.00%	\$ 928,068	2.23%	2.27%	2.03%	1.90%	

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 2019
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 a mission requirement within University-owned property. Annual reviews are conducted to verify the continuing need for the in-lease arrangement before renewals/extensions are executed.

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 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.

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

Under \$100,000	10	100%	\$381,995	100%
\$100,000-\$250,000	--	--	--	--
Over \$250,000	--	--	--	--
Total	10	100%	\$381,995	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. ATM machines, farmland rental), and research (e.g. American Institute for Research in the Biological Sciences*).

Under \$100,000	10	91%	\$376,184	62%
\$100,000-\$250,000	1*	9%	\$232,837	38%
Over \$250,000				
Total	11	100%	\$609,021	100%

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

IASBO Building

- Payments made in FY19	\$69,926
- Payments to date	\$1,404,358
- Remaining debt	\$343,805
- Ending date of term	May 2024

New Residence Hall Complex/Northern View Residential Complex

- Payments made in FY19	\$10,325,963
- Payments to date	\$76,269,502
- Remaining debt	\$262,623,510
- Ending date of term	April 2043

Chessick/Yordon

- Payments made in FY19	\$319,000
- Payments to date	\$8,719,269
- Remaining debt	\$638,000
- Ending date of term	February 2021

**FISCAL YEAR 2019
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 capital improvement projects. A historical view is presented from information collected from Fiscal Year 2000 through Fiscal Year 2019. 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 \$1.2B 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 \$1.2B of PRV.

The format of this report is consistent with previous capital investment reports 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 FY19. 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 a facility's expected 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 had gained 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 helps 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 that began in FY17

to document and track PM requirements for about 7,760 individual items represents the steady progress planned to continue through FY21, as shown in Figure 1 below.

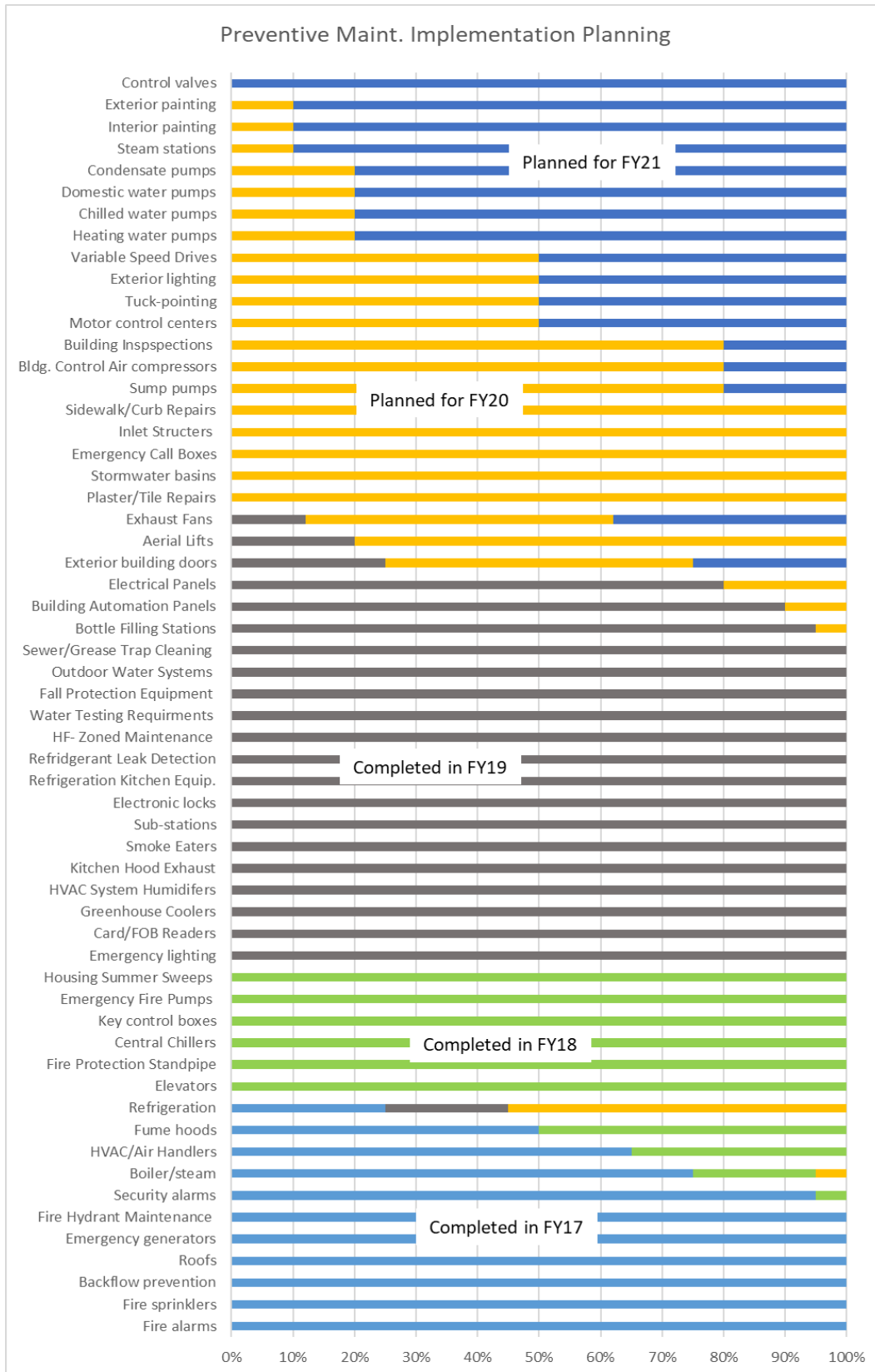


Figure 1

To be clear, the chart represents PM requirements that should be accomplished to best maintain building systems; how much PM work can be accomplished depends on the available maintenance funding. 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.

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 FY19. 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.

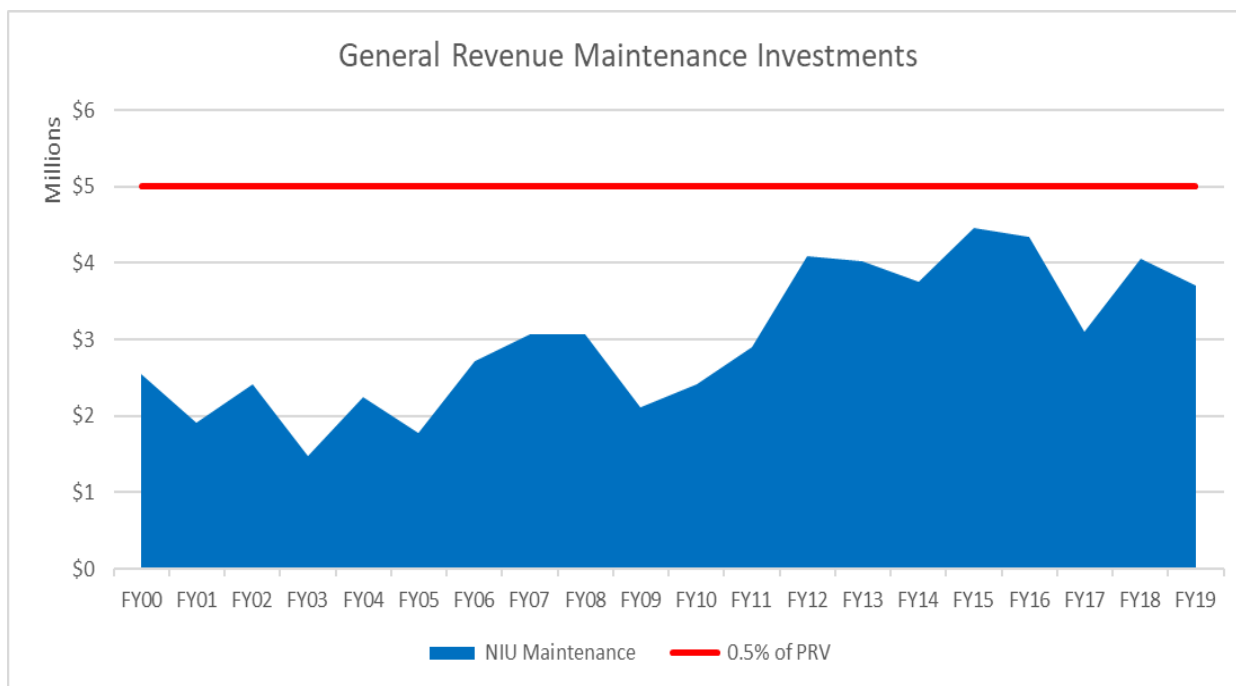


Figure 2

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 four 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 FY20, the budgeted level for maintenance remains the same as FY19, at \$3.7M.

In a similar manner, the facility maintenance investment supporting Auxiliary Operations is 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.

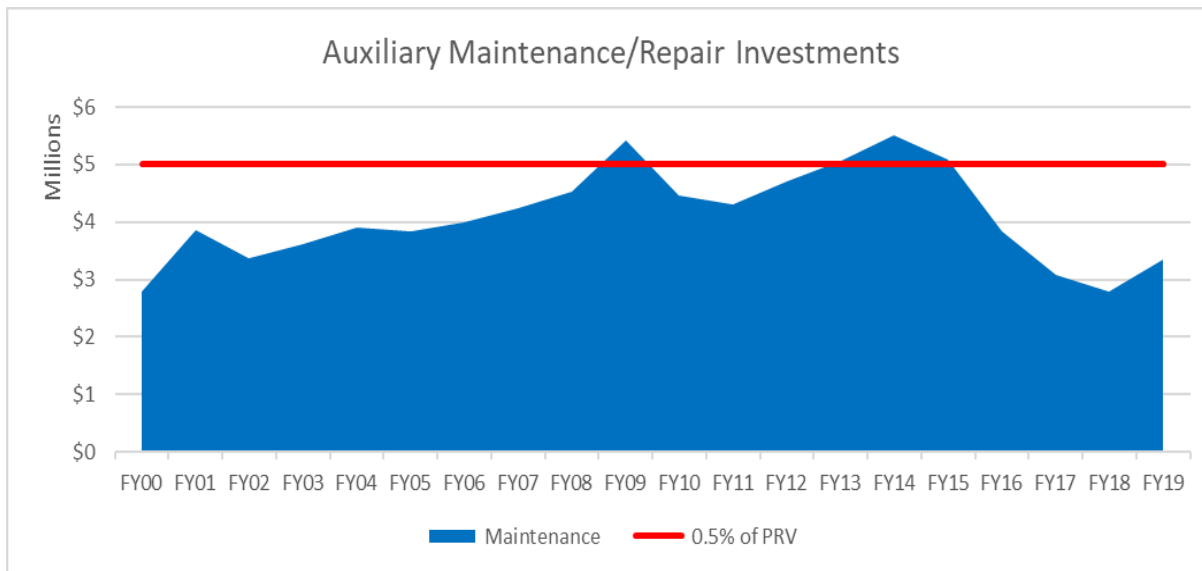


Figure 3

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 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 and keep pace with the rate of deterioration. Industry facility management experts have concluded that investment levels of between 2% and 4% are generally required depending on the type of facility, level of use, and current state of deferred deficiencies. If investments levels are 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 \$1.2B of PRV for a conservative total of \$2.4B. 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, 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 \$320M in under-investment in this 20-year period alone.

Framing the University’s facility investment requirements in this clear manner has helped to bring recognition to the plight faced by Illinois’ public universities and started to generate additional funding support. In FY19, approximately \$6.8M of State funds were identified to support critical boiler replacements and steam line distribution repairs. Entering FY20, NIU had been authorized \$77M for constructing a new Health Informatics and Technology Center and \$52.9M for

miscellaneous capital improvements under the Rebuild Illinois Capital Plan. While these funds were expected to cover a six-year period, it represents a significant funding improvement over past years. This anticipated future investment has been averaged and projected in the Figure 4 chart to approximate how this might compare to the 2% target investment level.

While the level of historic and current investments has not been sufficient to keep up with the constant accumulation of facility deficiencies, the anticipated improved investment level for FY20-FY25 should reach approximately 1.5% of PRV which is a respectable investment level compared to the past. Sustaining this investment level combined with periodic capital/mission enhancement investments (as noted later in this report) and the demolition/sale of surplus structures, may actually stop the backlog of deferred deficiencies from growing and possibly start to reduce the backlog.

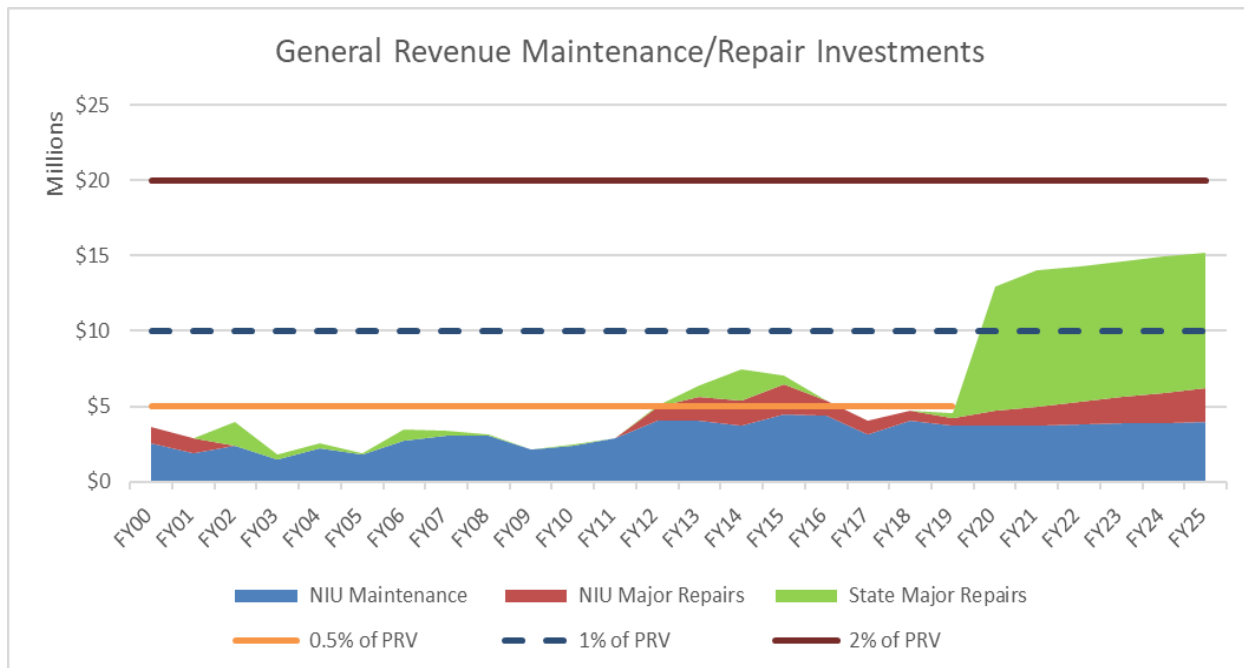


Figure 4

In a similar manner, the total facility maintenance/repair investment supporting Auxiliary operations is plotted in Figure 5. 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, FY19 Auxiliary investments fell short of the 2% industry standard by \$15.8M. When considered cumulatively over this 20-year period, the under-investment from the 2% of PRV objective represents over \$288M.

The investment surge in FY13-FY14 period supporting Auxilliary/Bond structures included repair efforts such as electrical infrastructure improvements, parking lot patching/repaving, steam line/tunnel repairs, and painting and roof replacement at the Recreation Center and Holmes Student Center.

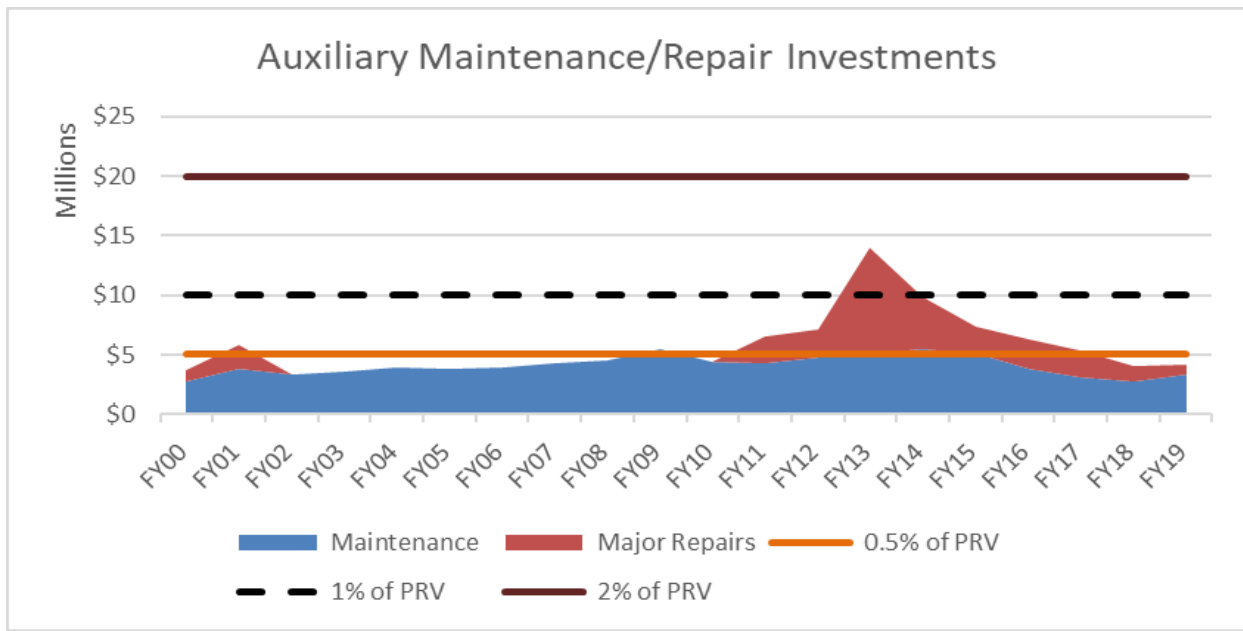


Figure 5

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 modernization 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 6 below. The 2% of PRV investment model is shown as a reference for the magnitude for this investment, but the entirety of the mission enhancement investment should not be construed as contributing towards achieving this investment target.

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 FY19 consisted mostly of smaller NIU-funded projects which totaled about \$1M.

The Figure 6 chart also forecasts the authorizations received in the Rebuild Illinois Capital Plan, specifically pertaining to the construction of the Health Informatics & Technology Center project. While the specific timing of this project is not yet known, the combination of this capital funding and other improvements noted under the maintenance and repair section of this report demonstrate that the next six years have the potential to be a significant improvement for facility investments compared to the last two decades.

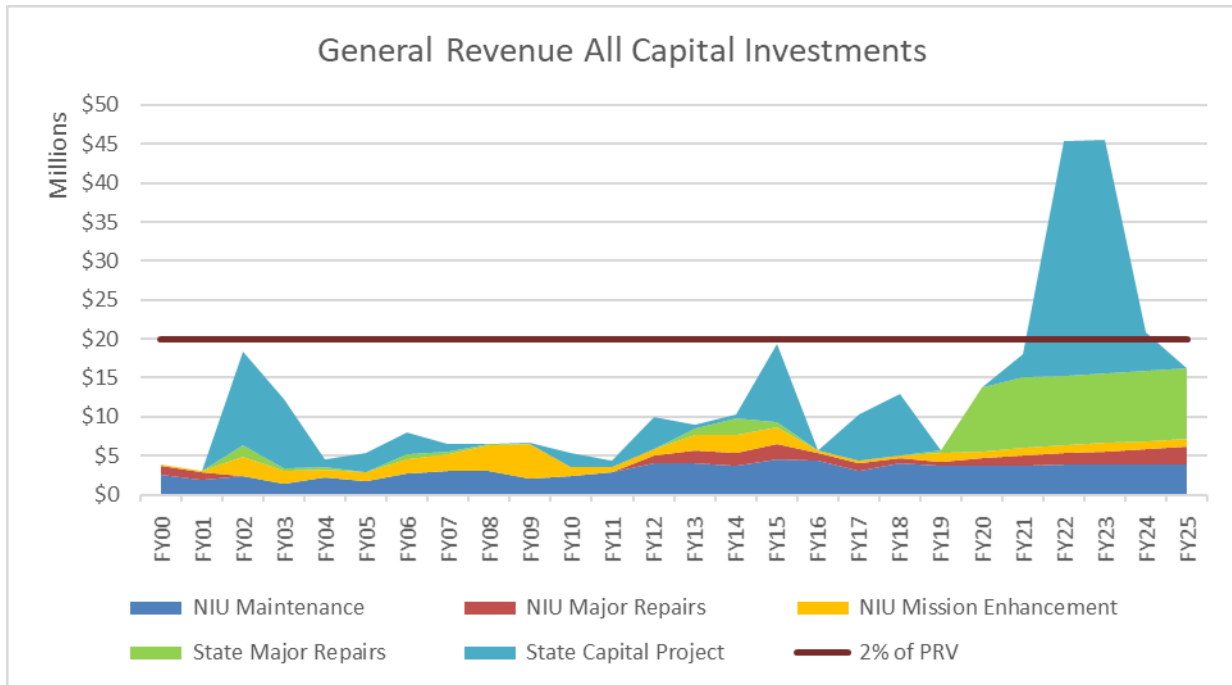


Figure 6

Mission enhancement investments in Auxiliary/Bond Revenue buildings are plotted in Figure 7 below². Again, the percent 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 Avenue 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.

² 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.

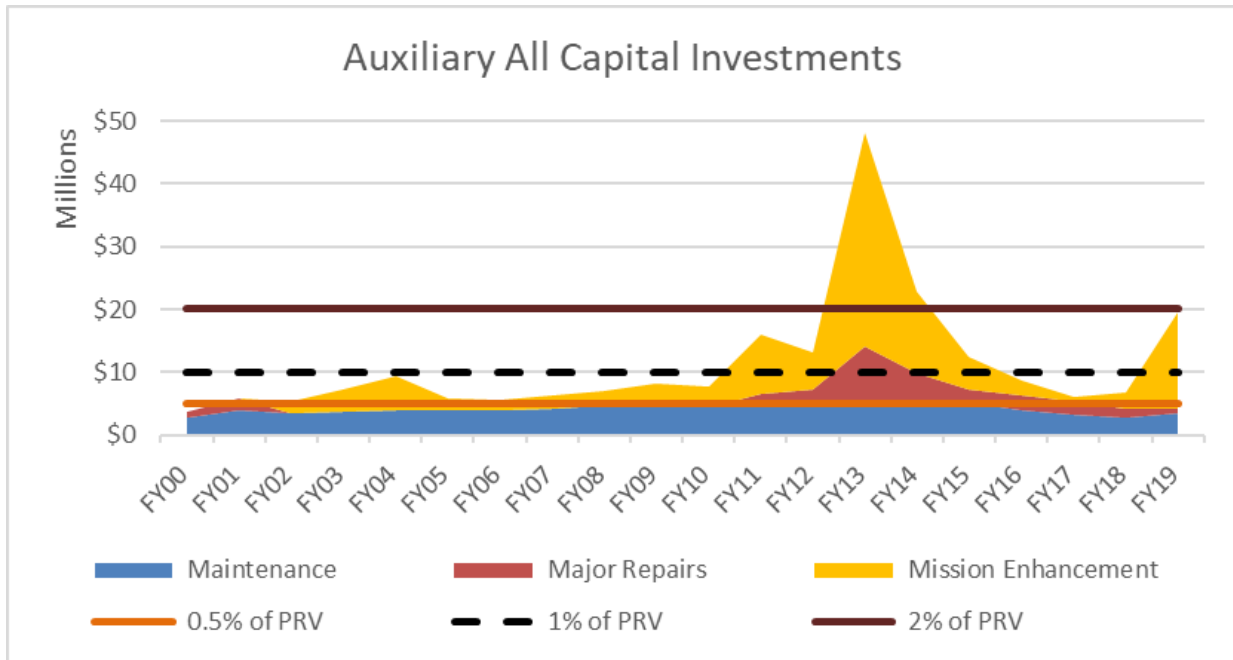


Figure 7

Conclusion

While this report continues to highlight the extended period of past systematic underinvestment which has created a dire need for repair and modernization investments, the anticipated increase in State funding support is demonstrating a positive change to help stop and reverse the trend of deferred facility improvements. The challenge going forward in this improved environment will be ensuring these future investments are focused and prioritized to best address the needs for the University mission.

Efforts to convince political leaders to continue this improved investment beyond the current Rebuild Illinois initiative will be critical. Buildings and infrastructure have been stressed literally to the breaking point and repeated cycles of underinvestment in the future will not be as tolerable and will likely lead to more failures impacting the University mission to a greater degree than experienced in the past.

In the meantime, the University continues to systematically prioritize both repair and modernization needs. For FY19, as shown in Figure 8, this has focused more General Revenue funding towards maintenance/repair requirements. For Auxiliary operations, FY19 investments were skewed significantly by the major Holmes Student Center renovation project. As this project completes in FY20, the Auxiliary operation balance between repairs and mission enhancement will begin to shift.

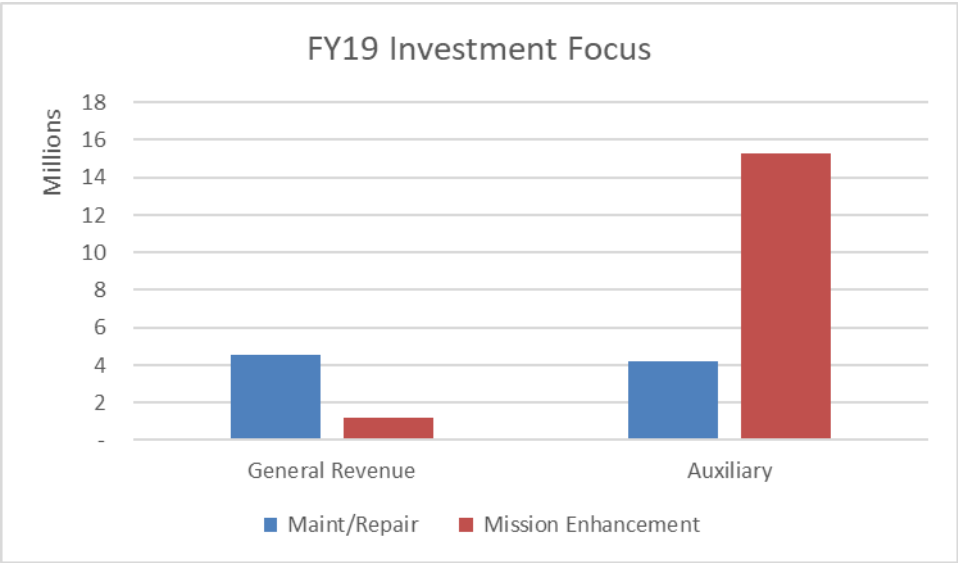


Figure 8

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; \$7.0 million for the renovation of parking facilities; \$5.24 million for a new Outdoor Recreation Facility; \$3.0 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: \$3.3 million for Huskie Stadium scoreboard; and \$1.8 million for campus 100% wireless coverage. In addition, the Capital Development Board approved a budget increase of \$2.9 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 supercomputer 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; and \$1.25 million for a phased roof replacement 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 (A & D) 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 three projects over \$250,000: \$750,000 for Grant South Steam Vault replacement; \$625,000 for Stevenson Towers (B & C) Roof 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 fifty-two projects between \$1,200 and \$50,000 totaling \$850,275. Total investment in Fiscal 2017 was sixty-seven 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 and six projects between \$50,000 and \$100,000 that totaled \$449,000. In addition, there were approximately seventy-five other projects totaling \$1,719,000. There was one major emergency repair to the steam tunnel on Normal Road at LaTourette Hall.

In Fiscal Year 2019, increased attention for state capital renewal funding began to produce additional investments for the University. The first phase of the boiler replacement project had been authorized with about \$6.2 million of State funding which was augmented with about \$9.8 million of funds from the University Auxiliary Reserves. Additionally, about \$5.5 million of State funding authorization was provided for steam line repairs. To compensate for higher than expected construction bids responding to the Holmes Student Center renovation project, the Board approved an increase of the budget from \$20.0 million to \$20.9 million. The Board also approved moving forward with design of the Northern Illinois Center for Community Sustainability (NICCS) a \$22.9 million partially State/grant funded project of which \$7.9M is to be provided by NIU. There were no other projects approved over \$1.0 million approved by the Board. There were four projects approved over \$250,000: Convocation Nelson Suite remodel for \$300,000; steam isolation valve and expansion joint replacement project for \$501,000 of which \$476,00 is funded through CDB; Yordon Performance Center remodel for \$275,000; and Stevenson Dining Area remodel for \$450,000. There were twelve projects between \$100,000 and \$250,000, totaling \$2,130,100. There were eleven projects approved between \$50,000 and \$100,000 totaling \$734,750. In addition, there were 101 other smaller projects approved totaling \$1,222,225.

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.

A. CAPITAL DEVELOPMENT BOARD PROJECTS

I. Projects in the Planning Phase

1. DeKalb Campus – Repair Steam Tunnel Distribution

Total Project Budget: \$5,024,000
Funding Source: FY2019 – CDB State Appropriated
Authorization Date: September 2018

Status: The University was notified by Capital Development Board in May 2019 that funds were pending release from the Comptrollers’ office for this project. CDB will be contracting with a firm to develop design and construction documents for the project. Selection is anticipated by December 2019; schedule for construction to be determined at that time.

II. Projects in the Design Phase

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

Total Project Budget: \$16,000,000
Funding Sources: Institutional Auxiliary Reserves &
FY2019 – CDB State Appropriated
Authorization Date: August 2017

Status: The University entered into an inter-governmental agreement with Capital Development Board to manage the project using a “design/build” project delivery method. CDB contracted with a firm to develop bridging documents that will be used to select a design/build contractor team. The design/build contract is anticipated to be awarded in Spring 2020.

III. Projects in the Construction Phase

1. Critical Steam Isolation Valve and Expansion Joint Replacement

Total Project Budget: \$501,000 (\$476,000 CDB + \$25,000 NIU)
Funding Sources: FY2019 – CDB State Appropriated & NIU local funds
Authorization Date: December 2018

Status: The University entered into an inter-governmental agreement with Capital Development Board whereby NIU would execute the work and be reimbursed once work has been completed. Work is 80% complete and is anticipated to be completed by June 2020.

2. Stevens Building – Addition & Renovation

Total Project Budget: \$37,300,135

Funding Sources: FY2010 – CDB Amended FY2017 &
FY2017 – NIU Appropriated Funds

Status: Construction work was completed in May 2018, and building commissioning was completed during the Summer 2018. School of Theatre and Dance and Department of Anthropology moved back into the facility in mid-May 2018, and the building was back in use for fall semester 2018 academic classes. Remaining punch list and other work items are being reviewed and addressed. Final completion of project is anticipated Summer 2020.

B. NORTHERN ILLINOIS UNIVERSITY PROJECTS

I. Projects in the Planning Phase

1. Recreation Center – Changing Room Remodel

Total Project Budget: \$1,100,000

Funding Source: Institutional Auxiliary Reserves

Authorization Date: September 2019

Status: Following Board approval to proceed with design, facilities worked with Recreation and Wellness staff to select a consultant a/e firm to provide design services. Following contract negotiations, design development is anticipated to be completed by Spring 2020. Request for approval to proceed with construction is anticipated for March Board meeting.

II. Projects in the Design Phase

1. Stevenson and Grant Residence Halls – Building Envelope Repairs

Total Project Budget: \$525,000

Funding Source: Institutional Auxiliary Reserves

Authorization Date: December 2016

Status: Progress was previously limited by resource availability and other priorities. An assessment of the existing exterior building envelope (walls) is to be completed Fall 2019, to provide a refined cost estimate and confirm scope of work. Design work is anticipated to be completed by Spring 2020. Construction work will be planned and scheduled to take advantage of semester breaks and summer schedules.

2. Holmes Student Center Hotel Tower – Building Envelope Repairs

Total Project Budget: \$250,000

Funding Source: Institutional Auxiliary Reserves

Authorization Date: December 2016

Status: Progress was previously limited by resource availability and other priorities. An assessment of the existing exterior building envelope (walls) is to be completed Fall 2019, to provide a refined cost estimate and confirm scope of work. Design work is anticipated to be completed by Spring 2020. Construction work will be planned and scheduled to take advantage of semester breaks and summer schedules.

3. Stevenson Towers A, B, C & D – Roof Replacement

Total Project Budget: \$1,250,000

Funding Source: Institutional Auxiliary Reserves

Authorization Dates: March 2016 (A & D) & September 2016 (B & C)

Status: This combination project was previously delayed by other priorities and is now being scheduled for completion in FY20. Bidding will occur October 2019. Construction work will be planned and scheduled to take advantage of semester breaks and summer schedules.

4. Naperville Parking Lot Reconstruction – Phase II

Total Project Budget: \$1,215,000

Funding Source: Local Funds – NIU Naperville Operations

Authorization Date: September 2015

Status: Phase II Design Work was delayed due to cash flow concerns. The project was closed in December 2018 per OERD. Alternative scope options are being considered based on available funding which will be resubmitted for approvals as necessary moving forward. This will be the last report on this project.

III. Projects in the Construction Phase

1. DeKalb Campus – Electrical Infrastructure Replacement Phase II

Total Project Budget: \$2,580,000 (estimated)

Funding Sources: NIU Appropriated Funds & Bond Series 2010 Project

Authorization Date: March 2013

Status: Construction started in Fall 2013, and all work is now complete. Final payments have been made. This will be the last report on this project.

2. DeKalb Campus – Campus Alerting System Phase IV

Total Project Budget: \$1,250,000

Funding Source: Appropriated Funds

Authorization Date: March 2013

Status: This project encompasses the final phase of the campus alert system. The work is approximately 26% complete and had been delayed due to previous funding concerns. Due to the project's overall age and other competing priorities, this project is to be closed and future campus alert system improvements will be addressed under separate projects, as necessary.

3. DeKalb Campus – Electrical Infrastructure Replacement Phase III

Total Project Budget: \$2,550,000

Funding Sources: NIU Appropriated Funds, Bond Series 2010 Project & Institutional Auxiliary Reserves

Authorization Date: March 2014

Status: Construction work began in late 2014 and had been periodically delayed due to funding concerns. It is approximately 60% complete. Work is anticipated to be completed in FY20 as semester breaks and summer schedules allow.

4. Holmes Student Center – Phase I Redevelopment

Total Project Budget: \$20,900,000

Funding Sources: Bond Series 2010 Project & Institutional Auxiliary Reserves

Authorization Date: February 2019 Amended

Status: Construction work began in October 2018 and is ongoing. Work is currently approximately 80% complete. Construction work was substantially complete by October, with most operations resuming in November and December. Project completion is anticipated by Spring 2020.

5. Neptune Complex Upgrade

Total Project Budget: \$5,400,000

Funding Source: Bond Series 2010 Project

Authorization Date: March 2017

Status: Additional work in Neptune West was completed during the summer break of 2018. Work to renovate Neptune East was completed during the summer break of 2019 and completed by the fall semester of 2019. Contractors are completing remaining punch list items and final work items are being reviewed for execution. Project completion is anticipated by Spring 2020.

6. Residence Halls – FY19 Rotation Painting

Total Project Budget: \$249,000

Funding Source: Institutional Auxiliary Reserves

Authorization Date: July 2018

Status: Work was completed by the end of the fiscal year and final payments have been made. This will be the last report on this project.

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

Total Project Budget: \$213,700 (Amended)

Funding Source: NIU Appropriated Funds

Authorization Date: July 2019

Status: Majority of work was completed by August 2019 to support fall semester art program. Ventilation modification work was completed by September. Contractor is addressing punch list items and final payment are in process. This will be the last report on this project.

8. Chessick Practice Center – Renovate for NW Medical Performance Center

Total Project Budget: \$275,000

Funding Source: Foundation – Donor Funds

Authorization Date: December 2018

Status: Work was completed, and the renovated space was operational by June of 2019. Final payments have been made. This will be the last report for this project.

9. Stevenson Complex – Security Camera Upgrade

Total Project Budget: \$130,000

Funding Source: Bond Series 2010 Project

Authorization Date: December 2018

Status: Work is in progress and currently approximately 60% complete with completion anticipated by Fall/Winter 2019.

10. Stevenson Complex – Renovate Dining Area

Total Project Budget: \$450,000

Funding Source: Institutional Auxiliary Reserves

Authorization Date: February 2019

Status: Work was completed Spring through Summer of 2019, scheduled to avoid conflicts with dining operations and summer camps. The renovated space was operational by August 2019 ready for operations to resume for the fall semester. Final payment applications are in process. This will be the last report for this project.

11. Barsema Hall – Remodel 3 Sons Café

Total Project Budget: \$241,700

Funding Source: Institutional Auxiliary Reserves

Authorization Date: March 2019

Status: Work was completed Summer 2019. The renovated space was operational by August 2019 ready for operations to resume for the fall semester. Final payment applications are in process. This will be the last report for this project.

12. Convocation Center – Cooling Towers Repairs

Total Project Budget: \$239,250

Funding Source: Institutional Auxiliary Reserves

Authorization Date: March 2019

Status: Work originally anticipated to be completed before the summer cooling season was delayed until fall and is 50% complete. Scheduling of work was coordinated with facility operations. Work is anticipated to be complete by October 2019.

13. Parking Lot A – Extension

Total Project Budget: \$217,850

Funding Source: NIU Local Funds

Authorization Date: May 2019

Status: Permitting application for work within the floodplain is in process and specifications are being finalized in order to be able to solicit contractor pricing. Work is anticipated for fall 2019 as soon as permitting is attained.

14. DeKalb Campus – FY19 East Heating Plant Summer Repairs

Total Project Budget: \$127,650

Funding Sources: NIU Appropriated Funds &
Institutional Auxiliary Reserves

Authorization Date: May 2019

Status: Annual maintenance and repairs work was performed during the summer shutdown of the plant. Work is 75% complete and anticipated to be completed by October 2019.

15. DeKalb Campus – DuSable Hall, Grant South, Stevenson Central Core Skylight Roof Repairs

Total Project Budget: \$115,000

Funding Sources: NIU Appropriated Funds &
Institutional Auxiliary Reserves

Authorization Date: June 2019

Status: Work was completed over the summer 2019. Final payment has been made. This will be the last report on this project.

16. Soccer Field Complex – Press Box Replacement

Total Project Budget: \$129,000

Funding Source: NIU Local Funds

Authorization Date: June 2019

Status: Press Box purchase order is in place and anticipated to be available for installation by November 2019. Box will be installed as weather allows in advance of the spring 2020 soccer season.

17. Holmes Student Center South Entrance Elevator – Controls Upgrade

Total Project Budget: \$198,950

Funding Source: Institutional Auxiliary Reserves

Authorization Date: August 2019

Status: Contractor final pricing is being confirmed; work to be scheduled as soon as possible. Schedule of work to be coordinated with building operations and is intended to be completed by June 2020.

FISCAL YEAR 2019 INTERNAL AUDIT UPDATE

Director of Internal Audit Danielle Schultz provided the following overview of Internal Audit Department operations, communications plan, staffing, and the annual report for FY19.

The Internal Audit Department's mission statement is "to provide independent and objective assurance and consulting services to assist the Board of Trustees and University management in the effective discharge of their oversight, management, and operating responsibilities."

The International Standards for the Professional Practice of Internal Auditing require confirmation, on at least an annual basis, that the Internal Audit Department is independent. Additionally, the US Government Accountability Office considers internal auditors independent if the head of the audit department is accountable to the head of the government entity or to those charged with governance; if they report the audit results both to the head of the government entity or those charged with governance; if they are organizationally located outside area under audit; if they have access to those charged with governance; and if they are sufficiently removed from pressures to conduct and report findings, opinions, and conclusions objectively without fear of reprisal. The Director of Internal Audit confirms that she and all internal auditors remain independent.

The planned internal audit communications with senior leadership and the Board of Trustees has been discussed with the President, the Vice President for Administration & Finance and CFO and liaison to the Finance, Audit, Compliance, Facilities and Operations (FACFO) Committee, the President's Chief of Staff, the chair of the Board of Trustees, and the chair of the FACFO Committee. Communications can be summarized as follows:

- Members of the Board of Trustees FACFO Committee will continue to receive all internal audit reports one week after issuance to the President, Executive Vice President and Provost (EVP/P), Vice President and Chief Financial Officer (VP/CFO), Chief-of-Staff, General Counsel, and relative University management.
- Members of the Board of Trustees will be notified immediately by the President or the VP/CFO & FACFO Committee liaison whenever there are internal audit findings that indicate the University's finances, effectiveness, or reputation may be at serious risk.
- The Internal Audit Director will continue to meet with the FACFO Committee chair during the annual risk assessment process and in preparation of the annual two-year audit plan. Members of the Board of Trustees FACFO Committee will continue to receive a copy of the University's annual two-year internal audit plan after it has been approved by the President.
- The Internal Audit Director will provide a report summarizing findings and recommendations from internal audit reports. This report will be in a spreadsheet format according to level of identified concern/risk and will identify recommendations not yet implemented but past the corrective action due date. The Internal Audit Director will provide this report to the FACFO Committee liaison and FACFO Committee biannually.
- The Internal Audit Director's annual presentation of internal audit activities to the Board of Trustees FACFO Committee will transition to be included in the annual written Internal Audit Report provided by September 30, consistent with practices at peer institutions.

- The heat map and quarterly audit plan progress reports previously developed will transition to management tools used to support collaboration between internal audit and the functional areas of the senior roundtable. The progress reports will continue to be shared on a quarterly basis with the President, EVP/P, VP/CFO, and Chief-of-Staff. The heat map will be shared with members of the senior roundtable at the same time as the annual internal audit plan.
- The Internal Audit Director will continue to meet with the President regularly and to update members of senior leadership whenever there is a lack of expected progress addressing an internal audit finding.

The Internal Audit Department is currently staffed with one full-time director, three full-time internal auditors, and two part-time graduate assistant auditors. To address staffing vacancies and difficulties in refilling full-time positions, one full-time position has been inactivated and a second graduate assistant was added to support completion of the annual internal audit plan. Currently, three staff are Certified Internal Auditors, two are Certified Public Accountants, one is a Certified Fraud Examiner, and one is a Certified Information Systems Auditor.

According to the Illinois Fiscal Control and Internal Auditing Act (30 ILCS 10), key guidance for the department, internal audit is to report directly to Chief Executive Officer (University President) and have direct communication with the President and Board of Trustees; to remain free of all operational duties; and to deliver the Internal Audit Department annual report to the President by September 30.

The 2019 Internal Audit Annual Report contained detailed information about each audit performed during the fiscal year. It was delivered to President Freeman on September 30, 2019 and was subsequently provided to the Finance, Audit, Compliance, Facilities and Operations Committee members.

The Internal Audit Department completed eighteen FY19 internal audits. The type of audits can be seen on the graph below.

FY19 Audits Completed



**Agenda Item 9.c.1.
December 5, 2019**

Information

COLLEGE OF LAW OVERVIEW

Interim Dean Laurel Rigertas will present an overview of the College of Law.

2019 ANNUAL PERFORMANCE REVIEW OF PRESIDENT FREEMAN

Summary: The Northern Illinois University Law requires the Board of Trustees to “complete an annual performance review of the president,” and such review “must be made available to the public on the University’s Internet website.” 110 ILCS 685/30-195(8) and 110 ILCS 685/30-200. The annual performance review of the president is posted on the Board of Trustees website: <https://www.niu.edu/board/pdf/2019-annual-president-freeman-performance-review.pdf>.

The 2019 Annual Performance Review of President Freeman is included below with the following items: President Freeman’s summary memorandum to the Board of Trustees; FY19 Presidential Goals Summary of Results and Comments; the Board of Trustees summary memorandum to President Freeman; and the approved FY19 goals table.



Northern Illinois University

Office of the President

October 1, 2019

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

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

Enrollment:

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

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

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

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

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

Diversity, Equity and Inclusion:

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

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

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

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

Research, Artistry, Innovation and Regional Engagement:

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

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

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

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

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

Key Leadership Initiatives:

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

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

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

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

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

Fiscal Sustainability:

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

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

Looking Forward:

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

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

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

Sincerely,



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

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Northern Illinois
University

FY19 PRESIDENTIAL GOALS

Summary of Results and Comments

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

SUMMARY OF RESULTS AND COMMENTS

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

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

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



Northern Illinois
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Board of Trustees

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December 5, 2019

MEMORANDUM

TO: Lisa Freeman, President
Northern Illinois University

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

Subject: Annual Presidential Evaluation

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

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

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

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

Enrollment

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

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

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

Diversity, Equity and Inclusion

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

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

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

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

Research, Artistry, Innovation and Regional Engagement

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

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

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

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

Key Leadership Initiatives

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

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

Fiscal Sustainability

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

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

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

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

FISCAL YEAR 2019 PRESIDENTIAL GOALS

FY2019 PRESIDENTIAL GOALS

SUMMARY

APPROVED at the December 6, 2018 BOT Meeting

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

2019 PRESIDENTIAL EVALUATION PERFORMANCE INCENTIVE PAY

Summary: Section 3.2 of President Freeman’s contract states: “In the fall of 2019, the Board shall evaluate the performance of the President for the President's FY2019 performance in accordance with Article 1.3 of this Agreement. Based upon the President's FY2019 performance, the Board shall make a recommendation as to a performance incentive for the President and shall take action on its recommendation prior to December 31, 2019. Such performance bonus shall not exceed Twenty Five Thousand Dollars (\$25,000.00)...Pursuant to 110 ILCS 685/30-195 and 30-200, the Board's annual performance evaluation of the President must be considered for any performance-based bonus or incentive-based compensation. In accordance with 110 ILCS 685/30-195, any such compensation must be approved by the Board in an open meeting, and the performance upon which any such compensation is based must be made available to the public no less than forty-eight (48) hours before Board approval of the compensation. Retirement contributions will only be made on incentive compensation based on performance and in accordance with State of Illinois law and University regulations.”

Based on the 2019 annual performance review completed under agenda item 10.a., the Chair of the BOT recommends that the President receives a performance bonus calculated by the earned percentages listed in item 10.b.

Goal	Eligible Percentage	Earned Percentage
Enrollment*	25%	21%
Diversity/Equity/Inclusion	20%	20%
Research/Artistry	20%	20%
Leadership Initiatives	15%	15%
Fiscal Sustainability**	20%	18%
Total	100% (\$25,000)	94% (\$23,500)

*Met all goals in Enrollment except for Stabilize Enrollment (99.2% met), and new Hispanic/Latinx enrollment.

**Met all goals in Fiscal Sustainability except for CHANCE 50th Anniversary fundraising.

MET OR EXCEEDED ALL OTHER GOALS FOR FY19.

Note: See Presidents Summary of Results and Comments for specific goal results.

Recommendation: The Board of Trustees is being asked to take final action and approve the recommendation of \$23,500 in 2019 Presidential Evaluation Performance Incentive Pay.

CLOSED SESSION MINUTES REVIEW AND RELEASE

Summary: 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.

Recommendation: 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 Closed 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.