NiU Board of Trustees
LEGISLATIVE AFFAIRS, RESEARCH AND INNOVATION
11:00 a.m. - Thursday - May 19, 2016
Board of Trustees Room
315 Altgeld Hall

1. Call to Order and Roll Call
2. Verification of Appropriate Notification of Public Meeting
3. Meeting Agenda Approval ................................................................. Action........i
4. Review and Approval of February 18, 2016 minutes ....................... Action........1
5. Chair’s Comments/Announcements
6. Public Comment*
7. University Report
   a. State Legislative Report ......................................................... Information........9
   b. Federal Legislative Report ...................................................... Information........11
   c. Sponsored Programs Administration Report ........................... Information........13
   d. Engineering Research Overview ............................................. Information........16
8. Other Matters
9. Next Meeting Date
10. Adjournment
*Individuals wishing to make an appearance before the Board should consult the *Bylaws of the Board of Trustees of Northern Illinois University, Article II, Section 4 – Appearances before the Board.* Appearance request forms will be available in the Board Room the day of the meeting. For more information contact Kathleen Carey, (kahns@niu.edu) Recording Secretary to the Board of Trustees, Altgeld Hall 300, DeKalb, IL 60115, 815-756-1273.

Anyone needing special accommodations to participate in the NIU Board of Trustees meetings should contact Ellen Andersen, Director of Special Events, at (815)753-1999, as soon as possible.
CALL TO ORDER AND ROLL CALL

The meeting was called to order at 9:02 a.m. by Chair Cherilyn Murer in the Board of Trustees Room, 315 Altgeld Hall. Recording Secretary Cathy Cradduck conducted a roll call. Members present were Trustees Robert Boey, John Butler, Wheeler Coleman, Robert Marshall, Timothy Struthers, Marc Strauss and Committee Chair Cherilyn Murer. Also present were Committee Liaison Dr. Gerald C. Blazey, University President Dr. Douglas Baker, and Board Parliamentarian and General Counsel Jerry Blakemore.

VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING

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

MEETING AGENDA APPROVAL

Chair Murer asked for a motion to approve the meeting agenda. Trustee Strauss so moved and Trustee Coleman seconded. The motion was approved.

REVIEW AND APPROVAL OF MINUTES

Chair Murer asked for a motion to approve the minutes of November 12, 2015. Trustee Strauss so moved and Trustee Butler seconded. The motion passed.

CHAIR’S COMMENTS/ANNOUNCEMENTS

Chair Murer welcome the University Advisory Committee representatives, Dr. Dan Gebo and Steve Builta. Dr. Gebo was unable to attend; Builta thanked the Chair. Chair Murer welcomed comments from Faculty Senate President Dr. Greg Long, who offered the support for NIU’s research mission and positive changes that have been instituted in Sponsored Programs Administration. He also reminded the Board that within Faculty Senate and University Council they continue to discuss the importance for membership to educate and advocate for NIU. As an additional follow up, Faculty Senate and University Council are having a second reading on lowering the voting threshold in University Council to address the bylaws issues previously discussed. Trustee Murer thanked Dr. Long for meeting with the Trustees and building bridges.

Chair Murer also noted that despite the difficult climate we are in at the state level, it is important to remember that we do great things at this university. We continue to graduate students and put them in the workforce and that’s a legacy of this university. We continue to build programs and build relationships both in Washington and in Springfield, as we will hear later in the meeting.

The staff and faculty continue to be excited and pursue grants and look to ways in which to enhance research that’s being done at NIU. We have to remember one of our hallmarks is that we are a public research institution. It is very important that we never forget our commitment to research. The level of sponsored projects has been at a steady $30 million or more the last four complete fiscal years. That’s very positive. We are almost exactly on target the first quarter of FY16 with research across the colleges.
I also want to recognize David Stone who I see sitting here in the audience for the work that he has always done in assuring that we secure grants and giving guidance to faculty in that regard. The university has also been able to continue and refine programs investing in faculty success so that certainly is a cause to celebrate. We continue to be recognized nationally and I think that is very important. I hope that sometime in the future we can go back to Washington and meet with the legislators as we had once done and talk about the research that we do here at NIU. I think that message is very important that we continue to communicate that.

**PUBLIC COMMENT**

General Counsel Blakemore indicated that there were no request for public comment.

**UNIVERSITY RECOMMENDATIONS/REPORT**

**Agenda Item 7.a. State Report**

Chair Murer introduced Mike Mann and asked for a status report of what is happening in Springfield. Mr. Mann thanked the Chair and began by saying today's report can be broken into two components. One I’d like to talk a little bit about the pieces of legislation that the General Assembly is considering right now and then also update you on the governor's budget address and the components of his proposal for FY2017. Currently there are three higher education funding bills that the legislature is considering. Senate Bill 2043 is a bit of a misnomer because it’s considered to be a higher education funding bill but there is no funding for public universities in it. The bill supports the Monetary Award Program and community colleges at levels actually greater than FY15 and the reason I hesitated there, since there’s no FY16 budget the base budget is still the final appropriation for FY15. Anyway Senate Bill 2043 has passed both houses. It has been delivered to the governor’s office. He has vowed to veto that measure citing the fact that there are no revenue to support it. House Bill 4539 is a republican higher education bill counter proposal that includes funding for public universities at 80% of our FY15 final appropriation, in other words, a 20% reduction. It includes funding for community colleges at 90% of their base funding which is a 10% reduction and holds funding for the Monetary Award Program flat at FY15 final levels. Finally, there’s Senate Bill 2269, which is a public university only funding bill coming out of the Senate democratic leadership (John Cullerton) which funds all universities at their final FY15 appropriation level which for us at $91 million would be flat funding.

There are three legislative funding proposals on the table right now. Fast forward to the Governor's budget address yesterday, which I noticed today in the headlines was being touted as an 'education-friendly' budget. The Governor's comments and his budget book focus heavily on support for K-12, including funding increases for early childhood education, with public universities proposed to receive a 20% reduction from the FY15 final appropriation. There is no FY16 plan laid out in the book, but there is an estimated spending column for FY16 and the figures in that estimated spending column are consistent with the 31.5% budget he proposed for us last year at this time. Currently there is no proposed legislation that would cut our funding at the 31.5% funding level. I would like to walk you through Table 1, which is the 3rd page of the three page document at your desk.

I want to take time to describe the figures since there are so many during this budget development process. I’m calling this the FY16 and FY17 budget process. I’ve highlighted NIU in the middle of the table in the blue. You will see that our original appropriation for FY15 was $93 million. We ended the year at $91 million because there was a two and a quarter percent reduction near the end of FY15. You notice I’m referring to that as our base funding level. The reason I’m calling that the base is because any type of ‘16 or ‘17 proposal on the table right now they’re comparing it to our FY15 final appropriation. Last year at this time the Governor's budget proposal for us was $63.8 million, which was the 31.5% cut. Last May the General Assembly approved a funding level for us that was an 8.6% reduction. The Governor vetoed that on June 25, 2015. In the final column you'll see the Governor’s budget as proposed
yesterday for us, $72.8 million, which again you'll notice the far right column is a 20% across-the-board reduction for all universities, including us. Also, just for your information, I included the MAP program funding as it was for the past couple of years and what the Governor's proposed level is. Most importantly I wanted to point out the university performance funding line, the last line on the table. In previous years, funding for performance funding has been a set aside. University's base budgets have been reduced by .05% to create a pool. Since there has been no funding to support performance funding initiatives, they've taken it out of our base budgets then redistributed the money based on the criteria. That is why you'll see for the first several columns it's been about $6.1 million, it is not added to the funding levels above. It's actually come out of those amounts to be reallocated. The difference in the governor's budget is that he's proposing a $50 million lump sum grant that would go to the Illinois Board of Higher Education for distribution to universities based on performance funding. Dr. Phillips and I have been hearing for years that there is a desire on the part of legislators across the board to increase the amount of funding that is based on performance, so this is really not a surprise to us. I wanted to mention that if this budget were to go through in this manner there would be a pot of funds in addition to the base budget of $72.8 million that we would be able to compete for based on the criteria set by the IBHE.

Trustee Struthers asked Mike about the performance criterion. Mike replied that in part it's number of degrees conferred and a graduation rate and research components. Dr. Phillips continued by remarking there are I think about 10 criterion and I believe there are five subcategories, as Mike said, mostly based on completion and retention rates plus time to graduation. There's a public service and research component and the sub-categories have additional weights for African-American, Hispanic, low income and adult students with those who are in STEM programs that provide a multiplying factor to those numbers. In the past, as Mike said, the allocation was half a percent, which equated to $6 million out of the higher education funding to the public universities. They are proposing upping that to $50 million, which would be probably about 5% I'm guessing. Our funding would be based on the performance funding model.

Struthers replied, I'm curious in your immediate reaction to that while different, surely doesn't strike me as necessarily bad and we've have a chance to sharpen our knives and get a bigger piece of that pie the better we did?

In response, Dr. Phillips explained, my reaction is that it wouldn't be bad if we weren't cut 20% to start off with. Community college funding was held flat and then in addition they have a $9 million of performance funding that they can go after and compete for. Our situation is that the universities are being cut $240 million and then there's a $50 million pot to go after.

Dr. Baker also stated, I've studied this for the past ten years, performance funding and what works and what doesn't work around the country. There's basically two models. One is a model in which the legislature puts a pot of money there and says we're going to reward schools that get to places we want them to go. The other model is we're going to cut all your budgets and we're going to create a pool and you all can fight over it. When that happens what you're incenting is competition rather than collaboration and so you get competition that crosses sectors, often with community colleges and universities where they don't want to work with each other. The models that appear to work are ones that are simple- that have a small number of criteria and that create a pool for people to go after as a reward rather than a punishment. The other piece that I've seen around the country that works is that when there is stable funding. For our university and all the universities in the state our analysis is that in real dollars, since 2002, we've lost half of our appropriations. Let that sink in. We've lost half of our spending power since 2002. We're not looking at another dramatic cut and then there's some crumbs that are put out for performance funding. If you look at the economic pressures that are changing our behaviors, it has very little to do with performance funding. It has to do with the intense competition in higher education and the fact that we have half the spending power we used to. So we're making incredible adjustments in the university. This kind of reward that's put out there is just a little piece in a
much stronger current. We're going through strategic planning and program prioritization. We're looking at every dollar we spend. None of that has anything to do with performance funding; it has to do with us trying to fulfill our mission with the limited resources we have. We're doing what we're supposed to be doing to fulfill our mission to help our faculty and staff be successful so they can help students be successful. The concept is good but it's got to be framed in a very different environment then we've got right now.

Information Item 7.b. Federal Report

Chair Murer began this report saying Dr. Blazey will give the update in Dr. Quider's absence. Dr. Blazey remarked, I have three sets of comments. One is on the general status of the federal budget, the second will focus on some of the highlights including presidential initiatives, and the final set of comments will be with regard to our activities in terms of engagement on the Hill and with the administration. As you know, the federal budget has dominated the national conversation for the past several months, certainly the conversation in Washington, and the most significant event was the passage in December of the appropriations package for FY16 to fund all of the agencies through September, 2016. Congress raised the sequester caps by $50 billion for FY16 and $30 billion for FY17 making some room for further discretionary spending for programs. Federal Relations is currently working with our delegation on the FY17 appropriations process, which began this month when the President released his budget proposal. Currently, we're working with the Senior Cabinet on priorities. Within this complex federal landscape we're tracking a couple of strongly emergent themes that touch on two of NIU's main equities – college affordability and research investments. Reducing or eliminating the cost of higher education for students is an active area for comment and policy proposals spanning Congress, the president, and all the presidential candidates.

President Obama has launched a new Cancer Cure Moonshot Task Force, led by Vice President Biden, as well as a ‘computer science for all’ initiative. As a starting point with Congress, his budget proposals increase research for funding in several federal agencies along the lines of those two initiatives and those are initiatives that should have benefit at NIU. We'll need to be work with our Illinois delegation to insure that we’re well positioned to do so.

We're continuing to work closely with our delegation to showcase NIU's leadership in education, research, artistry, and service. In October of last year nine members of the Illinois delegation, including both senators, signed a congressional welcome letter for NIU's annual STEMfest. They tweeted it, they re-tweeted it and it had quite an impact and it was widely recognized on the Hill. The letter actually mentioned ‘world class’ STEM research educators and innovators at Northern Illinois University. It praised them and expressed bipartisan commitment to funding STEM education. We got members on both sides of the aisle to sign that letter. In November Representative Kinzinger hosted 21 academic fellows from Southeast Asia as part of a Department of State sponsored program. He is really keen on international engagement and we're going to continue to work with him on such programs. Earlier this month, Senator Durbin highlighted NIU's proton CT scan research in a senate floor speech about the Department of Energy and the reasons to support the Department of Energy. NIU was the only university highlighted. Dr. Anna Quider is always available to discuss federal issues or opportunities so please don't hesitate to contact her.

Information Item 7.c. - Sponsored Programs Administration (written report only)

Information Item 7.d. - Research in the College of Education
Trustee Murer introduced the speakers from the College of Education, Professors Paul Wright and VanOverbeke. Since we initiated this committee under the vision of Dr. Butler, she began, it's been our commitment to educate our community, both internal and external, as what we're doing in the field of research. We dedicate a portion of each of our committees to highlight a different college and project.

Thank you and good morning, began Dr. VanOverbeke, Associate Dean of the College of Education. I will admit that this is a challenging task to look at education and research across the College of Education because there is so much going on, but I want to take just a little bit of time to provide a brief overview and then pass it off to Dr. Wright, who can give you more detail about a very specific project that I think encapsulates a lot of the work we're trying to do across the college. The College has roughly 17 grant-funded and work training grants, totaling about $8 million over the life of the grant. Faculty are working on large scale, multi-year projects and on projects that are much smaller in scope and scale with funding from multiple sources both internal and external sources. I also hope to emphasize that faculty are incorporating their research into their teaching. The projects that are funded in the College of Education by external grants are a wide variety – from the Spencer Foundation and the National Academy of Education in Chicago to the National Science Foundation to the Yost Department of Education – as well as internal grants both at the university level from Summer Research and Artistry, but also internal grants from the Dean's office to support research. Another reason it's challenging to talk about research in the College of Education is because there are so many broad fields that make up the College. We have six departments, but within those departments are multiple programs and disciplines. Faculty are looking at research topics from a number of different disciplinary perspectives. We have historians, philosophers, quantitative researchers, and faculty who are interested in literacy, reading, bilingual education, science, technology and engineering fields. But there are some common characteristics that define all the different projects and all the different fields regardless of whether we use different methodologies or ask different questions. What I think really defines research in the College of Education is this idea of immediate applicability. How can the research that we're doing in the College apply immediately to K-12 classrooms or to higher education centers or to community agencies or to policy research? Even topics on the history of education, which is one of my areas, and the history of college access then becomes a white paper about ‘how do we make it more comfortable and easier for students to come into college’? How do we make that transition more useful? How do we recruit students and then how do we create a community here. We also work on and focus on multiple partners in collaboration. We collaborate across the college and university as well as with colleagues nationally and internationally.

Dr. Wright is also going to talk about the importance of working with graduate and undergraduate students. That's really a key component of how in the college we approach researchers. How do we bring students into this? How do we train them also to be researchers? You can see that in 2014 that's the last year for which we have complete data. We're a couple a weeks away for complete data for the past calendar year, but our faculty are productive and they're publishing, and depending on their field, the publication of choice may be the book or it may be journal articles or it may be edited volumes. We're publishing. We're publishing books. We're publishing chapters. We're publishing journals. We're publishing work in non-traditional settings because one of the goals is how do we make our research accessible to a wider audience? How do we reach multiple people not just academics? How do we reach teachers in K12 classrooms for example? How do we reach the public? We do that through conferences and presentations but also through a perspective series on WNIJ. If you've been in the car and you've been listening you'll hear a lot of our faculty speaking as part of that series. I want to just spend a quick couple of minutes and then pass it off to Paul to talk about how in the college we're trying to support research. We reconfigured those positions so that they are working with school districts, they’re working with community agencies and centers to make partnership arrangements to bring the college into greater and tighter partnerships with those schools. That benefits certainly our students who need placements for student teaching and clinical experiences, but it also benefits our faculty and our doctoral and master’s students who need to do research and the schools want to do research and the schools want to do research in the community agency that we've tried to facilitate that access to the schools; those partnerships by having staff work closely on developing those partnerships. We also, as I mentioned
earlier, have dean’s grants which are really seeded towards helping pilot projects for external grants. We’ve been putting together workshops and events. We had one on Tuesday for new faculty that Dr. Wright participated in that as well. It was an opportunity for new faculty to work with our more senior faculty on “how do you take an idea to a research project, how do you get it published, how do you take the dissertation and move it into a publication”? How do you create a solid research agenda and a solid research identity? I think Dr. Wright would concur with me, but one of my final comments when the panel was finished was that the search committees had done their job because they were amazing faculty asking the right questions and really excited about the work that they were doing. It was great from my perspective to be able to see that because there was a lot of energy in the room. There will be an event next Wednesday. It’s for undergraduates and it’s really focused on how do undergraduates take a paper that they wrote for a class and turn that into a presentation and turn that into a publication. So how can undergraduates be more involved in developing research and take their own ideas into a publication? There will be a similar one for grad students with a research symposium in April to help prepare our students for presentations to national and international audiences. We want to provide a context, a friendly environment in which they can prepare their work and present before going in front of a national audience. We’ve also created writing groups and opportunities for faculty to work together with each other either because they’re collaborating on projects or they’re at the same stage in a project, but it’s another level of support for the work they do. And then just very quickly I want to highlight two projects that faculty are working on. I could have highlighted any number of projects but the principle investigators for these two projects are going to be here in the next subcommittee meeting and I thought you could put a face to a name and if you had a question you could certainly talk to them during the break. Dr. Suzanne Degges-White, chair of the Department of Counseling, Adult and Higher Education and she is one who works closely with WNJ on a perspective series and is often on the radio talking about her research, but she’s looking at adult relationships and how do those adult relationships affect the way you envision yourself, your own emotional health as an adult. We tend to focus on friendships in younger ages, but what about adults and how important are friendships for adults. One other project that is of interests and of note is Dr. Carrie Kortegast, who is an assistant professor in her third year in the Department of Counseling, Adult and Higher Education. She is interested in LGBTQ students and how they internalize what happens on a campus and how that affects their identity, sense of self, sense of safety and security and you can see that there’s an image here of a gender neutral bathroom and one of the projects that she’s working on is to give students cameras and to ask them to take pictures of images on campus that really stand out for them and that affect them in one way or another and then to think about those images and how that shapes your identity and how that shapes that sense of security and safety on campus. A gender neutral bathroom is a very powerful symbol and a very powerful message that the university is sending, especially to transgender students. Her research looks at the ways in which very small things can make a profound difference in how students do in college and how well they do. Now I want to turn it over now to Dr. Wright who can talk a little bit more specifically about a project and the exciting aspects of the work that he is doing. I want to just mention before handing it to him that he’s dedicated to really involving students in his work and so much so that he just received the Outstanding Mentor Award from his association.

Thank you, Mark, and good morning everyone, began Dr. Wright. It’s truly an honor to be here presenting in front of the group and to represent the College of Education. There are so many great researchers that I work with and it’s humbling to be selected as one to get up here and try to represent the sort of work we do in the College.

The best way to set up without conceptual frameworks what I do, please raise your hand if you’ve ever heard the mantra ‘sport builds character’. You may or may not believe it but if you’ve heard it. That’s not a conceptual framework. I would agree that sport has the potential to build character, but what type of character is what we need to ask. We know from what we hear in the media about sports that a lot of bad things can happen in the name of sport around ethics, parent behavior, and coaches promoting aggression and winning at all costs. Those are moral lessons that are being taught but they’re not appropriate. I definitely believe that sport can build character but my work focuses on the idea of how
can we do that intentionally. This can be competitive sport or after school program or in-school physical education, but my work essentially is about using sport and physical activity as a vehicle to work with children in promoting positive values and teaching life skills. It’s a very interactive social and emotional environment. If you can teach a child how to control their mouth and their temper in a basketball game, that’s better than role playing in my opinion. They are charged, they’re heated, and it’s in the moment, so that’s a great opportunity to teach lessons about how you conduct yourself and how you treat other people. I just refer to a couple frameworks up there just to make the point that this work I do is relevant in after school programs, summer camps, competitive sport, and usually that term, positive youth development, through sport is used to refer to those areas, but it’s also extremely relevant to K-12 education. Illinois has adopted social and emotional learning standards for every subject area and grade level, and therefore teachers in the state – whether they know it or not – are expected to be teaching kids about dispositions and life skills, including how they conduct themselves and treat other people. Teaching personal and social responsibility is the specific model that I work with. It’s an instructional model that focuses on shifting responsibility to children and helping them to develop responsibilities and life skills. The last note is probably the most important part of this model – the idea of transfer. If you think of a sport context, if you’re going to teach someone how to do a bounce pass you don’t just put a poster on the wall and say ‘now figure it out’. You demonstrate the skill, break it down, let the children practice it, and give them feedback. You let them make mistakes and you coach them. If we’re going to teach children about leadership, we don’t just put a poster on the wall that says ‘leadership’. We have to show them what that looks like. Put them in charge of other kids. Give them chances to practice that and develop that skill. We try to do that in the program setting, but always our emphasis is ‘can they transfer that to other parts of life’. We focus on transferable life skills like goal setting, decision making, and peaceful conflict resolution.

I’ll give you two snapshots within my program of research, places I’m using this model. It’s a small scale action research project that I run at a local middle school here. It’s an after school program for boys who have been identified as falling through the cracks. These are some of the specific life skills we focus on. Things like teamwork, effort, self-control, and persistence can clearly be developed in the sport context, but we talk directly with the youth about how those can be used in other parts of their life. A couple things I’ll say about this project is I call it an action research project, but we do generate scholarship and publish from this work. I’ve had colleagues throughout the US and other countries come to visit me to learn about this work and it’s great to have a demonstration site I can take them to and let them see it in practice. It’s also a training site for my students. I have doctoral, masters and undergraduate students work with me side-by-side running this program not just learning the research in this area and the academic side of it, but really learning how to work with kids and develop relationships with community partners.

The other end of the spectrum is a much larger international project. I currently have a grant from the U.S. Department of State to work with the small country of Belize, just south of Mexico. It’s a country of only 370,000 but they are on the U.S. watch list and have been for years because of high levels of interpersonal violence. The reason I got this grant was to introduce this idea of TPSR and positive youth development through sport and work with several organizations throughout the nation that other youth sport programming to try to get them to come together as a coalition to do more with sport than just competition and physical skill development, but to really create a culture of positive values and teach life skills that will help children in other areas. I want to leave time for questions so I’m going through this quickly, but I just want to say in these projects from local and small scale to larger funded projects that are international in scope, a common theme just like Mark had mentioned in the idea of involving students. In the Belize project I’ve also taken doctoral, masters, and undergraduate students with me to do trainings down there. They’ve been in meetings with us and the U.S. Ambassador to Belize. We’ve involved community partners that we work with. There’s a group in Chicago in the Little Village neighborhood which is the most gang torn and violent area in the City of Chicago. There’s a gentleman there, Rob Castanada, who runs youth development programs. He takes me on as a consultant to help him with evaluation and I’ve brought him in as a consultant on the Belize grant to go there with the team.
each year to help provide training for coaches and youth workers. I really like the idea of this triangle offense where we try to integrate the idea of what the students are learning in theory with how can they work with that in practice, and how do we get them out in the field – whether that’s half a mile away or just south of Mexico to have a more enriching experience. Chair Murer thanked the presenters, also noting that NIU has a rich history in education in terms of the practicality of the research and working with students on a day-to-day basis.

**OTHER MATTERS**

No other matters were discussed.

**NEXT MEETING DATE**

The next meeting of the Legislative Affairs, Research and Innovation Committee will be 11:00 a.m. on May 19, 2016.

**ADJOURNMENT**

Chair Murer asked for a motion to adjourn. Trustee Coleman so moved and Trustee Boey seconded. The motion was approved. Meeting adjourned at 9:55 a.m.

Respectfully submitted,

Cathy J. Cradduck
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.*
STATE BUDGET UPDATE

On April 22, 2016, the Illinois House and Senate passed an emergency budget for higher education. Senate Bill 2059 HA3 passed by a vote of 106-2 in the House and 55-0 in the Senate signaling nearly unanimous bipartisan support. On April 25, 2016, the Governor signed the measure into law (P.A. 99-0502) and the state comptroller has announced she will begin processing payments to universities for operations and MAP immediately. This emergency or “stop-gap” budget is aimed at helping colleges and university survive the summer months. Funds to support the budget are available in the Education Assistance Fund, which receives a small portion of revenues generated by state income taxes. Leaders in the legislature and in the Governor’s office have stated this will not be the only higher education funding provided for FY 2016; we are hopeful a full-year budget for FY2016 and FY2017 will be forthcoming and we are working toward that end.

The emergency budget provides NIU with $26.4 million for operations, which equates to about 29 percent of the FY 2015 final appropriation. Most other Universities also received between 29 percent and 30 percent of their previous year appropriation (see Table 1), with the exception of Chicago State University which received about 55 percent. The bill also provides the Monetary Award Program (MAP) with $169.8 million. ISAC will use this funding to process fall 2015 MAP awards. This emergency budget also provides partial funding to IMSA and Community Colleges.
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<th>Original Appropriation</th>
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<th>Gen. Assembly Budget</th>
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<td>63,835.3</td>
<td>85,171.7</td>
<td>26,403.2</td>
<td>(64,689.5), -71.02%</td>
</tr>
<tr>
<td>Western Illinois University</td>
<td>52,629.3</td>
<td>51,445.2</td>
<td>36,051.4</td>
<td>48,101.3</td>
<td>14,911.4</td>
<td>(36,533.8), -71.01%</td>
</tr>
<tr>
<td>Southern Illinois System</td>
<td>204,151.8</td>
<td>199,558.5</td>
<td>139,845.1</td>
<td>186,599.5</td>
<td>57,482.2</td>
<td>(142,076.3), -71.20%</td>
</tr>
<tr>
<td>University of Illinois System</td>
<td>662,083.3</td>
<td>647,186.4</td>
<td>453,530.7</td>
<td>605,119.7</td>
<td>180,094.1</td>
<td>(467,092.3), -72.17%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,229,438.5</strong></td>
<td><strong>$1,201,776.6</strong></td>
<td><strong>$842,172.2</strong></td>
<td><strong>$1,123,705.1</strong></td>
<td><strong>$350,059.1</strong></td>
<td><strong>($851,717.5), -70.87%</strong></td>
</tr>
<tr>
<td>ISAC/Monetary Award Program</td>
<td>$373,254.5</td>
<td>$364,856.3</td>
<td>$373,254.5</td>
<td>$397,073.1</td>
<td>$169,798.7</td>
<td><strong>($195,057.6), -53.46%</strong></td>
</tr>
</tbody>
</table>

* Also includes $6,000.0 for IMSA and $74,142.3 for Community Colleges.
FEDERAL RELATIONS UPDATE

This item provides information on federal issues that impact the University.

Congress
Congress has remained focused on Fiscal Year 2017 (FY17) legislation this quarter. As was the case last year, despite the Republican majorities’ desire to complete the federal budget process through regular order, partisanship makes it increasingly likely that a continuing resolution will be needed to keep at least part of the federal government operational at the start of FY17 on October 1, 2016.

The appropriations process this year is particularly fraught because of the upcoming elections in November 2016 and the condensed legislative calendar. Neither the House nor the Senate has passed their budget resolution which would set the overall budget blueprint for FY17. Therefore, the Senate and House Appropriations Committees are proceeding with the FY17 top-line funding values from the Bipartisan Budget Act of 2015. FY17 funding levels for most of NIU’s priorities areas in education and research are expected to be flat or slightly above FY16 enacted levels. In March 2016, NIU weighed in with the Illinois congressional delegation on the FY17 appropriations process by submitting appropriations programmatic requests for agencies encompassing NIU’s federal funding portfolio.

Beyond the appropriations process, Congress is expected to make little headway on passing authorizing legislation pertinent to NIU. Unfortunately, this means that the reauthorization of the Higher Education Act is not expected to proceed until the new Congress convenes in 2017.

The Administration
The Obama administration remains active despite entering the twilight of its tenure.

Department of Labor Overtime Rule Change
The U.S. Department of Labor (DOL) proposed a rule on white-collar exemptions to the Fair Labor Standards Act’s overtime regulations that would be costly for NIU and other higher education institutions. DOL’s proposed rule would significantly increase the minimum income threshold for exemptions to overtime pay requirements by 113 percent, from $23,660 annually to $50,440. Under the proposed rule, this increase would occur all at once rather than staggered over time. NIU has expressed our concerns about this rule to our congressional delegation but there is significant political momentum driving the implementation of this rule as written.

The Cancer Moonshot Initiative
President Obama signed a Presidential Memorandum and VP Biden convened the Cancer Moonshot Task Force, creating an interagency task force aimed at removing bureaucratic hurdles and supporting scientific advances to end cancer “as we know it” over the next five years. The Task Force convenes over 13 federal agencies including the Department of Health and Human Services, Defense, Energy, National Science Foundation, and National Institutes of Health.

Secretary of Education Appointment
On March 14th, John B. King, Jr. was confirmed as Secretary of Education by a vote of 49-40. The priorities for his short tenure include implementation of the Every Student Succeeds Act (a reworking of the No Child Left Behind Act) and improving oversight of student loan servicers.
Federal Engagement with NIU

NIU Weighs in on ‘Super Science Tuesday’
On March 1st, NIU students and faculty participated in the “Super Science Tuesday” national video campaign answering the question “Why should science matter to our presidential candidates?” The campaign calls attention to the need to maintain America’s leadership in scientific discovery and innovation and was accompanied by national and local op-eds authored by Interim Vice President for Research, Dr. Gerald C. Blazey. The campaign materials were viewed at least 50,000 times in the first 48 hours. Boston University, Florida State University and Stony Brook University also participated in this Science Coalition-led project.

NIU Shares Priorities with Congress and Federal Agencies in Washington, D.C.
NIU faculty, administrators, and students regularly engage with Members of Congress and their staff and federal agency officials on issues of importance to NIU, including:

- On February 1st, Senator Durbin highlighted NIU’s proton CT scan research during a speech on the Senate floor. NIU is the only university he mentions in the speech.
- On February 18th-19th, Associate Professor of Geology Melissa Lenczewski met with federal officials from USAID, the U.S. Department of State, and the National Science Foundation to discuss opportunities to internationally expand her water research program.
- On March 9th, Professor of Physics Dhiman Chakraborty spent time on Capitol Hill discussing his NSF-funded research and educational outreach programs. He met with the office of Sen. Durbin and offices of Reps. Foster, Hultgren, LaHood, and Lipinski, all four members of the Illinois delegation on the House Science Committee.
- On March 15th, Dean Chris McCord and Assistant Professor of Physics Jahred Adelman met with Congressman Randy Hultgren as well as the office of Sen. Durbin and offices of Representatives Duckworth, Kinzinger, Lipinski, and Quigley to discuss FY17 priorities and updates from campus. As a successful outcome, every office submitted at least one letter of support to their Appropriations Committee requesting increased funding for NIU priority agencies, such as the Department of Energy Office of Science, National Science Foundation, and Department of Education.
- On March 16th, a federal official from the U.S. Department of State met with 20 NIU political science students to discuss career opportunities.
- On April 20th, NIU senior student Ivanna Khmelovska met with Senator Kirk, the office of Senator Durbin, and the offices of Reps. Foster, Kinzinger, and Lipinski to discuss her experience as an NIU student and to urge strong federal support for science research and education programs. She was in town attending a three day science policy training workshop hosted by the American Association for the Advancement of Science.
- On April 26th, Associate Professor of Computer Science Mike Papka participated in the 22nd Annual Coalition for National Science Funding (CNSF) Exhibition and Reception on Capitol Hill and met with the offices of Reps. Foster, Hultgren, LaHood, and Lipinski, all four members of the Illinois delegation on the House Science Committee, and the office of Rep. Kinzinger. He showcased his NSF-supported Array of Things research to over 200 Exhibition attendees, including congressional staff and agency officials.
- On April 27th, Representative Kinzinger met with 60 participants in the U.S. Department of State-sponsored NIU Southeast Asian Youth Leadership Program and faculty from the Center for Southeast Asian Studies.
In the third quarter (January 1 – March 31) of FY 16, faculty and staff submitted 74 proposals totaling $23.5 million and received 45 awards totaling $3.1 million. Cumulative external funding through the end of the third quarter (Qtr. 3) was $17.2 million (Figure 1).

SPA has one more quarter before reporting total sponsored funding for FY 16 and a number of factors will affect this final total. These factors include agency review and award processing schedules and year-end university sales reports to SPA. Based on past fourth quarter funding trends and a review of awards in the pipeline, a conservative estimate for total FY 16 funding is $25 million.

NIU’s sponsored funding levels have generally held steady over the last 5 years, with the exception of FY 11 when the American Recovery and Reinvestment Act (ARRA) infused NIU with one-time funding of over $48 million to build out broadband infrastructure and conduct polar research. FY 11 also marked the conclusion of NIU’s long-standing (10+ -year) history of receiving earmark awards with the last congressionally directed earmark award for $9 million to conduct proton therapy research.
With 26 federal grant-making agencies supporting a myriad of programs, the Federal government is NIU’s largest source for sponsored funding and our largest source of external funding for research. Since FY 11, funding for research at NIU has generally followed national funding trends during this time, namely sequestration that capped federal agency funding at historically low levels and for which they are now beginning to recover.

Of the top 5 colleges and administrative divisions receiving sponsored research funding since FY 11, the College of Liberal Arts and Sciences (LA&S) consistently held the largest share due to their broad program portfolio, range of disciplines, and number of full-time faculty. The ~$9 million in research funding for University Outreach in FY 11 reflects the earmark award for proton therapy research. Based on projections through the end of FY 16, LA&S will again secure the majority of sponsored research funding at NIU.

The potential decline in FY 16 funding is partially attributed to the expiration of two awards with a combined value of $2.1 million through the College of Education and the College of Engineering and
Engineering Technology (CEET). Further, applications for funding are down 23% over this time last year for reasons not entirely known. SPA will continue to work with the Office of the Vice President for Research to understand these funding trends and the underlying factors influencing them and will continue to report findings to the Board.

It is worth noting that despite the current landscape, NIU faculty and staff continue to work hard to secure sponsored funding. For example, PI Academy alum and Geology Professor Justin Dodd secured his first National Science Foundation (NSF) award ($200,000) to study ice sheet dynamics, and Christine Mooney secured private funding to implement a campus start-up accelerator program for NIU students. Both of these awards advance NIU’s teaching and research missions while promoting the University as a student centered research institution.
ENGIN EERING RESEARCH OVERVIEW

The College of Engineering and Engineering Technology (CEET) has been very active and responsive to NIU’s mission in terms of research, partnerships, and innovation. Our faculty have demonstrated success in establishing a strong research track record in advanced manufacturing, engineering education, and active noise/vibration control. We also have been successful in forging partnerships with regional industries, school districts, and community colleges in response to their needs for engineering services, teacher professional development, and workforce development.

For example, CEET was among two national entities who received a $2.5M grant from NIST in partnership with Northwestern University. CEET was also an active member in the writing team led by UI Labs to win and establish the $320M Digital Manufacturing and Design Innovation Institute (DMDII). CEET in partnership with RVC, RAEDC, and NIU Rockford won a $2.4M grant from the Department of Commerce and Department of Labor to accelerate growth of small and medium enterprises in the Rockford region for their aerospace cluster workforce development and branding. Research activities in Digital Signal Processing resulted in a major licensing agreement with Invictus Medical for making neonatal intensive care units (NICU) more conducive to newborns’ cognitive development. The Invictus partnership resulted in a major phase I STTR grant from NSF for $240,000 to help with technology development and market transitioning of advanced NICUs. Currently, efforts are underway for the phase II of this program.

FY 2012 to FY 2015 Research

- Total amount of funding: $13.7M vs. NIU $128.3M (11%) and vs. LAS $47.9M (29%)
- Number of faculty members receiving grant awards: 36

CEET has been very active in providing the following service to promote faculty research productivity:

- Mentor and identify funding opportunities for faculty and research clusters
- Assist faculty with proposal development and strategic steering
- Facilitate interface with internal and external partners for collaborative proposals
- Assist the faculty with market transition and commercialization of their inventions in collaboration with Technology Transfer Office (TTO)
- Assist the faculty to enhance and upgrade their laboratory facilities in collaboration with other academic and administrative units
- Seek and provide financial assistance for faculty to advance their research agenda
- Seek and provide financial assistance for graduate student support
- Develop and manage graduate programs and their offerings to our external partners (For example: the MS MEE program at Navistar)
CEET originating/contributing IP and licensing agreement summary

**Licensing Agreements**

Invictus Inc., “Apparatus, System and method for noise cancellation and communication for incubators and related devices” and “Electronic Pillow for Abating Snoring/ Environmental Noses, Hands Free Communications, and Non- Invasive Monitoring and Recording”


Tagnetics Inc,”RFID Tags using magnetic coupling”

**Issued Patents (active and NIU or NI RF owned)**


US patent # 8,325,934 issued December 4, 2012 “Electronic Pillow for Abating Snoring/ Environmental Noses, Hands Free Communications, and Non- Invasive Monitoring and Recording” Inventor: Sen M. Kuo (Invictus license) – continued strong third party interest in other fields of use

European patent #EP2 217 113 issued July, 2015 “Electronic Pillow for Abating Snoring/ Environmental Noses, Hands Free Communications, and Non- Invasive Monitoring and Recording” Inventor: Sen M. Kuo - validated in France, Germany and Great Britain (Invictus license) - continued strong third party interest in other fields of use

Japan patent #JP5406996 issued February 2, 2013 “Electronic Pillow for Abating Snoring/ Environmental Noses, Hands Free Communications, and Non- Invasive Monitoring and Recording” Inventor: Sen M. Kuo (Invictus license) - continued strong third party interest in other fields of use


US patent #8,226,503 issued July 24, 2012 “Football Blocking Simulation Apparatus” Inventors: C. Rusch, Bork, Newquist (CEET student team)

US patent #8,991,636 issued March 31, 2015 “Web insulation system, valve for a web insulation system, and a storage container using the web insulation system” Inventors: Elegant research team – special arrangement w/ Dean Vohra

US patent #9,279,540 issued March 8, 2016 “Web insulation system, valve for a web insulation system, and a storage container using the web insulation system” Inventors: Elegant research team – special arrangement w/ Dean Vohra

US patent #8,991,150 issued March 31, 2015 “High specific impulse superfluid and nanotube propulsion device, system and propulsion method” Inventors: Elegant research team – special arrangement w/ Dean Vohra

US patent #9,247,346 issued January 26, 2016 “Apparatus, System and method for noise cancellation and communication for incubators and related devices” Inventors Sen M. Kuo, L. Liu (Invictus license) - continued strong third party interest in other fields of use

**Patents applied for (NIU or NI RF owned)**

US application 14/668,620 “System and Method for Wireless Positioning and Location Determination” Inventor: L. Liu

US Application 14/965,176 “Apparatus, System and method for noise cancellation and communication for incubators and related devices” Inventors: Sen M. Kuo, L. Liu (Invictus license) - continued strong third party interest in other fields of use


**Patents applications in process (NIU Co-owned with other institutions)**

Texas Tech, NIU and NREL are co-owners of “Ocean Wave Energy conversion system optimized for Energy Capture & Delivery of Utility Standard Power” D. Zinger et al