



Regular Meeting
of the
Board of Trustees

June 13, 2019

**Regular Meeting of the
BOARD OF TRUSTEES OF NORTHERN ILLINOIS UNIVERSITY
9:00 a.m. – Thursday – June 13, 2019
Board of Trustees Room
315 Altgeld Hall**

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 - e. Universities Civil Service Merit Board
 - f. Northern Illinois University Alumni Association
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15. 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 Chelsea Duis, cfrost1@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 Chelsea Duis, cfrost1@niu.edu or (815) 753-1273, as soon as possible.

RESOLUTION
TIMOTHY A. STRUTHERS
DISTINGUISHED SERVICE TO THE BOARD OF TRUSTEES
OF NORTHERN ILLINOIS UNIVERSITY

WHEREAS, the support of community leaders is critical to the success of America's public institutions of higher learning; and

WHEREAS, since 2015, Timothy A. Struthers has expanded his commitment to his community through service on the Board of Trustees of Northern Illinois University; and

WHEREAS, Timothy A. Struthers has served faithfully as a member of the Board's Executive Committee; the Finance, Audit, Compliance, Facilities and Operations Committee; the Academic Affairs, Student Affairs and Personnel Committee; and the Research and Innovation, Legal and Legislative Affairs Committee; and

WHEREAS, Timothy A. Struthers has also served as Board Secretary and Chair of the Finance, Audit, Compliance, Facilities and Operations Committee; and

WHEREAS, Timothy A. Struthers has helped guide the institution during exceedingly challenging times and contributed wisely to the presidential search process that resulted in the appointment of NIU's 13th President; and

WHEREAS, Timothy A. Struthers has given generously of his time to gain full understanding of the complex issues surrounding Northern Illinois University's future, and has achieved significant and lasting improvements, with a particular focus on the University's fiscal sustainability and financial reporting practices; and

WHEREAS, Timothy A. Struthers brought to his Board service a comprehensive and distinct perspective from his long career in banking and service on the boards of the Kishwaukee Water Reclamation District, the DeKalb County Community Foundation, the DeKalb County Economic Development Corporation, the Kishwaukee United Way, and the Annie Glidden North Revitalization Project; and

WHEREAS, Timothy A. Struthers has also served his state and region through service to the Illinois Bankers Association, the Illinois Council on Economic Education, and the NIU Foundation Board; and

WHEREAS, Timothy A. Struthers is a proud Northern Illinois University alumnus of significant influence and impact, with both Bachelors and Masters degrees from the College of Business, and has maintained his commitment to the University through his dedication, loyalty, time, talents, and resources.

NOW, THEREFORE BE IT RESOLVED that the Board of Trustees of Northern Illinois University in formal meeting herein assembled extends its grateful appreciation to Timothy A. Struthers for his distinguished service to Northern Illinois University.

BE IT FURTHER RESOLVED that this Resolution be presented to Timothy A. Struthers and a copy of this document be placed in the official files of the Board of Trustees as part of the permanent record of the University and the great State of Illinois and as a lasting tribute to the accomplishments of Timothy A. Struthers.

Adopted in a meeting assembled this 13th day of June, 2019.

**Board of Trustees of
Northern Illinois University**

Dennis L. Barsema
Board Chair

John R. Butler
Board Secretary



Minutes of the
Board of Trustees of Northern Illinois University
Special Meeting
May 9, 2019

1. CALL TO ORDER AND ROLL CALL

The meeting was called to order at 1:53 p.m. by Board Chair Dennis Barsema in the Board of Trustees Room, 315 Altgeld Hall. Recording Secretary Chelsea Duis conducted a roll call. Members present were Rita Athas, John Butler, Montel Gayles, Nathan Hays, Veronica Herrero, Bob Pritchard, Vice Chair Eric Wasowicz, and Board Chair Dennis Barsema.

Also present: President Lisa Freeman; Acting General Counsel Greg Brady; Board Liaison Matt Streb; Acting Executive Vice President and Provost Chris McCord; Vice President for Administration and Finance Sarah McGill; University Policy Librarian Rebecca Hunt; and University Advisory Committee (UAC) Representatives Cathy Doederlein, Holly Nicholson, and Therese Arado.

2. VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING

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

Chair Dennis Barsema called for a recess of the Board. The Board recessed at 1:54 PM. The meeting resumed at 2:25 PM. Chair Barsema called for a roll call. Members present were Rita Athas, John Butler, Montel Gayles, Nathan Hays, Veronica Herrero, Bob Pritchard, Vice Chair Eric Wasowicz, and Board Chair Dennis Barsema.

3. MEETING AGENDA APPROVAL

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

4. REVIEW AND APPROVAL OF MINUTES OF MARCH 7, 2019

Chair Dennis Barsema asked for a motion to approve the minutes of March 7, 2019. Trustee Eric Wasowicz so moved and Trustee Bob Pritchard seconded. The motion was approved.

5. CHAIR'S COMMENTS/ANNOUNCEMENTS

Chair Dennis Barsema welcomed members of the University Advisory Committee.

UAC Representative Therese Arado noted it has been an exceptional experience for her to serve as the Faculty Senate President the past year. On behalf of the faculty, she thanked the Board for the work they do for the University and welcomed the new Trustees. She said it will be exciting to see the things happening on the board in the future. Chair Barsema thanked Arado for being a great partner to the Board and for her service.

UAC Representative Cathy Doederlein thanked Therese Arado for her service and work for the University. She continued by noting she is excited to welcome Provost Beth Ingram to her role on behalf of SPS personnel. They look forward to working with her in a shared governance capacity and continuing work with HR in relation to the conversions from SPS to Civil Service. She continued by thanking Acting Provost Chris McCord for his leadership, commitment to shared governance, passion for NIU, and providing stability to NIU in uncertain times in the transition

process. She noted the Board will see an item for review and approval for an amendment to the University Constitution. The item previously was approved by University Council and then approved by a faculty referendum. She intends to bring forward to the University Council a change that will include staff in votes not solely related to curriculum, such as this item. She hopes to have the item brought successfully to the University Council and then to the Board for approval.

UAC Representative Holly Nicholson echoed Doederlein, noting they look forward to welcoming Provost Ingram. She also thanked Provost McCord, noting it was an honor working with him and hopes to work with him in his new position. She also intends to join Doederlein on the referendum issue this summer to propose new language to include staff. She concluded by thanking Arado for her service as well.

Chair Barsema thanked the UAC representatives.

6. PUBLIC COMMENT

Chair Dennis Barsema asked if any timely requests have been received for public comment. Acting General Counsel Greg Brady called forward Kristen Foley. She was not in attendance. Acting General Counsel Brady called forward Levi Smith.

Levi Smith: “Hello members of the Board of Trustees. My name is Levi Smith. I am a Geography major with Environmental Studies minor here at NIU. I come to you on behalf of the Geography and Geology students that have been left in the dark about the current situation involving the Geology and Geography departments. I come to you to address the problem that I cannot be certain has come to your attention or to the President’s, but it has come to the attention of some students and that is that the Geography and Geology Departments are merging with very short notice. From the information that few of us have been informed about, the involvement of the Environmental Studies major is not being considered during this process. Interim Dean Ledgerwood has made these decisions without major discussions between the Environmental Studies majors, Geography or Geology Departments. Not only does this inhibit the working relationship between students, faculty and staff, but it also violates NIU’s community core values of transparency, collaboration, participative decision making, and open communication. The Acting Dean of the College of Liberal Arts and Sciences has decided to force this merger within the year. Students and staff that do know about this merger feel like this is too short of a timeframe to make such a drastic change to these departments as they will need to form new bylaws, decide on new curriculum, and decide which faculty to keep. This quick transition has also caused strife between staff of these majors. The Interim Dean is forcing professors to submit to the merger or be cut without discussion. Staff seems to be prohibited to talk about this with students from fear of termination. And statements berating the students and staff has been made by the Interim Dean declaring Geography and Geology as namby-pamby sciences. As a student who changed my major for me invest to Geography and will be graduating this Saturday with a Bachelor’s degree in science in Geography, this decision concerns me because the students that are going to be affected by this decision have no voice in the matter and they have been left in the dark not knowing that any of these decision have even been made for them. As a soon to be graduate, I see the importance of Geography and Geology and Environmental Studies because of the intersectionality of these majors. The Geography and Geology degrees are optimal in job sectors like Environmental Conservation, consultation, or even political environmental science. I implore the Board to facilitate communication between the Interim Dean, Geography, Geology and Environmental Studies, students and staff. Thank you.”

Chair Barsema thanked Smith for his comments and congratulated him on his graduation.

Acting General Counsel Brady called forward Professor Virginia Naples.

Professor Virginia Naples: “First of all, good afternoon on this lovely spring afternoon, and thank you for the opportunity for allowing me to speak. I would also like to welcome our new trustees and I need to bring to your attention an item that you may not have become aware of, but it is something that I began to address the Board of Trustees about more than 30 years ago. And this is something that I have raised with the Board of Trustees twice previously, and at that time I promised I would come back and readdress this issue until the problem is corrected. And that problem I am speaking about, I am sure you’re already aware, is the salary inequity for women and minorities that has occurred probably since the inception of the University. You may not be aware however, that in the late 1970’s there was a settlement. There had evidently been a lawsuit either filed or threatened and there was a settlement by the university that gave each and every female faculty member who was in the tenure or tenure track position a \$3,000 salary increment. And that was because there was a systemic pattern of sex discrimination in salary, something that many of us who are female and also a minority, are very aware of. And this is actually the dead elephant in the room everybody is ignoring because this undercuts every effort that all of us can make for job satisfaction and ability for faculty to live their lives and do things that really will help them to feel comfortable and happy and valued in their positions. I will tell you that we hear good things, but actions speak louder than words. And this is a problem that has been addressed by five separate faculty salary equity task force reports that started in the late 1990’s. I did an additional one myself. Some of you may remember it was above the fold on the front page of the Northern Star. I did a salary analysis for 20 years for all 17 departments of the College of Liberal Arts and Sciences, and because I wanted to make the point, I color coded the salaries pink and blue, and pink for girl, blue for boys, and it showed unequivocally that assistant professors were kind of mixed, associate professors the female salary members started to gather at the bottom; and for the full professors not only was there a tremendous loss in numbers of female full professors, but there were a few token female salaries that were higher, but never one at the very top and that’s over 20 years, 17 departments, 3,525 data points, over 400 individuals per year in that analysis. Believe me, it took a lot of time. But I don’t have any problem doing the numbers. I have not updated that, but I know that those trends have continued. This is not just an abstract problem. This affects people, individuals, actual living people who have lives that they have to manage. If it was that the faculty are so dedicated to what they do that they would gladly do their job without pay, that would be fine. If also everyone for whom we needed goods or services said, “Okay, fine. You’re a university faculty member you don’t have to pay for it.” Unfortunately, we do. I can’t share other people’s stories with you, but I do want to remind you that a few meetings ago, one of my colleagues, Dr. Valentiner from Psychology, and his wife were discussed by him to this body saying that his daughter who is literally the poster child for the music program is unable to attend NIU as a student because they cannot afford that. Now that is an issue that is saying their salaries are very poor in comparison to other faculty at Illinois institutions and other faculty across the country. We are not receiving what we need to do our best job. A happy faculty is what is going to help with recruitment, retention and enrollment for our students. And this is one of the things that I am asking you please reassess the way monies are distributed so that this issue can be eliminated. The numbers don’t lie. I’ve been told that, ‘Oh, no, it is just a matter of opinion.’ It is not a matter of opinion. There are six studies that show exactly the same thing. The most recent one was commissioned by the university administration itself, and the person to conduct that study was touted as having excellent credentials with which I’m sure everybody agrees. The study was accepted evidentially by the university. It was presented in various formats and venues and it came up with exactly the same conclusions that all of the previous ones had done. And I would really urge you, please, to reevaluate where you are putting the money because the happier the faculty, the greater the recruitment tool they can be, and we are the heart of the university. So, I want to thank you and I do want to remind you that this is illegal. This is sex and protected category minority discrimination. I have said this multiple times before. I know our new board members

may not be aware of it, but you can access any of the faculty salary equity task force reports. I'm sure you can get the full reports although most of the public only was able to access the executive summaries for most of them. But the most recent one is available online and anyone who would like to see my salary analysis I would be delighted to share it with you. So, thank you for this time, and please end this illegal discrimination. It's a problem I know from personal fact has gone on for more than 30 years. Thank you."

Chair Barsema thanked Professor Naples for her comments.

7. PRESIDENT'S REPORT NO. 133

Items Directly from the President

Agenda Item 7.a Appointment of Executive Vice President and Provost

Chair Dennis Barsema asked President Freeman to present agenda items 7.a through 7.d.

President Lisa Freeman congratulated Levi Smith and the other 2,800 graduate and undergraduate students receiving their diplomas that weekend. She thanked Therese Arado for her service as Faculty Senate President and Executive Secretary of University Council. She continued by recognizing Acting Executive Vice President and Provost Chris McCord. She noted his rigor, integrity, compassion, and passion for NIU in his acting role. He came to the role in challenging circumstances and an unexpected transition. As instructed by the Board, he kept things moving forward at an unstable time. He has worked tirelessly on behalf of the institution, students, employees, and the Board with tremendous ethics and integrity. The University is better for having had him in the role. She asked for a round of applause. Chair Barsema echoed President Freeman's words. He noted his son graduate from NIU and had a relationship with Acting Executive Vice President and Provost McCord. He noted McCord went out of his way to make sure his son and all students received the education they needed. He concluded by thanking him for stepping into the role at a critical time in the history of the University and doing an exceptional job.

President Freeman presented agenda item 7.a. Appointment of Executive Vice President and Provost Beth Ingram. Dr. Ingram comes to NIU from North Dakota State University where she served four years as the Provost and Vice President for Academic Affairs. She previously spent 26 years at the University of Iowa, beginning as an assistant professor and rising to Associate Provost for Undergraduate Education.

Chair Barsema asked for a motion to approve the agenda item. Trustee Eric Wasowicz so moved and Trustee John Butler seconded. He asked for a roll call vote.

Trustee Rita Athas: Yes	Trustee John Butler: Yes
Trustee Montel Gayles: Yes	Trustee Nathan Hays: Abstain
Trustee Veronica Herrero: Yes	Trustee Bob Pritchard: Yes
Vice Chair Eric Wasowicz: Yes	Chair Dennis Barsema: Yes

Acting General Counsel Greg Brady clarified the reason for the roll call vote was, by law, the student trustee is prohibited from voting on tenure and faculty promotion issues and this appointment comes with tenure.

The motion was approved.

Agenda Item 7.b. Northern Illinois University Facility Naming Policy

President Lisa Freeman presented agenda item 7.b. Northern Illinois University Facility Naming Policy. The policy has been under development for several years. Due to transitions in key leadership positions, the presentation to the Board was delayed. The document included in the Board Report outlines protocol regarding the naming of facilities. Naming opportunities are

important in efforts to secure major philanthropic gifts, but also to recognize eminent people for outstanding service of contributions to NIU. To effectively guide these processes, it's necessary to delineate standards to followed, factors to be considered, and criteria to be employed prior to granting approval for formal naming associated with any university facilities. The sole and final approval for naming of campus facilities is the responsibility of the Board of Trustees of NIU as stated in the regulations of the board. The policy is effective May 9, 2019.

Chair Barsema asked for a motion to approve the agenda item. Trustee Montel Gayles so moved and Trustee Butler seconded.

Trustee Wasowicz was surprised a policy like this isn't already in place. President Freeman noted the policy has been in development for several years, but due to the senior level transitions, it never reached a final form of approval. As our development operations matured and the thinking on naming policies evolved, additional aspects were added, including recalling a name if a new report showed it was no longer in the University's best interest to have a facility named after a particular individual. She noted the policy is very thoughtful and has been vetted over the course of time.

Trustee Pritchard asked how the policy has been reviewed. President Freeman noted Vice President for Advancement Catherine Squires was the lead on this policy and asked Acting General Counsel Brady to discuss how the General Counsel office was involved. He noted they have been involved at different stages throughout the years. The three key people involved are the General Counsel, Vice President for Advancement, and Vice President for Finance and Administration. Their areas have developed the policy starting with the Board of Trustees regulation for naming of facilities. The maturity of the NIU Foundation and opportunities for naming not only complete facilities but also rooms and areas brought the need for a full policy. Trustee Pritchard noted the policy is very thorough. He followed up asking how the dollar amounts contained in the policy were decided. Acting General Counsel Brady noted informal benchmarking of other institutions of our size was used along with asking other institutions about their policies or practices. Trustee Pritchard noted he hopes the policy helps in fundraising and recognition of people of NIU significance.

Trustee Herrero asked if the policy is for those donations to come or if it is retroactive. Acting General Counsel Brady noted it is intended to move forward prospectively, but it doesn't completely prohibit a retroactive review though consideration of the terms and conditions of donations before the policy can be quite complicated. Chair Barsema noted number 7 of the policy clarifies this information.

Trustee Butler asked if naming a facility still comes to the Board. Acting General Counsel Brady confirmed this. Trustee Butler asked about the vetting process a naming will go through. Acting General Counsel Brady noted the policy intends to create a better vetting process for facility naming. Trustee Butler asked if internal spaces have a different process. Acting General Counsel Brady confirmed this. It was clarified internal space naming does not come to the Board but goes through a different vetting process.

Chair Barsema noted the policy is very detailed, pointing out the size of the signage for a facility naming depending on the size of the monetary donation is explained in the policy.

The motion was approved.

Agenda Item 7.c. University Council Amendment to the Northern Illinois University Constitution Article 6.5

President Freeman presented agenda item 7.c. University Council Amendment to the Northern Illinois University Constitution Article 6.5. Approved by the University Council at their meeting on April 3, 2019, the amendment eliminates references to President's Staff in the University

constitution. A faculty referendum was conducted, and the amendment was approved by a 159 to 49 majority of those voting. Pursuant to Article 10 of the NIU constitution, the change must now be approved by the Board.

Chair Barsema asked for a motion to approve the agenda item. Trustee Wasowicz so moved and Trustee Pritchard seconded.

Trustee Butler asked how the faculty referendum was conducted. President Freeman answered it was done by a Qualtrics poll administered by Pat Erickson. Trustee Butler asked if a link was emailed to all faculty members. President Freeman confirmed this.

Chair Barsema asked the last time the constitution was changed. Acting General Counsel Brady said he believes it was the Policy Library initiative. Trustee Butler clarified the Policy Library was a change in the bylaws. Trustee Butler does not recall a constitutional change in his time on the Board. Later in the meeting, Trustee Butler corrected his statement, noting four changes to the constitution have been made with the most recent occurring in 2016.

The motion was approved.

Agenda Item 7.d. University Policy Library Update

President Lisa Freeman introduced agenda item 7.d. University Policy Library Update. An initiative that began in the Faculty Senate's Rules, Governance and Elections Committee (RGE), presentations and updates were given to Faculty Senate and the University Council. Other institutions' policy libraries were examined to show how they worked and how it would benefit us. In 2017, a letter was sent to the president from shared governance and RGE, proposing the creation of the policy library and requesting funding for a policy library position. This was notable because it is very unusual for NIU's faculty and staff to request creation of a new administrative position. It speaks to how important of an initiative this was. After the proposal was approved, Dr. Rebecca "Becqui" Hunt was hired in Spring 2018 to begin her duties in August 2018. In August 2018, she began collecting university policies and the policy library was launched April 9, 2019. President Freeman introduced and thanked Dr. Hunt for joining the meeting.

University Policy Librarian Dr. Becqui Hunt began by reviewing the policy library background information President Freeman presented. She noted the policy library website is mobile friendly. University-wide policies are defined as: statements of principles, associated with the conduct required of NIU's employees and students; consistent with the University's purpose and mission; and all employees and students must follow the policies. Policies specific to individual departments/colleges/divisions do not reside in the policy library. She gave examples of university policies, such as the alcohol beverage policy; Disability Resource Center policy; clean desk policy; and the non-discrimination, harassment, and retaliation policy. The policy on managing University policies was drafted in collaboration with shared governance and University stakeholders. It formalizes the University policy making procedures and intends to provide structure, consistency, and transparency to the policy making process. It also establishes the process for developing, reviewing, approving, and maintaining all university-wide policies apart from the NIU constitution and bylaws, which are exempt from this policy. The President is the approval authority for the policy on managing policies as it is an administrative policy. Those responsible for keeping the policy library current are the Policy Librarian and the Policy Library Committee, comprised of the Executive Vice President and Provost (or designee), the Vice President of Administration and Finance (or designee), Senior Associate Vice President for Human Resources, Executive Secretary of University Council, Chair of the University Council Rules Governance and Elections Committee, President of Operating Staff Council, President of Supportive Professional Staff Council, President of the Student Association, and General Counsel (or designee) in an advisory role.

The Policy Librarian maintains, publishes and notifies the University community of all approved and revised university policies. The Policy Librarian establishes a review cycle for all policies and works with University Archives for proper archiving of policies. The committee meets on a monthly basis to review University policy proposals and revisions. They recommend, approve, revise, rescission, and rewriting of new and existing policies. The Policy Library Committee considers whether a policy is necessary and consistent with the mission of the University. It recommends the appropriate policy approval authority for final approval of a policy proposal or revision. Finally, it identifies, as needed, content, experts, or other resources needed for policy development approval and/or review.

Policy Librarian Hunt continued by reviewing the policy making procedures. Policy proposals and revisions are developed by a sponsor, who submits the policy proposal or revision using the online policy template. After reviewing for completion, the Policy Librarian submits the policy proposal or revision to the Policy Library Committee. The committee will either approve the proposal and send to the policy approval authority, which could be the president, University Council, or the Board of Trustees. Once vetted, the Policy Librarian will place the policy proposal or revision on the policy library website for 30 days for review and public comment from the University community. Finally, after the 30 days have gone by, all comments will be reviewed by the sponsor and the policy librarian and, if needed, changes to policy proposal and revisions will be made. The final policy proposal or revision is returned to the Policy Library Committee with relevant changes, if any. If there's no further consultation needed, the proposal or the revision is sent to the policy approval authority for final approval. After final approval, the policy librarian will publish the final approved policy and revisions to the policy library website. The procedure continues for each new policy proposal or revisions and all policies will be placed on a three-year review cycle to keep the policy library current. She asked for any questions.

Trustee Gayles asked how big the database is for policies. Hunt answered there are currently 291 policies.

Chair Barsema asked for clarification on the review cycle. Hunt answered that most are on a three-year review cycle with some reviewed yearly. Chair Barsema asked if all are currently being vetted to understand what is current. Hunt replied that yes, all policies are being looked at with some from as far back as 1992.

Trustee Gayles asked if it is a key word searchable database. Hunt replied that it is searchable by key word or has an A to Z index.

Chair Barsema thanked Hunt for the presentation and noted it is great to see this come to fruition.

Trustee Pritchard asked if there is a policy police and who determines if a policy has been violated. Acting General Counsel Greg Brady said it is dependent on the policy. There is a myriad of ways to report a violation including the Ethics and Compliance Office, direct supervisors, and Human Resource Services.

8. CHAIR'S REPORT NO. 90

(Trustee Rita Athas left the meeting at 3:17 PM.)

Agenda Item 8.a. Litigation – Jackson v. Board of Trustees of Northern Illinois University, et. al.

Chair Dennis Barsema presented agenda item 8.a. Litigation – Jackson v. Board of Trustees of Northern Illinois University, et. al. as follows: “On October 2, 2015 Keith Jackson brought a lawsuit against the Board of Trustees of Northern Illinois University, former president Doug Baker, and former Interim Chief Financial Officer Nancy Sutfenfield in Federal District Court related to his separation from employment with NIU. In addition, Mr. Jackson filed a separate

claim against the Board of Trustees with the Illinois Court of Claims. The parties participated in a settlement conference held by the Federal District Court on April 17, 2019. As a result of that settlement conference the University and Mr. Jackson have reached a proposed agreement to forever resolve the issues presented in the cases and end the litigation between the parties. The settlement of these matters in no way constitutes an admission of wrongdoing on the part of the university, its employees, or Mr. Jackson. Under the proposed agreement, Mr. Jackson will receive a total of \$600,000 which will be paid out by the university's insurance carrier after all qualifying expenses related to the litigation are applied to the applicable insurance deductible limits. In return, Mr. Jackson agrees that all claims brought against the university and the individually named defendants will be dismissed. In addition, the university will provide Mr. Jackson with a letter of reference noting positions held, the length of time served at NIU, and the integrity with which Mr. Jackson served and Mr. Jackson will agree not to disparage the university and its employees. The settlement was entered into with the approval of the university's insurer and with concurrence from the office of the Illinois Attorney General. Considerations wain in favor of a settlement include, but are not limited to, the financial costs of a trial and associated hearings in both matters, inconvenience to the university's employees who were also defendants or potential participants in the cases, and the disruption of university operations for university employees to participate in the cases moving forward. The Board of Trustees is being asked to authorize the terms of the proposed settlement and associated payments as described here and in the board item to fully and finally resolve all claims brought by or on behalf of Keith Jackson in the United States District Court for the Northern District of Illinois and the Illinois Court of Claims. If approved, the board approval will also include authorization for the Office of the Illinois Attorney General to reduce the terms of the proposed settlement into a written agreement for the parties of the litigation to sign and execute. May I have a motion to approve?"

Trustee Eric Wasowicz so moved and Trustee Veronica Herrero seconded. A vote was called for and made, however, Trustee Montel Gayles asked to abstain, so a roll call vote was taken.

Trustee Rita Athas: Absent
Trustee Montel Gayles: Abstain
Trustee Veronica Herrero: Yes
Vice Chair Eric Wasowicz: Yes

Trustee John Butler: Yes
Trustee Nathan Hays: Yes
Trustee Bob Pritchard: Yes
Chair Dennis Barsema: Yes

The motion was approved.

9. OTHER MATTERS

Chair Dennis Barsema asked if there were any other matters requiring the attention of the Board. Trustee Eric Wasowicz thanked Acting Vice President and Provost Chris McCord for his service and wished him luck in his future endeavors.

10. NEXT MEETING

The next regularly scheduled meeting of the full Board of Trustees is June 13, 2019, at 9:00 a.m.

11. CLOSED SESSION

Chair Dennis Barsema asked for a motion to close the public meeting to conduct an executive session to discuss the following subjects authorized by the Illinois Open Meetings Act, as amended: Personnel Matters as generally described under Sections 2(c)(1)(2)(3) and (21); Collective Bargaining Matters as generally described under Section 2(c)(2) of the Open Meetings Act; Student Disciplinary Cases as generally described under Section 2(c)(9) of the Open Meetings Act; Litigation and Risk Management Matters as generally described under Sections 2(c)(11) and (12); and Closed Session Minutes Matters as generally described under Section 2(c)(21) of the Open Meetings Act.

Trustee Montel Gayles so moved and Trustee Bob Pritchard seconded. A roll call vote of the Trustee to recess to Closed Session was as follows:

Trustee Rita Athas: Absent	Trustee John Butler: Yes
Trustee Montel Gayles: Yes	Trustee Nathan Hays: Yes
Trustee Veronica Herrero: Yes	Trustee Bob Pritchard: Yes
Vice Chair Eric Wasowicz: Yes	Chair Dennis Barsema: Yes

The Board adjourned for closed session at 3:25 p.m. The meeting will reopen at the conclusion of the closed session.

Reconvene Meeting:

The meeting reconvened at 6:53 p.m. Chair Dennis Barsema asked for a roll call. Trustees present were John Butler, Montel Gayles, Nathan Hays, Veronica Herrero, Vice Chair Eric Wasowicz, and Board Chair Dennis Barsema. Absent were Rita Athas and Bob Pritchard.

12. ADJOURNMENT

Chair Dennis Barsema asked for a motion to adjourn. Trustee Montel Gayles so moved and Trustee Nathan Hays seconded. The motion was approved. Meeting adjourned at 6:54 PM.

Respectfully submitted,

Chelsea Duis
Recording Secretary

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

COLLEGE OF BUSINESS OVERVIEW

Balaji Rajagopalan, Dean of the College of Business, will present an overview of the College of Business.

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 May 9, 2019. The Committee discussed and approved twenty-five items; fiscal year 2020 SPS and Civil Service staff salary increment allocation guidelines, request for new degree program in Doctor of Philosophy in Electrical Engineering, request for new degree program in Doctor of Philosophy in Industrial and Systems Engineering, request for new degree program in Doctor of Philosophy in Mechanical Engineering, request for new certificate of graduate study in Financial Risk Management, request for new certificate of graduate study in advanced study in Accounting Analytics, request for a new certificate of undergraduate study in International Marketing, request for new certificate of graduate study in Latin American Studies, request for deletion of graduate concentration in Latino and Latin American Studies, request for deletion of Master of Science in Teaching (M.S.T.) with specialization in Geoscience Education, request for new certificate of graduate study in Health Professions Education, request for new minor in Addiction Studies, request for new certificate in undergraduate study in Illinois Early Childhood Education (ECE) credential certificate levels 2-5, request for new emphasis in Vision Rehabilitation Therapy within the B.S.Ed. in Special Education, request for new emphasis in special populations with the B.S.Ed. in Special Education, request for new specializations in Behavior Analysis and in Assistive Technology used by persons with visual impairments within the M.S.Ed. in Special Education, request for the deletion of the Bachelor of Science in Athletic Training, request for new certificate of graduate study in User Experience (UX) and Learning Analytics, request for new minor in Counseling, request for new specializations in Higher Education Administration and College Teaching within the Ed.D. in Higher Education, request for deletion of the certificate of graduate study in Adult Education, request for deletion of the certificate of graduate study in Career Development, request for deletion of the specializations in Adult Education and Higher Education in the M.S.Ed. in Higher Education and Student Affairs, recommendations for faculty tenure and/or promotion and request for authorization to retain executive search firms for the appointment of specific dean level positions. Additionally, the committee received one informational item: Onboarding and the Employee Assistance Program.

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

The Finance, Audit, Compliance, Facilities and Operations Committee met on May 9, 2019. The committee was presented with three Financial Update items: FY18 Audit Results, Quarterly Financial Summary – FY19 Third Quarter, and Preliminary Summary of the FY20 University Budget. Following the Financial Updates was an informational presentation of Information Technology at NIU. This was designed to provide in-depth information for the first four action items, which included: New Oracle ERP Hardware/Software Contract, Wireless Network Expansion and Upgrade-Phase 3, FY20 Cisco Hardware Maintenance Contract, and Ciena Hardware Maintenance-Five-Year Agreement. The committee approved four additional action items which included FY20 NIU Foundation Professional Services Contract, FY20 Intercollegiate Athletics Secondary Student Insurance Contract Renewal, New Depository Account for Commercial Card Program, and Fire Services Contract Extension with the City of DeKalb. The committee also received four information items. These included the Periodic Report on Investments, the Quarterly Report of Transactions in Excess of \$100,000, the Semi-Annual Progress Report of Active Capital Projects, and the Facilities Update.

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

The Research and Innovation, Legal and Legislative Affairs Committee did not meet on May 9, 2019. The next scheduled meeting is August 15, 2019.

d. Illinois Board of Higher Education

The State of Illinois Board of Higher Education (IBHE) met on March 5, 2019, at the University of Illinois-Springfield, Springfield, IL.

Actions taken at the Board meeting included Consideration and Approval of Non-Instructional Capital Project – Northern Illinois University (approval of Holmes Student Center Renovation and Redevelopment Project).

The Board heard additional information items including the Underrepresented Groups Report; Illinois Transfer and Articulation Initiatives Annual Report 2017-2018; Fiscal Year 2020 Governor’s Higher Education Budget Operations, Grants, and Capital Improvements; and the Legislative Report.

The next meeting of the IBHE was scheduled for June 4 at Northern Illinois University.

e. Universities Civil Service Merit Board

Oral update to be given by UCSMB representative John Butler.

f. Northern Illinois University Alumni Association

Volunteer Engagement – The NIUAA Nexus volunteer program continues to be a strong produce. YTD there have been 696 unique alumni volunteers placed in 827 volunteer opportunities. Since April 2018, 1,172 huskie alumni have participated. Post-engagement polling shows strong enthusiasm, with 99% of those polled saying they would repeat their experience. Alumni volunteers are not limited to the DeKalb region, with 20% of our volunteers so far in FY19 participating from out of the state of IL.

Event Overview – Events are another primary engagement point. The NIUAA and NIUF have hosted a combined 106 total events (72 NIUAA, 26 NIUF, 8 in collaboration with campus partners). We have hosted events in 17 regions, with 43 in Chicagoland, 19 in DeKalb, and 10 in Rockford. Additionally, we have diversified the types of events, with 36 sports-related (13 were game watch parties), 21 casual/receptions, 13 pre-campaign foundation events, 11 educational, and more. At the close of the fiscal year, we will be able to provide attendance statistics and other various related data.

Financial Stability – We project to close FY19 in a revenue-neutral state for the second year in a row. This is no small feat, and one that the NIUAA has not achieved prior (according to our research). We continue to research opportunities to expand revenues while operating with an austere mindset.

g. Northern Illinois Research Foundation

The Board of Directors of the Northern Illinois Research Foundation did not have a meeting in March 2019. The board is scheduled to meet in September 2019.

h. Northern Illinois University Foundation

Fundraising: Through April 2019, fundraising total achievement totaled \$20,227,546 vs. \$8,990,578 for the same period last fiscal year: a 125% increase in giving YOY. The annual fundraising goal of \$17.5m was achieved in the month of March. Giving highlights include a significant deferred gift of \$7 million from a retired faculty member and his wife. Additionally, the very successful “Day of Giving,” held on May 7/8, raised over \$770,000 through 1,402

gifts received. This far surpassed the goal of \$250,000 and 1,000 donors and is a credit to the great partnership between the NIU Foundation Annual Giving Team and academic deans.

Engagement: Focus continues on a university-wide campaign for scholarships, and in partnership with the NIU Alumni Association, the Foundation continues its efforts to aggressively engage alumni, donors and friends locally and throughout the country with “Blitz” activities. Events were executed during the period of January – May, with trips, including the participation of President Lisa Freeman, to New York City, Florida, Arizona, Washington, D.C. and California. During the upcoming summer, a robust calendar of events in private homes throughout the Chicago area will include gatherings hosted by NIU Foundation board members and donors in Naperville, Rockford, downtown Chicago, Lake Geneva and the South Suburbs.

Events: The Foundation produced a special donor dinner event on Friday, April 5th to celebrate the Investiture of President Lisa C. Freeman, which was attended by over 180 guests. A very successful Scholarship Reception was held in the Altgeld Ballroom on Sunday, April 28th. This event, which featured donors interacting with the students who benefit from their scholarship support, was attended by over 125 people.

Upcoming Events: The Red & Black will next be produced in the fall of 2020 in a “special edition” to commemorate the 125th Anniversary of Northern Illinois University. The upcoming 2019 fall event season will include alumni/donor football trips to Nashville, Lincoln, NE, and Salt Lake City. On Saturday, October 12, the NIU Foundation will host a new event at NIU Naperville to celebrate NIU’s commitment to diversity, equity and inclusion.

NIU Foundation Board: At the end of June 2019, the leadership of the NIU Foundation Board of Directors will change hands as Jeffrey Yordon, who has served as Chair of the Board for three years, ends his term. He will be succeeded by Michael Cullen, who will become Chair on July 1st.

NEW ORACLE ERP HARDWARE/SOFTWARE CONTRACT

Summary: The Division of Information Technology (DoIT) requests permission to enter into a three-year agreement with Oracle to modernize the University's Enterprise Resource Planning (ERP) system. As part of this agreement, the University's ERP environment will be upgraded to new hardware infrastructure. This project will eliminate existing, legacy, nine-year old hardware infrastructure on-site, in favor of current generation server technology. NIU is working with Oracle to evaluate the best solution as it relates to replacing the existing hardware infrastructure within NIU's datacenter, or in Oracle's datacenter, taking into account overall costs and project risks, including data security processes. In either case, NIU will no longer require funding to support hardware refresh of the ERP environment, going forward, saving roughly \$400,000 in anticipated cost.

Additionally, this agreement will include software maintenance and the newest servers Oracle offers, as well as storage, disaster recovery and backup services. This creates a robust, secure, and reliable computing environment for NIU. The Oracle server software bundle also includes over \$2M of value-added database options over what NIU has today. This includes advanced security, including encryption of data and masking of sensitive production and non-production data. These additional database options will create efficiencies and automation allowing Database Administrators to speed the implementation of patches and upgrades in addition to extending their ability to further implement additional projects and innovations.

Background: The new three-year Oracle contract will replace the existing Oracle contract's final year, valued at \$1,681,410. The new contract is quoted at \$1,600,930 per year (\$4,802,790 total for three years). DoIT has also added a 10% contingency to the overall project budget to cover estimated costs of Cloud migration consulting services and project management expenses, along with start-up and any ongoing maintenance costs. With the annual contract costs, potential consulting needs, and 10% contingency, the total funding request is \$5,300,000 over three years.

Funding: Appropriated/Income Funds \$5,300,000
FY20: \$2,000,000
FY21: \$1,650,000
FY22: \$1,650,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the New Oracle ERP Hardware/Software Contract.

WIRELESS NETWORK EXPANSION AND UPGRADE – PHASE 3

Summary: Northern Illinois University provides data network connectivity to students, faculty, and staff via both wired and wireless (Wi-Fi) access points on campus. Phase 3 is the third year of a multi-year effort to improve the provision of mobile Wi-Fi access to the University community. Expansion of approximately 650 Wi-Fi access points on campus is required to ensure complete coverage for the following buildings:

- Center for the Study of Family Violence and Sexual Assault
- Music Building
- Reavis Hall
- Rockford Education Center
- Neptune Hall East
- Neptune Hall West
- Neptune Hall Central

Background: To determine where these new Wi-Fi access points will be optimally installed on campus, a plan has been developed by the Division of Information Technology and reviewed by the IT Steering Committee and through consultation with College/Department IT managers. A seven-year plan has been designed to systematically expand the Wi-Fi coverage and capacity to most areas of campus.

While the majority of the cost for this project is the procurement of new Wi-Fi access point equipment for approximately \$416,000, the installation of the devices may require a minor amount of electrical support estimated to be approximately \$9,000.

Funding: Institutional – Local Funds \$425,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Wireless Network Expansion and Upgrade – Phase 3.

FISCAL YEAR 2020 CISCO HARDWARE MAINTENANCE CONTRACT

Summary: The Division of Information Technology (DoIT) requests permission to purchase Cisco network and security maintenance for hardware, software, and 24/7 technical support for the University's campus-wide, Cisco-based enterprise network for FY20.

Background: To provide a robust, dependable, and stable network, the University's enterprise network infrastructure requires Cisco maintenance support. This maintenance agreement for DoIT's entire campus-based network equipment enables Cisco to assist DoIT in troubleshooting, break-fix repairs, and replacement of hardware in case of failure.

Funding: Institutional – Local Funds \$400,000

CDW Government, LLC, Vernon Hills, IL.....\$400,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2020 Cisco Hardware Maintenance Contract.

Amount Approved for FY19: \$334,000

CIENA HARDWARE MAINTENANCE – FIVE-YEAR AGREEMENT

Summary: The Division of Information Technology (DoIT) requests permission to enter into a five-year maintenance contract for hardware, software, and 24/7 technical support for the University’s high-speed, fiber-optic-based broadband network, which connects NIU’s DeKalb campus to the University’s Outreach Centers located in Naperville, Hoffman Estates, and Rockford. This broadband network, called NIUNet, also serves a number of public-sector institutions in the region with transport and internet services throughout the northern Illinois region. Revenue generated externally through NIU’s regional broadband initiatives not only covers the totality of costs associated with this maintenance contract but also contributes to lowering the cost of NIU’s campus-based network (wired and wireless) service.

Background: While NIUNet’s primary focus is to provide high-speed, low-cost network connectivity in support of the University’s academic mission, it also supports the mission’s goal to “...engage communities for the benefit of the region, state, nation, and world.”

The proposed contract is for five years, valued at approximately \$800,000; with an annual payment of approximately \$160,000. By executing a five-year contract with Ciena, approximately \$115,000 in total savings will be realized over the life of the agreement when compared to Ciena’s one-year maintenance contract price.

Funding: Institutional – Local Funds \$800,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Ciena Hardware Maintenance – Five-Year Agreement.

Amount Approved for FY19: \$202,100

**FISCAL YEAR 2020 NIU FOUNDATION PROFESSIONAL
SERVICES CONTRACT**

Summary: The Northern Illinois University Foundation, an independent organization, operates to support the mission of Northern Illinois University through fundraising, asset management, and related support activities. Among such activities, the Foundation coordinates and manages cultivation, solicitation, acknowledgment, and receipting of all gifts; administers, invests, and disburses funds; maintains all constituent records; manages and coordinates communications with constituents; and performs alumni relations activities. The FY20 contract amount assessed is \$743,600, which covers full salaries and other expenses for designated employees as well as a portion of programmatic services in accordance with contract obligations.

Background: The University and the Foundation annually enter into a contract which serves to outline the fundraising services and activities to be provided by the Foundation on behalf of the University each year. This contractual agreement is in accordance with the Legislative Audit Commission Guidelines. The amount represents no change over FY19.

Funding: Appropriated/Income Funds

Northern Illinois University Foundation – DeKalb, IL \$743,600

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the Fiscal Year 2020 NIU Foundation Professional Services Contract.

Amount Approved for FY19: \$743,600

FISCAL YEAR 2020 INTERCOLLEGIATE ATHLETICS SECONDARY STUDENT HEALTH INSURANCE CONTRACT RENEWAL

Summary: NIU Intercollegiate Athletics requires annual secondary health insurance to meet the needs for insurance coverage for accident claims for student athletes for athletically related illnesses and injuries. Per NCAA bylaw 3.2.4.8, insurance coverage for medical expenses resulting from athletically related injuries is a requirement of NCAA membership. The secondary insurance policy is in addition to coverage that the student athletes may have through their own primary insurance. The definition of a student athlete for this purpose is individuals listed on active rosters, which are certified annually by the Athletics compliance office, institutional office of financial aid and athletics administration. Secondary insurance for athletically related injuries and illnesses is provided to student athletes regardless of athletic financial aid.

The secondary insurance product being purchased has been designed uniquely and specifically for NCAA members with the Master Policy form negotiated on behalf of the schools in accordance with NCAA regulations. The policy recommended to the Board is the NCAA group insurance program, and although participation in this specific program is not required, the group insurance program offers specific benefits to NCAA members. One noted benefit is quicker access to the NCAA's catastrophic injury policy. The NCAA policy deductible is \$75,000 per accident, after which the catastrophic coverage takes effect, whereas other marketplace insurance products must meet \$90,000 per accident before the NCAA catastrophic policy is in effect. Effective date of policy will be August 1, 2019.

Background: This FY20 approval amount is for the NCAA Group Basic Accident Medical Program Insurance Plan, administrative fees (approximately 15%), and aggregate deductible claims coverage for a two-year benefit period per student athlete accident, available through Relation Insurance Services (formerly Ascension Benefits & Insurance Solutions)/Mutual of Omaha as agent and third-party claims administration. This renewal is year six of nine, one-year renewal options to be determined annually. The renewal award will be advertised in the *Illinois Procurement Bulletin*.

Additional Background Information: The institution went through the competitive RFP process, opened on July 16, 2013, which resulted in the current award. The program and carrier awarded the business offered competitive rates and were the only respondents to offer both the requested coverage and a maximum out-of-pocket guarantee for the institution. Given the multiple benefits of the program, competitive rates identified through the RFP process, and recent claims increase, it is in the best interest of NIU to continue the relationship with the incumbent provider.

Funding: Local funding, 41-TD56477

Relation Insurance Services/Mutual of Omaha – Salt Lake City, UT..... \$325,000
(Formerly Ascension Benefits & Insurance Solutions)

Recommendation: The University recommends that the Finance, Audit, Compliance, Facilities and Operations Committee endorse this request and asks that the President forward it by means of the President's Report to the Board of Trustees for approval at its meeting on June 13, 2019.

Amount Approved for FY19: \$315,000

NEW DEPOSITORY ACCOUNT FOR COMMERCIAL CARD PROGRAM

Summary: Northern Illinois University requests approval to open a depository account with J.P. Morgan Chase Bank. The new account will be an investment account held as collateral for the University's commercial card program.

Background: In March 2018, the Board of Trustees granted permission for the University to enter into an agreement for commercial card services with JP Morgan Chase and Company (JPMC), the IPHEC commercial card services vendor. JPMC requires the University deposit funds with them to secure the credit limit offered with the commercial card services program. Board of Trustees Regulations Section V.D.1. requires the Board to authorize a new depository relationship. The depository account will be held in the University's name, earn interest, and comply with the University Investment and Cash Management Policy. The funds will be collateralized by the bank to comply with the Illinois Public Funds Investment Act. The depository account will be opened upon the execution of the commercial card services agreement with JPMC.

Funding: The deposit requirement is \$1,000,000 and may increase or decrease in the future based on changes to the University's annual card spend and/or credit rating.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the New Depository Account for the Commercial Card Program.

FIRE SERVICES CONTRACT EXTENSION WITH THE CITY OF DEKALB

Summary: The University obtains fire response and emergency ambulance services from the City of DeKalb in the same manner as the local community at large. Since the University does not pay property taxes, a contract with the City serves as the mechanism to fund an appropriate share of these services. The current five-year contract for fire and ambulance services with the City expires on June 30, 2019. Given the leadership transitions within the DeKalb Fire Department and the City Manager position, details on a new multi-year contract have not yet been fully determined. To provide more time for these discussions, an extension on the current contract until December 31, 2019 is proposed at a cost of \$415,857 for this six-month period.

Background: Annual funding provided to the City of DeKalb has been regularly increased over the contract period to closer align to the services received. For calendar year 2018, fire/emergency responses provided to NIU accounted for approximately 8% of the overall DeKalb Fire Department responses to the community. The FY19 funding being provided under the current contract period (\$831,714) is approximately 8% of the current Fire Department budget.

This cost sharing concept is serving as the baseline for the new contract discussions while efforts are also underway to research how other universities and associated communities have developed cost sharing approaches.

Funding: Institutional – Local Funds

Recommendation: The Finance, Audit, Compliance, Facilities, and Operations Committee requests authorization to complete a six-month extension on the current contract adding \$415,857 for a new total cost of \$4,091,604. The committee recommends Board of Trustees approval of the Fire Services Contract Extension with the City of DeKalb.

Current contract cost: \$3,675,747

- FY19: \$831,714
- FY18: \$680,522
- FY17: \$654,348
- FY16: \$629,181
- FY15: \$879,982 (included \$275K for equipment purchase)

FISCAL YEAR 2020 SPS AND CIVIL SERVICE STAFF SALARY INCREMENT ALLOCATION GUIDELINES

Summary: Offering competitive salaries remains a continuing high priority of the President and the Board of Trustees. Accordingly, the university has developed an internally funded plan to provide increments for FY20 that recognizes the importance of salary increases in a resource-constrained environment.

Background: In accordance with Board Regulation II.C.2.a, annual salary increment guidelines are approved by the Board of Trustees. The approval of annual salary increment guidelines authorizes the university's distribution of fiscal year increments to eligible employees. Following completion of the fiscal year salary adjustment process, increment totals are verified and provided to the Board of Trustees in summary form. The FY20 increment guidelines incorporate a 3% across-the-board salary increase for eligible Supportive Professional Staff (SPS) and Civil Service employees, along with other employee groups as described below.

The current FY20 salary increment guidelines pertain to non-negotiated staff. Non-negotiated staff on regular contracts/appointments employed by the university on or before December 31, 2018 and who remain employed on the effective date of the increment program will be eligible for the increment subject to university procedures. All graduate assistants are eligible for the increment subject to university procedures. SPS employees on temporary contracts/appointments who have been continually reappointed for three or more years and are reappointed during FY20 are eligible to receive salary increases associated with the reappointment.

Those employees who are represented by a union or other legally recognized collective bargaining representative will receive a negotiated increment pursuant to the specific provisions of applicable, existing collective bargaining or other future negotiated agreements. Any negotiated final agreement may be retroactive to July 1, 2019 based on authority stated in the State of Illinois Finance Act, as negotiated.

Recommendations pertaining to faculty will be brought forward at a future meeting of the NIU Board of Trustees.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Fiscal Year 2020 SPS and Civil Service Staff Salary Increment Allocation Guidelines.

REQUEST FOR NEW DEGREE PROGRAM IN DOCTOR OF PHILOSOPHY IN ELECTRICAL ENGINEERING

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 in Electrical Engineering degree program to be offered on campus. This program will be housed in the Department of Electrical Engineering within the College of Engineering and Engineering Technology.

Rationale: The proposed Ph.D. in Electrical Engineering will equip students with the knowledge and skills to practice in increasingly complex and integrated electrical systems with diverse applications in computer networking, communication, energy, signal processing, control systems and semiconductors. A distinctive aspect of the proposed program is its emphasis on Cyber Physical Systems as a unifying framework in order for the next generation of Ph.D. graduates to be responsive to the rapid pace of technological innovations in artificial intelligence, sensors, biomedical, health care, alternative energy, and autonomous vehicles. An innovative and distinguishing feature of the proposed Ph.D. program in Electrical Engineering is the Industrial Fellows Program (IFP). The IFP is driven by the recognition that as industrial processes and products increasingly becoming more complex, industry must be equipped with the right intellectual and leadership capacities to tame and manage the challenging dynamics between complex theoretical foundations and practical applications. The proposed Ph.D. program is deliberate in addressing these challenges within a global marketplace that demands competitive engineering practices geared towards rapid technological innovation. Even as the American Society of Engineering Education indicates that 70% of Ph.D. engineering graduates seek work in industry rather than academia (AC 2011-2386, ASEE), Ph.D. engineering education continues to be traditionally entrenched in theoretical and esoteric academic research and continues to remain of little or no benefit to industry or contemporary industrial practices. The newly proposed Ph.D. program is designed to draw upon faculty and industry expertise, as well as curricular content within the college and university, to advance deeper innovative solutions in close partnerships with industry. As a result, the IFP will promote deep experiential learning within actual industrial environments and ensure a practical academic-and-industry integrated experience that will be targeted at solving contemporary industrial challenges and complexities. Through the IFP, Ph.D. graduates will be employed by industry and will profoundly contribute to the industrial and economic base of the greater Chicago metropolitan region and beyond. The IFP will contribute to state workforce development and assist Illinois companies to be more competitive within the global marketplace. It will be unmatched within the region and the state and will ultimately serve as a progressive national model within contemporary graduate engineering education.

Based on the workforce projections, the demand for the proposed Electrical Engineering Ph.D. program remains high. The U.S. Bureau of Labor Statistics projects for electrical and electronic engineers a replacement rate of 22% with a need for 71,400 engineers over the next 10 years. In addition, computer hardware engineers show 20.5% growth with the need for 18,400 engineers. Locally, the proposed Ph.D. program is an affordable option for prospective students in the Chicago Metropolitan area and the only program to serve the Illinois northwest quarter. Specifically, there are only three public universities in the state (the University of Illinois in Urbana, Southern Illinois University in Carbondale, and the University of Illinois in Chicago) that

offer doctoral programs in electrical engineering, where collectively they only produce a total of 84 Ph.Ds. annually. By expanding the accessibility of an advanced graduate degree in Illinois' Northwest region, NIU will help Illinoisans (and out of state students) stay in Illinois, avoiding the loss of graduates and workforce to neighboring states, and will help Illinois grow as a technology pillar in the country. We will focus on our strengths to meet the high demand by providing an affordable Electrical Engineering Ph.D. program in this region.

There is also a high demand for Electrical Engineering Ph.D. graduates by two- and four-year colleges due to retirement of senior professors. According to the U.S. Bureau of Labor Statistics, the demand for college professors is expected to increase by 13% in the next five years. The U.S. Bureau of Labor Statistics also reports that job growth in scientific research and development services overall will increase by 3.9% through 2024 for architecture and engineering occupations.

Funding: The proposed Ph.D. program does not require additional faculty lines or laboratory space. External reviewers who reviewed the faculty strength, curriculum, space, and other aspects of the program have also made a similar assessment. Existing laboratory space and equipment are adequate to supervise Ph.D. students and conduct research. Upon approval, the program expects to enroll three students during the first year and grow up to 15 students in five years. The projected growth is modest and intentional to ensure that our undergraduate and graduate (M.S.) programs continue to receive the support they need to grow stronger. Through infusion of funds from industry via the IFP program, as well as internal reallocation of resources, it is planned to support three Ph.D. students per year during the first three years. It is envisioned that increased external funding through the industry sponsored IFP program, and federal and state originated grants will sustain the proposed Ph.D. program in the long run.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for the New Degree Program in Doctor of Philosophy in Electrical Engineering.

REQUEST FOR NEW DEGREE PROGRAM IN DOCTOR OF PHILOSOPHY IN INDUSTRIAL AND SYSTEMS ENGINEERING

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 in Industrial and Systems Engineering degree program to be offered on campus. This program will be housed in the Department of Industrial and Systems Engineering (ISYE) within the College of Engineering and Engineering Technology.

Rationale: The proposed Ph.D. in Industrial and Systems Engineering will equip students with quantitative and qualitative research methods and tools to identify, model, analyze, and prescribe novel solutions to complex engineering problems observed in private and public businesses. A distinctive feature of the proposed program is that it will emphasize transportation distribution and logistics, which is one of the six industries targeted for growth by the Illinois Department of Commerce. An innovative and distinguishing feature of the proposed Ph.D. program in Industrial and Systems Engineering is the Industrial Fellows Program (IFP). The IFP is driven by the recognition that as industrial processes and products increasingly becoming more complex, industry must be equipped with the right intellectual and leadership capacities to tame and manage the challenging dynamics between complex theoretical foundations and practical applications. The proposed Ph.D. program is deliberate in addressing these challenges within a global marketplace that demands competitive engineering practices geared towards rapid technological innovation. Even as the American Society of Engineering Education indicates that 70% of Ph.D. engineering graduates seek work in industry rather than academia (AC 2011-2386, ASEE), Ph.D. engineering education continues to be traditionally entrenched in theoretical and esoteric academic research and continues to remain of little or no benefit to industry or contemporary industrial practices. The newly proposed Ph.D. program is designed to draw upon faculty and industry expertise, as well as curricular content within the college and university, to advance deeper innovative solutions in close partnerships with industry. As a result, the IFP will promote deep experiential learning within actual industrial environments and ensure a practical academic-and-industry integrated experience that will be targeted at solving contemporary industrial challenges and complexities. Through the IFP, Ph.D. graduates will be employed by industry and will profoundly contribute to the industrial and economic base of the greater Chicago metropolitan region and beyond. The IFP will contribute to state workforce development and assist Illinois companies to be more competitive within the global marketplace. It will be unmatched within the region and the state and will ultimately serve as progressive national model within contemporary graduate engineering education.

Chicago is a major intermodal hub (interstates, railroads, airports, and waterways all intersect in Chicago to facilitate easier distribution of goods) with over 6000 companies, 300 distribution centers, 150 hospitals, two airports, and two rail yards within a 100-mile radius. Consequently, there is very high demand for Industrial and Systems Engineers in Illinois (and neighboring states) to solve engineering problems that arise in manufacturing, healthcare, transportation, distribution, logistics, etc. As noted above, the Illinois Department of Commerce has identified transportation distribution and logistics as one of the six industries targeted for growth. The ISYE department at NIU has already established a strong research portfolio in this through research activities with

private and public corporations (e.g. 3M, Nestle, Target, etc.) and national labs (e.g. Argonne National Laboratory). With a Ph.D. program, we will be able to undertake a sustainable research agenda (generating more revenue and being more responsive to our economy) as our graduates research more complex problems thoroughly. While the Ph.D. curriculum will prepare our graduates to tackle complex engineering problems, a special emphasis is placed to train them on solving problems that arise in transportation distribution and logistics.

The Bureau of Labor Statistics estimates the number of jobs for industrial and systems engineers will grow by 10% (faster than average) during 2016-2026. Regionally, the Illinois Department of Employment Security forecasts a job growth rate of 11.89% for industrial engineers. With only three Ph.D. granting Industrial and Systems Engineering programs in Illinois, the unmet demand in Illinois is growing (20 graduates vs. 300 job openings each year). Nationally, only 418 Ph.D.'s were granted in this field in 2017 (ASEE article on Engineering by Numbers). Nearly 70% of the Ph.D. graduates choose to work in industry (AC 2011-2386, ASEE). A Ph.D. in Industrial and Systems Engineering at NIU would help bridge this gap locally and nationally.

Funding: The proposed Ph.D. program does not require additional faculty lines or laboratory space. External reviewers who reviewed the faculty strength, curriculum, space, and other aspects of the program have also made a similar assessment. Existing laboratory space and equipment are adequate to supervise Ph.D. students and conduct research. Upon approval, the program expects to enroll three students during the first year and grow up to 15 students in five years. The projected growth is modest and intentional to ensure that our undergraduate and graduate (M.S.) programs continue to receive the support they need to grow stronger. Through infusion of funds from industry via the IFP program, as well as internal reallocation of resources, it is planned to support three Ph.D. students per year during the first three years. It is envisioned that increased external funding through the industry sponsored IFP program, and federal and state originated grants will sustain the proposed Ph.D. program in the long run.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for the New Degree Program in Doctor of Philosophy in Industrial and Systems Engineering.

REQUEST FOR NEW DEGREE PROGRAM IN DOCTOR OF PHILOSOPHY IN MECHANICAL ENGINEERING

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 in Mechanical Engineering degree program to be offered on campus. This program will be housed in the Department of Mechanical Engineering within the College of Engineering and Engineering Technology.

Rationale: The proposed Ph.D. in Mechanical Engineering will equip students with quantitative and qualitative research methods and tools to identify, model, analyze, and prescribe novel solutions to complex problems in mechanical engineering. The proposed Ph.D. program advances several areas well anchored in experimental and computational footing to address industry and academic demands in: (1) robotics and mechatronics; (2) thermal sciences, (3) advanced manufacturing and (4) biomedical engineering. An innovative and distinguishing feature of the proposed Ph.D. program in Mechanical Engineering is the Industrial Fellows Program (IFP). The IFP is driven by the recognition that as industrial processes and products increasingly becoming more complex, industry must be equipped with the right intellectual and leadership capacities to tame and manage the challenging dynamics between complex theoretical foundations and practical applications. The proposed Ph.D. program is deliberate in addressing these challenges within a global marketplace that demands competitive engineering practices geared towards rapid technological innovation. Even as the American Society of Engineering Education indicates that 70% of Ph.D. engineering graduates seek work in industry rather than academia (AC 2011-2386, ASEE), Ph.D. engineering education continues to be traditionally entrenched in theoretical and esoteric academic research and continues to remain of little or no benefit to industry or contemporary industrial practices. The newly proposed Ph.D. program is designed to draw upon faculty and industry expertise, as well as curricular content within the college and university, to advance deeper innovative solutions in close partnerships with industry. As a result, the IFP will promote deep experiential learning within actual industrial environments and ensure a practical academic-and-industry integrated experience that will be targeted at solving contemporary industrial challenges and complexities. Through the IFP, Ph.D. graduates will be employed by industry and will profoundly contribute to the industrial and economic base of the greater Chicago metropolitan region and beyond. The IFP will contribute to state workforce development and assist Illinois companies to be more competitive within the global marketplace. It will be unmatched within the region and the state and will ultimately serve as a progressive national model within contemporary graduate engineering education.

According to the Occupational Employment statistics and O*NET OnLine, mechanical engineering has a bright outlook and a projected growth rate until 2024 of between 5-8%. This means that by 2024, there will be 10,000+ new jobs in mechanical engineering. As such, there is a clear need for additional mechanical engineers with Ph.Ds. Additionally, the state of Illinois currently has the fifth highest employment of mechanical engineers of all states across the country and 6,800 are employed in the greater Chicago area. The number of companies, labs and research organizations within a 60-mile radius of NIU provides an unmatched advantage compared with other universities. In the Midwest, there is a high demand for mechanical engineering, making an

even stronger argument for NIU to provide a Ph.D. in Mechanical Engineering for the region. For example, Ph.Ds. with thermal management and control of heat and mass transport expertise are in critical demand to solve complex problems in automotive and manufacturing processes. These areas of expertise are equally important in renewable energy systems such as solar, geothermal, wind, and biomass process. In particular, thermal fluid expertise is in demand for thermal and renewable energy systems. The demand of study and research in this field is very high, and thus offering a Ph.D. program in this field is necessary.

There were just over 1,600 Ph.D. graduates in Mechanical Engineering in the country in 2015. The University of Illinois at Urbana - Champaign has graduated, on average, about 33 Ph.D.'s annually over the past few years. Locally, there is a growing demand from industries, such as aerospace, for Ph.D.'s in mechanical engineering. Hence, having a Ph.D. program in Mechanical Engineering will advance a host of direct benefits: (1) retention of highly talented students in the northern Illinois region (2) satisfying the needs of the national labs (Fermi and Argonne) and growing local industry (e.g. aerospace) that is in need of a highly educated and skilled workforce; and (3) attracting new students, faculty, and funding opportunities; which will improve NIU's academic reputation.

Funding: The proposed Ph.D. program does not require additional faculty lines or laboratory space. External reviewers who reviewed the faculty strength, curriculum, space, and other aspects of the program have also made a similar assessment. Existing laboratory space and equipment are adequate to supervise Ph.D. students and conduct research. Upon approval, the program expects to enroll three students during the first year and grow up to 15 students in five years. The projected growth is modest and intentional to ensure that our undergraduate and graduate (M.S.) programs continue to receive the support they need to grow stronger. Through infusion of funds from industry via the IFP program as well as internal reallocation of resources, it is planned to support three Ph.D. students per year during the first three years. It is envisioned that increased external funding through the industry sponsored IFP program, and federal and state originated grants will sustain the proposed Ph.D. program in the long run.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for the New Degree Program in Doctor of Philosophy in Mechanical Engineering.

REQUEST FOR NEW CERTIFICATE OF GRADUATE STUDY IN FINANCIAL RISK MANAGEMENT

Summary: New certificates of graduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Graduate Study in Financial Risk Management offered by the Department of Finance within the College of Business.

Rationale: The certificate provides graduate students with a set of courses focused upon financial risk management for careers in risk management in banks, investment firms, and other financial institutions. The certificate introduces the latest advances in hedging and risk mitigation techniques incorporating the use of complex financial instruments, including swaps, futures, forwards, and options.

Funding: No new resources are needed to implement the proposed certificate of graduate study.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Graduate Study in Financial Risk Management.

REQUEST FOR NEW CERTIFICATE OF GRADUATE STUDY IN ADVANCED STUDY IN ACCOUNTING ANALYTICS

Summary: New certificates of graduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Graduate Study in Advanced Study in Accounting Analytics offered by the Department of Accountancy within the College of Business.

Rationale: The Certificate of Advanced Study in Accounting Analytics is designed for graduate-level students interested in increasing data analysis and program skills in accountancy. Business and public accounting firms are increasingly relying on analysis and technology skills to improve decision-making. Many organizations have created analytics specialist positions to concentrate in this area. In addition, this program can provide a path for students to complete the 150 hours needed to sit for the CPA exam.

Funding: No new resources are needed to implement the proposed certificate of graduate study.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Graduate Study in Advanced Study in Accounting Analytics.

REQUEST FOR NEW CERTIFICATE OF UNDERGRADUATE STUDY IN INTERNATIONAL MARKETING

Summary: New certificates of undergraduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Undergraduate Study in International Marketing offered by the Department of Marketing within the College of Business.

Rationale: This certificate is designed to help students understand the role of global business within a marketing framework and develop competencies in the use of marketing strategies and methods in global environments. As world trading relationships and country interconnectedness evolve, it is imperative that students in marketing be allowed the option to specialize in this subject area. Through a variety of courses, including a requirement to participate in a study abroad experience, students can gain first-hand knowledge of other cultures and learn how companies are marketing to consumers and business-to-business customers around the world.

Funding: No new resources are needed to implement the proposed certificate of undergraduate study.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Undergraduate Study in International Marketing.

REQUEST FOR NEW CERTIFICATE OF GRADUATE STUDY IN LATIN AMERICAN STUDIES

Summary: New certificates of graduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Graduate Study in Latin American Studies offered by the Center for Latino and Latin American Studies within the College of Liberal Arts and Sciences.

Rationale: This graduate certificate is designed to enhance students' knowledge of Latin American history, literature, and culture. The graduate certificate is recommended for students who want to demonstrate, whether to a scholarly or professional audience, an advanced, interdisciplinary understanding of Latin America. The interdisciplinary approach exposes them to diverse texts, different ways of analyzing evidence, and comparative perspectives.

Funding: No new resources are needed to implement the proposed certificate of graduate study.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Graduate Study in Latin American Studies.

REQUEST FOR DELETION OF GRADUATE CONCENTRATION IN LATINO AND LATIN AMERICAN STUDIES

Summary: Public university governing boards have the final authority to delete graduate concentrations. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to delete the Graduate Concentration in Latino and Latin American Studies offered by the Graduate School and the College of Liberal Arts and Sciences.

Rationale: The concentration will no longer be needed as a Certificate of Graduate Study in Latin American Studies is being requested. The certificate is more beneficial to students for two main reasons: first, a concentration can only be pursued by students enrolled in a degree-granting program, thus limiting the potential reach of the concentration. A certificate can be earned by students in a degree-granting program as well as students-at-large, making the certificate available to a broader range of students interested in Latin American Studies. Second, a transcript notation of “certificate” is more widely used in academic and professional settings.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for Deletion of the Graduate Concentration in Latino and Latin American Studies.

**REQUEST FOR DELETION OF MASTER OF SCIENCE IN TEACHING
(M.S.T.) WITH A SPECIALIZATION IN GEOSCIENCE EDUCATION**

Summary: Public university governing boards have the final authority to delete major programs. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019.

Description: The Master of Science in Teaching (M.S.T.) is a university-wide degree program that is utilized in many colleges. The university proposes to delete the M.S.T. with a Specialization in Geoscience Education program offered by the Department of Geology and Environmental Geosciences within the College of Liberal Arts and Sciences.

Rationale: Since its inception, the M.S.T. with a Specialization in Geoscience Education program has never enrolled a student. The program was created by a faculty member who left the university shortly after the program was created and since then the program has never been properly staffed by faculty or subscribed to by the in-service teachers for whom it was designed.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for Deletion of the Master of Science in Teaching (M.S.T.) with a Specialization in Geoscience Education.

REQUEST FOR NEW CERTIFICATE OF GRADUATE STUDY IN HEALTH PROFESSIONS EDUCATION

Summary: New certificates of graduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Graduate Study in Health Professions Education offered by the School of Interdisciplinary Health Professions within the College of Health and Human Sciences.

Rationale: This interdisciplinary certificate prepares students to teach for college-level and clinic-based education programs in the health professions. Coursework supports student understanding of and competencies in the areas of communication, research methods, teaching, curriculum development and assessment, and leadership. Coursework and internship experiences will help students develop knowledge and skills focused on the theory, research, and practice of education as it applies to the health professions. Students completing this certificate will be eligible for positions in academic or health care settings such as residency directors, professional preceptors, and college instructors.

Funding: No new resources are needed to implement the proposed certificate of graduate study.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Graduate Study in Health Professions Education.

REQUEST FOR NEW MINOR IN ADDICTION STUDIES

Summary: New subdivisions of existing undergraduate programs, including minors, require the approval of the Board of Trustees. If the board approves these additions, the university will report them in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to offer a Minor in Addiction Studies in the School of Interdisciplinary Health Professions within the College of Health and Human Sciences.

Rationale: This minor is designed for students interested in examining the impact of drugs and alcohol on the psychological, social, cultural, and vocational well-being of individuals. The minor coursework is designed to provide students with a basic set of knowledge and skills required to practice in human service settings that work with drug and alcohol concerns. According to the Occupational Outlook Handbook (2014) bachelor-level substance abuse counselors earn \$39,270 per year (\$18.88 per hour) on average, and job growth from 2014-2024 is estimated at 22%. This minor may appeal to students in various degree programs such as rehabilitation and disability services, health sciences, public health, psychology, and social services. Finally, students who complete the minor will also satisfy some of the requirements for the Certified Alcohol and Drug Counselor (CADC) credential and are encouraged to consult an advisor to learn of additional requirements.

Funding: Courses to fulfill the minor are currently available and have capacity. Should NIU pursue the inclusion in the Illinois Alcohol and Other Drug Abuse Professional Certification Association (IAODAPCO) in the future, there would be costs associated with that approval.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Minor in Addiction Studies.

REQUEST FOR NEW CERTIFICATE OF UNDERGRADUATE STUDY IN ILLINOIS EARLY CHILDHOOD EDUCATION (ECE) CREDENTIAL CERTIFICATE-LEVELS 2-5

Summary: New certificates of undergraduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Undergraduate Study allowing students to obtain the Illinois Early Childhood Education (ECE) Credential Certificate-Levels 2-5 through the Gateways to Opportunity Illinois Professional Development System. The Human Development and Family Sciences program at NIU exists as an entitled academic program through the Gateways to Opportunity Illinois Professional Development System as offered by the School of Family and Consumer Sciences within the College of Health and Human Sciences.

Rationale: Offering preparation for the Illinois Gateways Early Childhood Education (ECE) Credential Certificate-Level 2-5 enables students to obtain credentials required for early education professionals seeking employment in state licensed child care facilities.

Funding: No new resources are needed to implement the proposed certificate.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Undergraduate Study in Illinois Early Childhood Education (ECE) Credential Certificate – Levels 2-5.

REQUEST FOR NEW EMPHASIS IN VISION REHABILITATION THERAPY WITHIN THE B.S.ED. IN SPECIAL EDUCATION

Summary: New emphases require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes an Emphasis in Vision Rehabilitation Therapy within the B.S.Ed. in Special Education offered by the Department of Special and Early Education within the College of Education.

Rationale: The emphasis in Vision Rehabilitation Therapy (VRT) within the B.S.Ed. in Special Education program creates a new pathway to graduation for undergraduate students wanting to work with individuals with visual impairments. Whereas our current undergraduate degree prepares students to work with school-aged children and leads to professional educator licensure, the VRT emphasis covers the entire lifespan and is a non-licensure credential. Therefore, the VRT emphasis accommodates students who do not want to teach in public school settings but want to work with a wider range of individuals with visual impairments, including older adults in other settings. The VRT emphasis also creates a platform for a “stackable degree,” meaning that undergraduate students who graduate can return for graduate course work that leads to teacher licensure. The VRT emphasis provides a pathway to graduation for students who prefer working with adults with visual impairments in community settings. Because this is a non-licensure option, students who do not have appropriate ACT/SAT/TAP scores can receive preparation necessary to work with individuals with visual impairments outside of public schools.

Students in the VRT emphasis would focus on life skills, communication skills, and educational needs of individuals with visual impairments. Students would be prepared for employment in rehabilitation centers, veterans’ hospitals, group homes, private schools, non-profit organizations, advocacy groups, and agencies that represent and/or provide services to individuals with a range of disabilities including visual impairments.

Funding: The Department of Special and Early Education already offers the VRT program at the graduate level. As a result, courses in the undergraduate emphasis can be offered as a combined graduate/undergraduate section. Because these courses are already offered, no new funding is required to implement this emphasis.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Emphasis in Vision Rehabilitation Therapy within the B.S.Ed. in Special Education.

REQUEST FOR NEW EMPHASIS IN SPECIAL POPULATIONS WITHIN THE B.S.ED. IN SPECIAL EDUCATION

Summary: New emphases require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes an Emphasis in Special Populations within the B.S.Ed. in Special Education offered by the Department of Special and Early Education within the College of Education.

Rationale: The emphasis in Special Populations within the B.S.Ed. in Special Education creates a new pathway to graduation for undergraduate students wanting to work with individuals with disabilities. This emphasis does not lead to professional educator licensure but prepares students to work with individuals with disabilities across their entire lifespan. The emphasis also creates a platform for “stackable degrees,” meaning that undergraduates completing this emphasis within the B.S.Ed. in Special Education can return for graduate course work that leads to teacher licensure.

Whereas our current emphasis in Learning-Behavior Specialist I focuses on individuals with disabilities Pre-K through age 21, the special populations emphasis would prepare students to work with individuals with a variety of disabilities across the entire lifespan. This emphasis may appeal to undergraduate students who do not want to teach in a public school setting or with children, but who want to work with adults with disabilities in other settings. It also provides students who do not meet licensure standards as undergraduates with a pathway to graduation and an alternative to licensure by pursuing graduate studies later in their careers.

Students in the emphasis in Special Populations will work with individuals with disabilities outside of public school settings. Students will learn about the ways different disabilities impact individuals’ lives beyond the walls of public schools, with an emphasis on generalization of knowledge and skills. In this emphasis, students will focus on life skills, communication skills, rehabilitation services, as well as educational needs of individuals with disabilities. Students will be prepared for employment in group homes, non-profit organizations, advocacy groups, and agencies that represent and/or provide services to individuals with a range of disabilities. They do not complete student teaching and are not licensed to teach in public schools. This emphasis will benefit undergraduate students who want to work with individuals with disabilities but do not want to teach.

Funding: All of the courses for this emphasis are currently being taught so no new funding is required to implement this emphasis.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Emphasis in Special Populations within the B.S.Ed. in Special Education.

REQUEST FOR NEW SPECIALIZATION IN BEHAVIOR ANALYSIS WITHIN THE M.S.ED. IN SPECIAL EDUCATION

Summary: New subdivisions of existing graduate programs are called specializations. Specializations require the approval of the Board of Trustees. If the board approves these additions, the university will report them in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Specialization in Behavior Analysis within the M.S.Ed. in Special Education offered by the Department of Special and Early Education within the College of Education.

Rationale: This specialization is designed for educators and other professionals who wish to gain expertise in behavior analysis. Students who complete this specialization will gain the necessary skills to solve problems and address concerns related to individuals with learning and behavioral challenges in school and community settings in combination with a master's degree. After completing an approved course sequence, candidates are eligible to take the Board Certified Behavior Analyst (BCBA) Examination required for certification as a BCBA.

Funding: No new resources are needed to implement the proposed specialization. The courses and faculty needed to offer this specialization are currently in place.

REQUEST FOR NEW SPECIALIZATION IN ASSISTIVE TECHNOLOGY USED BY PERSONS WITH VISUAL IMPAIRMENTS WITHIN THE M.S.ED. IN SPECIAL EDUCATION

Summary: New subdivisions of existing graduate programs are called specializations. Specializations require the approval of the Board of Trustees. If the board approves these additions, the university will report them in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Specialization in Assistive Technology Used by Persons with Visual Impairments within the M.S.Ed. in Special Education offered by the Department of Special and Early Education within the College of Education.

Rationale: This specialization prepares students to instruct individuals with visual impairments in the concepts and skills related to assistive technology for persons with visual impairments and to obtain national certification as Certified Assistive Technology Instructional Specialists for People with Visual Impairments (CATIS) from the certification body of the Academy for Certification of Vision, Rehabilitation, and Education Professionals.

Funding: No new resources are needed to implement the proposed specialization. The courses and faculty needed to offer this specialization are currently in place.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Requests for New Specializations within the M.S.Ed. in Special Education.

REQUEST FOR THE DELETION OF THE BACHELOR OF SCIENCE IN ATHLETIC TRAINING

Summary: Public university governing boards have the final authority to delete major programs. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to delete the Bachelor of Science (B.S.) in Athletic Training program offered by the Department of Kinesiology and Physical Education within the College of Education.

Rationale: The accrediting body in the athletic training discipline, the Commission on Accreditation of Athletic Training of Education, has mandated that by 2022 the master's degree will become the entry-level credential required to work in the field, and that baccalaureate athletic training programs may no longer enroll or matriculate students after that date. Following this accreditation requirement, NIU is preparing to launch a new M.S. in Athletic Training program in 2020 and is phasing out the B.S. in Athletic Training program.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for the Deletion of the Bachelor of Science in Athletic Training.

REQUEST FOR NEW CERTIFICATE OF GRADUATE STUDY IN USER EXPERIENCE (UX) AND LEARNING ANALYTICS

Summary: New certificates of graduate studies require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Graduate Study in User Experience (UX) and Learning Analytics offered by the Department of Educational Technology, Research and Assessment within the College of Education.

Rationale: This certificate prepares graduate-level students in educational data mining and user modeling for conducting or evaluating research and programs in areas such as online learning systems and adaptive learning environments. Students completing the certificate will gain the necessary skills for conducting research on usability and effectiveness of data displays and communicating about where data come from and how data are used to promote effective learning.

Funding: No new resources are needed to implement the proposed certificate of graduate study.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for a New Certificate of Graduate Study in User Experience (UX) and Learning Analytics.

REQUEST FOR NEW MINOR IN COUNSELING

Summary: New subdivisions of existing undergraduate programs, including minors, require the approval of the Board of Trustees. If the board approves these additions, the university will report them in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to offer a Minor in Counseling in the Department of Counseling and Higher Education within the College of Education.

Rationale: Communication and interpersonal skills are essential components for success across disciplines. Frequently, employers prefer candidates who possess strong interpersonal skills. The counseling minor will provide students with the opportunity to develop fundamental knowledge, skills and competencies for effective communication in a multicultural society. Additionally, students will acquire introductory helping skills to promote mental health and wellness and empower diverse individuals to enhance their lives in a variety of settings. The counseling minor offers a unique focus on helping relations that can complement a variety of disciplines.

The development of the Minor in Counseling will enhance collaboration with other departments across campus including the Department of Psychology, the School of Family and Consumer Sciences, the Department of Curriculum and Instruction, and the School of Interdisciplinary Health Professions, which houses NIU's Rehabilitation and Disability Services and Rehabilitation Counseling programs. The minor will be promoted to students in these areas. Moreover, the Minor in Counseling will contribute to fulfilling general education requirements through offering two qualifying general education courses.

Undergraduate students from a wide variety of disciplines, including psychology, sociology, philosophy, and business, have taken the Exploration in the Counseling Profession (CAHC 400) course and would be interested in the Counseling Minor. Moreover, the minor would provide a pathway for students interested in mental health professions, which could potentially enhance recruitment for NIU's M.S.Ed. in Counseling program. Since the counseling program is a graduate program, adding an undergraduate minor in counseling will benefit the Department of Counseling and Higher Education in generating credit hours for the university. Finally, the Minor in Counseling would enhance the professional preparation of a wide range of students within a variety of majors.

Funding: No new resources are needed to implement the proposed minor.

Recommendation: The Academic Affairs, Student Affairs, and Personnel Committee recommends Board of Trustees approval of the Request for a New Minor in Counseling.

REQUEST FOR NEW SPECIALIZATION IN HIGHER EDUCATION ADMINISTRATION WITHIN THE ED.D. IN HIGHER EDUCATION

Summary: New subdivisions of existing graduate programs are called specializations. Specializations require the approval of the Board of Trustees. If the board approves these additions, the university will report them in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Specialization in Higher Education Administration within the Ed.D. in Higher Education offered by the Department of Counseling and Higher Education within the College of Education.

Rationale: To better meet the needs of students who desire to earn their Ed.D. in Higher Education degree with career goals related to higher education administration, it was determined that a Specialization in Higher Education Administration would be beneficial. Through the creation of the specialization, students will be able to select their track, complete relevant and appropriate coursework, and have their area of specialization appear on their transcript indicating their area of study.

Funding: No new resources are needed to implement the proposed specialization. The courses and faculty needed to offer this specialization are currently in place.

REQUEST FOR NEW SPECIALIZATION IN COLLEGE TEACHING WITHIN THE ED.D. IN HIGHER EDUCATION

Summary: New subdivisions of existing graduate programs are called specializations. Specializations require the approval of the Board of Trustees. If the board approves these additions, the university will report them in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Specialization in College Teaching within the Ed.D. in Higher Education offered by the Department of Counseling and Higher Education within the College of Education.

Rationale: To better meet the needs of students who desire to earn their Ed.D. in Higher Education degree with career goals related to college teaching, it was determined that a Specialization in College Teaching would be beneficial. Through the creation of the specialization, students will be able to select their track, complete relevant and appropriate coursework, and have their area of specialization appear on their transcript indicating their area of study.

Funding: No new resources are needed to implement the proposed specialization. The courses and faculty needed to offer this specialization are currently in place.

Recommendation: The Academic Affairs, Students Affairs and Personnel Committee recommends Board of Trustees approval of the Request for New Specializations within the Ed.D. in Higher Education.

REQUEST FOR DELETION OF THE CERTIFICATE OF GRADUATE STUDY IN ADULT EDUCATION

Summary: Public university governing boards have the final authority to delete certificates of graduate study. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to delete the Certificate of Graduate Study in Adult Education offered by the Department of Counseling and Higher Education within the College of Education.

Rationale: The deletion of the Certificate of Graduate Study in Adult Education aligns with the change in program focus to higher education and student affairs. The Department of Counseling and Higher Education has seen a lack of interest by students and faculty in maintaining this focus area. Courses in these areas have not been regularly offered because lack of interest and insufficient enrollment.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for Deletion of the Certificate of Graduate Study in Adult Education.

REQUEST FOR DELETION OF THE CERTIFICATE OF GRADUATE STUDY IN CAREER DEVELOPMENT

Summary: Public university governing boards have the final authority to delete certificates of graduate study. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to delete the Certificate of Graduate Study in Career Development offered by the Department of Counseling and Higher Education within the College of Education.

Rationale: The deletion of the Certificate of Graduate Study in Career Development aligns with changes in student interest. We have seen a consistent lack of interest by students in maintaining this focus area as evidenced by insufficient enrollment in the courses required for these certificates.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for Deletion of the Certificate of Graduate Study in Career Development.

REQUEST FOR DELETION OF THE SPECIALIZATION IN ADULT EDUCATION IN THE M.S.ED. IN HIGHER EDUCATION AND STUDENT AFFAIRS

Summary: Public university governing boards have the final authority to delete subdivisions of major programs including specializations. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to delete the Specialization in Adult Education in the M.S.Ed. in Higher Education and Student Affairs offered by the Department of Counseling and Higher Education within the College of Education.

Rationale: This specialization was initially added as a way to provide students specifically interested in adult education with relevant coursework needed to pursue this area of academic interest. Since introducing the specializations, there have been too few students interested in this area of study to support the courses needed for the specialization. Thus, concurrent with the renaming and re-focusing of the master's program, this specialization will no longer be able to be supported.

REQUEST FOR DELETION OF THE SPECIALIZATION IN HIGHER EDUCATION IN THE M.S.ED. IN HIGHER EDUCATION AND STUDENT AFFAIRS

Summary: Public university governing boards have the final authority to delete subdivisions of major programs including specializations. If the board approves this deletion, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests are brought to the Academic Affairs, Students Affairs and Personnel Committee of the Board of Trustees after receiving approval from curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to delete the Specialization in Higher Education in the M.S.Ed. in Higher Education and Student Affairs offered by the Department of Counseling and Higher Education within the College of Education.

Rationale: This specialization was initially added to provide a clear pathway for students interested in higher education and student affairs to follow that was distinct from the area of adult education. However, as it became clear that this was the area of study that was exhibiting significant recruitment potential and was the area that was chosen by virtually all incoming students, it was determined that a larger scale change was needed. Thus, as the degree program was revised and the name changed to an M.S.Ed. in Higher Education and Student Affairs, it was determined that there was no longer a need for this specialization. The new degree name, Higher Education and Student Affairs, removes any need for program specializations.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Request for Deletion of the Specializations in the M.S.Ed. in Higher Education and Student Affairs.

RECOMMENDATIONS FOR FACULTY TENURE AND/OR PROMOTION

NAME COLLEGE/DEPARTMENT/SCHOOL

Promotion from Clinical Assistant Professor to Clinical Associate Professor
(For Informational Purposes Only)

Colleen Boraca Law

Promotion from Associate Professor to Professor

Alexandra Bennett	English
Joseph Bonomo (Early)	English
Geoffrey Bradfield (Early)	Music
William Cassidy	Communication
Nicole Clifton	English
Bradrick Cripe	Accountancy
Anthony Devroye	Music
Amanda Durik	Psychology
Sean Farrell	History
Valerie Garver	History
Todd Gilson	Kinesiology and Physical Education
Liping Guo	Technology
Wendell Johnson	University Libraries
Jinsook Kim	Health Studies
So-Yeun Kim	Kinesiology and Physical Education
Lichuan Liu	Electrical Engineering
David Maki	Music
Bradford Pillow	Psychology
Carolyn Pluim	Leadership, Educational Psychology and Foundations
Laurel Rigertas	Law
Timothy Ryan	English
Masih Shokrani	Health Studies
Hans Brendon Swedlow	Political Science

Tenure and Promotion from Assistant Professor to Associate Professor

Jose Bello-Cruz (Short-Track)	Mathematical Sciences
Aaron Deslatte (Early)	Public Administration
Courtney Gallaher	Geographic and Atmospheric Sciences
Sarah Geiger	Health Studies
Mya Groza	Marketing
Laura Heideman	Sociology
Natalie Joy	History
Carrie Kortegast	Counseling, Adult and Higher Education
Emma Kuby	History
Nicole LaDue	Geology and Environmental Geosciences
Emily McKee	Anthropology
William Mills, III	Technology

NAME COLLEGE/DEPARTMENT/SCHOOL

Tenure and Promotion from Assistant Professor to Associate Professor (cont.)

Todd Reeves	Educational Technology, Research and Assessment
Jason Rhode (Short-Track)	Educational Technology, Research and Assessment
Ji-Chul Ryu	Mechanical Engineering
Andrew Setterstrom	Operations Management and Information Systems
Nathan Stansell	Geology and Environmental Geosciences
Kelly Summers	Leadership, Educational Psychology and Foundations
Michelle (Chaoxiong) Xia	Statistics (tenure home is Mathematical Sciences)

Tenure Only at the Rank of Associate Professor

Elizabeth Kahn (Short-Track)	English
Michael Oswalt	Law

Tenure Only at the Rank of Professor

Evgueni Nesterov	Chemistry and Biochemistry
Paul Priester	Interdisciplinary Health Professions

Hired at the Rank of Professor with Tenure

M. Beth Fisher Ingram (5/16/19)	Economics
Daewoo Park	Management

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Recommendations for Faculty Tenure and/or Promotion.

**AMENDMENT - RECOMMENDATIONS FOR
FACULTY TENURE AND/OR PROMOTION**

NAME COLLEGE/DEPARTMENT/SCHOOL

Promotion from Clinical Assistant Professor to Clinical Associate Professor
(For Informational Purposes Only)

Colleen Boraca Law

Promotion from Associate Professor to Professor

Alexandra Bennett	English
Joseph Bonomo (Early)	English
Geoffrey Bradfield (Early)	Music
William Cassidy	Communication
Nicole Clifton	English
Bradrick Cripe	Accountancy
Anthony Devroye	Music
Amanda Durik	Psychology
Sean Farrell	History
Valerie Garver	History
Todd Gilson	Kinesiology and Physical Education
Liping Guo	Technology
Wendell Johnson	University Libraries
Jinsook Kim	Health Studies
So-Yeun Kim	Kinesiology and Physical Education
Lichuan Liu	Electrical Engineering
David Maki	Music
Bradford Pillow	Psychology
Carolyn Plum	Leadership, Educational Psychology and Foundations
Laurel Rigertas	Law
Timothy Ryan	English
Masih Shokrani	Health Studies
Hans Brendon Swedlow	Political Science

Tenure and Promotion from Assistant Professor to Associate Professor

Jose Bello-Cruz (Short-Track)	Mathematical Sciences
Aaron Deslatte (Early)	Public Administration
Courtney Gallaher	Geographic and Atmospheric Sciences
Sarah Geiger	Health Studies
Mya Groza	Marketing
Laura Heideman	Sociology
Natalie Joy	History
Carrie Kortegast	Counseling, Adult and Higher Education
Emma Kuby	History
Nicole LaDue	Geology and Environmental Geosciences
Emily McKee	Anthropology
William Mills, III	Technology

<u>NAME</u>	<u>COLLEGE/DEPARTMENT/SCHOOL</u>
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Tenure and Promotion from Assistant Professor to Associate Professor (cont.)

Todd Reeves	Educational Technology, Research and Assessment
Jason Rhode (Short-Track)	Educational Technology, Research and Assessment
Ji-Chul Ryu	Mechanical Engineering
Andrew Setterstrom	Operations Management and Information Systems
Nathan Stansell	Geology and Environmental Geosciences
Kelly Summers	Leadership, Educational Psychology and Foundations
Michelle (Chaoxiong) Xia	Statistics (tenure home is Mathematical Sciences)

Tenure Only at the Rank of Associate Professor

Elizabeth Kahn (Short-Track)	English
Michael Oswalt	Law

Tenure Only at the Rank of Professor

Evgueni Nesterov	Chemistry and Biochemistry
Paul Priester	Interdisciplinary Health Professions

Hired at the Rank of Professor with Tenure

Mansoor Alam	Electrical Engineering
Andrew Glendening	Music
M. Beth Fisher Ingram (5/16/19)	Economics
Yueh-Jaw Lin	Mechanical Engineering
Daewoo Park	Management
Tariq Shamim	Mechanical Engineering

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Recommendations for Faculty Tenure and/or Promotion.

**AUTHORIZATION TO RETAIN EXECUTIVE SEARCH FIRMS FOR THE
APPOINTMENT OF SPECIFIC DEAN LEVEL POSITIONS**

Summary: At the May 29, 2014, Special Board meeting, the Board authorized the President to select executive search firms for the search for University Deans and that such selection be from the list of prequalified search firms. It was further recommended that the President periodically report back to the Board regarding selection and status of such searches.

In Fiscal Year 2019, there was a successful national search for the Executive Vice President and Provost, supported by an executive search firm, in accordance with recommendations by the Board that authorized procurement of such services. Participants on the selection committee found the support provided by executive search firms to be valuable, particularly their assistance with the following aspects of the search process: construction of the position profile; active and passive candidate recruitment; and confidential management of applications and references prior to the public announcement of finalists.

In Fiscal Year 2020, searches may be initiated for the deans of the College of Law and College of Liberal Arts and Sciences. 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 29, 2014, it is recommended that the Board authorize the President to retain such executive search services to assist with these searches, with the provision that the President report such plans to the Board when practicable. Due to the critical roles and functions that deans fulfill at the university and the further expansion of the dean role in fundraising and enrollment management, there is a justifiable need to use search firms for such positions, per paragraph (2) of the university's policy.

Recommendation: The Academic Affairs, Student Affairs and Personnel Committee recommends Board of Trustees approval of the Authorization to Retain Executive Search Firms for the Appointment of Specific Dean Level Positions.

**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 2018 AUDIT RESULTS

Briefing by Shyree Sanan regarding Audited Financial Statements and Financial Results for the Year Ended June 30, 2018 followed by Fiscal Year 2018 External Audit Corrective Action Plans Update was presented at the May 9 FACFO meeting. Information is below.

FY18 Audited Financial Results



- Received “Unqualified” audit opinion (best outcome)
- Net position decreased by \$2.5 million
- Focus on adjusted net working capital
- Summary of long-term debt position
- Progress towards continued commitment to transparency

2018 Change in Net Position Summary



The following comparative summary illustrates the lingering impact of a two-year State budget impasse and the declining tuition revenue on net position:

	2018 (\$000's)	2017 (\$000's)	\$ change	% change
Operating Activities:				
Tuition and fees, net	\$ 104,152	\$ 127,256	\$ (23,104)	-18.2%
Net revenues	147,271	148,312	(1,041)	-0.7%
Net expenses	(582,957)	(559,239)	23,718	4.2%
Operating loss	\$ (331,534)	\$ (283,671)	\$ (47,863)	-16.9%
Nonoperating & Other Activities:				
State appropriation – general	\$ 124,806	\$ 48,316	\$ 76,490	158.3%
State appropriation - on behalf payments	183,539	179,204	4,335	2.4%
Net other revenues (expenses)	52,605	17,940	34,665	193.2%
Other revenues	9,297	7,810	1,487	19.0%
Nonoperating & Other Revenues	\$ 370,247	\$ 253,270	\$ 116,977	46.19%
Increase (Decrease) in net position	\$ 38,713	\$ (30,401)	\$ 69,114	227.3%
Net Position, Beginning of Year	\$ 194,837	\$ 225,238	\$ (30,401)	-13.5%
Change in accounting principle (OPEB)	(44,390)	-	(44,390)	
Restatement for gift agreements	3,092	-	3,092	
Net Position, Beginning of Year, as restated	\$ 153,539	\$ 225,238	\$ (71,699)	-31.8%
Net Position, End of Year	\$ 192,252	\$ 194,837	\$ (2,585)	-1.3%

2018 Statement of Net Position Summary



A high level summary comparison of the University's assets, liabilities and net position at June 30, 2018 and June 30, 2017:

	2018 (\$000's)	2017 (\$000's)	\$ change	% change
Current Assets:				
Cash and investments	75,802	8,401	67,401	802.3%
Restricted cash and investments	45,402	14,775	30,627	207.3%
Other current assets	30,555	50,094	(19,539)	-39.0%
Noncurrent Assets:				
Cash and investments	-	2,991	(2,991)	-100.0%
Restricted cash and investments	63,880	92,888	(29,008)	-31.2%
Other assets	449,857	460,034	(10,177)	-2.2%
Total Assets	\$ 665,496	\$ 629,183	\$ 36,313	5.8%
Deferred Outflows of Resources	\$8,564	\$1,894	\$6,670	352.2%
Current liabilities	63,376	62,208	1,168	1.9%
Noncurrent liabilities	413,700	374,032	39,668	10.6%
Total Liabilities	\$ 477,076	\$ 436,240	\$ 40,836	9.4%
Deferred Inflows of Resources	\$4,732	-	\$4,732	100.0%
Net Position	\$ 192,252	\$ 194,837	\$ (2,585)	-1.3%

2018 Working Capital Focus



Working capital is one common measure of liquidity, and measures an organization's ability to meet its short-term obligations. A comparative summary of adjusted working capital follows:

	2018 (\$000's)	2017 (\$000's)	\$ change
Working Capital:			
Current Assets	\$ 151,759	\$ 73,270	\$ 78,489
Current Liabilities	\$ 63,376	\$ 62,208	\$ (1,168)
Total	\$ 88,383	\$ 11,062	\$ 77,321
Adjustments:			
Current Restricted Cash & Investments	\$ (45,402)	\$ (14,775)	\$ (30,627)
Noncurrent Cash & Investments	\$ -	\$ 2,991	\$ (2,991)
Total Adjustments:	\$ (45,402)	\$ (11,784)	\$ (33,618)
Adjusted Working Capital	42,981	\$ (722)	43,703
Adjusted Working Capital Ratio (adjusted current assets/current liabilities)	1.68	-0.99	2.67

A good working capital is considered anything between 1.2 and 2.0.

Long-term Debt Position



The following table provides a summary of the University's debt obligations, including performance contracts, notes and revenue bonds, and capital leases for the past five years (excludes new Other Post-Employment Benefits liability) :

	FY19	FY18	FY17	FY16	FY15
	(\$000's)	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Debt obligation payable, beginning of year	\$351,752	\$359,365	\$369,796	\$372,608	\$380,244
Current year changes:					
New borrowing	-	\$ 2,527	-	\$ 5,600	-
Principal repayment	\$ (10,502)	\$ (9,973)	\$ (10,264)	\$ (9,346)	\$ (7,926)
Change in unamortized bond (premium) discount	\$ (167)	\$ (167)	\$ (167)	\$ 934	\$ 290
Net change	\$ (10,669)	\$ (7,613)	\$ (10,431)	\$ (2,812)	\$ (7,636)
Debt obligation payable, end of year	<u>\$341,083</u>	<u>\$351,752</u>	<u>\$359,365</u>	<u>\$369,796</u>	<u>\$372,608</u>

* FY19 amounts are unaudited

Progress Towards Continued Commitment to Transparency



✓ Completed reconciliation from FY18 budget results to FY18 audited financials

✓ Reviewed FY18 budget results to FY18 audited financials to test assumptions

✓ Applied assumptions and assessed impact to the FY19 budget to project year end results.

✓ Applied assumptions to inform FY20 budget build process

- Improved Management Reporting
 - ✓ Quarterly budget analysis and GAAP reconciliation
 - Consideration of quarterly dashboard of financial KPIs on a full GAAP basis beginning Q1 – FY2020

FISCAL YEAR 2018 EXTERNAL AUDIT CORRECTIVE ACTION PLANS UPDATE

As a result of FY18 audit findings, the University developed formal corrective action plans intended to strengthen internal controls and address each audit recommendation as described in the FY18 Financial Audit and Compliance Examination. There were thirteen total material audit findings of which seven were repeated from the prior year. The total number of findings decreased by one compared to the prior year. The average number of findings received from all nine Illinois public institutions for FY18 was twelve.

Management has engaged Internal Audit to test the status of corrective action plans for FY18 material audit findings, which will play a critical role in tracking progress to date. Responsible officers have provided status updates on corrective action steps taken during the 2018 fiscal year to address material audit findings. Enclosed is a summary on the corrective action plans that includes the finding description, audit recommendation, and associated risk as defined by the auditors. As noted in the chart below, corrective action plans have been fully implemented or significant progress made towards full implementation. This status update on corrective actions is current as of March 2019.

Finding Number	Description of Finding	Status
Finding 2018-001	Financial Reporting Process (repeated)	Partially Implemented
Finding 2018-002	Untimely Cash Reconciliations (repeated)	Implemented
Finding 2018-003	Enrollment Status Reporting (repeated)	Partially Implemented
Finding 2018-004	Inadequate Internal Controls over Contracts (repeated)	Partially Implemented
Finding 2018-005	Failure to Submit Proper Time Reporting (repeated)	Partially Implemented
Finding 2018-006	Noncompliance with Campus Security Enhancement Act of 2008	Partially Implemented
Finding 2018-007	Lack of Annual Performance Reviews	Partially Implemented
Finding 2018-008	Inadequate Controls Over I-9 Forms	Partially Implemented
Finding 2018-009	Noncompliance with Tuition and Fee Waiver Requirements	Partially Implemented
Finding 2018-010	Noncompliance with the Reporting Requirements over Capital Projects	Partially Implemented
Finding 2018-011	Subsidies between Accounting Entities	Partially Implemented
Finding 2018-012	Inadequate Controls over Property and Equipment (repeated)	Partially Implemented
Finding 2018-013	Lack of Contingency Planning or Testing to Ensure Recovery of Computer Systems (repeated)	Partially Implemented

The University is committed to instituting corrective actions and continuous improvement that will affect positive change, increase accountability, and foster good stewardship over University resources. To this note, a central Ethics and Compliance Office has been created and an Ethics and Compliance Officer recently appointed. The Ethics and Compliance Office was created to assist the University campus in a proactive manner to ensure its activities comply with the laws, regulations, and policies that govern the University and adheres to the highest legal, professional, and ethical standards.

Barriers that limit full implementation of corrective action plans include limited financial and staff resources, high staff turnover, increased workflows, and limited information technology functionality. In addition, the FY18 financial and compliance audit reports were not final until February 13, 2019 and March 15, 2019, respectively, which reduced the amount of lead time available to implement all corrective actions by June 30, 2019.

FY18 FINDINGS AND CORRECTIVE ACTIONS

The summary update below includes the finding description, audit recommendation, and associated risk as defined by the auditors. University comments on implementation status follows. This information is current as of March 2019.

Finding 2018-001: Financial Reporting Process

Definition: University internal controls over financial reporting are not sufficient to prevent material misstatements. Auditor recommended the University improve controls over financial reporting to ensure accurate presentation and disclosure of the University's annual financial statements.

Risk: Delays completion of the audit process and the timely release of the University's financial reports to users. Could lead to significant reporting inaccuracies in the financial statements.

Recommendation Status: Partially Implemented

Comments: The Office of the Controller experienced employee turnover in two critical management positions that delayed full implementation of the corrective action plan in the prior fiscal year. The Controller and Deputy Controller positions were recently filled. It is anticipated that progress toward implementing the recommendation will continue before the fiscal year end, and these same issues will not recur going forward.

Finding 2018-002: Untimely Cash Reconciliations

Definition: University monthly reconciliation for cash accounts were not prepared and reviewed on a timely basis. Auditor recommended the University establish and maintain internal controls to ensure the timely preparation and review of all cash reconciliations.

Risk: Delay the detection and correction of inaccurate account balances and adversely affect the usefulness of financial reports.

Recommendation Status: Implemented

Comments: The Office of the Controller experienced staff turnover during the first half of the 2018 fiscal year. The Accounting Associate position that handles bank reconciliations was refilled and staff training provided to correct this issue. It is not anticipated this same issue will recur going forward.

Finding 2018-003: Enrollment Status Reporting

Definition: University did not complete enrollment status reporting to the U.S. Department of Education accurately and in a timely manner. Auditor recommended the University establish and maintain internal controls to ensure enrollment status reporting is complete, accurate, and performed in a timely manner.

Risk: Students do not properly enter the loan repayment period.

Recommendation Status: Partially Implemented

Comments: The Office of Registration and Records has revised its operating procedures for students who unofficially withdraw or are academically dismissed which will allow timely enrollment reporting to National Student Loan Data System (NSLDS) in accordance with U.S. Department of Education regulations.

Finding 2018-004: Inadequate Internal Controls over Contracts

Definition: University has not established adequate internal controls over contracts to ensure they are approved prior to performance and comply with all applicable State requirements. Auditor recommended the University establish and maintain internal control procedures to ensure contracts and leases are complete and properly approved prior to performance. Auditors also recommended that the University adhere to State laws, regulations, and University policies and procedures.

Risk: Noncompliance with State statutes and regulations leaves the University vulnerable to unnecessary liabilities and potential legal problems and procuring goods or services at a higher rate than would have been otherwise paid.

Recommendation Status: Partially Implemented

Comments: Procurement Services and Contract Management has constructed multiple pathways to remediate the audit finding that includes retooling existing operating activities, introducing new operating practices, employee training, and increased cross campus collaboration. The department will continue to educate campus departments through direct communications, training, reminders, and through its website. In addition, the department is creating vendor awareness and reminders through the workflow process to mitigate performance prior to purchase order. These activities will be implemented as information technology and staff resources are available.

Finding 2018-005: Failure to Submit Proper Time Reporting

Definition: University did not require all employees to submit time sheets as required by the State Officials and Employees Ethics Act. Auditor recommended the University continue its efforts to develop and implement a program to require all employees to submit time sheets in accordance with the Act.

Risk: Lack of complete documentation of time spent by faculty and graduate assistants on official state business as contemplated by the Act.

Recommendation Status: Partially Implemented

Comments: Human Resources Services has completed a process design and technical solution to provide the infrastructure in support of faculty time reporting. Efforts are underway to determine an effective solution for graduate assistants due to their unique contract status. In addition, collective bargaining negotiations with faculty are ongoing and results will influence implementation of our plans.

Finding 2018-006: Noncompliance with Campus Security Enhancement Act of 2008

Definition: University did not have adequate controls to ensure that required criminal background investigations were conducted prior to employment for employees hired for security sensitive positions. Auditors recommended the University comply with the requirements of the Act and existing University policies and procedures.

Risk: Noncompliance with the Act and University and may result in allowing access to security sensitive information to individuals who otherwise should not be trusted.

Recommendation Status: Partially Implemented

Comments: Human Resource Services took immediate action to perform a background check on the one employee noted as not having a criminal background check. In addition, the University implemented policy in 2011 that designated all positions to be security sensitive requiring a

background check. This policy will be reviewed and updated to appropriately designate security sensitive positions, as required in the Campus Security Enhancement Act of 2008.

Finding 2018-007: Lack of Annual Performance Reviews

Definition: University did not conduct annual performance reviews for all its employees. Auditors recommended the University take appropriate measures to ensure employee performance reviews are conducted annually.

Risk: Lack of development of employees and communication of performance expectations to employees. No basis for salary adjustments, promotion, demotion, discharge, recall, and reinstatement decisions.

Recommendation Status: Partially Implemented

Comments: Human Resource Services will place additional resources on reminding supervisors to conduct and submit performance evaluations timely.

Finding 2018-008: Inadequate Controls Over I-9 Forms

Definition: University has not established adequate controls over the completion of I-9 forms for employees hired by the University. Auditors recommend the University enhance their controls over the process for preparing and reviewing the I-9 forms to ensure compliance with U.S. Citizenship and Immigration Services (USCIS) requirements.

Risk: A violation of USCIS requirements could expose the University to penalties.

Recommendation Status: Partially Implemented

Comments: Human Resource Services has initiated corrective action to educate and establish training sessions for hiring departments on how to complete the I-9 form.

Finding 2018-009: Noncompliance with Tuition and Fee Waiver Requirements

Definition: University did not comply with certain statutory and regulatory requirements regarding the administration of tuition and fee waiver programs. Auditors recommended the University adopt written procedures and establish internal controls to ensure compliance with applicable statutory and regulatory requirements.

Risk: Noncompliance with statutory and regulatory requirements.

Recommendation Status: Partially Implemented

Comments: Budget Office and Bursar Office worked collaboratively to construct multiple pathways to remediate the audit finding which includes retooling existing operating activities, introducing new operating practices, employee training, documenting procedures, and increasing cross-campus collaboration to ensure tuition waivers do not exceed allowable limits.

Finding 2018-010: Noncompliance with Reporting Requirements over Capital Projects

Definition: University did not meet all of the reporting and documentation requirements of its non-instructional capital projects submitted to the Illinois Board of Higher Education (IBHE) for approval. Auditors recommend the University establish internal controls to ensure timely and complete submissions to the IBHE.

Risk: Diminishes oversight agencies ability to make informed decisions and manage State resources effectively.

Recommendation Status: Partially Implemented

Comments: Facilities Management and Campus Services conducted a comprehensive review of each component of the audit finding and began corrective action to review the details of the administrative code with applicable personnel to ensure full awareness of the subjective submission timelines and financial details required for project documentation. In addition, plans for project documentation submission will occur as soon as practical after obtaining NIU Board approval on applicable projects. It is not anticipated this same issue will recur going forward.

Finding 2018-011: Subsidies between Accounting Entities

Definition: University had subsidies between accounting entities during the current fiscal year. Auditors recommended the University review the activities of the accounting entities and ensure fees charged for services are sufficient to cover expenditures and ensure subsidies between accounting entities do not occur.

Risk: Violation of the University Guidelines.

Recommendation Status: Partially Implemented

Comments: The Division of Administration and Finance has implemented new multi-year budgeting initiatives that will help avoid this issue in the future.

Finding 2018-012: Inadequate Controls over Property and Equipment

Definition: University did not fully comply with requirements applicable to its property and equipment. Auditors recommended the University continue to strengthen its internal controls over the accountability of University property and equipment.

Risk: Noncompliance with state regulations; may result in theft and misuse of assets, resulting in a loss to the University, as well as additional spending to replace assets.

Recommendation Status: Partially Implemented

Comments: Property Control has worked to strengthen its property control protocols, which has significantly reduced the amount of property and equipment unaccounted for over the past year. The department continues to strengthen controls through regular communication with senior leadership during the inventory process, implementing a Missing Asset Internal Investigation Form and Long-term Off-Campus Property Control Form protocol, and adjusting the inventory cycle internal due dates to allow for timely follow up on missing items prior to final submission of the University's inventory certification. Also, efforts have begun to adjust inventory records for remaining items in Lincoln Hall to record the items as non-salvageable.

Finding 2018-013: Lack of Contingency Planning or Testing to Ensure Recovery of Computer Systems

Definition: University did not adequately plan for the recovery of its applications and data. Auditor recommended the University review and update its disaster recovery plan (DRP) at least annually or when significant changes occur; perform and document tests of its disaster recovery plan at least once a year; continuously update the disaster recovery plan to reflect environmental changes; and address any weaknesses identified from tests.

Risk: Exposure to possible major disruptions of services.

Recommendation Status: **Partially Implemented**

Comments: The Division of Information Technology in fiscal year 2019 reviewed and updated its disaster recovery (DR) plan, performed a network DR test, and has initiated plan for annual review/tabletop exercise of DR plan going forward. The division will continue testing its plan and documenting results of these tests and modify the DR plan as significant changes occur.

PRIOR FINDINGS NOT REPEATED

Finding 2017-002: **Inadequate Controls over Reporting Restricted Accounts**

Auditor Comments:

In the current year, we noted the University strengthened their internal controls over reporting restricted accounts in order to ensure adherence to accounting principles generally accepted in the United State of America.

Finding 2017-003: **Noncompliance with Debt Covenants**

Auditor Comments:

In the current year, we noted the University strengthened their internal controls over restricted account transactions to ensure compliance with revenue bond covenants and there were no exceptions noted during our sample tested of restricted account disbursements.

Finding 2017-005: **Return of Title IV Funds Errors**

Auditor Comments:

In the current year, we noted R2T4 calculations were performed accurately and the proper amounts were refunded to the U.S. Department of Education based on our sample tested.

Finding 2017-007: **Outstanding Refund Checks**

Auditor Comments:

In the current year, outstanding refund checks were returned to the U.S. Department of Education in accordance with program regulations based on our sample tested.

Finding 2017-011: **Noncompliance with the Higher Education Veterans Service Act**

Auditor Comments:

In the current year, the University submitted the fiscal impact report to the Illinois Board of Higher Education in a timely manner in compliance with the Act.

Finding 2017-012: **Inadequate Procedures over Maintenance of the Accounts Payable Master Vendor File**

Auditor Comments:

In the current year, this finding was moved to the immaterial letter as finding IM2018-007.

Finding 2017-013: **Noncompliance with the Open Meetings Act**

Auditor Comments:

In the current year, the University provided sufficient detail within agendas provided in advance of the meetings of the Board of Trustees and various committees to evidence compliance with the Illinois Open Meetings Act.

QUARTERLY FINANCIAL SUMMARY – FY19 THIRD QUARTER AS OF MARCH 31, 2019

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

As of March 31, 2019, forecasted net revenue is \$4.8M ahead of budget. Total revenue was short of budget while expenses outperform expectations.

Revenues are short of budget by \$18.5M, or 4% and, excluding the State of Illinois, \$3.6M below last year. It is encouraging to report that core tuition and student fees are slightly above prior period, however, \$2.8M, or 2%, under budget tied to enrollment being less than planned. More significantly is a shortfall to budget of \$14.1M, or 20%, for Gifts, Grants, and Contracts due to unrecognized revenue. Other revenue is projected to come in slightly under budget as a result of the decreased enrollment for FY19.

As mentioned, expenses are performing better than budget, however, expenses are higher than prior period. Total expenses are less than budget, primarily tied to capital repairs, noting that reductions in this category are deferments that will cause future stress on the budget. Other expense variances include savings in contractual services, travel, and commodities of \$5.8M. Expenses in these areas are expected to end the year better than budget due to effectively controlling expenses to keep in line with expected revenue. Scholarship expense is tracking better than budget for the period and is expected to end the year \$7.9M below the targeted budget and is a result of the declining enrollment.

As we look forward and anticipate the second half of the year, net revenue is estimated to be \$4.8M higher than budget. Revenue is expected to be approximately \$18.5M short of budget, and expenses will be \$23.3M better than budget.

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, 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, child care, conference services).
- 5. Rental & Room Income:** Includes room fees for residential students, rental of on-campus and off-campus meeting and conference space, hotel revenues and Northern View apartment revenues.
- 6. Gate Receipts & Commissions:** Includes athletic ticket sales, performing arts ticket sales, commissions and concert/event revenues from the Convocation Center.
- 7. Miscellaneous & Investment Income:** Includes athletics' game guarantees, NIU share of conference tournament revenues, rental of facilities, interest income from investments, gains and losses on disposals of fixed assets, and year-end transfers to mandated reserves in the auxiliary facilities system.

- 8. State of Illinois:** Represents the annual state appropriation to public universities.

Expenses

- 9. Cost of Sales:** Includes the cost of all items purchased for resale on campus such as food for dining units, parts and supplies to be charged out through the campus work order system, as well as paper for pay-to-print copiers and printers.
- 10. Personnel Services:** Includes all salaries paid to faculty, supportive professional staff, civil service, graduate assistants, extra help and student employees. Also includes required payments for Medicare and employee health insurance.
- 11. Contractual Services:** Includes annual software support, subscriptions, conference registrations, non-employee travel reimbursements, service contracts, repairs & maintenance, grounds, building service work charges, speaking fees, and other arrangements with outside contractors to perform services for the University.
- 12. Travel:** Includes airfare, hotel rooms, mileage, meals (all up to limits set by the state and the University), and ancillary expenses for employees to travel to-and-from campus on official university business.
- 13. Automotive:** Includes the cost to rent cars, vans and busses from the university transportation department.
- 14. Scholarships:** Includes scholarships awarded, including Pell Grant funds disbursed (which, when netted against Pell Grant funds received, results in zero effect on the university's cash position).
- 15. Telecommunications:** Includes the cost of providing phone, internet and other digital services to the University.
- 16. Equipment & Library Materials:** Includes the cost of all items over \$100 with an estimated useful life of two years or more, as well as library books, journal subscriptions, manuscripts, films, music and video materials
- 17. Capital Repairs, Debt Service & Other:** Includes the cost of centralized capital repair funds, debt service payment on bonds, certificates of participation and performance contracts. Also includes refunds issued for on-campus external programming and other expenses not classified elsewhere.

Following is a financial summary of the University's operations as of the end of March of FY19 and a comparison perspective to March of FY18.

University All Funds Comparison
As of March 31, 2019
(\$ in thousands)

	Current Year FY19 Third Quarter			Prior Year FY18 Third Quarter		Current Year FY19		
	YTD Actuals	YTD Budget	Variance	YTD Actuals	Variance	YTD Forecast	Annual Budget	Variance
Revenue								
Tuition & Student Fees	\$ 167,375	\$ 133,730	\$ 33,645	\$ 170,290	\$ (2,914)	\$ 175,489	\$ 178,307	\$ (2,818)
Gifts, Grants, & Contracts	47,558	52,741	(5,183)	47,873	(315)	56,204	70,321	(14,117)
Other Fees and Fines	6,263	6,423	(161)	6,275	(12)	7,848	8,564	(716)
Sales	27,068	24,491	2,577	29,718	(2,650)	31,648	32,654	(1,006)
Rental & Room Income	29,459	24,406	5,053	29,560	(101)	30,942	32,541	(1,599)
Gate Receipts & Commissions	4,079	4,121	(41)	3,237	843	4,258	5,494	(1,236)
Miscellaneous & Investment Income	3,067	10,018	(6,951)	1,525	1,542	16,368	13,357	3,011
State of Illinois	82,717	62,744	19,973	64,342	18,375	83,659	83,659	-
Total Revenue	\$ 367,586	\$ 318,673	\$ 48,913	\$ 352,819	\$ 14,768	\$ 406,417	\$ 424,897	\$ (18,480)
Expenses								
Cost of Sales	\$ 2,650	\$ 3,683	\$ (1,033)	\$ 6,289	\$ (3,639)	3,513	\$ 4,910	\$ (1,397)
Personnel Services	165,981	161,764	4,217	165,806	174	217,142	215,685	1,457
Contractual Services	55,827	65,686	(9,859)	52,425	3,402	83,941	87,581	(3,640)
Commodities	4,366	5,601	(1,235)	4,190	177	6,266	7,468	(1,202)
Travel	3,504	4,166	(662)	3,295	209	4,689	5,555	(866)
Automotive	931	948	(17)	921	10	1,267	1,264	3
Scholarships	49,207	43,550	5,658	47,413	1,794	50,101	58,066	(7,965)
Telecommunications	407	510	(104)	280	127	982	680	302
Equipment & Library Materials	6,523	7,451	(928)	4,827	1,696	11,388	9,935	1,453
Capital Repairs, Debt Service & All Other	8,465	25,315	(16,850)	9,019	(554)	22,344	33,753	(11,410)
Total Expenses	\$ 297,860	\$ 318,673	\$ (20,813)	\$ 294,465	\$ 3,395	\$ 401,632	\$ 424,897	\$ (23,265)
Net Revenue	\$ 69,726	\$ (0)	\$ 69,726	\$ 58,354	\$ 11,372	\$ 4,785	\$ (0)	\$ 4,785

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 organizations 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 specific goals for the organization.

The change in net position is estimated as of March 31, 2019, and was calculated using the FY18 annual GAAP figures. Following is a reconciliation from the University's Budget to GAAP financial statements as of March 31, 2019.

Budget to GAAP Reconciliation

(\$ in thousands)

Net Revenue, per Budget	\$ 69,726
Depreciation Expense	(20,768)
Debt principal	<u>7,480</u>
Increase in Net Position, per GAAP	\$ 56,438

**Unaudited*

As of March 31, 2019, the estimated increase to net position is \$56.4M. However, the June 30, 2019 net position is expected to decrease by \$12.4M, from \$192.2M to \$179.8M. Based on the forecasted budget year-to-date net revenue of \$4.7M, estimated annual depreciation expense of \$27.6M, and annual debt principal of \$10.5M, results in an overall decrease in net position of \$12.4M. This decrease in net position is primarily due to depreciation expense being a non-budgeted item. The estimated 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	<u>(12,403)</u>
Net Position, June 30, 2019	<u><u>\$ 179,849</u></u>

**Unaudited*

FISCAL YEAR 2020 UNIVERSITY BUDGET–PRELIMINARY SUMMARY

Background: Annually, the University seeks the Board’s approval of the budget for the next fiscal year. Herein, the FY20 budget is presented in a preliminary format in advance of a confirmed State appropriation. The final budget recommendation will be brought to the Board for approval once the University has received an enacted appropriation from the State; in most previous years, this has occurred in early June.

The release of a Strategic Enrollment Management Plan that is consistent with NIU’s mission and that has realistic enrollment projections has provided critical information to drive financial planning efforts. Acknowledging that NIU is a 17,000-18,000 undergraduate, graduate, and online student institution allows forecasting of the University’s financial performance into the future. With this information, the University’s budget process must be improved to be more forward thinking and goal driven.

Previously, the University budget process focused on the next fiscal year’s needs and projected shortfalls, rather than a longer time period. Program Prioritization was the first critical step in looking ahead and creating a more disciplined approach in identifying savings and the need for long-term investment. In January 2019 a new and transparent multi-year budgeting process was launched.

The new budgeting process includes investments in crucial areas to support NIU’s mission, vision, and values. Specifically, financial commitments have been made for:

- Enrollment management, research and engagement initiatives;
- Financial aid and scholarships for students, including AIM High; and
- Faculty and staff salary increments, and graduate assistantship stipend increases.

When these investments are considered in the larger context, the budget must also respond to the past decade’s long-term declines in revenue, resulting from reduced state appropriations and declining enrollment. If action is not taken, it is anticipated that there will be an annual shortfall of approximately \$28M per year, lasting at least from FY20 to FY23. These projections are based on current estimates of the revenue and expense drivers for the University including enrollment projections, state appropriations, and the investments listed above. Responding to recurring shortfalls with a multi-year approach will allow the University the necessary time to thoughtfully and deliberately correct and remodel the University appropriately.

A transparent, multi-year budget process is new to the University and has not been in effect previously. As a result, the numbers reflected in the preliminary budget offer new visibility into the financial stability of NIU. University leadership is committed to closing the budget shortfall before FY24 and reducing reliance on cash, as well as the adverse impact to net position.

Northern Illinois University - FY20-24 Projected Financial Performance Summary
Preliminary DRAFT - Information as of 4/30/19

	YTD Forecast		Preliminary Budget Request:			
	FY19	FY20	FY21	FY22	FY23	FY24
REVENUE						
General operating revenues	147,268,817	146,803,425	146,803,425	146,803,425	146,803,425	146,803,425
Tuition & fees	175,489,117	178,097,583	177,072,869	180,087,184	183,108,212	188,073,220
State appropriation	83,659,000	87,759,200	87,759,200	87,759,200	87,759,200	87,759,200
TOTAL REVENUE	<u>406,416,935</u>	<u>412,660,208</u>	<u>411,635,495</u>	<u>414,649,809</u>	<u>417,670,837</u>	<u>422,635,846</u>
EXPENSE						
General operating expenses	377,088,887	386,555,758	385,541,727	386,372,163	387,042,828	385,502,051
Capital improvements	2,200,000	2,650,000	3,400,000	4,150,000	4,900,000	5,650,000
Debt service	22,343,535	31,483,795	31,483,795	31,483,795	31,483,795	31,483,795
TOTAL EXPENSE	<u>401,632,422</u>	<u>420,689,553</u>	<u>420,425,522</u>	<u>422,005,958</u>	<u>423,426,623</u>	<u>422,635,846</u>
Net Revenue - Budgeted Surplus/(Deficit)	<u>4,784,513</u>	<u>(8,029,345)</u>	<u>(8,790,028)</u>	<u>(7,356,149)</u>	<u>(5,755,786)</u>	<u>-</u>
CASH USE:						
Cash Use to Close Budget Shortfall	\$ -	\$ 8,029,345	\$ 8,790,028	\$ 7,356,149	\$ 5,755,786	\$ -
BUDGET SURPLUS (DEFICIT):	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
NET POSITION IMPACT:						
Projected Beginning Net Position, July 1, 20XX	\$ -	\$ 179,849,000	\$ 155,092,655	\$ 130,102,627	\$ 107,084,479	\$ 85,690,693
Change in Net Position:	-	-	-	-	-	-
Projected Budget Results	-	(8,029,345)	(8,790,028)	(7,356,149)	(5,755,786)	-
Net Reconciling items (depreciation/debt principal)	-	(16,727,000)	(16,200,000)	(15,662,000)	(15,638,000)	(15,052,000)
Projected Ending Net Position, June 30, 20XX	<u>\$ 179,849,000</u>	<u>\$ 155,092,655</u>	<u>\$ 130,102,627</u>	<u>\$ 107,084,479</u>	<u>\$ 85,690,693</u>	<u>\$ 70,638,693</u>

Comments: The University submits for review a preliminary FY20-FY24 budget. At this time, the University projects an all-funds \$8M shortfall between projected revenues and expenses in FY20. The shortfall is consistent with NIU's modeling of the budget and commitment to realize a structurally balanced budget by FY24 and allows time to make thoughtful and deliberate resource decisions in support of NIU's mission, vision, and values. The planned shortfall is attributed to:

- Moving to align academic offerings and administrative functions in support of University goals;
- Investing in crucial areas to support NIU's mission, vision, and values;
- Deploying a multi-year time horizon (FY20-FY23) to realize the structural changes necessary; and
- Achieving sustainable fiscal actions with limited use of cash reserves.

The FY20 operating budget includes several noteworthy characteristics:

- Anticipates \$4.1M in increased State appropriations, consistent with Governor Pritzker's proposed budget;
- Incorporates an expected increase in new students (53) and a decline in continuing student enrollment (271), consistent with the Strategic Enrollment Management Plan;
- Incorporates an increase in scholarship support for students; and
- Reflects over \$17.6M in savings and new revenues to the education and general fund from new or expanded efforts to promote operational efficiency and expense reduction.

During the FY20 budget development process, in anticipation of a budget shortfall approaching \$28M, divisions were asked to identify opportunities for increasing revenue and decreasing expenses. A specific adjustment for each division was recommended after consideration of the unit's proposed actions and plans, as well as the University's mission and strategic priorities. The Divisions of Information Technology, Intercollegiate Athletics, and Outreach, Engagement and Regional Development were asked to reduce expenditures by more than 18 percent. Several others, including the Divisions of Administration and Finance, Student Affairs, and Research and Innovation Partnerships have targeted contributions of 14 percent. Academic Affairs is committed to a 10 percent adjustment. University Administrative Services and the Division of Enrollment Management, Marketing and Communications were not assigned targets in order protect the vital functions of student enrollment and campus safety.

As reflected in budget projections for FY21, FY22, FY23, and FY24, these commitments for the coming fiscal year provide the foundation for a structurally balanced education and general fund budget by mid-decade. Future year budget projections incorporate the enrollment goals of the Strategic Enrollment Management Plan, assume modest annual increases to undergraduate tuition and fees beginning in FY21, provide annual salary increments, assume 3% annual expense reduction targets, and provide for a Strategic Initiatives Fund to allow for critical and timely investments that support financial stability and mission fulfillment.

Efforts to Finalize the FY20 Budget

Now through June, efforts will continue to balance and finalize the budget. Specifically, the following will influence the final FY20 operating budget brought to the Board for approval:

- Final amount of State appropriation;
- Updated enrollment projections;
- Expense reductions and revenue growth from Colleges and Divisions; and
- Potential funding from the State in support of capital projects/deferred maintenance.

Efforts will continue to close the budget shortfall before FY24 and reduce reliance on cash, as well as the adverse impact to net position.

PERIODIC REPORT ON INVESTMENTS FOR PERIOD ENDING MARCH 31, 2019

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

- Cash and Investment Holdings Summary as of March 31, 2019
- Investment Earnings report for the quarter ending March 31, 2019

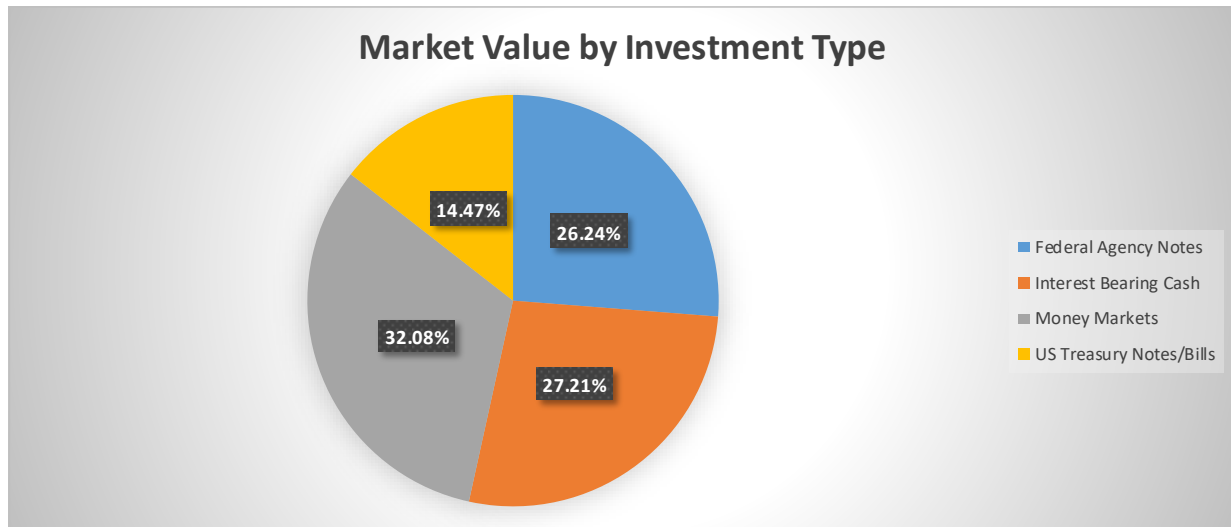
The *Cash and Investment Holdings Summary* shows the ending balances, book values, and market values for Northern Illinois University's cash and investments. At March 31, 2019, total holdings were approximately \$186 million. Prior year holdings at the end of the third quarter were about \$206 million. The \$20 million difference is due primarily to the timing of receipt of State payments. It is expected that the remaining \$20 million of appropriation due from the State will be received by the fiscal year end.

The *Investment Earnings* report shows the interest earnings for the third quarter of FY19 and the annualized rates of return for this quarter as well as the three previous quarters for all invested funds. Although the invested balance is \$20 million lower than the same time last year, higher interest rates have resulted in larger interest earnings of \$985,374. This includes \$320,000 more interest income than was earned in the third quarter of FY18. Additionally, the investment portfolio's average annualized rate of return has steadily increased from 1.58% to 2.03%.

Treasury Operations monitors market conditions and implements investment strategies in efforts to earn the greatest yield and maintain necessary liquidity while complying with NIU policy and the State of Illinois Public Funds Investment Act. In 2018, the investment strategy focused on short-term investments, which yielded increased revenue for the University as evidenced by the additional interest income mentioned above. As of March 2019, 3-6-month Treasury and Agency Notes were yielding higher rates than the same instruments with 5-year maturities. At the end of this quarter, the Illinois Fund was earning slightly greater yields than those short-term government securities. This inverted yield curve allows the University to earn more interest income by holding shares in money market funds than by reinvesting in the fixed income market. Management will continue to monitor market conditions and adjust investment strategies to earn the greatest yield and maintain the necessary liquidity given the university priorities.

NORTHERN ILLINOIS UNIVERSITY
CASH and INVESTMENT HOLDINGS SUMMARY
 March 31, 2019
 For Fiscal Year 2019

Investment Type	Purchase Price/ Ending Bal *	Book Value **	Market Value ***
Federal Agency Notes:			
Local Funds	\$ 48,650,777	\$ 48,863,897	\$ 48,831,245
Interest Bearing Cash Accounts:			
Local Funds	\$ 50,651,167	\$ 50,651,167	\$ 50,651,167
Project Funds	711	711	711
	<u>\$ 50,651,878</u>	<u>\$ 50,651,878</u>	<u>\$ 50,651,878</u>
Money Markets:			
Local Funds	\$ 41,568,302	\$ 41,568,302	\$ 41,568,302
Project Funds	18,146,636	18,146,636	18,146,636
	<u>\$ 59,714,938</u>	<u>\$ 59,714,938</u>	<u>\$ 59,714,938</u>
US Treasury Notes/Bills:			
Local Funds	\$ 26,889,426	\$ 26,971,144	\$ 26,928,502
TOTAL INVESTMENT HOLDINGS	\$ 185,907,019	\$ 186,201,857	\$ 186,126,563
Non-interest Bearing Cash	\$ 315,439	\$ 315,439	\$ 315,439
TOTAL CASH & INVESTMENT HOLDINGS	\$ 186,222,458	\$ 186,517,296	\$ 186,442,002
TOTAL REPORTED FOR 03/31/2018	\$ 206,663,593	\$ 206,645,367	\$ 206,458,456



* 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 2019
January 1 2019 - March 31 2019**

	March 31 Ending Balance	Average Daily Investment Balance	Percent of Portfolio	Income Earned	Annualized Rates of Return			
					FY 2019			FY 2018
					3rd Qtr	2nd Qtr	1st Qtr	4th Qtr
Short-Term Investment Accounts								
Illinois Funds	\$ 41,568,302	\$ 39,010,336	19.86%	\$ 235,431	2.448%	2.244%	1.971%	1.746%
Investment Accounts - Financial Institutions	\$ 50,651,167	\$ 62,179,227	31.66%	\$ 371,597	2.424%	2.279%	2.025%	1.764%
Investment Accounts - Project Funds	\$ 18,147,347	\$ 19,814,389	10.09%	\$ 100,278	2.052%	1.735%	1.454%	1.227%
ST Investment Accounts Total	\$ 110,366,816	\$ 121,003,953	61.60%	\$ 707,306	2.371%	2.138%	1.878%	1.671%
Fixed Income Securities								
Local Funds	\$ 75,540,203	\$ 75,422,935	38.40%	\$ 278,068	1.475%	1.643%	1.537%	1.391%
Project Funds	\$ -	\$ -	0.00%	\$ -	-	-	-	1.614%
Fixed Income Securities Total	\$ 75,540,203	\$ 75,422,935	38.40%	\$ 278,068	1.475%	1.643%	1.537%	1.391%
Non-interest Bearing Cash	\$ 315,439	\$ -	-	-	-	-	-	-
COMBINED TOTAL	\$ 186,222,458	\$ 196,426,888	100.00%	\$ 985,374	2.03%	1.90%	1.73%	1.58%

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

**QUARTERLY SUMMARY REPORT OF
TRANSACTIONS IN EXCESS OF \$100,000 FOR THE PERIOD
JANUARY 1, 2019 TO MARCH 31, 2019**

Purchase Amount	No. of Transactions	Appropriated	Non-Appropriated	Total
Over \$100,000	5	\$59,100	\$820,050	\$879,150

TRANSACTIONS DETAIL:

Purchases:

1. Procurement worked with Research and Innovation Partnerships to competitively initiate a request for proposal (RFP) and advertise in the Illinois Procurement Bulletin for an updated electronic research administration system. This procurement is a Fiscal Year 2020 requirement. 130,000
2. The Department of Intercollegiate Athletics requested permission to pay FY20 NIU Men's Basketball tournament fees. This order was exempt from advertising on the Illinois Procurement Bulletin because this is a public institution of higher education event (30 O:CS 500 / 1-13(b)(4)). (Ross Potts Productions, Inc., Winchester, VA) 150,000

Capital Improvement Projects:

1. Maintenance and repairs were required at the West Heating Plant/West Chiller Plant to ensure that the aging steam boilers and associated steam distribution equipment at the West Plant has the ability and capacity to operate and generate steam needed for the entire campus during the summer season. Many of the repairs were related to worn, broken or non-functioning steam valves, nozzles, gauges, vents, expansion joints, control calibration and other failed equipment that can cause serious operational and safety hazards or problems. To ensure that the reliable and safe steam production capacity is available for the next summer season, the maintenance and repairs were completed during the winter shutdown of the West Heating Plant. Additionally, the West Chiller Plant occupies space in this building and the Cooling towers and chillers required annual maintenance to ensure the campus will have chilled water for the upcoming cooling season. These repairs included adding vibration sensors to the cooling towers, replacement/repair of valves and addressing electrical operational and safety issues. *Appropriated funds=\$59,100; Institutional Funds=\$59,100

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

2. Repairs were required on the Convocation Center cooling towers. The cooling towers' existing spray nozzles were failing, and parts were no longer available. The planned scope included replacement of various components including a new gravity flow hot water box with all new nozzles and hardware. To ensure the reliable supply of cooling for the building in the upcoming cooling season, these repairs needed to be completed before the cooling season begins and no later than the end of April.

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

3. The renovation of the 3 Sons Cafe in Barsema Hall with a Freshens franchise will allow for efficiency in service through a new grab and go area, provide more nutritional options as well as improve the retail experience with today's trends for students, faculty and staff. As part of a campus wide dining strategy consistent with peer institutions, the revitalization of the existing food venue will improve to balance the mix of food options between residential dining halls and retail cafés.

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

*Appropriated/Income Funds

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 Capital Development Board-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 Design Phase

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

Total Project Budget: \$16,000,000

Funding Source: Institutional - Auxiliary Reserves &
FY19 – CDB State Appropriated

Authorization Date: June 2017

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

2. Critical Steam Isolation Valve and Expansion Joint Replacement

Total Project Budget: \$501,000 (\$476,000 CDB + \$25,000 NIU)

Funding Source: FY19 - CDB State Appropriated & NIU local funds

Authorization Date: December 2018

Status: The University has entered into an Inter-Governmental Agreement with Capital Development Board whereby NIU will execute the work and be reimbursed once work has been completed. Work is anticipated to be completed June 2019.

II. Projects in the Construction Phase

1. Stevens Building – Addition & Renovation

Total Project Budget: \$37,300,135

Funding Source: FY10 – CDB Amended FY17 &
FY17 – NIU Appropriated Funds

Authorization Date: March 2017

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. Contractors are correcting warranty items and the final payment application is in process.

B. NORTHERN ILLINOIS UNIVERSITY PROJECTS

I. Projects in the Planning Phase

1. Holmes Student Center / Neptune Complex Redevelopment Plans

Total Project Budget: \$1,500,000

Funding Source: Bond Series 2010 Project

Authorization Date: June 2014

Status: Master-planning work has been completed. Final payments for the planning work are in process. Last report for this project.

2. Stevenson and Grant Residence Halls – Building Envelope Repairs

Total Project Budget: \$525,000

Funding Source: Institutional - Auxiliary Reserves

Authorization Date: December 2016

Status: Progress has been limited by resource availability and other priorities. An assessment of the existing exterior building envelope (walls) will provide a refined cost estimate and detailed specifications for repair work needed. Assessment and design work will be planned for FY20.

3. Holmes Student Center Hotel Tower – Building Envelope Repairs

Total Project Budget: \$250,000

Funding Source: Institutional - Auxiliary Reserves

Authorization Date: December 2016

Status: Progress has been limited by resource availability and other priorities. An assessment of the existing exterior building envelope (walls) will provide a refined cost estimate and detailed specifications for repair work needed. Assessment and design work will be planned for FY20.

II. Projects in the Design Phase

1. 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: Bidding documents are in process. Construction work will be planned and scheduled to take advantage of semester breaks and summer schedules. Future reports of this project will be included in “Projects in the Construction Phase” section of this report.

2. 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. Scope is currently being revisited to confirm alignment with current parking lot condition and available funding. Anticipating costs to be significantly less than the approved budget.

III. Projects in the Construction Phase

1. DeKalb Campus – Electrical Infrastructure Replacement Phase II

Total Project Budget: \$2,580,000

Funding Source: Bond Series 2010 Project & Appropriated Funds – Admin Support

Authorization Date: March 2013

Status: Construction started in fall of 2013 and is approximately 99% complete. A consulting engineer is completing a critical survey of the existing electrical service at each building. This work will continue to be scheduled to take advantage of semester breaks and as schedules allow and should be complete by the end of FY19.

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 which has been delayed due to limited resources and other priorities. The work is approximately 26% complete and remaining scope is being prioritized in accordance with other demands.

3. DeKalb Campus – Electrical Infrastructure Replacement Phase III

Total Project Budget: \$2,550,000

Funding Source: Appropriated Funds & Bond Series 2010 Project

Authorization Date: March 2014

Status: Construction work began in late 2014 and is approximately 29% complete. Work is and will be planned and scheduled to take advantage of semester breaks, weekends, and summer schedules and as funding allows.

4. Holmes Student Center – Phase I Redevelopment

Total Project Budget: \$20,900,000

Funding Source: Bond Series 2010 Project & Auxiliary Reserves

Authorization Date: February 2019 Amended

Status: Construction work began in October 2018 and is ongoing. Work is currently approximately 40% complete. Substantial completion of construction work is anticipated by October, with most operations resuming in November/December.

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 has been on-going and is anticipated to be completed to support fall semester 2019 occupancy.

6. Founders Library – Discover Financial Services Renovation

Total Project Budget: \$1,000,000 (estimated)

Funding Source: Lessee Improvement

Authorization Date: December 2017

Status: Work has been completed and Discover is occupying the space. Contractors are completing remaining punch list work and final payment applications are in process. Final report for this project.

7. Convocation Center – Replace Video Board/Scoreboard

Total Project Budget: \$1,270,000

Funding Source: Institutional – Auxiliary Reserves & Institutional – Local Funds

Authorization Date: March 2018

Status: Work is complete and final payment applications are in process. Final report for this project.

8. Lorado Taft Campus – Repair Roofs on Five Buildings

Total Project Budget: \$214,200

Funding Source: Institutional – Local Funds

Authorization Date: Mau 2018 Amended

Status: All work is complete. Final payment applications are in process. Final report on this project.

9. DeKalb Campus – FY18 West Campus Steam Outage Repairs

Total Project Budget: \$108,850

Funding Source: Institutional - Auxiliary Reserves & Appropriated – Income Funds

Authorization Date: May 2018

Status: All work is complete. Final payments have been made. Final report on this project.

10. Telephone & Security – Asian American Resource Center Relocation

Total Project Budget: \$132,650

Funding Source: Appropriated – Income Funds

Authorization Date: June 2018

Status: Work is complete and AARC has taken occupancy of the space. Final payments are in process. Final report on this project.

11. DuSable Hall – Dugout Food Venue Remodel

Total Project Budget: \$105,000

Funding Source: Institutional – Auxiliary Reserves

Authorization Date: June 2018

Status: Work has been completed and the food venue has been in operation since the fall semester. Final payments are in process. Final report on this project.

12. Residence Halls – FY19 Rotation Painting

Total Project Budget: \$249,000

Funding Source: Institutional – Auxiliary Reserves

Authorization Date: July 2018

Status: Work is in process and being scheduled when feasible and to minimize disruptions. The work is approximately 80% complete; the work will continue with completion anticipated in May 2019.

13. DeKalb Campus – FY19 Roadway Repairs

Total Project Budget: \$106,750

Funding Source: Institutional - Auxiliary Reserves & Appropriated – Income Funds

Authorization Date: July 2018

Status: All work is complete. Final payments have been made. Final report on this project.

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

Total Project Budget: \$130,500

Funding Source: Appropriated – Income Funds

Authorization Date: September 2018

Status: Access control improvements have been completed. Remaining renovation work will continue through August 2019 to support fall semester art operations.

15. Founders Library – Room 71N Renovation

Total Project Budget: \$116,200

Funding Source: Institutional – Local Funds

Authorization Date: October 2018 Amended

Status: Improvements for adjacent space to Discover operations. Work is complete and final payment applications are in process. Final report on this project.

16. 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 is currently in progress and is approximately 20% complete. Work is anticipated to be complete by early June.

17. Stevenson Complex – Security Camera Upgrade

Total Project Budget: \$130,000

Funding Source: Institutional – Auxiliary Funds

Authorization Date: December 2018

Status: Work is in progress and currently approximately 50% complete with completion anticipated before the end of the fiscal year.

18. Convocation Center – Update Nelson Suite

Total Project Budget: \$310,000

Funding Source: Foundation – Donor Funds & Foundation – Athletics Funds

Authorization Date: December 2018 Amended

Status: Work has been completed. Contractors are completing remaining punch list items and final payment applications are in process. Final report on this project.

19. Stevenson Complex – Convert Dining Area

Total Project Budget: \$450,000

Funding Source: Institutional – Auxiliary Reserves

Authorization Date: February 2019

Status: Scope of work details are being finalized and contractor proposal solicitations in process. Anticipated completion of work prior to fall semester and will be scheduled to minimize impact on summer camp dining.

20. West Heating Plant Winter Repairs

Total Project Budget: \$118,200

Funding Source: Appropriated – Income Funds &
Institutional - Auxiliary Revenue Funds

Authorization Date: February 2019

Status: Work is completed. Final payment applications are in process. Final report on this project.

21. Barsema Hall – Remodel 3 Sons Cafe

Total Project Budget: \$241,700

Funding Source: Institutional – Auxiliary Reserves

Authorization Date: March 2019

Status: Scope of work details are being finalized and contractor proposal solicitations in process. Anticipated completion of work prior to fall semester.

22. Convocation Center – Cooling Towers Repairs

Total Project Budget: \$239,250

Funding Source: Institutional – Auxiliary Reserve Funds

Authorization Date: March 2019

Status: Scope of work details are being finalized and contractor proposal solicitations in process. Anticipated completion of work prior to summer cooling season.

FACILITIES UPDATE

Following is an update on facilities and projects.

Neptune Renovation

\$5.4M Investment

Lucinda Ave

Completed: Restrooms, Entrances, Kitchen Freezer/Cooler Improvements

Completed: Corridor lighting/flooring, new furniture & limited bathroom improvements

Completed: Dining Room Enhancements

Completed: Critical mechanical system repairs

Fall 2018 thru Summer 2019: Flooring, furniture, A/C, limited bathroom upgrades

HSC

NIU

BOT approval Mar 2017

2

The diagram is a 3D architectural rendering of the Neptune building complex. It features several callout boxes with arrows pointing to specific areas of the building. A red banner at the top left contains the title 'Neptune Renovation' and the investment amount '\$5.4M Investment'. A yellow callout box in the upper right corner specifies the timeline and scope of work: 'Fall 2018 thru Summer 2019: Flooring, furniture, A/C, limited bathroom upgrades'. Other callout boxes list completed work: 'Restrooms, Entrances, Kitchen Freezer/Cooler Improvements', 'Corridor lighting/flooring, new furniture & limited bathroom improvements', 'Dining Room Enhancements', and 'Critical mechanical system repairs'. The NIU logo is in the top right, and 'BOT approval Mar 2017' is at the bottom right. A page number '2' is centered at the very bottom.

Neptune East Wing status



Project estimate: \$5.4M
Overall 85% complete
Anticipated completion: August 2019

- Flooring removal 100%
- New flooring 90% complete
- Electrical for A/C complete
- A/C install by June
- Bathroom improvements completed by August



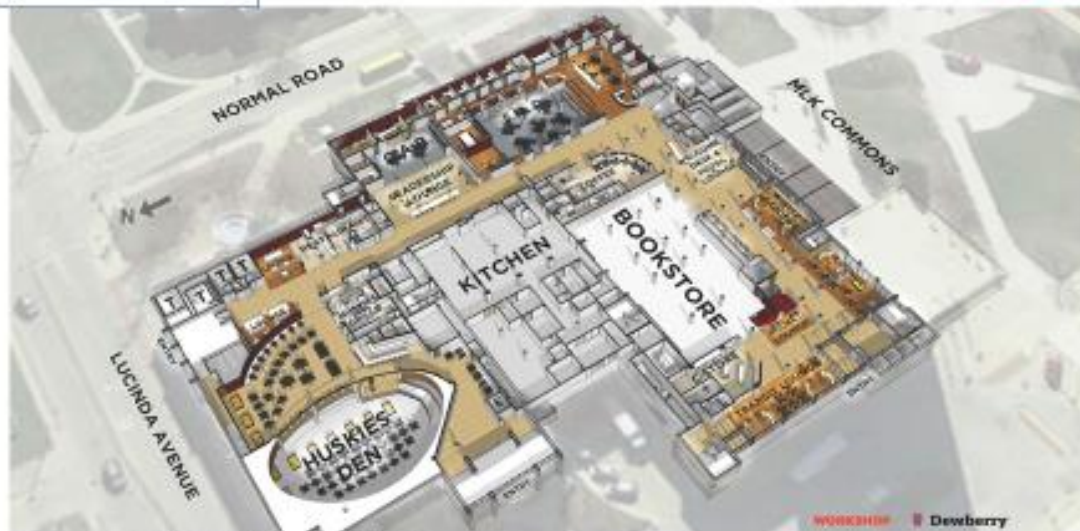
Bathroom rendering

3

Holmes Student Center Update



\$20.9M Investment



The design of the Ground Floor creates a vibrant destination and thoroughfare linking the marketplace and student center together in a variety of programs forming a social hub at the Holmes Student Center.

4

HSC Timeline/Progress



South Entrance Excavation

Completion Schedule:

- Construction Oct '19
- Tentative operations soft openings:
 - Coffee (Starbucks) Nov '19
 - Convenience Store(Depot) Nov '19
 - Bookstore(Books & Gear) Nov '19
 - Food Venue(Huskie Den) Dec '19
 - Office Space (Student Involvement & Leadership Development) Dec '19
 - 4th food venue (tbd) Spring '20

5

HSC Timeline/Progress



Huskie Den Area



New North Entrance Area

Current activities:

- New south entrance opening
- New heating, ventilation and air condition equipment installation ongoing
- New stairs & elevators installations
- Painting, ceilings, lighting install
- Furniture solicitations in process



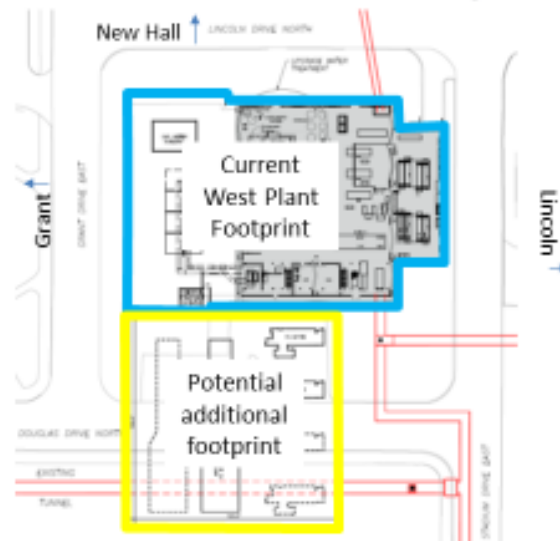
Student Association Area

6

Boiler Replacement



- CDB preparing Design-Build(DB) project with
 - ~\$6M State funding
 - ~\$10M Auxiliary funding
 - ~\$16M Total
- Tentative Schedule:
 - Solicitation: ~Jan 2020
 - DB Award: ~April 2020
 - Anticipated completion: ~December 2021



BOT approval Jun 2017

7

Steam Isolation Valve/Expansion Joint



- Project estimate: \$476K of state funding
- Scope: 4 valves for replacement, 4 valves for new installation, 9 expansion joints for replacement
- Anticipated completion: June 2019



8

Yordon Performance Center



Project estimate: \$275K

Scope: Incorporates donor-funded nutrition area for student athletes



Status:

- Demolition complete
- Plumbing and electrical rough-in in-progress
- Project completion estimated early June 2019

9

Stevenson Dining Renovation



Project estimate: \$450K

Scope: Incorporates franchise food retail operation and related dining enhancements.

Status:

- Cabinetry fabrication in progress
- Equipment orders in process
- Plumbing and electrical rough-in beginning
- Project completion estimated for August 2019 (prior to fall semester)

10

Stevenson Roof Replacements



- Project estimates: \$1.25M (\$650K Towers A & D, \$650K Towers B & C)
- Construction/bid documents complete
- Bidding late summer with bids due Oct '19
- Potential to complete roof replacement for all four high-rise towers spring/summer 2020



FISCAL YEAR 2020 INTERNAL BUDGET

Summary: Annually, the University seeks the Board's approval of the internal budget for the next fiscal year. The recommended internal budget presented for Board consideration includes \$418.2M in expenses against \$413.0M in anticipated revenues, including a State appropriation of \$87.8M.

This FY20 budget is component to a multi-year budget strategy that will produce a structurally balanced university budget by FY24. Future fiscal year budgets will build upon the immediate actions identified through the FY20 budget process, producing a pathway that leads from controlled annual deficits to a balanced spending plan that incorporates mission-critical, values-driven investments.

Background: Previously, the University budget process focused on the needs and projected shortfalls for the next fiscal year, rather than for a longer time period. Program Prioritization was the first critical step in looking ahead and creating a more disciplined approach in identifying savings and the need for long-term investment. In January 2019, a new and transparent multi-year budgeting process was launched.

The new budgeting process includes investments in crucial areas to support NIU's mission, vision, and values. Specifically, financial commitments have been made for:

- Enrollment management, research and engagement initiatives;
- Financial aid and scholarships for students, including AIM High; and
- Faculty and staff salary increments and graduate assistantship stipend increases.

When these investments are considered in the larger context, the budget must also respond to the past decade's long-term declines in revenue, resulting from reduced state appropriations and declining enrollment. If action is not taken, it is anticipated that there will be an annual shortfall of approximately \$28M per year, lasting at least from FY20 to FY24. These projections are based on current estimates of the revenue and expense drivers for the University including enrollment projections, state appropriations, and the investments listed above. Responding to recurring shortfalls with a multi-year approach will allow the University the necessary time to thoughtfully and deliberately align revenues and expenses to ensure that our actions continue to advance our mission, vision and values, as well as our long-term fiscal sustainability.

Because multi-year budgeting is a new discipline for the University, the figures reflected in this proposed FY20 budget offer new visibility into the financial stability of NIU beyond the coming fiscal year. While projections for FY21 to FY24 incorporate the best information available today, unexpected events, unanticipated management decisions, instability in revenue streams including funding from state appropriations, and other external factors may require recalibration and recalculation of the projections throughout the year. Irrespective of unforeseen circumstances, this effort will support University leadership's commitment to closing the structural budget shortfall by FY24, reducing reliance on cash in the interim period, and negating adverse impact to net position.

The FY20 operating budget includes several noteworthy characteristics:

- Includes \$4.2M in increased State appropriations;
- Incorporates an expected increase in new students (53) and a decline in continuing student enrollment (271), consistent with the Strategic Enrollment Management Plan;
- Incorporates an increase in scholarship support for students; and

- Reflects over \$20.6M in savings and new revenues to the education and general fund from new or expanded efforts to promote operational efficiency and expense reduction.

Detailed Information on the FY20 Proposed University Budget

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. Financial aid and grants are anticipating an increase of approximately \$5M in FY19.
- 3. Other Fees and Fines:** Includes parking, residential living-learning community fees, parking fines, 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, conference services). Decrease in sales expected for FY19 is a result of portions of the Holmes Student Center going offline in support of renovations to the facility.
- 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. Increase expected in FY19 is a result of increased revenue from additional conferences and events.
- 6. Gate Receipts & Commissions:** Includes athletic ticket sales, performing arts ticket sales, commissions and concert/event revenues from the Convocation Center. Increase in FY19 due to anticipated higher athletic ticket sales and event revenue at the Convocation Center.
- 7. Miscellaneous & Investment Income:** Includes athletics' game guarantees, NIU share of conference tournament revenues, rental of facilities, interest income from investments, gains and losses on disposals of fixed assets, and year-end transfers to mandated reserves in the auxiliary facilities system.
- 8. State of Illinois:** Represents the annual state appropriation to public universities.

Expenses

- 9. Cost of Sales:** Includes the cost of all items purchased for resale on campus such as food for dining units, parts and supplies to be charged out through the campus work order system, as well as paper for pay-to-print copiers and printers. Decrease due to contractual decreases in price anticipated for FY19.
- 10. Personnel Services:** Includes all salaries paid to faculty, supportive professional staff, civil service, graduate assistants, extra help and student employees. Also includes required payments for Medicare and employee health insurance. Decrease due to an increased amount of expected retirements.
- 11. Contractual Services:** Includes annual software support, subscriptions, conference registrations, non-employee travel reimbursements, service contracts, repairs & maintenance, grounds, building service work charges, speaking fees, and other arrangements with outside contractors to perform services for the University. Increase

due to renovation improvements (non-capitalized) at the Holmes Student Center and various deferred repairs and maintenance projects.

- 12. Travel:** Includes airfare, hotel rooms, mileage, meals (all up to limits set by the state and the University), and ancillary expenses for employees to travel to-and-from campus on official university business.
- 13. Automotive:** Includes the cost to rent cars, vans and busses from the university transportation department. Increase due to planned purchase for new vehicles.
- 14. Scholarships:** Includes scholarships awarded, including Pell Grant funds disbursed (which, when netted against Pell Grant funds received, results in zero effect on the university's cash position). Increase due to the anticipated \$5M increase in financial aid and grants for FY19.
- 15. Telecommunications:** Includes the cost of providing phone, internet and other digital services to the University.
- 16. Equipment & Library Materials:** Includes the cost of all items over \$100 with an estimated useful life of two years or more, as well as library books, journal subscriptions, manuscripts, films, music and video materials.
- 17. Capital Improvements:** Includes the cost of centralized capital repair funds.
- 18. Debt Service:** Includes the cost debt service payments on bonds, certificates of participation and performance contracts.
- 19. Other:** Includes costs that cannot be otherwise categorized.

Table 1 FY20 INTERNAL BUDGET SUMMARY BY LINE ITEM (\$ in Thousands)					
	FY17 Actuals	FY18 Actuals	FY19 Projected Actuals	FY20 Proposed Budget	Variance FY20-FY19
SOURCES OF OPERATING REVENUE					
Tuition & Student Fees	\$ 190,978	\$ 181,592	\$ 175,489	\$ 176,085	\$ 596
Gifts, Grants, & Contracts	58,812	53,529	56,204	59,331	3,127
Other Fees and Fines	8,125	7,864	7,848	7,172	(676)
Sales	40,190	36,755	31,648	32,606	958
Rental & Room Income	31,479	31,048	30,942	33,735	2,793
Gate Receipts & Commissions	3,025	3,378	4,258	4,809	551
Miscellaneous & Investment Income	2,490	11,922	16,368	11,479	(4,889)
State of Illinois	48,316	124,806	83,659	87,804	4,145
TOTAL, OPERATING REVENUES	\$ 383,415	\$ 450,893	\$ 406,416	\$ 413,021	\$ 6,605
OPERATING EXPENSES BY LINE ITEM					
Cost of Sales	\$ 10,756	\$ 9,579	\$ 3,513	\$ 5,599	\$ 2,086
Personnel Services	217,146	217,059	217,142	210,829	(6,313)
Contractual Services	76,225	78,855	83,941	85,079	1,138
Commodities	6,351	6,030	6,266	6,276	10
Travel	4,243	4,409	4,689	5,531	842
Automotive	1,262	1,309	1,267	1,153	(114)
Scholarships	48,377	48,728	50,101	59,338	9,237
Telecommunications	246	950	982	323	(659)
Equipment & Library Books	6,045	7,634	11,388	9,374	(2,014)
Capital Repairs	587	1,101	2,200	2,650	450
Debt Service	32,668	30,739	16,493	31,921	15,427
Miscellaneous Expenses	4,273	4,723	3,651	105	(3,545)
TOTAL, OPERATING EXPENSES	\$ 408,181	\$ 411,117	\$ 401,633	\$ 418,179	\$ 16,546
NET INCOME/(LOSS)	\$ (24,765)	\$ 39,776	\$ 4,783	\$ (5,158)	\$ (9,941)

Note: FY19 projected actuals updated through March 31, 2019

Note: FY19 Debt Service variance due to classification of some debt service payments.

Note: FY17 Capital Repairs, Debt Service, and Miscellaneous Expenses have changed from prior reports due to expense reclassifications.

As reflected in the below budget projections for FY21, FY22, FY23, and FY24, the proposed FY20 budget provides the foundation for a structurally balanced education and general fund budget by mid-decade. Future year budget projections incorporate the enrollment goals of the Strategic Enrollment Management Plan, assume modest annual increases to undergraduate tuition and fees beginning in FY21, provide annual salary increments, assume 3% annual expense reduction targets, and provide for a Strategic Initiatives Fund to allow for critical and timely investments that support financial stability and mission fulfillment.

FY23 currently projects as a balanced University budget, however the transition to a stable, structurally sound University budget will not fully occur until FY24. Beginning in FY24, ongoing University revenues are projected to fully fund the ongoing expenses of the University, representing a structurally balanced budget.

Table 2
Northern Illinois University - FY20-24 Projected Financial Performance Summary
Preliminary DRAFT - Information as of 05/28/19

	Projected Actuals		Internal Budget Request			
	FY19	FY20	FY21	FY22	FY23	FY24
REVENUE						
General operating revenues	147,268,817	149,131,855	149,131,855	149,131,855	149,131,855	149,131,855
Tuition & fees	175,489,117	176,085,067	175,060,353	178,074,668	181,095,696	186,060,704
State appropriation	83,659,000	87,804,400	87,804,400	87,804,400	87,804,400	87,804,400
TOTAL REVENUE	406,416,935	413,021,322	411,996,608	415,010,923	418,031,951	422,996,959
EXPENSE						
General operating expenses	377,088,887	383,608,500	382,607,887	382,423,838	381,211,007	381,303,212
Capital improvements	2,200,000	2,650,000	3,400,000	4,150,000	4,900,000	5,650,000
Debt service	22,343,535	31,920,944	31,920,944	31,920,944	31,920,944	31,920,944
TOTAL EXPENSE	401,632,422	418,179,444	417,928,831	418,494,782	418,031,951	418,874,156
Net Revenue - Budgeted Surplus/(Deficit)	4,784,513	(5,158,122)	(5,932,223)	(3,483,859)	(0)	4,122,804
CASH USE:						
Cash Use to Close Budget Shortfall	\$ -	\$ 5,158,122	\$ 5,932,223	\$ 3,483,859	\$ 0	\$ -
BUDGET SURPLUS (DEFICIT):	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,122,804
NET POSITION IMPACT:						
Projected Beginning Net Position, July 1, 20XX	\$ -	\$ 179,849,000	\$ 157,963,878	\$ 135,831,655	\$ 116,685,796	\$ 101,047,796
Change in Net Position:	-	-	-	-	-	-
Projected Budget Results	-	(5,158,122)	(5,932,223)	(3,483,859)	(0)	4,122,804
Net Reconciling items (depreciation/debt principal)	-	(16,727,000)	(16,200,000)	(15,662,000)	(15,638,000)	(15,052,000)
Projected Ending Net Position, June 30, 20XX	\$ 179,849,000	\$ 157,963,878	\$ 135,831,655	\$ 116,685,796	\$ 101,047,796	\$ 90,118,600

Note: Recategorization of expenses will bring FY19 Debt service in line with other fiscal years.

Recommendation: The University recommends Board of Trustees approval of the Fiscal Year 2020 Internal Budget.

FISCAL YEAR 2020 PRESIDENTIAL GOALS

<u>Category</u> (weight)	<u>Goal</u>	<u>Performance Appraisal</u>		
Enrollment (25%) <ul style="list-style-type: none"> • Recruitment (15%) • Student Success (10%) 	Execute 2019-23 Strategic Enrollment Management Plan			
	Recruitment Goals/Objectives	No Progress	Progress	Met/Exceeded
	Student Success Goals/Objectives	No Progress	Progress	Met/Exceeded
Diversity, Equity and Inclusion (20%) <ul style="list-style-type: none"> • Student Success (5%) • Vendor Diversity (5%) • NIU Workforce (5%) • Student Experience (5%) 	Advance NIU Equity and Inclusion Imperatives	No Progress	Progress	Met/Exceeded
	Collaborate to close achievement gaps	No Progress	Progress	Met/Exceeded
	Increase vendor diversity and expenditures under BEP	No Progress	Progress	Met/Exceeded
	Increase faculty and staff diversity and inclusion	No Progress	Progress	Met/Exceeded
	Address expressed student concerns to make NIU more welcoming and inclusive for all students	No Progress	Progress	Met/Exceeded
Research, Artistry, Innovation and Regional Engagement (20%)	Advance NIU research and artistry vision by supporting and encouraging development of emerging research initiatives consistent with NIU’s four strategic emphases.	No Progress	Progress	Met/Exceeded
	Institutionalize engagement networks as a primary organizing principle for public engagement at NIU to strengthen partnerships and make public engagement opportunities more accessible to faculty, staff and students	No Progress	Progress	Met/Exceeded
Key Leadership Initiatives (15%) <ul style="list-style-type: none"> • HRS (5%) • Master planning (5%) • Campaign planning (5%) 	Reimagine Human Resource Services	No Progress	Progress	Met/Exceeded
	Advance strategic plan/facilities master plan	No Progress	Progress	Met/Exceeded
	Identify timeline and methodology to support comprehensive fundraising campaign, working in partnership with University Advancement	No Progress	Progress	Met/Exceeded
Fiscal Sustainability (20%)	Execute multi-year budget strategy (remain on path to close structural deficit by 2024)	No Progress	Progress	Met/Exceeded

Recommendation: The University requests Board of Trustees approval of the Fiscal Year 2020 Presidential Goals.

Category (weight)	Goal	Measurable Objective
<p>Enrollment (25%)</p> <ul style="list-style-type: none"> • Recruitment (15%) 	<p>Execute 2019-23 Strategic Enrollment Management Plan to achieve enrollment goals and objectives</p> <p>Recruitment Goals/Objectives (15%)</p>	<p><u>Short-term Recruitment Goals</u></p> <p>For Fall 20, within the context of high-level policy development:</p> <ul style="list-style-type: none"> • Stabilize total enrollment at approximately 16,750 • Sustain main campus undergraduate enrollment at or above 11,570 with new freshman enrollment at or above 1,915 and new transfer enrollment at or above 1,600 • Grow online enrollment so that total online enrollment exceeds 1,130 students, approximately 65% graduate and 35% undergraduate • Increase new domestic out-of-state enrollment to 167 students or more <p><u>Long-term Recruitment Goals</u></p> <p>Within the context of high-level policy development:</p> <ul style="list-style-type: none"> • Increase new freshman enrollment to 2,052 by Fall 2023, while maintaining academic quality and diversity measures. This represents 10% growth over Fall 2018. • Increase college transfer enrollment to 1,656 by Fall 2023. This represents 5% growth over Fall 2018. • Increase new graduate enrollment to 894 by Fall 2023, while maintaining academic quality and diversity measures. This represents 5% growth over 2018.

<ul style="list-style-type: none"> • Student Success (10%) 	<p>Student Success Goals/Objectives (10%)</p>	<ul style="list-style-type: none"> • Increase new international student enrollment to 294 by Fall 2023. This represents 20% growth over Fall 2018. • Increase overall online program enrollment to 1,773 by Fall 2023. This represents 1000 additional students and 125% growth over Fall 2018. • Increase new out-of-state student enrollment to 238 by Fall 2023. This represents 119 additional students and 100% growth over Fall 2018. • Become a designated Hispanic Serving Institution (HSI) with 25% undergraduate Latinx enrollment, while continuing to attract and retain students representing the full diversity of our region, nation and world as we have done consistently to honor our public mission and commitment to access. <p><u>Short-term Student Success Goals</u></p> <p>In FY19, NIU affiliated with two learning communities focused on enhancing student success and closing equity gaps for students of color, first generation students, and students from low income backgrounds: Illinois Equity in Attainment (ILEA) and APLU Powered by Publics.</p> <p>In FY20, NIU will begin specific projects as a result of these partnerships:</p> <ul style="list-style-type: none"> • Launch ILEA equity plan strategies that are aligned with our strategic enrollment management (SEM) plan. In FY20, NIU will focus on closing equity gaps in gateway courses for Black students (understanding that the proactive interventions may have wider benefit).
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On average, a 10% equity gap exists between achievement rates for Black students and their peers in select gateway courses. These courses impact large numbers of students and are required for access to numerous majors and minors. Pedagogical revisions will be considered during the 2019-2020 academic year. For example, a co-requisite pilot for Math 110 will be instituted in Fall 2019, with plans for the outcomes to inform design and initial implementation of a more comprehensive co-requisite plan that will include COMS 100 by Spring 2021, and that will ultimately extend to BIOS 103, CHEM 110 and PSYCH 102.

- NIU will collaborate with fellow members of the [High Pell transformation cluster](#) of APLU Powered by Publics to identify scalable, evidence-based practices that can be used to develop and implement an effective financial literacy program, aligned with our SEM plan.

Long-term Student Success Goals

NIU aspires to eliminate racial and socioeconomic achievement gaps. In this context, the university committed in 2017 to a five-year plan focused on reducing equity gaps, and improving retention and graduation rates:

- Maintain the 1st-year retention rates for Latinx and Asian American students at or above the institutional average, understanding that “at average” can fluctuate annually by 1% or 2%.
- Reduce the 6-year graduation rate gap for Latinx students to 5% or less within three years and sustain gaps no greater than 5%.

		<ul style="list-style-type: none"> • Reduce the 1st-year retention rate gaps for Black new freshmen to 10% or less within three years, understanding that success will mean consistently staying within 1% to 2% of that range for at least three years. • Reduce the 1st-year retention rate gaps for Black transfer students to 6% or less within three years and sustain gaps no greater than 6%. • Achieve a 1st-year retention rate of 75% for all NIU new freshman by Fall 2023.
<p>Diversity, Equity, and Inclusion (20%)</p> <ul style="list-style-type: none"> • Student Success (5%) • Vendor Diversity (5%) • NIU Workforce (5%) 	<p>Advance NIU Equity and Inclusion Imperatives</p> <p>Collaborate to close achievement gaps</p> <p>Increase vendor diversity and expenditures under the State of Illinois Business Enterprise Program (BEP)</p> <p>Increase faculty and staff diversity and inclusion</p>	<p><u>Achievement Gap Goals</u> See student success objectives detailed above. They reflect both NIU’s equity and SEM plans.</p> <p><u>Short-term Vendor Diversity Goals</u> Improve NIU’s progress towards achieving the 20% aspirational BEP goal, demonstrating year over year progress.</p> <p><u>Long-term Vendor Diversity Goals</u> Work with public universities and state government on procurement reforms that will facilitate BEP improvement.</p> <p><u>Workforce Diversity and Inclusion Goals</u> Begin to address compression, inversion and salary equity issues identified through the analyses committed to by the administration in the context of shared governance or collective bargaining.</p>

<ul style="list-style-type: none"> • Student Experience (5%) 	<p>Address expressed student concerns to make NIU more welcoming and inclusive for all students</p>	<p>Develop and implement mentoring program to increase retention of faculty of color.</p> <p>Continue to improve our search processes with the goals of reducing bias and stereotyping, and achieving diverse applicant pools and fair evaluation of all candidates.</p> <p><u>Student Experience Goals</u> Continue to address student concerns that surface through activism, bias reporting, surveys (IDEA, SHARE, NSSE) and direct communications. These may include but will not be limited to: DRC relocation, full implementation of preferred/proper names, increased sexual misconduct awareness and prevention education, and enhanced behavioral health services.</p>
<p>Research, Artistry, Innovation and Regional Engagement (20%)</p>	<p>Advance research and artistry vision focused on preparing Northern Illinois and the nation for a century of change, by supporting and encouraging development of collaboratives consistent with NIU’s four strategic emphases.</p> <p>Identify and support at least one emerging research initiative(s) (ERI) consistent with NIU’s research vision and strategic emphases</p>	<p><u>Research, Artistry and Innovation Goals</u> Identify and support ERI or Centers consistent with NIU’s research vision and strategic emphases.</p> <p>Recruit and review at least two written proposal(s) from ERI or Center proponents.</p> <p>Recognize and manage the proposals per NIU policy.</p> <p>Develop plans for assigning resources to at least one ERI or Center.</p>

	<p>Continue to support the research clusters initiated in FY18 Cross-Disciplinary Research for Engaging, Advanced Technology in Education (CREATE) and FY19 Northern Illinois Center for Community Sustainability (NICCS)</p> <p>Institutionalize Engagement Networks</p>	<p><u>CREATE Goals</u> Finalize physical footprint of CREATE.</p> <p>Highlight CREATE during alumni and donor engagement events.</p> <p><u>NICCS Goals</u> Initiate architectural engineering and design process (contingent on release of state appropriation).</p> <p>Recruit external partners.</p> <p>Finalize multi-year hiring framework.</p> <p>Establish organizational structure.</p> <p>Redesign promotional materials and enhance web presence.</p> <p><u>Public Engagement Goals</u> Socialize engagement network framework with NIU community.</p> <p>Establish inclusive, network-specific action teams to guide NIU’s public engagement agenda, nurture collaboration, and advance outcomes that align with the university’s vision, mission and values.</p> <p>Evolve 2018 partnership survey to more robust set of metrics to monitor NIU’s engagement impact.</p>
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<p>Fiscal Sustainability (20%)</p>	<p>Execute multi-year budget strategy; remain on defined path to close structural deficit by 2024.</p>	<p><u>Short-term fiscal sustainability goal:</u> Perform in accordance with the FY20 budget approved by the Board, informing the Board of any deviance.</p> <p><u>Long-term fiscal sustainability goal:</u> Fully implement a structurally balanced budget by FY24.</p> <p>Improve NIU's financial sustainability by increasing discretionary revenue from partnership activity in non-academic divisions such as the Division of Administration and Finance, the Division of Information Technology, the Division of Student Affairs and Intercollegiate Athletics (8-10% over 5 years).</p>
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Glossary

Acronym	Definition
APLU	Association of P ublic and L and-Grant U niversities
BEP	B usiness E nterprise P rogram. Illinois BEP is committed to fostering an inclusive and competitive environment that will help enhance the capacity of qualified certified businesses owned by minorities, females, persons with disabilities, veterans, and small businesses.
CREATE	C ross-Disciplinary R esearch for E ngaging, A dvanced T echnology in E ducation. This is the major research initiative of the College of Education’s Morgridge Endowed Chair, Dr. Yanghee Kim.
DRC	D isability R esource C enter. The DRC mission is to create an accessible and inclusive learning environment where disability is recognized as an aspect of diversity in the campus community and society.
HSI	H ispanic S erving I nstitution
IDEA	I nclusion, D iversity, E quity and A ccess survey was launched by NIU in FY19 to provide information about student, faculty and staff experiences and perceptions concerning the living, learning and working environment of NIU. The results will provide leadership with insight into NIU’s strengths and areas for growth.”
NSSE	N ational S urvey of S tudent E ngagement. NSSE collects information at hundreds of four-year colleges and universities about first-year and senior students' participation in programs and activities, and shares comparative results with participants. Survey results point to areas where NIU is performing well and aspects of the undergraduate experience that could be improved through changes in policies and practices.
NICCS	N orthern Illinois Center for Community Sustainability. NICCS will be a hub in the Illinois Innovation Network. NICCS will support interdisciplinary research, policy development and public-private partnerships focused on improving food systems and water resource management in a world facing shrinking natural resources, changing climate and increasing urbanization.
SEM	S trategic E nrollment M anagement. The SEM Plan and accompanying Accountability Plan are posted online.
SHARE	S exual H arassment, A ssault and R elationship E xperiences survey to examine stalking, dating violence, and sexual violence on campus. SHARE was conducted in 2018 and will repeated every two years.
RFP	R equ E st F or P roposals
RFQ	R equ E st F or Q ualifications

APPOINTMENT OF GENERAL COUNSEL

Following a national search conducted by Northern Illinois University (NIU), Bryan Perry will join NIU as General Counsel. Mr. Perry currently serves as the General Counsel at Baltimore City Community College (BCCC), with a dual appointment in the Office of the President serving as Chief of Staff. While at BCCC, Mr. Perry has created the college's Title IX compliance program and their trademark licensing program while providing legal advice to the president, Board of Trustees, and other members of the college community on all significant matters affecting the college.

Prior to joining BCCC in 2010, Mr. Perry served as Associate General Counsel at Morgan State University for two years. He also served as an Assistant Attorney General in the Maryland Office of the Attorney General where he was selected to serve as counsel to the Southern Maryland Higher Education Center and to serve on the evaluation and selection committees for bond counsel, FCC counsel, and real estate counsel for Maryland's public postsecondary institutions.

Mr. Perry earned his Bachelor of Science in Economics from Morgan State University and earned his Juris Doctorate from the University of Maryland School of Law.

Recommendation: The University recommends Board of Trustees approval of the request to appoint Mr. Bryan Perry as General Counsel, effective July 1, 2019.

APPOINTMENT OF INTERIM DEAN OF THE COLLEGE OF LAW

A member of the Northern Illinois University (NIU) law faculty since 2006, Professor Laurel Rigertas has been appointed, pending Board approval, to serve as the Interim Dean of the College of Law. She currently teaches courses for professional responsibility, torts, advanced torts, and a mindfulness course for law students. Professor Rigertas also coordinates the first-year course, “Introduction to the Legal Profession: History, Culture and Values.” While at NIU, she has chaired a variety of committees, including the Admissions Committee, the Ad Hoc Committee for First-Year Curricular Changes, the Ad Hoc Committee for Professional Identity Formation, and the Strategic Planning Committee. She has served multiple terms on the College of Law’s Promotion and Tenure Committee and, since 2013, has served as the College of Law’s representative on the University Council Personnel Committee.

Prior to joining NIU, Professor Rigertas practiced complex commercial litigation as a partner with Michael Best & Friedrich LLP in Chicago, having joined the firm in 1999 as an associate. She began her law career in 1997 at Jenner & Block, also in Chicago. She previously taught as an adjunct professor at Northwestern University School of Law and Loyola University Chicago School of Law.

Professor Rigertas graduated magna cum laude from the University of Minnesota Law School where she was a member of the honorary scholastic society, Order of the Coif, and served as articles editor of *Law & Inequality: A Journal of Theory and Practice*. She received her Bachelor of Science in Art from James Madison University.

Recommendation: The University recommends Board of Trustees approval of the request to appoint Laurel A. Rigertas as the Interim Dean of the College of Law, effective July 1, 2019.

FISCAL YEAR 2020 UNREPRESENTED FACULTY SALARY INCREMENT ALLOCATION GUIDELINES

Summary: Offering competitive salaries remains a continuing high priority of the President and the Board of Trustees. Accordingly, the university has developed an internally funded plan to provide increments for FY20 that recognizes the importance of salary increases in a resource-constrained environment.

Background: In accordance with Board Regulation II.C.2.a, annual salary increment guidelines are approved by the Board of Trustees. The approval of annual salary increment guidelines authorizes the university's distribution of fiscal year increments to eligible employees. Following completion of the fiscal year salary adjustment process, increment totals are verified and provided to the Board of Trustees in summary form. The FY20 increment guidelines incorporate a 3% across-the-board salary increase and a 1% merit increase for eligible unrepresented faculty. This increase was recommended by the University Council Personnel Committee at its meeting on June 4, 2019.

Those employees who are represented by a union or other legally recognized collective bargaining representative will receive a negotiated increment pursuant to the specific provisions of applicable, existing collective bargaining or other future negotiated agreements.

Recommendation: The University recommends Board of Trustees approval of the Fiscal Year 2020 Unrepresented Faculty Salary Increment Allocation Guidelines.

**COLLECTIVE BARGAINING AGREEMENT – UNITED
BROTHERHOOD OF CARPENTERS AND JOINERS OF AMERICA
LOCAL 790**

Summary: Northern Illinois University negotiates with seventeen groups of employees that are represented by a labor union. Salary increases and other terms/conditions of employment for bargaining unit members are subject to negotiation and final agreements are submitted for approval to the Board of Trustees. The following collective bargaining agreement has been tentatively approved, ratified by the bargaining unit, and is submitted to the Board of Trustees for approval.

1) ***Bargaining unit:***

United Brotherhood of Carpenters and Joiners of America Local 790, representing approximately eleven (17) employees total, all which are serving in the following classifications:

Carpenters
Carpenter Foreman
Locksmiths
Locksmith Foreman

Scope of Negotiations: Full agreement

Tentative Agreement for Board Action: A five-year successor agreement, effective July 1, 2018 through June 30, 2023.

Recommendation: Terms and conditions of this agreement are consistent with University policies and guidelines. The University recommends Board of Trustees approval of the Collective Bargaining Agreement for the United Brotherhood of Carpenters and Joiners of America Local 790.

Agreement

Between

**Chicago Regional Council of Carpenters
*United Brotherhood of Carpenters & Joiners of
America***

And

**The Board of Trustees of
Northern Illinois University,
DeKalb, Illinois**

Effective July 1, 2018 through June 30, 2023

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ARTICLES OF AGREEMENT

This Agreement has been made and entered into by and between the Board of Trustees of Northern Illinois University at DeKalb, Illinois, hereinafter referred to as the Employer, and the Chicago Regional Council of Carpenters Local Union 790 hereinafter referred to as the Union or Bargaining Representative. All references to the male gender in this Agreement are understood to include both male and female employees, unless specifically distinguished.

ARTICLE I UNION RECOGNITION

The Employer recognizes the Union as the exclusive collective bargaining representative in all matters pertaining to wages, hours, scope of work, terms and conditions of employment in the classification of carpenters, locksmiths, carpenter foreman, and carpenter locksmiths foreman at Northern Illinois University at DeKalb, Illinois, as provided for in Illinois Revised Educational Labor Relations Board on December 10, 1992, Case No.93-RC-0006-C, and such other classifications as may be added by Agreement of the Employer and the Union.

ARTICLE II NON-DISCRIMINATION

ARTICLE II, SECTION 1 PROHIBITION AGAINST DISCRIMINATION

In accordance with applicable laws, both parties pledge and commit to not discriminate against any employee covered by the terms of the Agreement on the basis of race, sex, creed, marital status, national origin, age, religion, handicap, veteran status, sexual preference or Union membership. Complaints involving discrimination or sexual harassment shall be reported either to Human Resources Services or the Affirmative Action Office.

ARTICLE II, SECTION 2 NON-DISCRIMINATION AGAINST THE UNION

Both parties agree that there shall be no discrimination against officers and members of the Union engaged in the negotiation of Agreements, the adjustment of grievances or the performance of any other legal Union activity in the interest of the Union and its members.

ARTICLE III UNION RIGHTS

ARTICLE III, SECTION 1 ACTIVITY DURING WORKING HOURS

Employees shall be allowed reasonable time off during regular working hours with pay to attend grievance hearings or meetings called and agreed to by the Employer, provided such employees are entitled or required to attend such meetings by virtue of being Union representatives, witnesses or grievants, and such attendance does not substantially interfere with the Employer's operations.

ARTICLE III, SECTION 2 STEWARDS

The Union may appoint a journeyman to act as steward of the bargaining unit and shall notify the Employer in writing of the employee designated as steward. No steward shall be discriminated against by the Employer for the faithful performance of his duties as steward, nor shall any steward be discharged, placed on layoff or disciplined until notice has been given to the business representative of the Union in writing.

38 Stewards, upon receiving permission from the immediate supervisor, shall be permitted to
39 devote reasonable time during working hours without loss of pay to investigate or process
40 grievances or disputes. No employees or Union representatives shall leave work to investigate,
41 file or process grievances without first informing their immediate supervisor or designee as well
42 as the supervisor of any unit to be visited. Such permission shall not be unreasonably denied.
43 Such arrangements shall not be denied in an arbitrary and capricious manner. The Employer
44 reserves the right to require reasonable documentation of time spent in processing grievances.

45 **ARTICLE III, SECTION 3 UNION BULLETIN BOARD**

46 The Employer agrees to furnish bulletin board space to bargaining unit employees. The
47 items posted shall not be political, partisan, obscene or defamatory in nature. All such notices
48 shall be signed by an officer of the Union and approved by the Employer prior to posting.

49 **ARTICLE III, SECTION 4 NEW EMPLOYEE**

50 The Employer shall inform new employees covered by this Agreement that they are eligible
51 for membership in the Union.

52 **ARTICLE III, SECTION 5 UNION ACCESS TO FACILITIES**

53 Upon prior notification twenty four (24) hours in advance when possible and not to disrupt
54 operation through the Physical Plant Administrative Office or Human Resource Services Labor
55 Relations Office, a representative of the Union shall be allowed access to any job at any reasonable
56 time where bargaining unit employees are employed under the terms of the Agreement and only
57 for business associated with the terms of the Agreement.

58 **ARTICLE IV EMPLOYER RIGHTS**

59 The Union recognizes and supports the Employer's retention to itself of all rights, powers,
60 privileges, responsibilities and authority conferred upon and vested by either law or the rules
61 governing the State University Civil Service System Of Illinois or the rules governing the Board
62 of Trustees or not including but not limited to the right to operate, manage, control, organize and
63 maintain the University and in all respects carry out the ordinary, regular and customary functions
64 of management.

65 Any power or authority which the Employer has not abridged, delegated, or modified by
66 the express provisions of this Agreement is retained by the Employer. The rights of the Employer
67 through its management officials include, but are not limited to, the following:

- 68 1. Determine the overall budget of the Employer.
- 69 2. Determine control and exercise discretion over the organization and efficiency of
70 operations;
- 71 3. Direct the employees including the right to assign work and overtime.
- 72 4. Hire, examine, classify, promote, train, transfer, assign, and schedule employees in
73 positions with the Employer.
- 74 5. Suspend, demote, discharge, or take other disciplinary action against the employee
75 for proper cause.
- 76 6. Increase, reduce, change, modify or alter the composition and size of the workforce,
77 including the right to relieve employees for health or safety reasons.
- 78 7. Set standards for service to the public.

- 79 8. Determine the locations, methods, means, and personnel by which operations are
80 to be conducted.
81 9. Change or eliminate equipment or facilities.

82 **ARTICLE V GRIEVANCE PROCEDURE AND ARBITRATION**

83 **ARTICLE V, SECTION 1 PURPOSE OF GRIEVANCE PROCEDURE**

84 The purpose of the grievance procedure is to secure at the lowest possible level a resolution
85 of alleged violations of the Agreement. Both parties shall make an earnest and honest effort to
86 resolve grievances expeditiously and in a cooperative manner.

87 **ARTICLE V, SECTION 2 GRIEVANCE DEFINITION**

88 A grievance is defined as a dispute by an employee or the Union concerning provision(s)
89 of this Agreement or Policies and Procedures. Any grievance shall be in written form. The
90 grievance shall refer to the specific provision of the collective bargaining Agreement or Policies
91 and Procedures alleged to have been violated. It shall set forth the facts pertaining to the alleged
92 violation.

93 An employee allegation that a demotion, discharge, suspension or other disciplinary action
94 was unfairly imposed is subject to the State Universities Civil Service Statute and Rules, as well
95 as the grievance procedure.

96 Grievants shall be permitted to attend their grievance hearings without loss of pay if the
97 meeting is scheduled during working hours.

98 **ARTICLE V, SECTION 3 STEPS**

99 It is agreed that the steward and or foreman and the affected employee(s) will first discuss
100 problems within the unit and attempt to settle the matter within the bargaining unit prior to
101 accessing the formal grievance procedure.

102 The following procedure shall be adhered to when pursuing a resolution of a dispute:

- 103 • **STEP 1:** If the matter is not resolved informally within the unit within five (5) working days
104 after the grievant makes a complaint, the grievant and or the Union shall orally present the
105 grievance to the Assistant Director of the Physical Plant or a representative of that department.
106 The Assistant Director of the Physical Plant or a representative of the department shall provide
107 an oral response within five (5) days after such presentation.
108
- 109 • **STEP 2:** If the problem is not solved to the satisfaction of the employee after Step #1, and the
110 employee wishes to pursue the matter, the employee and or Union representative shall have
111 five (5) working days from the date of the Step #1 response to file a written grievance. The
112 written grievance shall be presented to the Director of the Physical Plant or designee. The
113 Director of the Physical Plant or a designee shall respond in writing within ten (10) working
114 days.
115
- 116 • **STEP 3:** If the grievance is not resolved to the satisfaction of the grievant by the Director of
117 the Physical Plant, the same written grievance along with the Step #1 and Step #2 responses
118 shall be presented by the employee and or Union to the Vice President of Human Resource
119 Services and Compliance or designee within five (5) working days after the Step #2 response.

120 The Vice President of Human Resource Services and Compliance or a designee shall conduct
121 a meeting on the grievance within ten (10) working days. The Associate Vice President of
122 Administration of Human Resources or designee shall respond in writing within ten (10)
123 working days after the meeting.

124 **ARTICLE V, SECTION 4 ARBITRATION**

- 125 • If a grievance is not resolved with the Step #3 response, the written grievance may be referred
126 by the Union to arbitration by notifying the Vice President of Human Resource Services and
127 Compliance in writing within five (5) working days after the receipt of the grievance Step #3
128 response. The Vice President of Human Resource Services and Compliance or designee and
129 or the Union shall attempt to agree upon an arbitrator, but if they are unable to do so within ten
130 (10) working days of the written notice to arbitrate, the parties shall jointly request Federal
131 Mediation Conciliation Service (FMCS) to submit a panel of seven (7) arbitrators. The parties
132 shall alternately strike the name of three (3) arbitrators, taking turns as to the first strike. The
133 remaining person shall be the arbitrator who shall be notified of their selection.

134
135 Both parties agree to attempt to arrive at a joint stipulation of the facts and issues to be
136 submitted to the arbitrator. The Employer, employee or Union has the right to request the arbitrator
137 to require the presence of witnesses and or production of documents. Each party shall bear the
138 expense of its own witnesses who are not employees of the Employer. The employee shall be
139 allowed sufficient time with pay to attend the arbitration hearing. The expense and fees of the
140 arbitrator and associated costs of the arbitration shall be shared equally by the parties.

141 The arbitrator shall have no authority to amend, modify, nullify, ignore, add to or subtract
142 from any provision of this Agreement. The decision of the arbitrator with respect to arbitrability
143 and the disposition of the case shall be final and binding on the parties

144 **ARTICLE V, SECTION 5 WITHDRAWN GRIEVANCE**

145 Grievances may be withdrawn at any step of the grievance procedure without prejudice.
146 Grievances not filed or appealed within the designated time limits shall be treated as withdrawn
147 grievances.

148 The time limits at any step or for any hearing may be extended in writing by mutual
149 Agreement of the parties involved at that particular step.

150 **ARTICLE V, SECTION 6 DISCHARGE/DEMOTION**

151 If the Employer finds it necessary to initiate discharge or demotion proceedings against an
152 employee covered by this Agreement, both the Union and employee shall be notified of the intent
153 to discharge/demote. If during the processing of the discharge/demotion through the State
154 Universities Civil Service System process, the employee wishes to protest such action, a grievance
155 may be filed at Step #3 of the grievance system. The discharge/demotion proceeding shall not be
156 finalized until the Civil Service System requirements have been met and the grievance, if one was
157 filed, is responded to at Step #3, whichever is later. If a grievance is filed the University's response
158 shall contain an outline of the options available to the employee with respect to further pursuit of
159 the matter. If the grievance is denied and the discharge/demotion process is moved forward, the
160 employee may:

- 161 1) Elect to follow the procedures for review specified in the Rules and Regulations of the
162 State Universities Civil Service System.
163 2) Alternatively, the Union may move the grievance toward arbitration pursuant to the
164 grievance procedure of the collective bargaining Agreement. If the employee elects to
165 follow the procedures specified in the Rules and Regulations of the State Universities
166 Civil Service System, initiation of such action shall constitute a waiver of any rights
167 which either the employee or the Union might otherwise have had to use the grievance
168 procedure of this collective bargaining Agreement with respect to said discharge.
169 In the event that a grievance is resolved through the issuance of an arbitration decision, the
170 decision shall be final and binding upon the Union, the Employer, and the employee.

171 **ARTICLE VI NO STRIKE OR LOCKOUT**

172 **ARTICLE VI, SECTION 1 NO STRIKE, WORK STOPPAGES OR SLOWDOWNS**

173 It is hereby agreed by the Union and the Employer that since this Agreement provides for
174 the orderly and amicable resolution of disputes, differences, disagreements, or controversies over
175 hours, wages, and terms and conditions of employment, there shall be no strikes, work stoppages
176 or slowdowns, or any other form of concerted job action during the term of this Agreement. No
177 official or representative of the Union shall authorize, institute, instigate, aid or condone any such
178 activities.

179 **ARTICLE VI, SECTION 2 DISCIPLINE**

180 The Employer has the right to discipline up to and including discharge, its employees for
181 violating the provisions of this article in accordance with State Universities Civil Service System
182 Statute and Rules.

183 **ARTICLE VI, SECTION 3 NO LOCKOUT**

184 No lockout of employees shall be instituted by the Employer or their representatives during
185 the term of this Agreement.

186 **ARTICLE VII LIMITATION OF AGREEMENT AND WAIVERS**

187 **ARTICLE VII, SECTION 1 RULES AND REGULATIONS**

188 This Agreement shall be subject to and be controlled by the Rules and Regulations of the
189 State Universities Civil Service System of Illinois, the Governance Documents of the Board of
190 Trustees and Regulations of the State Universities Retirement Systems as they exist and or as they
191 are from time to time amended.

192 **ARTICLE VII, SECTION 2 PROVISIONS OF THIS AGREEMENT**

193 Should any provision of this Agreement or any application thereof become unlawful by
194 virtue of any federal or state law or executive order of the president of the United States or the
195 governor of Illinois or final adjudication by court of competent jurisdiction, the provision or
196 application of a provision of this Agreement shall be modified by the parties to comply with the
197 law, rule, regulation, order or decision. All other provisions of this Agreement shall continue in
198 full force and effect.

199

ARTICLE VIII BENEFITS

ARTICLE VIII, SECTION 1 BENEFIT TOPICS

201 The employees covered under this Agreement shall be entitled to the specific benefits
202 identified for Non-Exempt Civil Service Staff in the Board of Trustees Governance Documents
203 (Business Procedure Manual, Northern Illinois University Procedure 7-9, 7-10, 7-11, etc.) where
204 not otherwise addressed or amended in this Agreement document.

205 These benefits topics include but are not limited to the following:

- 206 1. Vacation
- 207 2. Sick Leave
- 208 3. Workers Compensation
- 209 4. Holidays
- 210 5. Other Leaves of Absence
- 211 6. Educational Benefits
- 212 7. Transfer of Benefit Credits
- 213 8. Tax Deferred Compensation Plan
- 214 9. Retirement
- 215 10. Group Insurance
- 216 11. Unemployment Compensation
- 217 12. Transfer of Benefits
- 218 13. Tuition Contribution Program
- 219 14. Bereavement
- 220 15. Jury Duty
- 221 16. Military Leave

222

ARTICLE IX HOLIDAYS

ARTICLE IX, SECTION 1 DESIGNATION OF HOLIDAYS

224 The University observes eleven (11) holidays and, except in emergency situations or in
225 order to maintain essential services, University facilities will be closed on these holidays and
226 employees covered under this Agreement are not to report to work.

ARTICLE IX, SECTION 2 PAID HOLIDAYS

228 Probationary and status employees covered by this Agreement will be excused from work
229 at regular rates of pay for up to four (4) floating holidays and the following holidays as recognized
230 on the approved University calendar:

- 231 ○ New Years Day
- 232 ○ Martin Luther King Day
- 233 ○ Memorial Day
- 234 ○ Independence Day
- 235 ○ Labor Day
- 236 ○ Thanksgiving Day
- 237 ○ Christmas Day

238 **ARTICLE IX, SECTION 3 AND ANY AND ALL ADMINISTRATIVE AND**
239 **INSTITUTIONAL CLOSURE DAYS AS MAY BE DECLARED BY THE**
240 **ADMINISTRATION, RATE OF PAY FOR HOLIDAY WORK**

241 In the event that work is required on any holiday, compensation will be at two (2) times
242 the applicable rate of pay for all hours worked in addition to holiday pay required under ARTICLE
243 IX, SECTION 2 .

244 In the event that work is required on any floating holiday, compensation will be at straight
245 time the applicable rate for all hours actually worked, in addition to any holiday pay required under
246 Section 2 of this article.

247 In the event that work is required on any administrative or institutional closure day,
248 compensation will be paid at the straight time rate of pay for all hours worked, in addition to any
249 holiday pay required under Section 2 of this article.

250 **ARTICLE X HEALTH AND LIFE INSURANCE, PENSION AND**
251 **DISABILITY**

252 **ARTICLE X, SECTION 1 COVERAGE**

253 During the term of this Agreement health and life insurance benefits shall be provided to
254 members of the bargaining unit covered by this Agreement in accordance with the Illinois State
255 Employees Group Insurance Act of 1971.

256 **ARTICLE X, SECTION 2 RETIREMENT, DEATH AND DISABILITY**

257 Retirement, death and disability benefits shall be provided to all employees in accordance
258 with applicable Illinois revised statutes.

259 **ARTICLE X, SECTION 3 RELATED OPTIONAL BENEFITS**

260 Related optional benefits (e.g. U.S. Savings Bonds, supplemental health and life insurance,
261 tax sheltered annuities) available to other eligible University employees shall be available to
262 employees covered by this Agreement in accordance with applicable Board and or University
263 policies and guidelines.

264 **ARTICLE X, SECTION 4 RETIREMENT**

265 Should Northern Illinois University offer a Retirement Enhancement Plan during the term
266 of the collective bargaining agreement along with new enrollment dates, it is understood that
267 employees covered under this agreement who meet the qualifications and are granted early
268 retirement under any Northern Illinois University Retirement Enhancement Plan will be eligible
269 to participate in the plan under current regulations as established by the University and as may be
270 amended from time to time. If approved and granted, additional payouts received by the employee
271 will be regenerated by means of the University delaying filling the vacancy created within the
272 bargaining unit for a period of time to cover the additional payout.

273

ARTICLE XI HOURS OF WORK, OVERTIME

ARTICLE XI, SECTION 1 WORKWEEK, WORKDAY

275 Bargaining unit employees shall normally be scheduled to work eight (8) consecutive hours
276 between the hours of 7:30 a.m. and 4:00 p.m. on Monday through Friday with a one-half (.5) hour
277 unpaid lunch period.

278 Eight (8) hours constitutes a workday, and forty (40) hours constitute a workweek.

279 Starting times may be changed up to two (2) hours by mutual Agreement of the Employer
280 and the Union. Overtime will be paid on the basis of eight (8) hours per day and forty (40) hours
281 per week.

282 Upon request by either party, alternative schedules may be discussed in the instance of a
283 financial crisis or budgetary problem. Upon joint approval, hours of work may be altered or
284 adjusted to avoid scheduled layoffs.

ARTICLE XI, SECTION 2 SECOND SHIFT WORK

286 Bargaining unit employees may be assigned to work the second (2nd) shift. The second
287 (2nd) shift shall normally be scheduled to work eight (8) consecutive hours between the hours of
288 4:00 p.m. and 12:00 a.m. on Monday through Friday. Eight (8) hours constitute a work day and
289 forty (40) hours shall constitute a work week. Starting times may be changed up to two (2) hours
290 by mutual agreement of the Employer and the Union.

291 Bargaining unit employees assigned to work the second shift shall be provided a half hour
292 (1/2 hour) paid lunch period to be taken during their regularly scheduled eight (8) hour shift.

ARTICLE XI, SECTION 3 OVERTIME PAY

294 All overtime on Monday through Saturday shall be paid at one and one-half (1.5) times the
295 regular straight-time rate of pay.

296 All other work performed on Sundays shall be paid at double the regular straight time rate
297 of pay.

ARTICLE XI, SECTION 4 REST PERIODS

299 Employees are permitted a rest period not to exceed fifteen (15) minutes during the first
300 half of their work shift, and fifteen (15) minutes during the second half of their work shift. The
301 rest period is to be preceded and followed by an extended work period.

ARTICLE XI, SECTION 5 CALL BACK

303 When an employee is called to work for an unscheduled assignment outside of the regular
304 workday when work has been completed and the employee has left the University, the employee
305 shall be compensated for a minimum of two (2) hours of two and one half (2 ½) times the
306 journeyman rate of pay for the first hour of work. After the first hour of work, all work performed
307 shall be paid at the two (2) times the journeyman rate of pay.

308 **ARTICLE XII OVERTIME DISTRIBUTION AND EQUALIZATION**

309 **ARTICLE XII, SECTION 1 OVERTIME DISTRIBUTION**

310 Overtime shall be distributed and offered as equally and impartially as possible among all
311 eligible employees covered by this Agreement. All scheduled overtime noncontiguous to an
312 employee's regular shift or overtime scheduled on an employee's regularly scheduled day off shall
313 be scheduled for a minimum of four (4) hours at the applicable rate.

314 **ARTICLE XII, SECTION 2 OVERTIME IN ACCORDANCE WITH SENIORITY**

315 Overtime shall be in accordance with an equalized number of hours covering all employees
316 as determined by the foreman or other administrator.

317 If all employees available to work the overtime hours decline the opportunity the Employer
318 shall assign the overtime in reverse seniority order: The least senior employee who has not been
319 previously directed by the Employer to work overtime shall be directed to work the hours until all
320 needed employees have been required to work, at which time the process shall repeat itself.

321 **ARTICLE XII, SECTION 3 EQUALIZING THE DISTRIBUTION OF OVERTIME**

322 For the purpose of equalizing the distribution of overtime, an employee who is offered
323 overtime but declines an overtime assignment shall be deemed to have worked the hours assigned.
324 It is understood that no employee is relieved from the obligation to work overtime if operations
325 require it. It is also understood that exceptions may be made in cases of emergency or if the
326 foreman or the Director of the Physical Plant or his representative determine that the senior eligible
327 employee is not fully qualified to perform the work.

328 **ARTICLE XIII WORKING OUT OF TOWN**

329 **ARTICLE XIII, SECTION 1 PERSONAL VEHICLE/TRAVEL PAY**

330 When employees are sent outside the jurisdiction covered by the Agreement, transportation
331 expense will be paid by the Employer and room and board will be paid by the Employer if the
332 employees are required to remain away from home overnight.

333 Such payment is restricted to those charges and amounts as authorized for payment in
334 Travel Regulations for State Employees as published by the Illinois Travel Regulation Council.
335 Employees will be compensated for such travel and out-of-town work in accordance with the
336 provisions of the Fair Labor Standard Act as it pertains to government employees. Unless agreed
337 to by the employee, bargaining unit members shall not be required to use their personal vehicles
338 for travel outside the jurisdiction of this Agreement.

339 **ARTICLE XIV CONTRACTING WORK**

340 **ARTICLE XIV, SECTION 1 SUBCONTRACTING/EXTRA HELP**

341 The Employer will not subcontract work normally performed by bargaining unit employees
342 nor employ "extra help" carpenters, as defined by the State Universities Civil Service System
343 (SUCSS), if any bargaining unit employees are on layoff or any employees are on a schedule less
344 than the workweek defined herein. Per SUCSS, "extra help" carpenters do not accrue any
345 seniority.

346 **ARTICLE XIV, SECTION 2 EXTRA HELP**

- 347 1. Both parties agree to the use of nonstatus “extra help” carpenters during periods of
348 heavy workloads as determined by the Employer. All “extra help” carpenter
349 positions shall be established and employed in accordance with the State
350 Universities Civil Service System Statute and Rules. Extra help employees may be
351 asked to work scheduled overtime when the work is created by a specific project
352 which the extra help employee has been assigned as their primary duty or
353 responsibility.
- 354 2. Such “extra help” carpenters shall be referred for employment from the appropriate
355 craft hall with final approval for appointment residing solely with the Employer.
356 As with status positions represented by this unit, salaries for these nonstatus
357 employees shall be defined according to prevailing rate guidelines outlined in
358 ARTICLE XXII, SECTION 1 of the Collective Bargaining Agreement. With
359 respect to these nonstatus positions, the Employer retains all rights designated and
360 implied by ARTICLE IV of the current Collective Bargaining Agreement including
361 the right to determine the duration of appointment attached to each of these
362 positions.
- 363 3. In accordance with University policy, “extra help” carpenters shall not receive any
364 University benefit including, but not limited to, vacation, sick leave, holidays
365 (unless required to work), administrative closures, educational benefits, tax
366 deferred compensation plans, retirement, group insurance, tuition
367 waiver/reimbursement, bereavement leave, military leave, and jury duty pay.
- 368 4. For each “extra help” carpenter employed, the Employer agrees to contribute the
369 appropriate and stipulated Employer amount to the external pension, annuity, and
370 health/welfare trust fund. These amounts shall be based on the total hours worked
371 by each “extra help” carpenter or on the total accumulated hours worked by all
372 “extra help” carpenters in this unit only. Hours worked by regular status employees
373 represented by this unit shall not be used in the calculation of Employer
374 contributions to these trust funds.
- 375 5. In accordance with State University Retirement System regulations, time served in
376 this capacity as “extra help” shall not be eligible for accrual under that System since
377 these employees actively continue to participate in external pension programs.
- 378 6. To the extent provided for in the specific Participation Agreement, the Employer
379 agrees to administer participation and payment protocols in accord with the
380 standards set forth.
- 381 7. Both parties acknowledge also that the content and administration of this section
382 shall be in accordance and consistent with the rules and regulations of the State
383 Universities Retirement System, State Universities Civil Service System, and all
384 other applicable federal or state laws. Any provision that is declared inconsistent
385 with applicable statutes shall be null and void.
- 386 8. It is understood that the addition of this section does not provide the Board of
387 Trustees at Northern Illinois University the right to negotiate wages and conditions
388 of the external Collective Bargaining Agreement negotiated with area contractors.

389

ARTICLE XV LABOR MANAGEMENT CONFERENCES

ARTICLE XV, SECTION 1 LABOR/MANAGEMENT CONFERENCE

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

394 Such meetings may be requested at least five (5) days in advance by either party by placing
395 in writing a request to the other for a Labor Management Conference and expressly providing the
396 agenda for such meetings. Such meeting and locations shall be mutually agreed to before being
397 held and the purpose of any such meeting shall include but not be limited to:

- 398 a) Discussing the implementation and general administration of this Agreement
399 b) Sharing general information of interest to the parties

ARTICLE XV, SECTION 2 EMPLOYEE ATTENDANCE

401 Two Employees from the NIU Carpentry Shop shall be provided paid release time from
402 their regular work hours to attend and participate in all contract negotiations. However, the
403 employee must give reasonable notice to the supervisor of the intended absence and the supervisor
404 may grant such time consistent with the operating needs of the University.

405

ARTICLE XVI SENIORITY

ARTICLE XVI, SECTION 1 SENIORITY DEFINITION

407 Seniority pertains to length of service in a classification. The accrual and application of
408 seniority shall be according to the seniority provisions of the State Universities Civil System
409 Statute and Rules.

ARTICLE XVI, SECTION 2 SENIORITY LISTS

411 The Employer will provide current seniority lists that will be revised annually showing
412 each employee's seniority and relative position.

ARTICLE XVI, SECTION 3 PARTIAL LAYOFFS

414 Nothing in this article shall prevent the Union and the Employer from mutually agreeing
415 to a program of spreading the work within the bargaining unit in the event of a scheduled layoff
416 of one (1) or more employees within the unit.

ARTICLE XVI, SECTION 4 LAYOFF AND RECALL

418 When making a reduction in the number of employees due to lack of work and when
419 recalling employees the following procedures shall govern:

- 420 a) Probationary employees will be laid off first, then employees with the least
421 seniority.
422 b) Recall of employees will be in order of seniority.

423 **ARTICLE XVII POSTING OF JOB OPENINGS AND VACANCIES**

424 **ARTICLE XVII, SECTION 1 OPENINGS WITHIN THE BARGAINING UNIT**

425 When job openings or vacancies occur within the bargaining unit or when new positions
426 are created within the unit, the Employer shall post a notice on all bulletin boards where notices to
427 employees are normally posted for a minimum period of three (3) calendar days prior to initiation
428 of procedures to fill the job.

429 **ARTICLE XVII, SECTION 2 OPENINGS OUTSIDE OF THE BARGAINING UNIT**

430 Non-bargaining unit openings are posted in the campus Human Resource Services.
431 Bargaining unit employees who possess the minimum qualifications required for these positions
432 are eligible to take the examinations required to be placed on the register for these positions.

433 **ARTICLE XVII, SECTION 3 AWARDING OF POSTED JOBS**

434 The posted jobs will be awarded pursuant to the provisions of Civil Service Statute and
435 Rules.

436 **ARTICLE XVIII EMPLOYER TOOL & MATERIAL RESPONSIBILITY**

437 **ARTICLE XVIII, SECTION 1 EMPLOYER'S TOOLS**

438 The University shall provide employees with all power tools necessary to complete their
439 assigned duties. The University shall replace personal broken tools where such damage is a direct
440 result of the performance of assigned duties. All journeyman carpenters will have in their
441 possession all necessary hand tools to complete all typical carpenter assignments as directed.

442 **ARTICLE XIX SAFETY**

443 **ARTICLE XIX, SECTION 1 LAWS CONCERNING THE SAFETY OF EMPLOYEES**

444 In order to have a safe place to work, the University agrees to comply with laws applicable
445 to its operations concerning the safety of employees covered by this Agreement.

446 **ARTICLE XIX, SECTION 2 SUITABLE PLACE TO EAT AND CHANGE CLOTHES**

447 The Employer agrees to provide a suitable place to eat and change clothes. It shall be
448 heated in the winter and large enough to accommodate employees and their tools.

449 **ARTICLE XIX, SECTION 3 TRAINING**

450 The Employer shall encourage additional training in the carpenter field and in accordance
451 with current University policy.

452 The Employer will be responsible for training all employees on any carpentry systems
453 installed in new or existing buildings at any Northern Illinois University facilities.

454

ARTICLE XX WORK JURISDICTION

ARTICLE XX, SECTION 1 WORK JURISDICTION

456 All carpenters work normally performed at all Northern Illinois University facilities within
457 the jurisdiction of this Agreement shall be performed by employees covered by this Agreement.

458 The definition of carpenter work will conform to the jurisdiction given to the Chicago
459 Regional Council of Carpenters Local Union No.790 by the American Federation of Labor and
460 the Congress of Industrial Organizations, or as defined in the collective bargaining Agreement
461 between the Chicago Regional Council of Carpenters Local Union 790 Rock Falls and the
462 Independent Contractors of DeKalb, Sycamore and Rochelle under scope of work (See
463 Addendum).

ARTICLE XX, SECTION 2 JURISDICTIONAL DISPUTES

464 In the case of jurisdictional disputes arising between representatives of this Union and those
465 of other unions, it is understood that such differences shall be settled between the unions concerned
466 without any work stoppage and that the Employer will not make any changes in any already
467 established work assignment practices pending resolution of the dispute. The Employer will honor
468 the resolution reached by the disputing unions to the extent permitted by law and the other
469 provisions of this Agreement.
470

ARTICLE XX, SECTION 3 HANDLING OF TOOLS, MACHINERY, APPLIANCES AND ALL MATERIALS

471 The handling of tools machinery, appliances and all materials necessary in the performance
472 of the work covered by this Agreement shall be done by the employees covered hereunder.
473

ARTICLE XXI PERIOD COVERED, STATUS DURING NEGOTIATIONS AND COMMENCEMENT OF NEGOTIATIONS

ARTICLE XXI, SECTION 1 PERIOD COVERED

477 This Agreement shall take effect upon ratification/approval of both parties and shall remain
478 in effect through June 30, 2023, unless otherwise specifically provided for herein. It shall continue
479 in effect from July 1 through June 30 of each year thereafter; unless either party gives the other
480 written notice of the desire to re-open negotiations. Such notice is to be by certified mail no earlier
481 than one hundred twenty (120) days and no later than sixty (60) days prior to the expiration of this
482 Agreement.
483

ARTICLE XXI, SECTION 2 COMMENCEMENT OF NEGOTIATIONS

484 The party giving notice of a desire to modify this Agreement shall commence negotiations
485 by submitting in writing a detailed list of the modifications or changes desired. The party receiving
486 said notice may propose additional changes in the Agreement in writing.
487

ARTICLE XXI, SECTION 3 MUTUAL CONSENT

488 This Agreement shall be subject to amendment at any time by mutual consent of the parties
489 hereto. Such amendment shall be reduced in writing, state the effective date thereof, and be
490 approved and executed in the same manner as this Agreement and submitted to the Chicago
491

492 Regional Council of Carpenters and the Vice President of Human Resource Services and
493 Compliance or designee at Northern Illinois University.

494 **ARTICLE XXII WAGES**

495 **ARTICLE XXII, SECTION 1 HOURLY WAGES**

496 Wage rates for bargaining unit members shall be defined as the prevailing rate of wages as
497 posted by the Illinois Department of Labor for DeKalb County, Illinois for the classifications
498 covered under this Agreement and administered in accordance with the State Universities Civil
499 Service System Statute and Rules. The University will accept being notified of the website posting
500 of IDOL prevailing wage rate changes from the Union, however, particularly in the case of
501 increases, the Union must provide those notifications within a reasonable period of time after the
502 posting. The change in rates will be effective though on the effective date set forth by the IDOL.

503 **ARTICLE XXII, SECTION 2 EFFECTIVE DATE OF WAGES**

504 All wages stipulated in this collective bargaining Agreement become effective at 12:01
505 a.m. on the dates specified.

506 **ARTICLE XXII, SECTION 3 FOREMAN REQUIREMENTS**

507 One Foreman shall not supervise more than ten (10) men. A second foreman will be added
508 when eleven (11) carpenters, excluding foreman, are employed. If twenty-one (21) or more
509 carpenters, excluding foreman, are employed a third foreman will be assigned.

510 **ARTICLE XXII, SECTION 4 SUBSTITUTE FOREMAN**

511 Should a foreman be absent, the senior foreman shall designate a carpenter who is
512 permanently employed at the Northern Illinois University Carpenter Shop and who has
513 successfully passed the foreman's test to assume the duties of the absent foreman. This is not a
514 permanent assignment, and shall be shared equally among those qualified on a rotating basis. The
515 substitute foreman shall be paid prevailing carpenter foreman wage rate. The substitute foreman
516 shall receive the substitute foreman rate of pay only while he has been appointed by the senior
517 foreman to assume the duties of an absent foreman.

518 **ARTICLE XXII, SECTION 5 EMERGENCY REASSIGNMENT**

519 Employees, in any emergency situation, may be temporarily assigned to duties outside their
520 current classification on a voluntary basis. In the event the Employer does not get enough
521 Volunteers, they may go in reverse seniority to fill the vacancies of manpower needed. Should the
522 classification carry a higher rate of compensation, the higher rate of compensation shall be paid
523 for all work performed for the entire period of the assignment. Their assignment will not reduce
524 the Employees wages.

525 **ARTICLE XXIII DUES DEDUCTION AND FAIR SHARE**

526 **ARTICLE XXIII, SECTION 1 UNION DUES DEDUCTION**

527 Upon receipt of written and signed authorization card from an employee the Employer shall
528 deduct the amount of Union dues and initiation fee, if any, set forth in such card and any authorized

529 increase therein and shall remit such deductions monthly to the financial secretary of the Union at
530 the address designated by the Union in accordance with the laws of the State of Illinois. The Union
531 shall advise the Employer of any increases in dues or Fair Share Fees in writing at least six(6)
532 months prior to its effective date. Union dues as currently determined by the Chicago Regional
533 Council Executive Board.

534 **ARTICLE XXIII, SECTION 2 AUTHORIZATION FOR CHECKOFF OF UNION DUES**

535 Upon receipt of written authorization from an employee, the Employer agrees to deduct
536 from wages any dues or assessments in the amount lawfully required by the Regional
537 Council and also to submit such dues or assessments to the Chicago Regional Council.

538 Employees may only revoke this authorization by providing written notice to
539 the Employer.

540 **ARTICLE XXIII, SECTION 3 INDEMNIFICATION**

541 The Union agrees to hold harmless and indemnify the University against liability resulting
542 from the process of dues and or fees collection from employees and subsequent transfer to the
543 Union.

544 **ARTICLE XXIII, SECTION 4 FAIR SHARE PAYMENTS**

545 Pursuant to Section 1711 of the IRS, Chapter 48, Section 1701 et seg. (Illinois Educational
546 Labor Relations Act), the parties agree that as of the date of the signing hereof if a majority of the
547 members of the bargaining unit recognized hereby have voluntarily authorized a deduction under
548 Article 23, Section 1, or if the Union otherwise demonstrates and verifies to the Employer's
549 satisfaction in a manner acceptable to the Employer that such majority of the members of said unit
550 are dues paying members of the Union at the time, then non-Union members employed in the unit
551 who choose not to become members within thirty (30) calendar days of employment or thirty (30)
552 days of the signing hereof shall be required to pay a Fair Share Fee not to exceed the amount of
553 dues uniformly required of members. Such Fair Share Fee shall be deducted from the employee's
554 paycheck or paid to the Local Union as required of the members of this bargaining Agreement.
555 Such involuntary deduction shall remain in effect for the duration of this Agreement unless said
556 amount is changed by action of the Chicago Regional Council Local Union 790. Such involuntary
557 deductions shall be forwarded to the Union along with the deductions provided for in Article 23,
558 Section 1 of the article.

559 **ARTICLE XXIII, SECTION 5 FAIR SHARE FEES**

560 The Employer and the Union are both cognizant of the provision of the Illinois Educational
561 Labor Relations Act and the Rules promulgated by the Chicago Regional Council of Carpenters
562 Local Union No. 790 which deal with Fair Share Fees. The Act and these Rules are incorporated
563 in this Agreement by reference and the Employer and the Union agree to comply with and abide
564 by all provisions of the Act and said Fair Share Rule.

565 **ARTICLE XXIII, SECTION 6 FAIR SHARE INVOLUNTARY CONTRIBUTION**

566 In the event that any employee covered hereby is precluded from making a Fair Share
567 involuntary contribution as required by Article 24, Section 2 hereof on account of bona fide
568 religious tenets or teachings of a church or religious body of which that employee is a member,

569 that employee shall have the right to refuse to allow said involuntary deduction provided, however,
570 that said right to refuse shall continue only so long as the employee makes contributions at least
571 equal in amount to the Fair Share Fee amount to a non-religious charitable organization mutually
572 agreed upon by the employee so refusing and the Union. For the purpose, the Union shall certify
573 to the Employer the names of all employees covered hereby who are relieved of the obligation to
574 pay a Fair Share Fee by virtue of this section.

575 **ARTICLE XXIII, SECTION 7 CHARGES**

576 The Union shall indemnify, defend and hold the Employer harmless against any claim,
577 demand, suit, cost, expense, or any other form of liability including attorney's fees and costs
578 arising from or incurred as a result of any act taken or not taken by the Employer, its members,
579 officers, agents, employees or representatives in complying with or carrying out the provisions of
580 the article and including any charge that the Employer failed to discharge any duty owed to its
581 employees arising out of the Fair Share deduction.

582 **ARTICLE XXIII, SECTION 8 EMPLOYER TAKING ACTION TO COLLECT ANY FAIR**
583 **SHARE FEE**

584 Nothing contained herein shall require the Employer to take any action to collect any Fair
585 Share Fee from any employee in any given pay period except to the extent that such employee
586 earns wages from the Employer in that period.

587 **ARTICLE XXIII, SECTION 9 LAPSE IN RULES**

588 In the event that the Chicago Regional Council of Carpenters Local Union No. 790 Rules
589 referred to in Article 23, Section 5 of the article lapse or become inoperative for any reason, then
590 the parties hereto agree that this article shall likewise be inoperative and the parties shall
591 commence without delay to negotiate a new Fair Share Article.

592 **ARTICLE XXIV AMERICANS WITH DISABILITIES ACT**

593 **ARTICLE XXIV, SECTION 1 COMPLIANCE**

594 The Employer agrees to notify the Union when accommodations are required within the
595 bargaining unit with respect to federal legislation summarized under the Americans With
596 Disabilities Act and Illinois Public Act 87-955. Further, the parties agree to discuss the issues of
597 accommodation as would be affected by the provisions of the collective bargaining Agreement
598 and the Illinois Educational Labor Relations Act.
599

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IN WITNESS WHEREOF:

The parties hereto have executed this Agreement by their duly authorized officers and representatives this _____ day of _____, _____.

CHICAGO REGIONAL COUNCIL OF
CARPENTERS LOCAL UNION NO. 790
AND NORTHERN ILLINOIS UNIVERSITY
CARPENTER SHOP

NORTHERN ILLINOIS UNIVERSITY

Gary Perinar
Executive Secretary-Treasurer

Jesse Perez, Ed.D.
Director of Employee & Labor Relations

Jeffrey Isaacson
President

Designee for the NIU Board of Trustees

604

MEDIA BUYING SERVICES

Summary: The Division of Enrollment Management, Marketing & Communications (EMMC) is requesting approval of expenditure authority for a contract with a vendor for media buying services. EMMC is responsible for developing and deploying strategies to attract a diverse mix of undergraduate students – including high school students, transfer students and nontraditional learners – to attend NIU. The division's marketing and communications activities ensure that institutional and brand-building work is aligned with recruitment. The staff develops strategic, highly-targeted advertising campaigns to have the greatest impact on prospective students in order to increase enrollment.

Background: In 2016, EMMC began a search for a media buyer to establish a 1-year contract with 5 one-year renewals at \$400,000 annually. At that time, the state still did not have a budget thus, although a modest advertising budget, the University began its commitment to increasing its brand presence. At the March 9, 2017 Board of Trustees meeting, Agenda Item 9.a (11) was approved, which provided the University with expenditure authority for FY18-FY23 for media buyer services, not to exceed \$2,400,000.

After a Request for Proposal (RFP) process, NIU began working with the awarded vendor, Hambrick & Associates, in September 2017. As we moved through the RFP process in 2017, EMMC made media purchases a priority within the division and the contract resulting from the RFP was set to a new level of \$500,000 for the initial year (FY 2018).

During FY18, EMMC requested and was granted a permanent budget increase of \$250,000 to use for media purchases as a result of Program Prioritization, resulting in a total of \$750,000 for the initial year (FY18). The Provost then appropriated to EMMC an additional \$250,000 for media purchases and another \$100,000 to dedicate specifically to advertising for online programs (prior to NIU's existing contract with Wiley Education Services). These increments totaled \$1,100,000 for FY18, which was fully expended.

EMMC began FY19 with a \$1,000,000 purchase requisition fully funded by University Marketing, as other large contractual services were reduced and re-allocated to media buys. During FY19, we were again appropriated an additional \$250,000 from the Provost's office with the direction to purchase online program advertising (also prior to Wiley Education Services). EMMC then reduced another contractual service being used by University Marketing and funneled the \$43,292.50 into the media purchasing contract, now totaling \$1,293,292.50 for FY 2019. This amount will be fully expended in FY19.

Although this contract still has a few years remaining, the annual spend of media purchasing has increased and will meet the approved expenditure threshold at the end of FY19. NIU currently has \$2,393,292.50 in expenditures and \$6,707.50 remaining on the March 2017 BOT approval.

Contracting with a single vendor for most media purchases has enabled the University to achieve cost savings through a lower purchase price on a cohesive media-purchasing plan, as well as benefiting from the cost savings achieved through the vendor's larger-scale purchasing ability. Hambrick estimates that NIU received more than \$72,000 in bonus exposure through negotiations with its vendors. The vendor has been an intermediary for most media purchases, eliminating the need for many individual purchase orders and associated contracts. Additionally, the use of a single vendor for media buying has amplified cost savings through a significant reduction in

administrative time and effort, as well as enabling the department to respond more rapidly to changing requirements.

As outlined in the Strategic Enrollment Management Plan, NIU will “increase the financial investment in university marketing and advertising by fiscal year 2020 to stand out in the competitive market” and “increase funds in advertising to increase our reach and impact, and commit to advertising budgets one year in advance” ([SEM Accountability Plan](#), pg. 3). The greater Chicago area continues to be one of the most competitive recruitment landscapes and expensive media markets in the country, so it is even more important to invest in additional marketing and advertising during this time of declining student demographics and a growing percentage of students leaving the state of Illinois. In addition, more advertising will be spent expanding NIU’s presence in target markets outside of Illinois to achieve our out-of-state enrollment goals. NIU plans to increase its annual advertising spend up to \$3,000,000 with three primary campaigns: generating out-of-state student interest, encouraging students and families to visit campus and an overarching thematic/brand awareness campaign. The additional funding will also allow NIU to be in the market consistently throughout the year, rather than being in the market for just a few months at a time and going silent for other months. Advertising strictly for NIU online programs will now be covered by the contract with Wiley Education Services.

Due to the increased marketing investment and the need for a new contract, a new RFP is being prepared and will be advertised on the Illinois Procurement Bulletin later this summer. EMMC expects to award a vendor during FY20 for future years, in which at that time EMMC will provide an update to the Board of Trustees and seek additional expenditure authority for a new media purchasing contract.

Funding: Appropriated/Income (02) Funds

Recommendation: The University recommends Board of Trustees approval of expenditure authority for media buying services for the FY20 not to exceed \$3,000,000.

FINANCIAL AID LEVERAGING SERVICES

Summary: The Division of Enrollment Management, Marketing & Communications (EMMC) is requesting approval for expenditure authority for financial aid leveraging services. Northern Illinois University (NIU) is evaluating the most effective means of awarding institutional financial aid to potential students in order to increase the number of students who choose to enroll at NIU. Financial aid leveraging uses statistical methodology to determine the most effective and strategic use of institutional aid to impact enrollment and maximize revenue. The complicated nature of financial aid leveraging and the complex data analytics involved requires that NIU seek assistance from an outside firm.

A Request for Proposal (RFP) has been initiated through the *Illinois Procurement Bulletin* and the selection process is nearing completion. In order to have continuity in our financial aid leveraging services that meets the functionality described below, it is imperative to have a new contract in place no later than July 1, 2019.

Background: NIU has worked with an external consulting firm (Ruffalo Noel Levitz) for financial aid leveraging services since 2017 and the existing contract will be expiring on June 30, 2019. Through an RFP process, EMMC is expecting to select a vendor shortly, enabling the vendor to begin building a new financial aid model for FY20 soon after July 1, 2019. Aspects of the vendor partnership will include:

- A thorough analysis of NIU's historical (2-5 years) and current undergraduate institutional aid processes and strategies, such as biodemographic, academic, financial aid demographics and awards, and enrollment data.
- Provide long-term (4-5 year) forecasting.
- Analysis of the impact of institutional aid in the enrollment decision-making process for students by various populations (underrepresented, Pell-eligible, college/department, alternative admissions, academic level, geographic region, first-year, transfer, etc.).
- Evaluation of current award structure and recommendations for improvements.
- Assist in developing multi-faceted aid strategies based on a demonstrated understanding of how aforementioned populations intersect to impact decision-making related to price sensitivity.
- Providing financial aid strategies that balance NIU's mission of affordability and access with enrollment and net tuition revenue goals.
- Providing competitor benchmarking data.
- Providing national best practices related to financial aid leveraging.
- Recommendations of enrollment targets by population.
- Providing financial aid strategies that optimize the combination of institutional, federal, and state aid, as well as merit and need-based aid.
- Analysis of the potential impact of institutional aid as it relates to first-to-second year retention of students by population.
- Providing detailed and comprehensive data analytics, spreadsheets, dashboards, charts, and/or presentations to inform holistic enrollment management strategy.

Funding: Appropriated/Income (02) Funds.

The University is currently engaged in a formal Request for Proposal (RFP) seeking a vendor. It is expected that the award will be made for FY20, with up to nine (9), one-year renewal options.

Recommendation: The University requests Board of Trustees approval of expenditure authority for financial aid leveraging services with a to be determined vendor from FY20 - FY29, not to exceed \$865,000.

PROPOSED AMENDMENTS TO BOARD REGULATIONS RELATED TO EDUCATIONAL BENEFITS OF FACULTY AND STAFF

Background Information: The University is committed to providing educational benefits to its faculty and staff. This commitment is evident in Board Regulations Section II (Faculty and Administrative Employees), Subsection D (Benefits), 9 (Educational Benefits), a (Employees) and Section III (Civil Service Employees), Subsection C (Benefits), 7 (Educational Benefits), a (Employees). Members of the University Advisory Committee raised concerns regarding limiting language and unclear language in these Board regulations.

In particular, two concerns were raised. First, in the last few years the university has adopted differential tuition for several programs. The language in the Section III of the Board Regulations is unclear whether differential tuition is covered as part of the educational benefit. Whereas, the language in Section II seems to indicate that the costs of differential tuition are not covered. However, given the increasing number of programs that have charged differential tuition and the commitment to employees receiving educational benefits, the administration supports covering the costs of differential tuition. Such a policy change will have minimal impact on the university's budget.

Second, the previous regulation was unnecessarily inflexible in certain circumstances. Employees were not always able to take full advantage of the waivers. For example, some degree programs require more than six credit hours to be taken during the summer. However, the previous regulation limited the ability for employees to do so, even if they did not meet the overall credit limit for the academic year. This proposed change will provide employees greater flexibility while still maintaining the regulations original spirit.

Proposed Action:

In order to provide clarity, the University recommends the Board of Trustees approve changes to the Board of Trustees Regulations Section II.D.9.a and Section III.C.7.a as follows:

Section II: Faculty and Administrative

9. Educational Benefits

Special condition: Provisions accommodating employees and retirees to implement Public Act 89-4 shall continue until the applicability of such provisions expire.

a. Employees

Faculty and administrative employees and retirees of Northern Illinois University may enroll for credit in Northern Illinois University with exemption from tuition (including differential tuition costs) and other eligible registration fees (as defined in Section V.K. of these Regulations), except for (1) the interdisciplinary Ph.D. in Health Sciences, which shall operate under a Tuition Remittance Program wherein partial or full tuition waivers will be provided only with the employee's commitment to work at Northern Illinois University for a specified period of time post-graduation, and (2) those fees (such as the student health insurance fee) where eligibility is determined by fee submission to an outside agency or vendor, in accord with university rules. To be eligible for this benefit the employee or retiree needs to meet admissions standards, and the initial date of employment must be on or before the 30th calendar day following the scheduled beginning of the academic term involved, or the last day of registration, whichever is earlier. , ~~provided that the employee or retiree has the required prerequisites, meets any other admissions~~

~~standards, and the initial date of employment is on or before the 30th calendar day following the scheduled beginning of the academic term involved, or the last day of registration, whichever is earlier.~~ The Board delegates appropriate authority to the Office of the Provost to establish and publicly post the terms and conditions of the Tuition Remittance Program for the interdisciplinary Ph.D. in Health Sciences.

The waiver granted in any one academic year semester shall be subject to the following maxima:

- Retirees and full-time employees – 8 up to 20 hours
- 3/4-time employees – 6 up to 15 hours
- 1/2-time employees – 4 up to 10 hours

~~For summer session, the waiver shall be subject to the following maxima:~~

- ~~• Retirees and full-time employees – 4 hours~~
- ~~• 3/4-time employees – 3 hours~~
- ~~• 1/2-time employees – 2 hours~~

*The limits listed above indicate the maximum amount of tuition and fee waivers that an employee could qualify for over an entire academic year (i.e., fall, summer, and spring sessions). Employees are not required to attend an entire academic year in order to qualify for a waiver.

For employees not working full-time during the summer, the waiver maximum may be determined by the employment rate of either the summer or of the semester immediately preceding the summer, whichever would yield the highest waiver.

~~For purposes of this Regulation, the summer session shall be considered to include all sessions, regardless of title (summer session, pre-session, post-session, intersession, etc.) between the close of the second (spring) semester of one academic year and the beginning of the first (fall) semester of the succeeding academic year.~~

A full-time employee may not register for credit in excess of the limits set forth above unless recommended by appropriate supervisory authority. ~~For full-time employees, t~~ The total number of registered credit hours may not normally exceed a credit-hour load associated with two courses. If a retiree or part-time employee registers for more than the maximum number of hours for which tuition and fees may be waived, the charge to the employee shall be the difference between the total tuition and fees which would normally be charged for the number of credit hours taken and the amount of tuition and registration fees which may be waived. The tuition and other registration fees to be waived shall be those usually charged undergraduate or graduate students. ~~For employees registering in programs or courses with higher tuition and/or registration fees, the waiver shall be limited to the usual tuition and registration fee charge, with the employee paying any differential. Fees directly related to a particular course will not be waived.~~

Each faculty or administrative employee who wishes to enroll for credit must file with the department head, program coordinator, or other immediate supervisor a statement outlining the extent and goals of the proposed program of studies. That individual will forward the statement with recommendations to the appropriate dean or director for final approval. Approval by the employee's dean or director is a prerequisite for enrollment in any course.

Faculty who hold the rank of assistant professor or higher may take graduate courses but may not be admitted to or enrolled in a program leading to a graduate degree in the same program area or department in which they instruct.

Section III: Civil Service Employees

7. Educational Benefits

Special condition: Provisions accommodating employees and retirees to implement Public Act 89-4 shall continue until the applicability of such provisions expire.

a. Employees

Tuition and fee waiver (including differential tuition costs) shall be granted to any Northern Illinois University retiree or any employee in a status position under the State University Civil Service System, if admissions standards are met and if the initial date of employment is on or before the 30th calendar day following the scheduled beginning of the academic term involved, or the last day of registration, whichever is earlier. This provision does not apply to, ~~except for the~~ interdisciplinary Ph.D. in Health Sciences, which shall operate under a Tuition Remittance Program wherein partial or full tuition waivers will be provided only with the employee's commitment to work at Northern Illinois University for a specified period of time post-graduation. The Board delegates appropriate authority to the Office of the Provost to establish and publicly post the terms and conditions of the Tuition Remittance Program for the interdisciplinary Ph.D. in Health Sciences.

The waiver granted in any one ~~semester~~ academic year shall be to the following maxima:

- Retirees and full-time employees – ~~9 hours (or minimum number of hours required by the program, whichever is greater)~~ up to 20 hours
- 3/4-time employees – ~~6~~ up to 15 hours
- 1/2-time employees – ~~4~~ up to 10 hours

*The limits listed above indicate the maximum amount of tuition and fee waivers that an employee could qualify for over an entire academic year (i.e., fall, summer, and spring sessions). Employees are not required to attend an entire academic year in order to qualify for a waiver.

A full-time employee may not register for credit in excess of the number of hours for which tuition and fees may be waived as listed above unless recommended by appropriate supervisory authority. ~~For full-time employees, t~~ The total number of registered credit hours may not normally exceed a credit-hour load associated with two courses. These maxima are employee benefit limitations and do not apply to enrollments in approved work-related training programs, the purpose of which is to improve university services.

~~For summer session, the waiver shall be subject to the following maxima:~~

- ~~Retirees and full-time employees—6 hours (or minimum number of hours required by the program, whichever is greater)~~
- ~~3/4-time employees—3 hours~~
- ~~1/2-time employees—2 hours~~

For employees not working full-time during the summer (including those on seasonal layoff), the waiver maximum may be determined by the employment rate of either the summer or of the semester immediately preceding the summer, whichever would yield the highest waiver.

~~For the purposes of this Regulation, the summer session shall be considered to include all sessions, regardless of title (summer session, pre-session, post-session, intersession, etc.) between the close of the second (spring) semester of one academic year and the beginning of the first (fall) semester of the succeeding academic year.~~

Recommendation: Given that these proposed changes pose no harm to the University and benefits employees, the University requests Board of Trustees approval of the Proposed Amendments to the Board Regulations Related to Educational Benefits of Faculty and Staff.

REQUEST FOR NEW CERTIFICATE OF GRADUATE STUDY IN ADVANCED STUDY IN ACCOUNTANCY

Summary: New certificates of graduate studies require the approval of the Board of Trustees. If the board approves this addition, the University will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2019. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes a Certificate of Graduate Study in Advanced Study in Accountancy offered by the Department of Accountancy within the College of Business.

Rationale: The Certificate for Advanced Study in Accountancy is ideally suited for students pursuing short-term study focused on selected technical areas related to accountancy. The certificate is designed for graduate-level students interested in the advancement of their skills beyond the bachelor's degree or in preparation for certification examination in accountancy.

Funding: No new resources are needed to implement the proposed certificate of graduate study.

Recommendation: The University recommends Board of Trustees approval of the Request for a New Certificate of Graduate Study in Advanced Study in Accountancy.

UNIVERSITY COUNCIL AMENDMENT TO THE NORTHERN ILLINOIS UNIVERSITY CONSTITUTION ARTICLE 6.5

NIU Constitution Article 6.5 Administrative Committees

At its April 3, 2019, meeting, the University Council approved the proposed constitutional amendment below. Subsequently, this proposed amendment was approved by a 159 to 49 majority of those voting (3 abstained) in a faculty referendum. It must now be approved by the Board of Trustees, pursuant to Article 10 of the Northern Illinois University Constitution.

Explanation of Proposed Amendment: A challenge from a community member has revealed that the University's Constitution and Bylaws contain outdated and unclear language that needs to be addressed. "The President's Staff" is not currently a functioning committee of the University, as there is no such committee that makes policy recommendations to the University Council, or that serves as a liaison body between the administrative divisions and their constituent parts, as described in the Constitution and Bylaws. Also, it appears that no other Illinois public university has a reference to the equivalent of "The President's Staff" in their constitutions or other governing documents.

President Freeman holds informal staff meetings with members of the senior leadership, known as the Senior Leadership Roundtable. These meetings are usually held on a weekly basis, and the membership is determined at the discretion of the president. The Senior Leadership Roundtable is not formally appointed by, report to, or otherwise accountable to the University Council, or any other public body of the state. The Senior Leadership Roundtable's function is to advise the president on matters pertaining to internal university affairs, and to promote communication and cooperation between members of the senior leadership. As such, the Senior Leadership Roundtable is not the same as "The President's Staff."

Therefore, removal of "The President's Staff" from the Constitution and Bylaws is appropriate in order to: 1) eliminate references to a committee that does not currently function at NIU, 2) remove the confusion between the Senior Leadership Roundtable and "The President's Staff," and 3) be more compatible with governing documents from other Illinois public universities.

Below is the proposal, using ~~cross-out~~ to show the language that is proposed to be deleted.

NIU CONSTITUTION

ARTICLE 6: FACULTIES, STANDING COMMITTEES, COUNCILS AND BOARDS OF THE FACULTY AND ADMINISTRATION

~~6.5 Administrative Committees~~

~~6.5.1 The President's Staff~~

~~The president's staff shall consist of the president and such other members as determined by the president.~~

~~6.5.2 Other Administrative Committees~~

~~There shall be such other administrative committees as may be established by the bylaws, by the University Council, or by the president.~~

STUDENT CONDUCT POLICY AND PROCEDURE REVIEW

Associate Vice President for Student Affairs and Dean of Student Kelly Wesener-Michael will present on the Student Conduct Policy and Procedure Review.

**FISCAL YEAR 2020 ELECTION OF BOARD OFFICERS AND
CIVIL SERVICE MERIT BOARD REPRESENTATIVE**

The Board of Trustees will hold its election of officers for Fiscal Year 2020. Acting General Counsel Greg Brady will tally the results and announce those results at the meeting.

**RESOLUTION
NATHAN HAYS
DISTINGUISHED SERVICE TO THE BOARD OF TRUSTEES
OF NORTHERN ILLINOIS UNIVERSITY**

WHEREAS, Nathan Hays has faithfully served as a student member of the Northern Illinois University Board of Trustees from July 1, 2018, through June 30, 2019; and

WHEREAS, prior to his appointment as Student Trustee, Nathan Hays has been active on a variety of committees representing students and working to improve student life, including the Campus Activities Board's Athletics Committee and Educational Leadership Committee, and has served as the elected Treasurer of the NIU Student Association; and

WHEREAS, as a member of the Board of Trustees, Nathan Hays contributed valuable insight and information regarding the student perspective, serving as a member of the Academic Affairs, Student Affairs and Personnel Committee; the Finance, Audit, Compliance, Facilities and Operations Committee; and the Research and Innovation, Legal and Legislative Affairs Committee; and

WHEREAS, Nathan Hays is also a proud member of the Sigma Nu Fraternity and has served that organization as both its Treasurer and President; and

WHEREAS, during his experience as a student at Northern Illinois University, Nathan Hays completed a Bachelor of Science in Mathematics with an emphasis in Probability and Statistics, and a Bachelor of Science in Economics with an emphasis in Financial Economics; and

WHEREAS, we, as his colleagues on the Board of Trustees, want to express our appreciation for Nathan's service to the NIU students and community, congratulate him on his achievement of his undergraduate degrees, and wish him continued success in his professional career.

NOW, THEREFORE BE IT RESOLVED that the Board of Trustees of Northern Illinois University in formal meeting herein assembled extends its grateful appreciation to Nathan Hays for his distinguished service to Northern Illinois University.

BE IT FURTHER RESOLVED that this Resolution be presented to Nathan Hays and a copy of this document be placed in the official files of the Board of Trustees as part of the permanent record of the University and the great State of Illinois and as a lasting tribute to the accomplishments of Nathan Hays.

Adopted in a meeting assembled this 13th day of June, 2019.

**Board of Trustees of
Northern Illinois University**

Dennis L. Barsema
Board Chair

John R. Butler
Board Secretary



RESOLUTION HONORING ACTING VICE PRESIDENT AND GENERAL COUNSEL GREGORY BRADY FOR DISTINGUISHED SERVICE TO THE NORTHERN ILLINOIS UNIVERSITY BOARD OF TRUSTEES

WHEREAS, Gregory A. Brady has faithfully served as Acting Vice President and General Counsel to Northern Illinois University since December 2016; and

WHEREAS, while serving as Acting Vice President and General Counsel, Gregory A. Brady has also served the University in the roles of Parliamentarian for the Board of Trustees of Northern Illinois University, and as Board Liaison to the Compliance, Audit, Risk Management and Legal Affairs Committee and the Ad Hoc Committee on Governance; and

WHEREAS, since coming to Northern Illinois University in 2002, Gregory A. Brady previously served as Deputy General Counsel, University Counsel, Associate University Counsel, Assistant University Counsel, and Assistant to the Corporation Counsel; and

WHEREAS, Gregory A. Brady has been recognized for his service to the University with the Supportive Professional Staff Certificate of Recognition in 2004, 2010, and 2017; and the Supportive Professional Staff Award for Advocacy in 2014; and

WHEREAS, Gregory A. Brady is a former mentor for the NIU College of Law; current participant in the Political Science mentorship program; and current member of the Advisory Council for the Department of Political Science, having received the Department of Political Science's Daniel Witt Service Award in 2019; and

WHEREAS, Gregory A. Brady has provided counsel to the University during the most recent presidential search process, as well as the appointment of the President, and the transition of certain Board members and members of senior leadership; and

WHEREAS, Gregory A. Brady has leveraged the Office of General Counsel's resources in an efficient manner to provide a vast scope of high-quality legal services, including overseeing the rollout of the Office of General Counsel's online process for contract review requests; and

WHEREAS, through his participation with the National Association of College and University Attorneys and the DeKalb County Bar Association, Gregory A. Brady has strengthened Northern Illinois University's local, state and national standing; and

WHEREAS, under his guidance, and through the Office of General Counsel, Gregory A. Brady has been actively engaged as part of the learning community on campus to provide interns from the NIU College of Law and Department of Political Science the opportunity to gain valuable hands-on working experience.

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Northern Illinois University in formal meeting herein assembled, extends its grateful appreciate to Gregory A. Brady for his distinguished service as Acting General Counsel to Northern Illinois University.

BE IT FURTHER RESOLVED that this Resolution be presented to Gregory A. Brady and a copy of this document be placed in the official files of the Board of Trustees as part of the permanent record of the University and the great State of Illinois and as a lasting tribute to the accomplishments of Gregory A. Brady.

Adopted in a regular meeting assembled this 13th day of June, 2019.

**Board of Trustees of
Northern Illinois University**

Dennis L. Barsema
Board Chair

John R. Butler
Board Secretary

