Meeting of the Board of Trustees

September 14, 2017
AGENDA
BOARD OF TRUSTEES
of
NORTHERN ILLINOIS UNIVERSITY
9:00 a.m. – Thursday – September 14, 2017
Board of Trustees Room
315 Altgeld Hall

1. Call to Order and Roll Call

2. Verification of Quorum and Appropriate Notification of Public Meeting

3. Meeting Agenda Approval ................................................................. Action...... i

4. Review and Approval of Minutes of May 18, 2017 Special Meeting...................... Action...... 1

5. Chair’s Comments/Announcements

6. Public Comment*

7. Reports of Board Committees and Board Liaisons
   a. Executive Committee
   b. Academic Affairs, Student Affairs and Personnel Committee (AASAP)
   c. Compliance, Audit, Risk Management and Legal Affairs Committee (CARL)
   d. Finance, Facilities and Operations Committee (FFO)
   e. Legislative Affairs, Research and Innovation Committee (LARI)
   f. Illinois Board of Higher Education
   g. Universities Civil Service Merit Board
   h. Northern Illinois University Foundation
   i. Northern Illinois University Alumni Association
   j. Northern Illinois Research Foundation

8. President’s Report No. 117
   a. University Recommendations Forwarded by the Board Committees
      1) Fiscal Year 2019 Budget Request Guidelines ........................................... Action...... 10
      2) Fiscal Year 2019 IBHE Capital Budget Request ......................................... Action...... 12
      3) Fiscal Year 2018 Internal Budget Amendment ........................................... Action...... 33
      4) Investment and Cash Management Policy .............................................. Action...... 35
5) Bowl Game Participation Expenses ................................................................. Action .... 43
6) Authorization to Retain Executive Search Firms to Support
Selected Searches for the Division of Athletics ......................................... Action .... 44

b. University Reports Forwarded by the Board Committees
   1) Fiscal Year 2017 Report of Tuition and Fee Waivers ..... Information .... 46
   2) Fiscal Year 2017 Annual Report of Cash and Investments ..... Information .... 47
   3) Quarterly Summary Report of Transactions in Excess of $100,000 ..... Information .... 58
   4) Annual Summary Report Obligation of Financial Resources ..... Information .... 64
   5) Facilities Update ................................................................. Information .... 65
   6) NIU Telephone System Update .................................................. Information .... 66
   7) Recruitment and Retention Presentation ..................................... Information .... 67
   8) 2016-2017 Faculty Emeritus Recognition ..................................... Information .... 68
   9) Student Athletic Academic Success ........................................... Information .... 69
  10) FY2016 External Audit Corrective Action Plans Update Narrative .......... Information .... 70
  11) Conflict of Interest Training ............................................................ Information .... 77
  12) State Budget Update ................................................................. Information .... 78
  13) Federal Relations Report ............................................................... Information .... 80
  14) Sponsored Programs Administration .............................................. Information .... 82
  15) SWOT Analysis ................................................................. Information .... 84

c. Items Directly from the President
   1) Chicago-Based Office Leases for the Education Systems Center
      and College of Business MBA Programs .................................. Action .... 87
   2) Grant and Contract Awards .......................................................... Information .... 88

9. Chair’s Report No. 82
   a. Proposed Bylaw Changes for Standing Committees ......................... Action .... 106
   b. Resolution - Solidary Support from the BOT of NIU Regarding the Deferred
      Action for Childhood Arrivals (DACA) Program ................................. Action .... 119
   c. DREAM Action NIU .......................................................... Information .... 120

10. Other Matters

11. Next Meeting Date

12. Closed Session

13. 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, kjahns@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 Kathleen Carey, (815)753-1273, as soon as possible.
1. CALL TO ORDER AND ROLL CALL

The meeting was called to order at 12:28 p.m. by Chair Butler in the Board of Trustees Room, 315 Altgeld Hall. Recording Secretary Kathleen Carey conducted a roll call. Members present were Trustees Dennis Barsema, Robert Boey, Wheeler Coleman, Veronica Herrero, Matthew Holmes, Tim Struthers, Eric Wasowicz, Board Chair John Butler. Also present: President Doug Baker, Board Liaison Mike Mann, Acting General Counsel Greg Brady, Executive Vice President and Provost Lisa Freeman, Acting Chief Financial Officer Larry Pinkelton and UAC Representatives Greg Long and Holly Nicholson.

2. VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING

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.

3. MEETING AGENDA APPROVAL

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

4. REVIEW AND APPROVAL OF MINUTES

After a brief discussion, Acting General Counsel Brady verified that all trustees will vote on approving minutes for all meetings, including those who were not serving on the board at the time of the December meetings.

Chair Butler asked for a motion to approve the minutes from the BOT Special Meeting of December 2, 2016. Trustee Coleman so moved, seconded by Trustee Boey. The minutes were approved.

Chair Butler continued, with approval for the minutes from the Regular Board Meeting of December 15, 2016. Trustee Wasowicz so moved, seconded by Trustee Boey. The minutes were approved.

Chair Butler asked for a motion to approve the minutes from the BOT Special Meeting of February 14, 2017. Trustee Wasowicz so moved, seconded by Trustee Barsema. The minutes were approved.

Chair Butler ended with the approval of the minutes from the BOT Special Meeting of February 16, 2017. Trustee Barsema so moved, seconded by Trustee Wasowicz. The minutes were approved.

5. CHAIR’S COMMENTS/ANNOUNCEMENTS

Chair Butler commented on commencement ceremonies held the previous weekend, thanking trustees who attended and President Baker for his remarks. In addition, Chair Butler added condolences for the loss of current student Sai Kumar Adluru, killed in a car accident along with three other people were injured in a head-on collision caused by an intoxicated driver. The deceased student, Sai Kumar Adluru was also active in the Indian Student Association and was an energetic Cricketer representing the university in the Midwestern championships and was quite well respected and revered by his friends and colleagues. He was also an excellent student who needed only six hours to graduate, Also, seriously injured were Charishma
Dudde, who was a master’s student in Computer Science. We’ve got a number of people on our faculty and the Division of Student Affairs and Academic Affairs and International Programs who have been helpful in providing support to the student’s families and friends and so we continue to send our best wishes to the injured and our condolences to the family. I would now like to recognize yet again today to our special meeting the representatives of the University Advisory Committee, Holly Nicholson, Greg Long, and Cathy Doederlein.

Holly Nicholson began, thank you very much. I did want to welcome Sol Jenson, the new Vice President of Enrollment Management, Marketing Communication. I had the privilege of serving on the search committee for this position and in my role as Operating Staff Council President, and from the standpoint of someone who works in the division, I am really excited about his expertise in both enrollment management and marketing and communications which we all know is a rare trait; and the amazing achievements that he’s been able to accomplish in his former positions and also his focus on making data driven decisions. I think that’s going to be integral in moving our division forward. From an operating staff standpoint, I’m very impressed by his leadership and communication styles and I really look forward to Sol building on the relationships and communication systems that Harlan has already started to put in place. So I’m hoping at the end of the day he will be approved as our new Vice President and I look forward to our division moving forward together. I wanted to thank Mike Mann for his excellent and tireless service to NIU. He has done so much for the university in Springfield and he’s been a great partner to shared governance. I have a lot of respect for Mike. You will be missed and I wish you all the best in your future. Thank you very much.

Greg Long commented, Holly was far more eloquent than I will be. I would just add to that, thanks to Mike. I know how much time well beyond the 40 hours a week that you’ve put in and the value that you’ve given to the university, so thank you very much.

6. PUBLIC COMMENT

Acting General Counsel Brady indicated there was a request for public comment from Professor Virginia Naples.

Professor Virginia Naples began, usually I plan ahead to talk to you with a little bit more foresight, but a couple of issues arose when I was looking at the agenda last night and then from things that I’ve been hearing today, I have two rather quick observations I would like to present to the Board of Trustees and other members of the audience. I am particularly troubled about both of these issues. The first issue is that I am very concerned about is the engagement of executive search firm services for hiring at the department chair level. I understand that this is a practice that is typically allowed for hiring university presidents and that has been done here in the past, but also, in the recent history they have used executive search firm services for, I believe, four additional of the highest level positions and I’m also thinking that there was about $816,000 spent for those services and my tally is that two of the occupants of those positions have left within just a few years of their being employed here. That seems to me to send a very sad message to the constituency, the faculty, the staff, the students, and the other employees. I have just been informed that a lot of the custodial staff who are working in the Biology Department, Montgomery Hall, are no longer going to be with us and they are very unhappy about their lack of employment or loss of their jobs. Many of these people we don’t really see exactly what it is they do, but what they do is as mission critical as going into a classroom and teaching students or working in a research lab or in a library facility. We really need these people and I would urge the Board of Trustees to eliminate as much as possible using the executive search firm services. Instead look for home grown talent here at the university. We’ve got very highly qualified individuals and among the faculty and the staff would could be promoted or take on additional other opportunities. As well we’ve got people who attend professional meeting and society associations and journal and there are list serves and web pages; there are many, many opportunities to alert people that positions are available other than hiring executive search firm services from outside for the positions and now going down to hiring chairs. It seems as though this process is expanding at a time when funds are very restricted. So I would urge you to be very aware that this is potentially a cost that can be eliminated or curtailed dramatically and I think that would send a very good message to the public.
because when they see these things they look at it as business is continuing as usual. The other thing that also concerns me was that I was looking at the issues with the athletics budget. I was in on the budget meeting that was held in this room a couple of weeks ago, and I was very concerned that the athletics budget was anywhere variably presented from $28 to $31.5 million. I’m not entirely clear and from some of the numbers today they were talking again variably that income was 3 to 4 and I’ve also heard up to $6 to 8 million for gate receipts and things of that nature. It seems that that’s a very large expenditure. Athletics is an enhancement to a university life. Many people enjoy athletics, but the problem is that when we are in a severe fiscal constraint, this becomes a burden. Our students pay $800 or $900 a year for an athletics fee. I’ve had many students complain to me that that is an additional, unaffordable dollar amount; and in 2015 the university offered a semesters worth of I believe it was tuition to a student if 6000 students attended the six football home games and remained present throughout the entire game. There were not enough students that were at each of those six games for that scholarship to be awarded and it was only a single scholarship. So I’m very concerned about the amount of money that is spent on the athletics program and about a third of that money that is student’s fees is what goes towards the athletics program. Most recent numbers that I’m aware of are about $18 million is the shortfall that is made up from the university budget. I recognize that people say that they like to see athletics, but when I have asked students about reasons to come here, the athletics as a branding issue is not what draws them to NIU. I would very much like to see that this is an unsustainable kind of expenditure and ask that those monies be diverted to things that are more essential such as things like heating and cooling the buildings in the winter and things of that nature. Thank you.

Larry Pinkelton responded, I would like to share with the group that the Athletics Department has been considered an integral part of this campus community for many, many years. Beyond that, I would also share with the group that Athletics did receive a proportionate cut in their budget going into the fiscal ‘18 planning process as did every division that makes up NIU. To call out Athletics as an outlier suggesting that they are not participating in the efforts to become good stewards and maintain becoming good stewards and fiscally sound does not have the appropriate substance to back it up. Thank you.

Provost Freeman added, I’d like to address the use of external search services, particularly in the context of the College of Health and Human Sciences. I want to start out by saying that I completely share the concern about the expense particularly of executive search using a typical executive search model. I’d like to point out for the two deans that we confirmed their appointments today, for the Dean of the Libraries, we did not use any search assistance, and for the Dean of the College of Engineering and Engineering Technology we used a new unbundled model that greatly reduced the cost relying on the firm only for the passive recruitment of talent. The strategies that Professor Naples speaks about are strategies that generally work, but in the very competitive market place of health professions faculty, student in Computer Science. We will again do the best of our ability to keep the cost down not using an executive model, but trying at the lowest possible cost to get the assistance that we need to ensure the integrity and future of these important academic programs.

Greg Long responded, I just wanted to make a brief comment with regard to the Resources, Space and Budget Committee. We did, as Professor Naples said, had a meeting recently and the issue of athletics funding was part of that discussion, but also in terms of Larry Pinkelton’ s comments want to support that as well because during that meeting we did talk about Athletics, but there are multiple other divisions that we are going to look at a little more granular in terms of what each division’s doing and how things are being cut.

7. PRESIDENT’S REPORT NO. 114

UNIVERSITY RECOMMENDATIONS FORWARDED BY THE BOARD COMMITTEES

Agenda Item 7.a.(1) – Tuition Masters of Accountancy

President Baker introduced agenda item 7.a.(1) Tuition Masters of Accounting. Since we've just discussed
Chair Butler asked for a motion to approve. Trustee Wasowicz so moved and Trustee Herrero seconded. The motion was approved.

**Agenda Item 7.a.(2) – Reappointment of Dean, College of Health and Human Sciences**

President Baker continued, the second item is the Academic Affairs, Student Affairs and Personnel Committee has endorsed this morning the request to reappoint Dr. Derryl Block to a four-year term as the Dean of the College of Health and Human Sciences and that would take effect July 1, 2018. I move that she be approved.

Chair Butler asked for a motion to approve. Trustee Coleman so moved and Trustee Boey seconded. The motion was approved.

**Agenda Item 7.a.(3) – Appointment of Dean, College of Engineering and Engineering Technology**

President Baker added, the next item, the Academic Affairs, Student Affairs and Personnel Committee endorsed this morning the request for Dr. Donald Russell Peterson to be appointed as Dean of the College of Engineering and Engineering Technology with the rank of Professor and tenure in the Department of Mechanical Engineering effective July 1, 2017. I would move that forward for approval.

Chair Butler asked for a motion to approve. Trustee Wasowicz so moved and Trustee Coleman seconded. The motion was approved.

General Counsel Brady noted that Trustee Holmes who serves as a student trustee has abstained from the vote based on the inclusion of tenure in the appointment.

**Agenda Item 7.a.(4) – Appointment of Dean, University Libraries**

Chair Butler noted, the next two motions we’re going to have an abstention from our student trustee because of the matter of tenure of those two appointments. In the future, we’ll split those motions so that the student trustee can vote on the appointment but can abstain on the tenure. But for today for efficiency purposes our student trustee has agreed to abstain so I’ll be calling for that and that is of course the only reason why he’s going to do that.

President Baker continued, the next item is the appointment of the Dean of the University Libraries. The Academic Affairs, Student Affairs and Personnel Committee endorses this request that Professor Frederick Barnhardt be appointed Dean of the University Libraries with the rank of Professor with tenure in the University Libraries effective July 1, 2017.

Chair Butler asked for a motion to approve. Trustee Coleman so moved and Trustee Boey seconded.

Chair Butler called for a roll call vote:

<table>
<thead>
<tr>
<th>Trustee Dennis Barsema: Yes</th>
<th>Trustee Robert Boey: Yes</th>
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<tr>
<td>Trustee Veronica Herrero: Yes</td>
<td>Trustee Matthew Holmes: Abstain</td>
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<td>Trustee Tim Struthers: Yes</td>
<td>Trustee Eric Wasowicz: Yes</td>
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<td>Vice Chair Wheeler Coleman: Yes</td>
<td>Board Chair John Butler: Yes</td>
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Motion Approved.
Agenda Item 7.a.(5) – Appointment of Vice President for Enrollment Management and Marketing Communications

President Baker continued, the next item is the appointment of the Vice President for EMMC. The Academic Affairs, Student Affairs and Personnel Committee endorse this request to appoint Mr. Sol Jensen as the Vice President for the Division of Enrollment Management, Marketing and Communications effective June 16, 2017. We move that forward for approval.

Chair Butler asked for a motion to approve. Trustee Wasowicz so moved and Trustee Herrero seconded.

General Counsel Brady added, for clarification, this does not involve tenure, the student member can vote upon this and it is my understanding that even though we did a roll call vote on the one dean item, you did not place a vote on the other dean item. For the record, the student has done exactly what he was supposed to do and abstained on the tenure issues related to those two dean items. Thank you.

Chair Butler called for a vote and motion passed

Agenda Item 7.a.(6) – Authorization to Retain External Search Services for the Recruitment of Nursing Chair, Nursing Faculty, and Physical Therapy Faculty

President Baker continued, we’re on to item 7.a.6, recommendation from Academic Affairs, Student Affairs and Personnel Committee, which was endorsed this morning, that the President be authorized to select executive search services for the searches of Nursing Chair, Nursing faculty and Physical Therapy faculty and ask that I forward this to you for approval.

Chair Butler asked for a motion to approve. Trustee Boey so moved and Trustee Herrero seconded. The motion was approved.

8. CHAIR’S REPORT NO. 78

Agenda Item 8.a. – Amendment Regarding Bylaws to the Executive Committee

Chair Butler began, now we move to the Chair’s Report No. 78. The first item is an amendment regarding the bylaws to the Executive Committee. The proposed amendment before you to the Board bylaws serves two primary functions. I’ll explain those and then ask for a motion. First the amendment adds a fifth member of the executive committee making it a five-member committee under the Illinois Open Meetings Act. Five member bodies have a quorum of three members, it’s very expressively stated, and a majority for purposes of holding a meeting and taking action is also three members. Second, the amendment establishes a mechanism by which any two or more members of the full board may object to an item that is up for consideration before the Executive Committee in order to bring the item then to the full board instead. Do I have a motion to approve these amendments? So what we’re doing is we’re receiving this item as a notice of intent to propose the bylaw change so that we can proceed on this motion today. I’ll ask that one of my colleagues now motion that we waive provisions in Article 10 of the Board bylaws that requires that amendments of bylaws be voted on at regular meetings of the Board and that notice of the intention to amend the bylaw shall have been presented in writing at the special meeting immediately preceding the meeting at which an amendment is adopted. So may I have a motion to that affect?

Trustee Wasowicz so moved and Trustee Boey seconded the motion.

Chair Butler called for a roll call vote:

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<th>Member Name</th>
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<tr>
<td>Trustee Dennis Barsema</td>
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<td>Trustee Veronica Herrero</td>
<td>Yes</td>
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<td>Trustee Tim Struthers</td>
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<tr>
<td>Vice Chair Wheeler Coleman</td>
<td>Yes</td>
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<td>Trustee Robert Boey</td>
<td>Yes</td>
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<td>Trustee Matthew Holmes</td>
<td>Yes</td>
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<td>Trustee Eric Wasowicz</td>
<td>Yes</td>
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<tr>
<td>Board Chair John Butler</td>
<td>Yes</td>
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</table>
Motion approved.

Chair Butler continued, asking for a motion to amend the Bylaws, of the Board of Trustees, Article VI. Board Committees, Section I. Executive Committee, Subsections B. C. and D. Trustee Wasowicz so moved and Trustee Coleman seconded.

Chair Butler called for a roll call vote:

Trustee Dennis Barsema: Yes  
Trustee Robert Boey:  Yes  
Trustee Veronica Hererro: Yes  
Trustee Matthew Holmes:  Yes  
Trustee Tim Struthers: Yes  
Trustee Eric Wasowicz: Yes  
Vice Chair Wheeler Coleman: Yes  
Board Chair John Butler: Yes

Motion Approved.

Agenda Item 8.b. – Resolution Honoring Mike Mann

Chair Butler continued, we’re going to move to honoring our colleague and friend Mike Mann. The Board speaks as a body through resolutions in these cases, that does not preclude us from offering personal remarks, but what I want to do is if I can ask that the board first approve the resolution and then I’ll read the resolution publically and give Mike an opportunity to address the group gathered here today. So let me first ask is there’s a motion to approve the resolution you have before you.

Chair Butler called for a motion to approve the resolution honoring Mike Mann. Trustee Barsema so moved and Trustee Boey seconded.  Motion Approved.

Chair Butler called Mike Mann to the podium and read the resolution as follows:

RESOLUTION
HONORING
MIKE MANN

WHEREAS, wise stewardship is critical to the vitality and economic sustainability of institutions of higher education in the State of Illinois, and service to others is a hallmark of strong character and excellence; and

WHEREAS, devoting one’s professional life to responsible governance and civic engagement is a pursuit worthy of the highest praise; and

WHEREAS, sustaining a high standard of university governance requires intelligent and imaginative approaches to facilitate and align the work of a university with that of its governing board; and

WHEREAS, Mike Mann has faithfully served as Associate Vice President of State Government Relations and NIU Board of Trustees Liaison since November, 2014; and

WHEREAS, since coming to Northern Illinois University in 2013, Mike Mann has also served the university in the role of Assistant Vice President for Budget and Finance; and

WHEREAS, education has always been an important part of Mike Mann's life, growing up as the son of a college professor and an elementary school teacher; and

WHEREAS, Mike Mann brought to his NIU responsibilities an extensive and impressive background as a trusted and respected public servant – having served higher education in the State of Illinois since 1986, holding positions at the Illinois Board of Regents, Illinois Student Assistance Commission, and the Illinois Board of Higher Education; and

WHEREAS, Mike Mann’s leadership as Board Liaison was essential to ensuring that Trustees remained steadfast in their resolve to add value to institutional leadership and decision making, focused on their
essential role as fiduciaries, maintained their commitment to the covenants of shared governance, and dedicated their time to the issues of greatest consequence to the institution; and

WHEREAS, drawing on over 30 years of personal experience and knowledge of State of Illinois budget and legislative processes, Mike Mann has played a vital role at the university in areas impacting college and university budget and operations, and providing the Board of Trustees related updates on a regular basis and specifically through the auspices of the Legislative Affairs, Research and Innovation Committee; and

WHEREAS, under his guidance and through the Office of President, Mike Mann has been actively engaged in state government relations and provided support for the goals and best interests of the university, the Board, faculty, staff, and students; and

WHEREAS, Mike Mann has managed the development of the university’s legislative agenda and supported the university’s budget and financial interests throughout the budget development and appropriations process; and

WHEREAS, Mike Mann has represented the president of the university and attended meetings, hearings and proceedings of higher education agencies and other regulatory agencies and bodies, maintaining a close working relationship with staff at agencies and organizations such as the Illinois Board of Higher Education, the Governor’s Office of Management and Budget, the Illinois General Assembly, the Illinois Student Assistance Commission, the Capital Development Board, the Public University Presidents & Chancellors, and Public University Legislative Liaisons; and

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

BE IT FURTHER RESOLVED that this RESOLUTION be presented to Mike Mann 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 Mike Mann.

Adopted in a meeting assembled this 18th day of May, 2017.

BOARD OF TRUSTEES OF NORTHERN ILLINOIS UNIVERSITY

______________________________
John R. Butler, Chair

______________________________
Timothy A. Struthers, Secretary

Trustee Holmes commented, congrats Mike. Like I said, I’ve been working with you ever since I joined the Board. It’s an honor watching you work and put in all the hours that you do at your job and helping us out on the Board and everything you’ve done.

Trustee Barsema added, I think we left off that he’s a good dancer too so we probably need to add that. Great testimony to what you’ve done for not only the Board but for NIU and as a new trustee helping to take us through the induction process on to the Board of Trustees. We really appreciate all of your involvement and you have left a good bar for Mr. Streb to now jump over so thank you Mike.

Trustee Wasowicz commented, Mike I’m a newbie as well. I wish I had a chance to work with you a little bit more. I was looking at your 1986, I can’t image your level of frustration, how it’s grown over the years
I would think especially being down in Springfield. In some ways I can see where you’re going to want to take a deep breath.

General Counsel Brady added, Mike I’m not a board member obviously, but congratulations, a well-deserved rest and take in a couple Cardinal games when you’re out in Colorado.

President Baker commented, nobody has mentioned Mike’s work with students and I’ve seen him mentor students and guide them along on legislative issues and he’s been amazing teaching them the ropes, so Mike thank you for that. Also thank you for being a trusted colleague to everyone in the cabinet as well as the Board. It’s hard to develop those trust relationships for that complex of a group of people, but you’ve done it well and done your job well.

Trustee Herrero added, while I haven’t had the pleasure of working with you as long as some of these other folks. I have had the pleasure of working with you for at least a short period of time and I guess I’m always thankful to leaders like you who have committed so much of their time to education and issues that impact the residents of the state. So thank you for your leadership and good luck to you. Thank you so much.

Trustee Boey commented, you know it won’t be the same. When I think of you I can think of reliability, honesty, and all the good things that go with it. Thank you so much for all the help you’ve been. It saved me a lot of time because sometimes when I’m not sure I’ll call you and say what is happening here and your answer settles me right down and I can go to the bank with it. Best wishes.

Trustee Coleman added, Mike, I want to say thank you for all your services and thank you for helping us over the years. 31 years working for the state and that’s a lot of sacrifice, that’s a lot of commitment and the last two years have been pretty tough and we know your pain, we feel your pain, and we want you to remember all the good times that you had here at NIU and throughout the state.

Trustee Struthers commented, Mike you’re a good soul. You really are. Very dependable and trustworthy. You deserve it, you worked for that and you earned it. It really hits me when you say about the last two years and of course the prior were tough as well, but for this institution the State of Illinois, I hope someday that we can make our people proud that we’re going out with the arrows pointing up. We appreciate your effort. You gave it herculean try, you really did. Enjoy retirement. There’s another chapter of life that you get to enjoy for a long time so the best to you and your family.

Mike Mann responded, thank you so much for all the great comments and the resolution. The resolution fails to point out that I started my career when I was ten years old. No, the past four years have been easily the most challenging and most rewarding years of my career and I appreciate so much the opportunity provided by President Baker and I’ve appreciated the support from the Board and President Baker and senior leadership and all of my friends here on staff. It’s been a wonderful time. Things are tough in Springfield. The dysfunction is at very high levels. I’m hopeful in the next 13 days there might be some resolution and I can go out on top so to speak, but I know that NIU’s got the grit and determination needed to survive and thrive. I will be your biggest fan from afar and always be a Huskie. Thank you very much.

9. OTHER MATTERS

No other matters were discussed.

10. NEXT MEETING

The Regular Board of Trustees Meeting will be held on June 15, 2017.
11. CLOSED SESSION

Chair Butler 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 2c 1, 2, 3 and 21 of the Open Meetings Act, litigation and risk matters as generally described under sections 2c 11 and 12 of the Open Meetings Act, and closed session minutes and matters as generally described under sections 2c 21 of the Open Meetings Act.

Trustee Barsema so moved, seconded by Trustee Boey. A roll call vote of the Trustees to recess to Closed Session was as follows:

- Trustee Dennis Barsema: Yes
- Trustee Veronica Herrero: Yes
- Trustee Robert Boey: Yes
- Trustee Matthew Holmes: Yes
- Trustee Tim Struthers: Yes
- Trustee Eric Wasowicz: Yes
- Vice Chair Wheeler Coleman: Yes
- Board Chair John Butler: Yes

The meeting is now closed and will re-open at the conclusion of the closed session. No additional business will be conducted when the board returns from closed session. The Board adjourned for closed session at 1:30 p.m.

The Board of Trustees of Northern Illinois University reconvened on May 18, 2017, at 8:07 p.m. Chair Butler announced they were reconvening after the closed session and asked for a roll call.

Present: Trustees Dennis Barsema, Wheeler Coleman, Matthew Holmes, Tim Struthers, Board Chair John Butler. Absent: Trustee Robert Boey, Veronica Herrero, Eric Wasowicz

12. ADJOURNMENT

Chair Butler asked for a motion to adjourn. Trustee Struthers so moved and Trustee Barsema seconded. The motion was approved. Meeting adjourned at 8:09 p.m.

Respectfully submitted,

Kathleen Carey
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.
FISCAL YEAR 2019 BUDGET GUIDELINES

Background Information: Each year, at this time, staff seeks the Board’s approval of the budget request guidelines that will be used to develop the University budget request for the upcoming fiscal year. This is the first step in the state budget development process which will continue throughout the next 9 or 10 months. This year, during the FY19 budget development process, a number of significant events and issues will play a major factor in the outcome of the University’s final budget for FY19. Depending on the outcome of legislative debate later this fall, taxes, pensions, and budget issues are the topics likely to continue to dominate the spring 2018 session.

In FY18 the University, according to the Board of Trustees approved guidelines, submitted a budget request of an overall return to revised FY15 funding level of $91,092,700 to the IBHE. This was based off of the FY15 revised appropriated budget of $91,092,700 which included funding for program priority requests. The guidelines recommended by the University for Board of Trustees approval for FY19 represent a return to the FY15 revised appropriation level in addition to incremental funding for program priority requests for an overall total of $93,628,600.

Fiscal Year 2019 Budget Request Guidelines

Overall return to revised FY15 funding level of $91,092,700.

Additional $2,535,900 in Program Priority Requests: To continue programmatic efforts to enhance and strengthen academic commitments in education in conjunction with the Program Prioritization Initiative the following have been identified as the top priorities:

- **$764,200: Data Sciences.** To support increasing enrollments and number of degrees awarded in existing degree programs related to data sciences including programs in operations management and information systems, computer science, statistics, engineering and educational research and evaluation. Also will expand vision of what data sciences encompasses at NIU by bringing in data utilization and applications in areas such as humanities and social sciences as well as business, natural sciences, and engineering. Further, will support the exploration of the integration of these aspects of data sciences through the potential development of an interdisciplinary graduate program in data sciences.

- **$554,900: Nursing.** To provide the resources needed to increase enrollments and the numbers of degrees awarded in nursing, which would contribute to the key work force needs in the State of Illinois.

- **$613,800: Health Information Management.** To support the development of a new degree program that exists at the intersection of information science, computer science, and health care. A Health Information Management degree will provide undergraduates and graduates with the skills needed to enter high demand health fields dealing with the acquisition, storage, retrieval, and use of information related to health and health services.
• **$603,000: Expanding Offerings of Industrial & Systems Engineering and Mechanical Engineering Programs with Pathways with Community Colleges in the State of IL.** To support these priority programs, specifically with a 2 + 2 pathway from local community colleges. The proposed expanded programs will provide an opportunity to attain skills to qualify them for high-skill jobs in different sectors including advanced manufacturing, health care, distribution/logistics, and financial sector jobs.

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

**Recommendation:** To develop the FY19 budget request, the University recommends Board of Trustees approval of the budget request of $93,628,600 in order to ensure the timely preparation and submission of the University's FY19 detailed budget request to the IBHE.
FISCAL YEAR 2019 IBHE CAPITAL BUDGET REQUEST

Summary: The Illinois Board of Higher Education (IBHE) Capital Budget Request is submitted in the fall prior to the budget year in order to meet IBHE and state capital project review and approval submission schedules. The Capital Budget Request consists of two principal categories of projects requesting state funding support and a third category that provides notification of anticipated non-instructional projects that might eventually require specific IBHE approval.

Requests for state funding support, indicated in table C101, include regular capital projects which represent major investments for new construction, renovation, and repairs; and capital renewal projects which lists repair and renovation projects with estimated budgets in excess of $100,000. When funding for this program occurs, specific approvals are provided for the regular capital projects and lump funding is provided for capital renewal projects. While changes in priority for regular capital projects may affect the current standing of these projects within the integrated IBHE project listing, capital renewal projects do not have this restriction and have been prioritized to generally conform to current developments with the multi-year major repair investment plan. Table 17 is an excerpt from the FY18 IBHE budget recommendation showing the integrated priorities of capital projects. NIU’s first four projects are listed as priorities 2, 13, 19, and 28.

Recommendation: The University requests Board of Trustees approval for the proposed Fiscal Year 2019 Capital Budget Request submission. The request will then be submitted to the Illinois Board of Higher Education for consideration and inclusion in the statewide Fiscal Year 2019 IBHE Capital Budget Recommendation.
## FISCAL YEAR 2019
### CAPITAL REQUEST
#### (IN THOUSANDS OF DOLLARS)

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<th>UNIVERSITY PRIORITIES</th>
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### TABLE C101
#### SUMMARY OF BUDGET YEAR CAPITAL IMPROVEMENT REQUESTS
LISTED IN PRIORITY ORDER
NORTHERN ILLINOIS UNIVERSITY
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<tr>
<th>UNIVERSITY</th>
<th>PROJECT DESCRIPTION</th>
<th>BUDGET YEAR REQUEST</th>
<th>PRIOR YEAR</th>
<th>FUTURE YEAR</th>
<th>NON-NATIVE FUNDS</th>
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</table>

**GRAND TOTAL** $ 626,395.14 $ 622,497.74 $ 2,787.4 $ - $ - $ - $ -
## Table 15

**ILLINOIS BOARD OF HIGHER EDUCATION**

**HIGHER EDUCATION CAPITAL IMPROVEMENT PROVISIONAL PRIORITY LIST**

**FY2018 IBHE RECOMMENDATION**

(in thousands of dollars)

<table>
<thead>
<tr>
<th>Institution</th>
<th>Project Description</th>
<th>Budget Category</th>
<th>Recommendation Project Cost*</th>
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<tbody>
<tr>
<td><strong>Public Universities and IMSA</strong></td>
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<tr>
<td>Public Universities</td>
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<td>Replace Heating &amp; Cooling Equipment</td>
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<td>Natural History Building</td>
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<td><strong>30 Public University &amp; IMSA, Subtotal</strong></td>
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<td><strong>University of Illinois at Urbana-Champaign</strong></td>
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<td>$1,807,973.1</td>
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</table>

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

1 Planning funds were included in the FY2010 Illinois Jobs Now! program for these projects. (Planning & Construction funds for the NEIU Education Building and CSU Child Care Center.)

2 The project received $4.8 million in the FY2010 Illinois Jobs Now! program. This request is to recognize the inflation needs for the project from the original request date.
Narrative on Priority Rationale - Capital Projects

1. Health Informatics & Technology Center

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

2. Wirtz Hall Renovation

This project will provide improvements for programmatic spaces and building efficiency. The need for an upgraded and remodeled building to house the Health & Human Sciences College is substantiated by the dramatic changes in the type of physical facilities needed by a modern college to support new learning outcomes and increase interaction with the health community. Plans will focus on the consolidation of the college’s space needs into Wirtz Hall. The Health & Human Sciences College will be housed in a remodeled, dedicated building that will provide classrooms that facilitate group discussion, laboratories that allow students to refine presentation skills, computer laboratory spaces, faculty and administrative offices, and spaces that facilitate student interaction and interdisciplinary faculty relationships. This request will provide funding for the planning, design, and construction of remodeling Wirtz Hall.

3. Roadway Reconfiguration & Repair

Most roadways serving the NIU campus were constructed and are owned by the University, except Lucinda Avenue, Normal Road, Carroll Avenue, Locust Street, and Annie Glidden Road. The majority of the road construction coincided with the building surge in the 1950s and 1960s, though much of the East Campus road construction pre-dates that period. During the 1970s and 1980s several campus roadways were resurfaced, however, the only significant reconstruction projects that have been completed in recent years are Lucinda Ave, Castle Dr, Gilbert Dr, a section of Stadium Drive West, and a section of College Ave. Deterioration of campus streets has progressed to the point that maintenance efforts can no longer keep up with the disintegration on a localized basis. In addition to normal freeze/thaw damage, repairs due to construction projects (underground utility replacement, etc.) have led to a patchwork of street surfaces each with seams that let more water penetrate and add to the deterioration. The additional burden of Huskie Bus traffic on University streets has accelerated the breakdown, particularly at bus stop locations.
4. **Davis Hall Renovation**

This Gothic style building was built in 1942 and constructed with steel, steel reinforced concrete, and then sheathed with Joliet Limestone. The building consists of 65,500 gross square feet of which 42,493 are assignable. Davis Hall was constructed as the institution's first Science Building and now houses the Geology (Geology and Environmental Geosciences) and Geography departments.

Other than the installation of a telescope in 1965 and air conditioning systems in 1975, no other major renovations have occurred to Davis Hall over the last 70+ years. The building still utilizes the original fused electrical panels. Available power is completely inadequate for modern lab requirements. Davis' mechanical systems are inefficient, inadequate, and antiquated. The flat roof sections are failing and 2 sides of the building need major repairs to the stonework including overall tuck pointing. In order to continue to be of functional value, the building requires a number of comprehensive infrastructure updates. This would include a new HVAC system that can take advantage of the East Campus Chilled Water line which has been brought to the building's east foundation wall, as well as an upgraded electrical system, etc. In FY15, NIU successfully connected Davis Hall to the East Chiller Plant, providing chilled water to the building, thus completing the first step necessary in the process of updating the building's HVAC systems. Existing fume hoods are not able to satisfactorily accommodate the needs of the scientists that are assigned to Davis. There is no elevator service to the 6th and 7th floors. Restroom locations are not compliant with today's code requirements.

5. **Adams Hall Renovation**

Originally a woman's dormitory, Adams Hall which opened in 1949 was built with Joliet marble shaped in collegiate Gothic style for the exterior of the building. In 1967, the building was converted into a general revenue administration building. Since the space within Adams Hall was originally designed to accommodate a dormitory, the current use of the building for administrative functions is not compatible with the historical space design. Currently the building houses Faculty Development, Student Academic Success, Testing Services, Academic Advising Center, Graduate Studies, Office of Sponsored Projects, Family and Consumer Nutrition, and Internal Audit Departments. In order to achieve an optimal working environment for these departments, significant renovations to the building need to occur.

Other than the installation of fan coil units in approximately 1967, no other major renovations have occurred in Adams Hall over the last 66 years. Available power is inadequate to meet modern technology demands. Mechanical systems are inefficient and antiquated. The existing building supply fan is original to the building and does not provide modern capabilities to temper outside air and reduce humidity levels within the building. This, and the need to provide major repairs to the existing masonry structure and tuck pointing have caused significant problems with the University's ability to control the indoor air quality. High humidity levels in the building within the summer months have created optimal conditions for mold and mildew growth.

In order to continue to provide a healthy and productive work environment for the faculty, staff and students that occupy the building, the University seeks to perform major renovations on Adams Hall to address the space functionality of the building and the overall building structure and systems.
6. **McMurry Hall Renovation**

This Georgian style building was constructed in 1911 and is the second oldest building at Northern Illinois University. The building was constructed of brick and limestone consisting of 33,649 gross square feet of which 26,694 are assignable. The first floor was used to educate the lower grades and the second floor was used for the upper grades. McMurry was eventually converted into classrooms and offices for the College of Business. In 2002, the College of Business constructed Barsema Hall, and McMurry became the home of the College of Health and Human Sciences.

Other than the installation of a new roof in 2002 and various other minor renovations (i.e. painting/carpeting/lighting), no other major renovations have occurred to McMurry Hall over the last 100+ years. Available power is completely inadequate for modern technology and classroom requirements. McMurry Hall still utilizes window unit air conditioning systems and the various other mechanical systems are inefficient, inadequate, and antiquated. The building as a whole is in need of major repairs; this includes tuck-pointing of all exterior masonry and stonework. In order to continue to be of functional value, the building requires a number of comprehensive infrastructure updates, including a new HVAC system that can take advantage of the East Campus Chilled Water line, as well as an upgraded electrical system, etc.

Space within McMurry Hall is configured for the building’s original use in 1911. While the space generally works for a classroom building, additional efficiencies need to be made. In order to achieve more optimal learning environments, a more modern, student-focused, technology-oriented, teaching experience needs to be created.

7. **Williston Hall Renovation**

Williston Hall opened in 1915 and was originally built and used as a woman’s dormitory. The building was converted to administrative office space in 1969. Since then no other major renovations have occurred in Williston Hall over the last 47 years. Available power is inadequate to meet modern technology demands. Mechanical systems are inefficient and antiquated. This, as well as the need to provide major repairs to the existing masonry structure and tuck pointing, has caused significant problems with the University’s ability to maintain the building.

In order to continue to provide a healthy and productive work environment for the faculty, staff, and students that occupy the building, the University seeks to perform major renovations on Williston Hall to address space functionality of the building and the overall building structure and systems.

8. **Academic Buildings HVAC & Window Replacement**

Several buildings on campus are experiencing problems with air ventilation systems due to the age of the equipment. Three buildings of primary concern are Reavis, Watson, and Montgomery Halls. Both Reavis and Watson Halls are classroom/faculty office buildings with identical HVAC systems that are 35 years old and can be described as forced dual duct systems (one heat duct/one cooling duct) with units mounted in walls controlling the room temperature. Difficulty keeping constant temperature-humidity and airflow has surfaced in both buildings during the last two years stemming from not only the age of the equipment, but also the inaccessibility for maintenance purposes. Recessed wall units are completely sealed behind masonry walls leaving no openings for repair of internal parts. This project would remove and replace the recessed wall units, dampers, and temperature controls.
The objective of the Montgomery Hall portion of the project is to convert ventilation systems serving laboratory, office, and classroom areas from existing constant velocity dual duct to variable air volume (VAV). Major portions of trunk and branch duct work will be redesigned and replaced. Some fume hoods would be replaced while all hoods would be retrofitted with monitor controls, sash sensors, alarms, and air flow valves. All building controls would be updated. Asbestos abatement in some areas will also be necessary.

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

9. **East Chiller Plant - Chiller Capacity Expansion**

The East Chiller Plant, which was constructed in 2010, currently supplies the east side of Northern Illinois University's campus with air conditioning though the University's chilled water system. The building was constructed in a way to allow for future expansion as the University grows and expands its current chilled water loop. There are currently 4 chillers in operation at the facility. During peak load times, the current chillers are put to their max. As the University continues to grow and connect additional buildings, such as Anderson Hall, Engineering Building, and Barsema Hall, the maximum capacity of the plant will be significantly exceeded. There are currently four bays within the facility, two of which have been reserved for future expansion.

This project seeks to provide and install two additional cooling tower cells and all associated piping and equipment within the two empty tower bay’s to tie into the existing chilled water loop and condensing loop. Ultimately, the addition of this equipment would provide NIU’s east campus the ability to connect both the remaining buildings and any future buildings to the current chilled water system. Additional power may be needed to supply units as well as significant plumbing work including but not limited to a possible upgrade of sanitary drains to handle condenser water during blow down.

10. **Elevator Rehabilitation & Renovation**

NIU seeks to rehabilitate passenger elevators across campus. After many years of service, the elevators have become difficult to repair and have extremely high maintenance costs. They provide an unacceptable level of performance, and the problems and breakdowns are appearing more frequently and varied. In addition, availability of parts for these elevators has become a problem. As the elevators continue to age, there will be a need to upgrade to the latest elevator technology systems available. This project requests funding for labor and material necessary to install controllers, replace generators, SCR drives, and install new hall and car stations for Faraday, Graham, Montgomery Hall’s (partially complete), and Swen Parson Hall.
11. **Still Hall Renovation**

The Still Hall was built in 1928 and was originally named the Industrial Arts and Technology Building. Previous to this time, NIU was a Normal School to educate and train future teachers. The student body was primarily female and the school’s President, J. Stanley Brown, wanted to attract more men to his teacher’s college. In 1919, there were only 30 male students at Northern Illinois State Normal School. With the efforts of President Brown, by the year 1928 there were over 135 male students. To construct the building, the state appropriated $225,000 which was also used to build Still Gym. Drainage problems caused flooding in the basement of the Industrial Arts Building which had to be corrected using retaining walls. This left no money to then purchase desks and furniture.

Originally planned as one continuous structure (Still Hall & Still Gym), “the Men’s Buildings” (as the Still buildings were called) were to be connected by a swimming pool. The pool was eliminated from consideration and the buildings were completed in 1928. They bear the name of Edgar B. Still, a civic leader and the only member at the time of the institution’s governing board from DeKalb. Around 1964, NIU converted the existing structure into office and classroom space which remains today.

Since then, no other major renovations have occurred in Still Hall over the last 89 years (besides general maintenance). Available power is inadequate to meet modern technology demands. Mechanical, electrical, and plumbing systems are inefficient and antiquated. The need to provide major repairs to the existing masonry structure and tuck pointing have caused significant problems both inside and out. This project seeks to update the building and its mechanical, electrical, and plumbing systems to better meet the needs of modern day students.

12. **Still Gym Renovation**

Originally planned as one continuous structure (Still Hall & Still Gym), “the Men’s Buildings” were to be connected by a swimming pool. The pool was eliminated from consideration and the buildings were completed in 1928. They bear the name of Edgar B. Still, a civic leader and the only member at the time of the institution’s governing board from DeKalb. The northern building was constructed as a men’s gymnasium, converted to a women’s gymnasium with the opening of Evans’ Field House in 1957, and to classroom and office use in 1964. The southern building, originally referred to as the Still Arts building, was remodeled for classrooms and unofficially renamed the industrial and Technology Building until the restoration of Still’s name in April 1974. Since 1974, no other renovations have occurred within the space.

Since then, no other major renovations have occurred in Still Gym over the last 43 years (besides general maintenance). Available power is inadequate to meet modern technology demands. Mechanical, electrical, and plumbing systems are inefficient and antiquated. The need to provide major repairs to the existing masonry structure and tuck pointing have caused significant problems both inside and out. This project seeks to update the building and its mechanical, electrical, and plumbing systems to better meet the needs of modern day students.
Narrative on Priority Rationale - Capital Renewal Projects

R1. (Unfunded 2017) New Boiler Number Three - West Heating Plant

Northern Illinois University’s existing boiler system provides steam for heating both the east and west campus. As the nine-boiler steam system ages, many of its components have been decommissioned due to severe deterioration of the interior boiler tubes and apparatuses. To better understand the system and the future potential of the system, Northern Illinois University is undergoing a University-wide boiler steam assessment. This assessment should provide the University with both a comprehensive list of repairs and a plan for the future. Concurrent with this assessment effort, Boiler number three located in our West Heating Plant has been decommissioned due to operational safety concerns. The loss of this boiler creates a major safety hazard for the heating plant, students, and staff by putting the campus at risk of losing heat during the winter months. Regardless of the outcome of the assessment, NIU will need to replace this boiler to maintain heat during the winter months. In order to provide a safe, secure, and stable boiler system, the University wishes to replace Boiler number three with a new, high efficiency boiler that will save energy and provide additional heating capacity. This work will guarantee that the NIU Heating Plant will be able to provide additional heating capacity that will ensure campus facilities are properly maintained through severe winter conditions.

R2. (Unfunded 2014) Main Steam Tunnel Rehabilitation

The main steam tunnel’s concrete structure has deteriorated over many years of service. At this point, the condition of the tunnel is worsening at an exponential rate, and the potential for the disruption of steam distribution to the main campus from the heating plants is a growing concern. In addition, safety concerns to maintenance staff will continue to rise during the ongoing maintenance required for the steam tunnel. Currently, the condition of the tunnel has made repairs and preventative maintenance difficult to perform and has resulted in high maintenance costs.


Existing masonry buildings on campus have begun to deteriorate requiring significant restoration, inclusive of tuck-pointing and stone & brick replacement. Water is infiltrating causing secondary damage to building interiors. The parapets of some buildings are also allowing water to come in from the ceilings. To maintain the building’s exterior integrity, significant masonry and stone tuck-pointing will need to be done. In particular, the exterior masonry of Still Hall (above the garage door) has begun to sag, causing problems not only with the exterior masonry cracking, but also causing glazing within the windows above to crack as well.

R4. (Unfunded 2017) Swen Parson Hall - Parapet Restoration

Northern Illinois University’s Swen Parson Hall was originally constructed in 1952. Over the years, through natural weather deterioration, the limestone tuck pointing around the roof parapet has begun to severely deteriorate. Due to this natural deterioration, water has begun to infiltrate the masonry cavity causing significant spalling and damage to the parapet wall. Work would include tuck pointing of existing limestone structure, restoration of the masonry parapet which has begun to deteriorate, spall, and lose stones.
R5. **(Unfunded 2015) East Heating Plant Coal Silo: Masonry Repairs**

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

R6. **(Unfunded 2017) ADA Upgrades**

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

R7. **(Unfunded 2018) Gable Hall Roof Replacement: Phase II**

The original roof on Gable Hall was installed in 1958 and has deteriorated to the point that patching and intermediate repairs are no longer feasible. This project seeks to replace the roofing and skylights on the single story, southwest corridor wing. Water infiltration and secondary damage is occurring within the building whenever it rains. Skylights leak consistently and plaster laden with asbestos continually collects moisture and falls from the ceiling. Roof replacement is necessary to correct the problem. The insulation is also spoiled at this point and must be replaced.

R8. **(Unfunded 2018) Zulauf Hall: Masonry Joint Repair / Tuck-pointing**

Zulauf Hall, constructed in 1968, is a ten-story solid brick masonry structure. The masonry requires routine maintenance, cleaning, tuck pointing, and restoration, to ensure the building exterior is kept weather-tight. Over time, the masonry tuck-pointing has degraded to a point in which water is constantly entering the building, most notably on the upper floors. This cause’s significant disruption to internal activity as well as continued maintenance and air quality issues within the building. In order to continue to adequately utilize the facility, Northern Illinois University seeks to tuck point the entire building, ensuring that the envelope is water tight.

R9. **(Unfunded 2016) Replace Water Main Central Campus**

The NIU Campus domestic water main piping distribution system consists of looped piping networks interconnected with the City of DeKalb water distribution system at many points. In 1990, the SEGA Utility System Planning Project was commissioned by NIU to recommend improvements to all campus utilities including underground water distribution piping. Final analysis was based on water main breakage history since 1976, internal corrosion potential, and external soil corrosion potential via soil chemistry boring samples. From this, a table of expected pipe life was applied to campus areas with known installation dates. Over time, modern fire protection flow rates were also applied for pipe sizing in campus areas that have experienced building growth after original water main installation.
The Central Campus 6-inch water main extending from approximately the northeast corner of Gabel Hall at Stadium Drive, along and south of University Circle to Carroll Avenue, was installed in 1959 using cast iron pipe. The SEGA Report recommended replacing this 1,700-foot main line piping length with 10-inch diameter ductile iron pipe within 5 years of the published date. This increased diameter will insure maximum fire hydrant flows with minimum pressure drops during emergencies. This work will also include valve vaults, new fire hydrants, and smaller branch pipe building connection lengths with road, curb, and landscape remediation.

R10. (Unfunded 2018) Monsanto (Old DeKalb Ag) Roof Replacement

The original roof on the Old DeKalb Ag Building (Also known as the Monsanto Building) was installed in 1954. Over the years (and prior to Northern Illinois University ownership of the facility), a total of eleven different roofing systems were installed on the single, 32,500 sq.ft., low-slope structure. The roofing system is beyond its useful life and has deteriorated to the point that patching and intermediate repairs are no longer feasible. Additionally, the inconsistent roofing causes significant maintenance problems along with continued roof leaks. This project seeks to rectify the problem by replacing the roofing system in its entirety (including but not limited to membranes, insulation and underlayment).

R11. (Unfunded 2018) Monat Building Roof Replacement

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

R12. (Unfunded 2018) DeKalb Campus Sewer Main Repairs

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

R13. (Unfunded 2016) Davis Hall Parapet Restoration

Northern Illinois University’s Davis Hall was originally constructed in 1942. Over the years, through natural weathering, the masonry tuck pointing around the roof parapet has begun to severely deteriorate. Due to this natural deterioration, water has begun to infiltrate the masonry cavity causing significant spalling and damage to the parapet wall. In order to avoid further damage, NIU would like to perform tuck pointing of existing masonry structure, restoration of masonry parapet that has begun to deteriorate and bow, restoration of masonry walls that have begun to crack, and replacement / repair of lintels that have begun to fail.
R14. **(Unfunded 2018) Gabel Hall Pool Repairs**

Northern Illinois University’s Gabel Hall was originally constructed in 1958. Over the years, through natural wear and tear, the existing Gabel Hall facility has begun to show its age. More specifically the concrete pool and pool systems have begun to deteriorate. Existing pool motors, filters, heating, and other systems are showing their age and are in a constant state of failure. Maintenance of the system has become burdensome due to the age of the system and the University's lack of ability to acquire replacement parts. This project seeks to repair the existing pool structure and to rework/replace the existing pool systems to allow for higher level maintenance, chlorine control, and overall pool quality.

R15. **(Unfunded 2018) Cole Hall Steam Supply Replacement**

Faye Cooper Cole Hall, originally constructed in 1968, recently underwent a significant renovation in 2012 as part of a Capital Development Board Project. A large portion of the building was converted into a state of the art teaching "Collaboratory", Auditorium, and Anthropology Museum. Even though a significant portion of the building was remodeled, the basement and existing HVAC supply lines from 1968 still remain. This has caused significant issues with the University’s ability to maintain and control temperature and humidity levels within the building. As the Anthropology Museum continues to acquire artifacts from around the world, the need to protect these artifacts from excessive temperatures and humidity levels have become a significant need. This project seeks to remove and replace the existing steam pressure reducing station and supply lines in order to provide reliable steam supply for the temperature and control of the HVAC system. In doing so, NIU will be better able to control the indoor climate conditions within the building.

R16. **(Unfunded 2018) Anderson Hall Pool Repairs**

Northern Illinois University’s Anderson Hall was originally constructed in 1964. Through the years’ minor work has been done to maintain the building but no significant renovations have occurred. Over the years, through natural wear and tear, the existing Anderson Hall facility has begun to show its age. More specifically the concrete pool, pool deck, and pool systems have begun to deteriorate. Existing pool motors, filters, heating, and other systems are showing their age and are in a constant state of failure. Maintenance of the system has become burdensome due to the age of the system and the University's lack of ability to acquire replacement parts. This project seeks to repair the existing pool structure and pool deck and to rework/replace the existing pool systems to allow for higher level maintenance, chlorine control, and overall pool quality.

R17. **(Unfunded 2018) Lorado Taft Health & Life Safety**

Lorado Taft, NIU’s outdoor education and conference center, is open year-round to any group of 40 to 160 people. The Taft Campus has 14 facilities that range in age from 116 years to 13 years (Taft House - 1900, Pooley House - 1900, Log Cabin - 1900, Browne House - 1902, Dickerson House - 1951, Pump House - 1951, Garage - 1951, Grover House - 1951, Clarkson House - 1963, Dining Hall - 1963, Arts & Crafts - 1968, Heckman Dorm - 1962, Director Mobile Home - 1980 and Water Pressurization - 2003). Most of the buildings were constructed in the 50’s and 60’s and have begun to show their age. Existing HVAC systems, Fire Protection Systems, and other occupancy features intended to minimize danger to patrons that visit the facilities are significantly past their useful life. In an effort to reduce the risk of system failure, this project seeks to renovate the existing facilities to bring them up to date with modern day code and health and life safety standards.
R18.  *(Unfunded 2018) Asbestos Floor Tile Abatement*

DuSable Hall, Reavis Hall, and Watson Hall are some of the most widely utilized classroom buildings on the Northern Illinois DeKalb Campus. As freshman enter campus it is highly likely that these buildings will house a significant number of their general education classes. As such, there is a need to ensure that the facilities are on par with other peer institutions. DuSable Hall (built in 1968), Reavis Hall (built in 1957) and Watson Hall (built in 1962) still have the existing 9”x 9” asbestos tile and mastic in a majority of classrooms and hallways. Over the years, the tile has become worn and has started to chip and deteriorate. In an effort to not only improve the overall look of the facilities but also reduce/eliminate the potential spread of friable asbestos, this project seeks to remove the existing 9”x 9” tile and mastic and replace it with up to date finishes that do not pose a threat to the health and life safety of students, faculty, staff, and visitors.

R19.  *(Unfunded 2018) Broadcast Center Roof Replacement*

The roof on the NIU Broadcast Center was installed in 1996 and has deteriorated to the point that patching and intermediate repairs are no longer feasible. Water infiltration and secondary damage is occurring within the building whenever it rains. A complete roof replacement is necessary to correct the problem. This project seeks to remove and replace the existing EPDM low slope roofing system (including but not limited to membrane, insulation, and underlayment). The roof consists of over 13,500 square feet and approximately 600 linear feet of roof flashing.

R20.  *(Unfunded 2014) Music Building Roof Replacement*

The original roof on the NIU Music Building was installed in 1972 and has deteriorated to the point that patching and intermediate repairs are no longer feasible. Water infiltration and secondary damage is occurring within the building whenever it rains. Roof replacement is necessary to correct the problem. The all-weather-crete insulation is also spoiled at this point and must be replaced. The existing roof is a 3-ply, built-up roof with a gravel surface over coal tar pitch. The roof is over 60,000 square feet with eight major roof levels that will require 2,000 feet of new roof flashing. This roof offers an ideal location for green roof opportunities which will be considered in this scope of work.

R21.  *(Unfunded 2018) Davis Hall Observatory Upgrade*

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

R22.  *(Unfunded 2013) McMurry Hall Lecture Room Roof Replacement*

A temporary roof was put on McMurry Lecture Room in 1990 and has never been permanently addressed. Prior to 1990, the original roof consisted of EPDM with layers of insulation on top of the roof deck. Water infiltration and secondary damage occurs within the building due to the lack of a permanent roof. Roof replacement is necessary to correct the problem. The roof is over 2,000 square feet and will require extensive roof flashing.
R23. (Unfunded 2014) Elevator Rehabilitation

Northern Illinois University seeks to rehabilitate several elevators on campus. After many years of service, the elevators in many general revenue buildings have become difficult to repair and have extremely high maintenance costs. They provide unacceptable levels of performance, and the problems and breakdowns appear more frequently and varied. Many exiting controllers are not equipped with the necessary fire protection technology and do not comply with local and national codes.

R24. (Unfunded 2014) McMurry Stone Repair

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

R25. (Unfunded 2015) Phase IV Electrical Infrastructure

In continuation of the efforts outlined in Phase III Electrical Infrastructure (R3 Above), Phase IV of the Electrical Infrastructure will incorporate the replacement of underground duct bank high-voltage electrical cables (Loop S#1 to G#5, Loop S#2 to G#4 and Loop NG#1 to G#3) as well as the replacement of the Carroll Avenue Substation and the renovation of electrical building equipment in Davis Hall.

Loop S#1 to G#5 is distributed in 4,450 lineal feet of duct bank. The buildings that are fed on this loop include: Convocation Center, Stevenson North, Stevenson South, and the Softball Field.

Loop S#2 to G#4 is distributed in 5,400 linear feet of duct bank. Although 300 linear feet of cable has been replaced recently, it will be necessary to replace the remaining 5,100’. The buildings that are fed on this loop include: Yorden Center and Huskie Event Power, Stadium West, Dorland Building & Physical Plant, Stadium East, TV Center, BAVC, and Recreation Center.

Loop NG#1 to G#3 is distributed in 3,910 lineal feet of duct bank. All 300 lineal feet of cable on this loop has been replaced in recent years. The buildings that are fed on this loop include: West Heating Plant, Lincoln Hall, New Residence Hall, and Community Center.


Northern Illinois University has over 75 General Revenue facilities located on its main campus in DeKalb Illinois. Of those 75 buildings approximately 80% are over 40 years old, and 53% are over 50 years old. The majority of these facilities have not been renovated since they were originally constructed. While Northern Illinois University has continued to provide exceptional maintenance to all facilities, in most cases the interior and exterior painting of the buildings has not been done in 10 to 20 years. As such, the facilities are showing their age. In an effort to better maintain our General Revenue facilities and be on par with peer institutions, this project seeks to provide painting to these facilities in order to make them more appealing and inviting to students, faculty, staff, and visitors.
R27. (Unfunded 2017) Simulation Labs

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

R28. (Unfunded 2014) Modern Collaboratory Classroom Conversions

Many of our current computer labs on campus utilize outdated technology. As new students arrive on campus, it is essential to provide up-to-date technology in order to provide classroom environments that meet the needs of both our students and teaching staff. Collaboratory classrooms are intended to provide a high tech tool and seating configuration; environment specifically created to facilitate active, collaborative learning (professor guided, student collaboration in a laboratory-type setting) in a boardroom-like seating arrangement. The physical design of the room, accessibility to computer based and on-line web information, along with the nature of the class materials, and the makeup of the groups are carefully structured to encourage students to interact as a team during problem solving tasks.

Features include:

- Separate learning pods, each seating six to eight students
- Digital touch screen for each pod allowing students to interact both intellectually and physically with educational material much in the same way users interact with touch-screen iPads.
- Individualized student workstations with internet access enabling online networking among students and a specialized instructor workstation for monitoring each student or group where the professor can project and interact with classroom work ongoing within each pod.

R29. (Unfunded 2013) General Revenue - Chiller Tie-In - Phase 8: Still Gym, Still Hall & McMurry Hall Chilled Water Loop Connection

Northern Illinois University has several buildings located on campus that are operated by standalone systems HVAC. In 1991, NIU completed the final phase of a comprehensive study of the University’s utility systems. The University’s consultant provided an all-inclusive report on the condition and recommended rehabilitation and improvement of electrical, steam, water, natural gas, and chilled water distribution systems. Phase 8 of this plan seeks to connect Davis Hall, Still Gym, Still Hall, and McMurry Hall to the University’s chilled water loop. Connecting these buildings to the University’s chilled water loop will provide the University the ability to remove the buildings existing standalone systems which (due to their age) are both costly to maintain and operate.
R30. **(Unfunded 2015) General Revenue Chiller Tie-In - Phase 10b: Anderson Hall, Engineering Building & Barsema Hall Chilled Water Loop Connection**

Northern Illinois University has several buildings located on campus that are operated by stand-alone HVAC systems. In 1991, NIU completed the final phase of a comprehensive study of the University’s utility systems. In an effort to continue the progress made from this study, the University has identified areas of additional improvements within its electrical, steam, water, natural gas, and chilled water distribution systems. Phase 10b of this plan seeks to connect Anderson Hall, Engineering Building, and Barsema Hall to the University’s chilled water loop. Connecting these buildings to the University’s chilled water loop will provide the University the ability to remove the building’s existing stand-alone systems which (due to their age) are both costly to maintain and operate.

Phase 10b seeks to connect Anderson Hall, Engineering Building, and Barsema Hall to the University’s chilled water loop. Work will include interior modifications to existing systems for all buildings as well as the addition of significant underground pipe to the Engineering Building and Barsema Hall. DDC controls (with I-Net) will also need to be provided at each building.

R31. **(Unfunded 2015) Replace Neptune Bridge - Phase 11**

The existing bridge running over the Kishwaukee River on the west side of Neptune Hall is in significant disrepair and needs to be replaced. In order to do so, additional work must be completed to re-locate the existing steam lines that run underneath and are supported by the bridge.

In order to avoid outages in service to the steam line, the existing bridge west of Neptune Hall will need to be relocated. Project will include the relocation of the existing foot bridge and all associated structural work. Work will also include the installation of a new steam line to connect into the existing east and west tunnel system, tunnel for the steam line and all associated equipment and ejector pumps. Once the new line has been installed and successfully connected, the existing bridge is to be removed in its entirety.

R32. **Storm Water Management & Pond Maintenance**

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

R33. **DeKalb Campus Sidewalk & Street Repairs**

Northern Illinois University has several miles of sidewalks and streets throughout its DeKalb campus. Every year these vehicular and pedestrian pathways require standard maintenance due wear and tear from salt usage in the winter, buses, and heavy vehicular traffic, and extreme temperature fluctuations throughout the year. Scope of work to focus on removing tripping hazards on sidewalks; repairing streets that have buckled or contain pot holes; man hole settlement repairs; and finally repairing/replacement of broken or missing exterior pavers.
R34. **DeKalb Campus - Multiple Buildings - Low Slope Roof**

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

R35. **Gabel Hall & Graham Hall - Perimeter Heating Upgrades**

The Gabel Hall steam system that is used to heat the building, is fed from a central underground plenum and is routed under the concrete and distributed to the perimeter of the building. Over the years, the piping under concrete has rotted away, causing floor areas to reach extreme temperatures. Scope of work to include the installation of a new hot water heat system which will feed perimeter devices. The existing degraded piping will be abandoned as is due to its inaccessibility. A heat exchanger system along with additional hot water heat pumps will distribute water through central mains and branch piping and ultimately the terminal units (baseboard heat). All Piping to be done above ceiling to increase accessibility. In order to accomplish this, significant asbestos abatement of the existing ceiling along with repair, patching, and painting will need to occur. If possible, abatement of piping will also occur so that proper tie-ins to the steam main for new branch for the hot water heat converters can be done.

Graham Hall (which is connected to Gable Hall) currently has only a portion of the building on steam heat. Graham Hall is fed from Gable Hall, so any work within Gable Hall will ultimately affect Graham Hall. The abandonment of the existing under floor heating system will require significant work to also occur in Graham Hall. The total scope of work to be determined, but based off of initial assessment, a new hot water heat system with either need to be shared with Gable Hall or be installed separately within Graham Hall. Complete Engineering needs to be done to determine the most cost effective system to be put in place.

R36. **Founders Library Exterior maintenance**

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

R37. **Presidents House Roof Replacement**

Northern Illinois University Presidents house was built in 1951. The roof was last replaced in the early 1980’s, which makes it approximately 37 years old. It is at the end of its useful life and has begun to see sporadic water infiltration. As such, it is in need of replacement. Scope of work to include the removal of the existing asphalt shingles, repair to existing roof deck, as needed, the addition of ice and water shield, and finally new shingles.

R38. **DeKalb Campus Building Automation System Upgrades**

Many buildings on Northern Illinois University’s DeKalb Campus have Building Automation Systems that have become obsolete. Specifically, NIU Monsanto and Altgeld Hall have systems in place that are seeing significant degradation. Parts are no longer available for the systems, and our building engineers are no longer able to adequately control temperature and climate. Continued use in this state may result in a total loss of control, rendering the building(s) un-useable. Project seeks to replace existing Building Automation Systems with current, up-to-date technology.
R39. **NIU Monsanto Parking Lot Repairs**

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

R40. **John Deere Sewer Main Repairs**

Northern Illinois John Deere Building (official home to NIU Building Services) is the University’s one standalone system currently on a septic system. Over the years, this system has begun to deteriorate to a point where it requires consistent monthly maintenance to ensure proper operations. It is well beyond its useful life. Scope of work to include tie into the City of DeKalb sewer system. Work to include trenching to install approximately 200 feet of piping in order to tie into the city’s sewer main.

R41. **La Tourette Hall - Water Infiltration**

LaTourette Hall was built in 1995. Over the years, occupants have noticed increasing and repeated water infiltration into interior spaces. The source of the water has yet to be determined, but it has caused significant damage to interior finishes. This project requires a thorough assessment of exterior wall construction, detailing, and eventual repair.

R42. **DeKalb Campus - Exterior Door Replacement - Multiple Buildings**

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

R43. **NIU Rockford - Various Repairs**

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

R44. **Montgomery Hall Basement Fireproofing**

As Northern Illinois University continues to upgrade its HVAC systems, previous mechanical systems are removed. As a result, areas where either fireproofing has been disturbed, or where none previously existed, have been exposed. This project seeks to provide additional fireproofing as necessary within the Montgomery Hall Basement.
R45. **Lorado Taft HVAC/AHU**

Northern Illinois University’s Lorado Taft Campus is quite unique. It provides extensive student immersion into outdoor education. This facility has many buildings that are quite old and in need of some significant upgrades, specifically to their HVAC and AHU systems. This project seeks to upgrade facilities with new HVAC/AHU systems as necessary, including but not limited to, altering dirt floor plenums so that air flows through ductwork as opposed to open ground.

R46. **West Heating Plant - Various Repairs**

The University is seeking to install a reverse osmosis system to provide water to the boilers to help increase longevity and avoid corrosion. In doing so, the University will be extending the useful life of the boilers (and system) by utilizing less chemicals and reducing the need for make-up water. The current reverse osmosis system is undersized for the complete boiler operations, and the demand is significantly greater than the current system can handle. Scope of work to include removal of existing system, installation of a new packaged unit, and connections to existing piping.

Additionally, this project seeks to provide new carbon filters and blow down drains for the boilers. Blow down drains remove sediment out of the boiler to extend useful life and overall steam system on campus. Work to include the removal of existing blow down drains and associated concrete to install new piping. New piping to tie into the existing sanitary mains.

R47. **Broadcast Center Elevator - Water Infiltration Repairs**

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

R48. **East Chiller Plant - Various Repairs**

Northern Illinois University has increasingly seen problems from added sediment within the chilled water loops and terminal units in the buildings. This additional sediment has cause significant clogging, which inhibits the University’s ability to provide cooling to said buildings. This project seeks to install a dirt and air separator onto the east side chilled water loop to remove sediment and air from the chilled water loop. The addition of a dirt and air separator will prolong the longevity of the entire system by removing sediment and air. Scope of work to include the purchase and installation of a dirt and air separator; rerouting of the existing chilled water mains so the may run through the new unit before the chilled water reaches the main pumps that circulate water throughout campus.

R49. **Human Resources - Window Repairs**

Northern Illinois University Human Resources building is located on the west side of campus and is exposed to significant weather as it is not protected by any adjacent structures. While the facility is relatively new, the windows have begun to leak to a point in which the plastic laminate sills have begun to delaminate. Water infiltration is constant when raining and if left as-is would continue to deteriorate interior finishes. This project seeks to repair the existing windows and associated sills and jambs; including but not limited to caulking, broken seals, and delaminating finishes.
R50. **Altgeld Hall - Various Repairs**

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

R51. **Adams Hall - Various Repairs**

Adams Hall, built in 1949, still utilizes the original slate tile roof. Over the years, tile has been broken or damaged. This has caused significant water infiltration on the fourth floor of the building. This project seeks to assess the existing roof construction, provide new underlayment, and repair or replace the slate tile as necessary.

R52. **Williston Hall - Exterior Stair Reconstruction**

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

R53. **LED Retrofit Acorn Light Fixtures**

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

R54. **NIU Naperville Parking Lot Repairs**

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

R55. **NIU Rockford Parking Lot Repairs**

Northern Illinois University Rockford parking lot is in need of extensive repairs. There are significant areas in which the parking lot surface is failing. Potholes and crumbling asphalt are significant and are made worse by continuous heavy vehicular traffic from both NIU faculty, staff, and students, but also NIU patrons as well. Scope of work to include a complete removal of the existing asphalt, the addition of compacted sub base as necessary, and a completely new asphalt surface (including binder course).
FISCAL YEAR 2018 INTERNAL BUDGET AMENDMENT

Background Information: Each year the University seeks the Board’s approval of the internal budget for the current fiscal year. This year, during the FY18 budget development process, our approach in developing our recommendation to the Board has been to expand our engagement with the campus community and solicit their input more broadly. This has enabled us to make more well-informed critical and difficult decisions regarding our FY18 internal budget as we are facing uncertain revenues from state appropriations and declines in enrollment. The University continues to work together to control spending through prioritization, deferment, and collaboration in order to address potential revenue shortfalls.

Recommendation: Pursuant to Board of Trustees Bylaws, the University requests Board of Trustees approval of the FY18 Internal Budget as outlined in Table 1 and 2 below:

<table>
<thead>
<tr>
<th>University Appropriated Revenues</th>
<th>FY2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Revenue Fund</td>
<td>81,983.5</td>
</tr>
<tr>
<td>State College and University Trust (a)</td>
<td>36.0</td>
</tr>
<tr>
<td>Total Appropriated Fund Revenues</td>
<td>$ 82,019.5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>University Nonappropriated Revenues</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>University Income Fund</td>
<td>154,245.5</td>
</tr>
<tr>
<td>Income from Auxiliary Enterprises:</td>
<td></td>
</tr>
<tr>
<td>From Operations in Revenue Bond Facilities</td>
<td>75,922.5</td>
</tr>
<tr>
<td>From Operations in Other Auxiliary Enterprises</td>
<td>22,458.3</td>
</tr>
<tr>
<td>Gifts, Grants and Contracts</td>
<td>50,000.0</td>
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<tr>
<td>Local Funds</td>
<td>44,357.7</td>
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<tr>
<td>Total Nonappropriated Revenues</td>
<td>$ 346,984.0</td>
</tr>
<tr>
<td>Total Anticipated Revenues</td>
<td>$ 429,003.5</td>
</tr>
</tbody>
</table>

(a) Generated from NIU license plate registrations; expenditures are limited to both the appropriation and revenues earned.
<table>
<thead>
<tr>
<th>Sources of Operating Revenue</th>
<th>FY16 Actuals</th>
<th>FY17 Projected Actuals</th>
<th>FY18 Proposed Budget</th>
<th>Variance FY18-FY17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition &amp; Student Fees</td>
<td>$198,024.8</td>
<td>$185,955.8</td>
<td>$183,872.7</td>
<td>(2,083.1)</td>
</tr>
<tr>
<td>Gifts, Grants, &amp; Contracts</td>
<td>$59,134.0</td>
<td>$56,468.0</td>
<td>$60,194.3</td>
<td>3,726.3</td>
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<tr>
<td>Other Fees and Fines</td>
<td>$8,915.3</td>
<td>$8,216.0</td>
<td>$9,092.1</td>
<td>876.1</td>
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<tr>
<td>Sales</td>
<td>$39,639.6</td>
<td>$38,269.7</td>
<td>$38,637.8</td>
<td>368.1</td>
</tr>
<tr>
<td>Rental &amp; Room Income</td>
<td>$34,627.5</td>
<td>$31,637.0</td>
<td>$34,554.9</td>
<td>2,917.9</td>
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<tr>
<td>Gate Receipts &amp; Commissions</td>
<td>$4,308.9</td>
<td>$3,577.1</td>
<td>$4,376.8</td>
<td>799.7</td>
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<tr>
<td>Miscellaneous &amp; Investment Income</td>
<td>$11,453.4</td>
<td>$7,664.0</td>
<td>$12,077.2</td>
<td>4,413.2</td>
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<tr>
<td>State of Illinois</td>
<td>$26,424.2</td>
<td>$79,062.9</td>
<td>$82,019.5</td>
<td>2,956.6</td>
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<tr>
<td>Capital Reserve Contributions &amp; Other Transfers</td>
<td>(9,937.2)</td>
<td>$1,414.5</td>
<td>$4,178.2</td>
<td>2,763.7</td>
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<tr>
<td><strong>Total, Operating Revenues</strong></td>
<td>$372,590.5</td>
<td>$412,265.1</td>
<td>$429,003.5</td>
<td>$16,738.4</td>
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</table>

<table>
<thead>
<tr>
<th>Operating Expenses by Line Item</th>
<th>FY17</th>
<th>FY18</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost of Goods Sold</td>
<td>9,163.9</td>
<td>9,301.7</td>
<td>11,708.4</td>
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<tr>
<td>Personnel Services</td>
<td>219,240.2</td>
<td>218,362.7</td>
<td>221,646.0</td>
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<tr>
<td>Contractual Services</td>
<td>81,480.5</td>
<td>77,390.0</td>
<td>81,750.9</td>
</tr>
<tr>
<td>Commodities</td>
<td>7,263.1</td>
<td>6,357.1</td>
<td>7,443.5</td>
</tr>
<tr>
<td>Travel</td>
<td>4,254.6</td>
<td>4,362.6</td>
<td>5,225.6</td>
</tr>
<tr>
<td>Automotive</td>
<td>1,239.6</td>
<td>1,318.4</td>
<td>1,254.2</td>
</tr>
<tr>
<td>Scholarships</td>
<td>53,721.6</td>
<td>48,640.3</td>
<td>56,859.6</td>
</tr>
<tr>
<td>Telecommunications</td>
<td>1,764.1</td>
<td>278.1</td>
<td>966.1</td>
</tr>
<tr>
<td>Equipment &amp; Library Books</td>
<td>6,689.4</td>
<td>6,175.0</td>
<td>9,208.7</td>
</tr>
<tr>
<td>Capital Repairs, Debt Service &amp; All Other</td>
<td>17,353.9</td>
<td>38,631.8</td>
<td>32,872.1</td>
</tr>
<tr>
<td><strong>Total, Operating Expenses</strong></td>
<td>$402,170.9</td>
<td>$410,817.7</td>
<td>$428,935.1</td>
</tr>
</tbody>
</table>

| Net Income/(Loss)                          | (29,580.4) | 1,447.4 | 68.4 | (1,379.0) |
INVESTMENT AND CASH MANAGEMENT POLICY

Summary: The current Investment and Cash Management Policy was approved by the Board of Trustees on September 17, 2015. The University Investment Committee has since pursued investment strategies in accordance with this policy.

The University Investment Committee has updated the policy to define roles and responsibilities, summarize authorized investments, and identify specific reporting requirements. In addition, the committee included a Table of Contents and page numbers for ease of reference.

The allowable investments per University policy mirror those specified in State statute. In general terms, these investments include instruments issued by the U.S. Government, federal agencies, high grade commercial paper, bank deposits, investment pools created under the State Treasurer’s Act, and selected money market mutual funds.

The University Investment Committee monitors compliance with the investment policy and periodically reviews related investment reports. The committee submits a performance report on investments to the Board of Trustees on a quarterly basis. In accordance with the regulations of the Board of Trustees, funds may be invested in any investment permitted by the laws of the State of Illinois for the investment of public funds unless otherwise restricted by a bond or other legal covenant. A statement of investment policy is filed annually with the report on depositories to the Board of Trustees.

Recommendation: The University requests Board of Trustee approval for the revised Investment and Cash Management Policy.
NORTHERN ILLINOIS UNIVERSITY
Investment and Cash Management Policy

Submitted by: NIU Investment Committee
Revision Date: February 23, 2017
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I. Philosophy

The University shall manage its cash and investments in a manner that will preserve principal, meet operating cash flow needs, and produce a yield which would be described in the current marketplace as acceptable by conservative investment managers. Investment strategies will evolve over time as market conditions, interest rates, and operational needs change. Such strategies must comply with applicable State and Federal statutes and bond indentures.

University cash and investments shall be managed with prudent judgment and care. The investment portfolio shall be managed with the intention of obtaining the highest possible net return, balancing reasonable growth and yield with acceptable risk. In addition, the portfolio shall exhibit diversity with respect to instrument type and duration.

II. Guidelines

A. Board of Trustees Regulations
Regulations of the Board of Trustees (Section V.D.) allow the combining of funds of the same category or classification in a single account with an authorized depository as long as the university's books and records reflect the amount in each fund so deposited and the charges against each fund. Any amount of such deposits in excess of the amount reasonably necessary to meet the anticipated expenses of such funds may be invested in any investment permitted by the laws of the State of Illinois for the investment of public funds unless otherwise restricted by a bond or other legal covenant. http://www.niu.edu/board/regs/index.shtml

B. Bond Funds and Other Debt Instruments
The Resolutions authorizing the issuance of revenue bonds and other debt instruments may place restrictions on the investment of these funds. The maturity of investments purchased should be aligned with drawdown and/or use of funds schedules. The investments are limited to those permitted by resolution or meet the requirements of this investment policy. In the event of a conflict between the regulations and the requirements of specific bond resolutions, the latter shall govern.

C. Depositories
All funds not required to be paid into the State Treasury shall be deposited in banks authorized by the Board of Trustees to serve as depositories. University depositories must be insured with the Federal Deposit Insurance Corporation. University accounts shall be held in the name of Northern Illinois University. Banking activities will be conducted in a manner that is compliant with State statute and Board of Trustees regulations.
III. Authorized Investments

Funds should be invested in accordance with the State of Illinois Public Funds Investment Act (30 ILCS 235). Acceptable investments include but are not limited to:

- Instruments guaranteed by the full faith and credit of the United States of America
- Bonds, notes, debentures, or other similar obligations of the United States of America or its agencies
- Interest-bearing savings accounts, certificates of deposit or time deposits or any other investments constituting direct obligations of any bank as defined by the Illinois Banking Act
- Commercial paper, as outlined in the Public Funds Investment Act
- Money market mutual funds, as outlined in the Public Funds Investment Act
- Public Treasurers' Investment Pool, commonly known as the Illinois Funds

Foreign investments are prohibited. Additionally, the Investment Committee may specify criteria more restrictive than those of the Illinois Public Funds Investment Act.


IV. Diversification and Allocation

The investment portfolio should be reasonably diversified among instrument types and maturities. With the exception of US Treasuries, no single instrument type should comprise more than 50% of the portfolio. Maturities should be laddered to coincide with operational needs. The weighted average duration of the portfolio will be determined by the Investment Committee and will be adjusted as appropriate.

The Investment Committee will determine target asset allocation strategies that allow for the maximum rates of return while providing a stable income stream.

V. Collateralization

Funds on deposit which exceed the amount of federal deposit insurance coverage must be collateralized with bonds or pledged securities. The State Finance Act (30 ILCS 105/6a-1a) limits the types of pledged securities to those in which the State Treasurer may accept for amounts not insured by the Federal Deposit Insurance Corporation or the Federal Savings and Loan Insurance Corporation. The market value of the bonds or pledged securities shall at all times be equal to or greater than the uninsured portion of the deposit.

VI. Risk

*Custodial Credit Risk* is the risk of loss due to a financial institution or counterparty failing. This would result in the University not receiving the full value of its deposits held by such party. In accordance with the Illinois Public Funds Investment Act (30 ILCS 235), public funds on deposit, not covered by FDIC insurance, require pledged securities to be placed by financial institutions or counterparty. Collateral agreements are to provide for a third party custodian to hold such pledged securities. To mitigate custodial credit risk, all pledged securities on behalf of the university are held in an account in the name of Northern Illinois University.

*Credit Risk* represents a loss due to the failure of a security issuer to fulfill its obligation to make interest and/or principal payments in accordance with required dates. By limiting investments to only those authorized by the Illinois Public Funds Investment Act (30 ILCS 235), the University's exposure to credit risk is mitigated.

*Interest Rate Risk* is the risk that a change in interest rate will adversely affect the fair value of an investment. The University mitigates interest rate risk by maintaining adequate cash or cash equivalent balances that are consistent with expected cash flows of the university, thus minimizing risk associated with changes in market value and/or interest rate fluctuation.

*Concentration of Credit Risk* is managed with diversification of investments held at any one time in the University's portfolio. The risk of loss due to having a significant portion of University resources invested in a single issuer is minimized and controlled by limitations as set forth in this policy.

*Foreign Currency Risk* or investments exposed to currency rate fluctuations are controlled by adherence to the Illinois Public Funds Investment Act (30 ILCS 235).

VII. Roles and Responsibilities

A. Board of Trustees

Northern Illinois University Board of Trustees shall approve the *Investment and Cash Management Policy* and revisions, new depository relationships, changes/additions to signatory authority, and the quarterly written reports of investment status and activity.

B. Finance, Facilities, and Operations Committee

The Finance, Facilities, and Operations Committee (FFOC) has oversight responsibilities for the Investment Committee. FFOC submits investment reports to the Board of Trustees.
Investment Committee
The Investment Committee is comprised of the Board Treasurer and Vice President of Administration and Finance, the Associate Vice President for Finance and Budget, the Controller, and the Director of Treasury Operations (non-voting). To ensure shared governance, a faculty representative may be appointed by the Vice President of Administration and Finance.

The Investment Committee was established to assist the University in fulfilling its fiduciary investment responsibilities. The Investment Committee shall:

- Meet at least once per quarter in advance of the FFOC meeting.
- Review and revise investment goals, objectives, and policy as needed.
- Determine target asset allocation strategies.
- Establish performance measures.
- Select external investment advisors, managers, and/or brokers.
- Report quarterly to the President and Board of Trustees through the FFOC the results of investment activity.
- Review and approve changes in report content and/or format.
- Periodically review the investment portfolio for its effectiveness in meeting university needs regarding safety, liquidity, return, and diversification.
- Recommend new committee members.

C. Board Treasurer and Vice President of Administration and Finance
The Board Treasurer is authorized to designate depositories at such locations that require local banking services away from the Northern Illinois University main campus. Consistent with Board of Trustees regulations all new depository relationships require specific board approval.

The Board Treasurer is authorized to delegate signature authority for a single specific purpose, bank, and/or investment account. The delegation involves university departments and/or agency relationships within the university.

The Board Treasurer acts as the Investment Committee Chair.

D. Director of Treasury Operations
The Director of Treasury Operations serves as the University’s Chief Investment Officer. The Director of Treasury Operations shall:

- Establish a system of internal controls and written procedures designed to prevent fraud, misrepresentation, and employee error.
- Draft and distribute reports as required by Illinois statutes, Board of Trustees Regulations, and University policy.
- Execute investment trades.
VIII. Reporting

Investment reports should demonstrate the status and performance of cash and investments.

The Investment of Public Funds Act (30 ILCS 237) requires the University to provide the following information online by the 15th of each month:

- the amount of funds held by that agency on the last day of the preceding month or the average daily balance for the preceding month;
- the total monthly investment income and yield for all funds invested by that agency;
- the asset allocation of the investments made by that agency; and
- a complete listing of all approved depository institutions, commercial paper issuers, and broker-dealers approved to do business with that agency.

The Illinois Public Funds Investment Act (30 ILCS 235) requires quarterly reporting to the Board of Trustees and the University President. At a minimum, the reports shall include securities by class or type, income earned, book value, and market value as of the report date.

Regulations of the Board of Trustees (Section V.D.) require the University to submit an annual Report of Depositories at June 30th. The report consists of beginning balances, withdrawals, and ending balances for all bank accounts. In addition, a statement of investment policy shall be submitted with the report of depositories.

IX. Advisors

The University may utilize the services of external advisors to assist in trade executions and the management of investments. The Investment Committee will develop a selection process to research and analyze prospective vendors for inclusion in the pool of investment advisors.

X. Ethics


University employees involved in the investment process shall refrain from any actions and/or activity that would be in conflict with the proper execution of the investment program.
BOWL GAME PARTICIPATION EXPENSES

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

**Funding:** Institutional – Local Funds, Intercollegiate Athletics

**Recommendation:** Board of Trustees approval is requested for expenditure authority for a post-season Bowl Game competition and delegation of approval authority to the President, or designee, to undertake all transactions necessary in relation to the Bowl, reporting all Bowl-related expenditures at a subsequent meeting of the Board.

Amount Paid in FY17: $0
Amount Paid in FY16: $875,000
Authorization to Retain Executive Search Firms to Support Selected Searches for the Division of Athletics

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

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

The Academic Affairs, Student Affairs and Personnel Committee endorsed this request and ask that the president forward it by means of the President’s Report to the Board of Trustees for approval at its September 14, 2017 meeting.
NORTHERN ILLINOIS UNIVERSITY POLICY
ON THE USE OF EXTERNAL HIRING SEARCH FIRMS

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

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

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

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

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

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

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

Approved by the Board of Trustees of Northern Illinois University on May 23, 2013.
**FISCAL YEAR 2017 REPORT TUITION AND FEE WAIVERS**

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

**TUITION AND FEE WAIVERS**

**FISCAL YEAR 2017**

($ in thousands)

<table>
<thead>
<tr>
<th>Tuition Waived</th>
<th>Fees Waived</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Recipients</td>
<td>Value of Waivers</td>
</tr>
<tr>
<td>Number of Recipients</td>
<td>Value of Waivers</td>
</tr>
</tbody>
</table>

**MANDATORY WAIVER CATEGORY**

<table>
<thead>
<tr>
<th>PROGRAM</th>
<th>Number of Recipients</th>
<th>Number of Waivers</th>
<th>Value of Waivers (in thousands of dollars)</th>
<th>Number of Recipients</th>
<th>Number of Waivers</th>
<th>Value of Waivers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teacher Special Education</td>
<td>148</td>
<td>148</td>
<td>593.7</td>
<td>127</td>
<td>176.6</td>
<td></td>
</tr>
<tr>
<td>General Assembly</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>ROTC</td>
<td>51</td>
<td>51</td>
<td>380.9</td>
<td>42</td>
<td>3.7</td>
<td></td>
</tr>
<tr>
<td>Children of Employees</td>
<td>25</td>
<td>25</td>
<td>213.3</td>
<td>22</td>
<td>31.4</td>
<td></td>
</tr>
<tr>
<td>Senior Citizens</td>
<td>3</td>
<td>3</td>
<td>21.6</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>“Honorary Scholarships”</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>&quot;Veterans, Grants &amp; Scholarships*&quot;</td>
<td>425</td>
<td>425</td>
<td>2,757.5</td>
<td>425</td>
<td>624.0</td>
<td></td>
</tr>
<tr>
<td>&quot;Other (please specify)**&quot;</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

Unduplicated Mandatory Waiver Count Total: 800

Unduplicated Summary Tuition and/or Fees Waivers:

<table>
<thead>
<tr>
<th>Number of Recipients</th>
<th>Total Value of Waivers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mandatory Waiver Category Total</td>
<td>$ 5,381.4</td>
</tr>
<tr>
<td>Discernitory Waiver Category Total</td>
<td>$ 20,313.9</td>
</tr>
<tr>
<td>Total count of Waivers</td>
<td>$ 25,695.3</td>
</tr>
</tbody>
</table>

**DISCRETIONARY WAIVER CATEGORY**

<table>
<thead>
<tr>
<th>PROGRAM</th>
<th>Number of Recipients</th>
<th>Number of Waivers</th>
<th>Value of Waivers (in thousands of dollars)</th>
<th>Number of Recipients</th>
<th>Number of Waivers</th>
<th>Value of Waivers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty/Administrators</td>
<td>119</td>
<td>119</td>
<td>499.1</td>
<td>8</td>
<td>7.3</td>
<td></td>
</tr>
<tr>
<td>Civil Service</td>
<td>134</td>
<td>134</td>
<td>461.4</td>
<td>68</td>
<td>66.9</td>
<td></td>
</tr>
<tr>
<td>Academic/Other Talent</td>
<td>837</td>
<td>837</td>
<td>3,380.6</td>
<td>1</td>
<td>0.1</td>
<td></td>
</tr>
<tr>
<td>Athletics</td>
<td>238</td>
<td>238</td>
<td>1,726.5</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Gender Equity in Intercollegiate Athletics</td>
<td>169</td>
<td>169</td>
<td>1,569.6</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Foreign Exchange Students</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Out-of-State Students</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Foreign Students</td>
<td>23</td>
<td>23</td>
<td>182.6</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Student Need-Financial Aid</td>
<td>3</td>
<td>3</td>
<td>15.5</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Student Need-Special Programs</td>
<td>1</td>
<td>1</td>
<td>2.1</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Cooperating Professionals</td>
<td>454</td>
<td>454</td>
<td>1,024.5</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Research Assistants</td>
<td>580</td>
<td>580</td>
<td>2,738.2</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Teaching Assistants</td>
<td>974</td>
<td>974</td>
<td>5,690.1</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Other Assistants</td>
<td>245</td>
<td>245</td>
<td>1,547.5</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Student Employment</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Interinstitutional/Related Agencies</td>
<td>29</td>
<td>29</td>
<td>69.5</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Retired University Employees</td>
<td>10</td>
<td>10</td>
<td>31.8</td>
<td>3</td>
<td>3.4</td>
<td></td>
</tr>
<tr>
<td>Children of Deceased Employees</td>
<td>4</td>
<td>4</td>
<td>21.9</td>
<td>4</td>
<td>7.1</td>
<td></td>
</tr>
<tr>
<td>Contract/Training Grants</td>
<td>277</td>
<td>277</td>
<td>723.6</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>All Other (please specify)**</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Fellowships</td>
<td>14</td>
<td>14</td>
<td>45.6</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

Unduplicated Discretionary Waiver Count Total: 2,022.1

Unduplicated Summary Tuition and/or Fees Waivers:

<table>
<thead>
<tr>
<th>Number of Recipients</th>
<th>Total Value of Waivers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mandatory Waiver Category Total</td>
<td>$ 5,381.4</td>
</tr>
<tr>
<td>Discernitory Waiver Category Total</td>
<td>$ 20,313.9</td>
</tr>
<tr>
<td>Total count of Waivers</td>
<td>$ 25,695.3</td>
</tr>
</tbody>
</table>

---

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

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

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

**** Each recipient is counted only once in the Total Count of Waivers even if they benefited from a mandatory and a discernitory waiver.
FISCAL YEAR 2017 ANNUAL REPORT OF CASH AND INVESTMENTS
FOR PERIOD JULY 1, 2016 THROUGH JUNE 30, 2017

This report is required by Board of Trustees Regulations and is submitted annually.

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

University investments are made from the following cash entity groups: (1) debt service reserve funds; (2) equipment reserve funds; (3) escrow and trust funds; (4) locally generated revenues, including tuition and fees; (5) project funds; (6) repair and replacement reserve funds; and (7) self-insurance funds.

The schedules included with this report are:
- Investment Holdings Summary as of June 30, 2017
- Investment Earnings by Investment Type and Duration
- Report of Depositories
- Investment and Cash Management Policy (BOT approved 9/2015)*

Holdings at June 30, 2017 were $30mm less than they were at June 30, 2016. This is attributed mostly to the reduction of State funding during fiscal years 2016 and 2017. However, the passing of the State budget in early July 2017 brings needed financial support for the University. The State budget includes retroactive funding for fiscal year 2017 obligations and MAP grants, and provides a fiscal year 2018 level of funding that nearly meets the State funding level of fiscal year 2015. This funding, combined with University initiatives to identify new revenue, reduce spending, and allocate resources toward mission critical goals and profitable programs, will allow the University to rebuild its reserves and strengthen its investment portfolio.

As anticipated, the Federal Reserve raised its benchmark rate again in June by a quarter point. The increase in interest rates is reflected in the attached earnings report which shows an overall earnings rate of 0.66%. The University’s average annualized rate of return at the end of last quarter was 0.61%; and at June 30, 2016, it was 0.59%.

Despite the State budget impasse, the University was able to meet its cash flow demands during fiscal year 2017 and closed the fiscal year with a positive cash balance. It is anticipated there will be reduced pressures on operational cash flow and a greater focus on future financial sustainability during fiscal year 2018.

*The Investment and Cash Management Policy has been revised and submitted for approval earlier in this meeting. Attached to this information item is the previous version as it is required to be filed annually with the report on depositaries.
### Investment Holdings Summary

**NORTHERN ILLINOIS UNIVERSITY**  
**INVESTMENT HOLDINGS SUMMARY**  
**June 30, 2017**  
**For Fiscal Year 2017**

<table>
<thead>
<tr>
<th>Investment Type</th>
<th>Purch Price/Ending Bal</th>
<th>Book Value</th>
<th>Market Value</th>
<th>Percent of Portfolio</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Federal Agency Notes:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Funds</td>
<td>$31,002,895</td>
<td>$31,005,880</td>
<td>$30,926,968</td>
<td>25.67%</td>
</tr>
<tr>
<td><strong>Interest Bearing Cash Accounts:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Funds</td>
<td>$42,150,206</td>
<td>$42,150,206</td>
<td>$42,150,206</td>
<td></td>
</tr>
<tr>
<td>Project Funds</td>
<td>448,937</td>
<td>448,937</td>
<td>448,937</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$42,599,143</td>
<td>$42,599,143</td>
<td>$42,599,143</td>
<td>35.36%</td>
</tr>
<tr>
<td><strong>Money Markets:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Funds</td>
<td>$8,314,961</td>
<td>$8,314,961</td>
<td>$8,314,961</td>
<td></td>
</tr>
<tr>
<td>Project Funds</td>
<td>8,647,696</td>
<td>8,647,696</td>
<td>8,647,696</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$16,962,657</td>
<td>$16,962,657</td>
<td>$16,962,657</td>
<td>14.08%</td>
</tr>
<tr>
<td><strong>US Treasury Notes/Bills:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Funds</td>
<td>$12,554,302</td>
<td>$12,540,086</td>
<td>$12,492,299</td>
<td></td>
</tr>
<tr>
<td>Project Funds</td>
<td>17,530,907</td>
<td>17,509,771</td>
<td>17,490,490</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$30,085,209</td>
<td>$30,049,857</td>
<td>$29,982,789</td>
<td>24.89%</td>
</tr>
<tr>
<td><strong>TOTAL INVESTMENT HOLDINGS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>JUNE 30, 2017</td>
<td>$120,649,904</td>
<td>$120,617,537</td>
<td>$120,471,557</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>PREVIOUS YEAR HOLDINGS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>JUNE 30, 2016</td>
<td>$151,264,850</td>
<td>$151,329,803</td>
<td>$151,519,175</td>
<td></td>
</tr>
</tbody>
</table>

#### Market Value by Investment Type

- Federal Agency Notes: 25.67%
- Interest Bearing Cash: 35.36%
- Money Markets: 14.08%
- US Treasury Notes/Bills: 24.89%

---

NIU Board of Trustees  
48  
September 14, 2017

### NORTHERN ILLINOIS UNIVERSITY
### INVESTMENT EARNINGS BY TYPE AND DURATION
### For Fiscal Year 2017
### July 1, 2016 - June 30, 2017

<table>
<thead>
<tr>
<th>Short-Term Investment Accounts</th>
<th>June 30 Ending Balance</th>
<th>Average Daily Investment Balance</th>
<th>Percent of Portfolio</th>
<th>Income Earned</th>
<th>Annualized Rate of Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illinois Funds</td>
<td>$ 8,314,961</td>
<td>$ 44,005,363</td>
<td>27.84%</td>
<td>$ 230,015</td>
<td>0.523%</td>
</tr>
<tr>
<td>Investment Accounts - Financial Institutions</td>
<td>$ 42,150,206</td>
<td>$ 33,690,200</td>
<td>21.31%</td>
<td>$ 219,119</td>
<td>0.650%</td>
</tr>
<tr>
<td>Investment Accounts - Project Funds</td>
<td>$ 9,096,633</td>
<td>$ 14,123,267</td>
<td>8.93%</td>
<td>$ 11,275</td>
<td>0.080%</td>
</tr>
<tr>
<td>ST Investment Accounts Total</td>
<td>$ 59,561,800</td>
<td>$ 91,818,830</td>
<td>58.08%</td>
<td>$ 460,409</td>
<td></td>
</tr>
</tbody>
</table>

**ST Investment Accounts Average Yield**

<table>
<thead>
<tr>
<th>Fixed Income Securities</th>
<th>June 30 Ending Balance</th>
<th>Average Daily Investment Balance</th>
<th>Percent of Portfolio</th>
<th>Income Earned</th>
<th>Annualized Rate of Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Funds</td>
<td>$ 43,557,197</td>
<td>$ 52,717,333</td>
<td>33.36%</td>
<td>$ 465,346</td>
<td>0.883%</td>
</tr>
<tr>
<td>Project Funds</td>
<td>$ 17,530,907</td>
<td>$ 13,534,060</td>
<td>8.56%</td>
<td>$ 118,672</td>
<td>0.877%</td>
</tr>
<tr>
<td>Fixed Income Securities Total</td>
<td>$ 61,088,104</td>
<td>$ 66,251,393</td>
<td>41.92%</td>
<td>$ 584,018</td>
<td></td>
</tr>
</tbody>
</table>

**Fixed Income Securities Average Yield**

<table>
<thead>
<tr>
<th>COMBINED TOTAL</th>
<th>June 30 Ending Balance</th>
<th>Average Daily Investment Balance</th>
<th>Percent of Portfolio</th>
<th>Income Earned</th>
<th>Annualized Rate of Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 120,649,904</td>
<td>$ 158,070,223</td>
<td>100.00%</td>
<td>$ 1,044,427</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**AVERAGE ANNUALIZED RATE OF RETURN**

0.66%
### Northern Illinois University

**REPORT OF DEPOSITORIES**

For the Year Ended June 30, 2017

<table>
<thead>
<tr>
<th>Bank Name</th>
<th>Series/Description</th>
<th>Beginning Balance</th>
<th>Deposits*</th>
<th>Withdrawals*</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amalgamated Bank</td>
<td>Series 2010 Build America Bonds</td>
<td>$9,997,969</td>
<td>$9,010,684</td>
<td>$10,360,957</td>
<td>$8,647,696</td>
</tr>
<tr>
<td></td>
<td>Series 2011 Revenue Bonds</td>
<td>-</td>
<td>6,351,787</td>
<td>6,351,787</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>Series 2014 Certificates of Participation</td>
<td>-</td>
<td>3,298,750</td>
<td>3,298,750</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total for Amalgamated Bank</strong></td>
<td></td>
<td><strong>$9,997,969</strong></td>
<td><strong>$18,661,221</strong></td>
<td><strong>$20,011,494</strong></td>
<td><strong>$8,647,696</strong></td>
</tr>
<tr>
<td>Bank of New York Mellon</td>
<td>Series 1993, Certificates of Participation</td>
<td>$651,678</td>
<td>$1,341,456</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>First National Bank</td>
<td>Investment</td>
<td>$351,421</td>
<td>$82,177,705</td>
<td>$81,417,354</td>
<td>$1,111,772</td>
</tr>
<tr>
<td></td>
<td>Project Funds</td>
<td>3,372,878</td>
<td>23,951,562</td>
<td>26,875,503</td>
<td>448,937</td>
</tr>
<tr>
<td><strong>Total for First National Bank</strong></td>
<td></td>
<td><strong>$3,724,299</strong></td>
<td><strong>$106,129,267</strong></td>
<td><strong>$108,292,857</strong></td>
<td><strong>$1,568,709</strong></td>
</tr>
<tr>
<td>First Midwest Bank</td>
<td>Credit Card Account</td>
<td>$50,000</td>
<td>$64,943,576</td>
<td>$64,943,576</td>
<td>$50,000</td>
</tr>
<tr>
<td></td>
<td>Deposit Account</td>
<td>380,593</td>
<td>150,344,575</td>
<td>150,278,396</td>
<td>446,772</td>
</tr>
<tr>
<td></td>
<td>Disbursement Account</td>
<td>50,000</td>
<td>98,412,573</td>
<td>98,412,573</td>
<td>50,000</td>
</tr>
<tr>
<td></td>
<td>Investment Account</td>
<td>25,167,340</td>
<td>410,802,531</td>
<td>395,016,927</td>
<td>40,952,944</td>
</tr>
<tr>
<td></td>
<td>Payment Account</td>
<td>50,000</td>
<td>398,391,660</td>
<td>398,391,660</td>
<td>50,000</td>
</tr>
<tr>
<td></td>
<td>Payroll Account</td>
<td>86,041</td>
<td>156,029,785</td>
<td>156,030,336</td>
<td>85,490</td>
</tr>
<tr>
<td><strong>Total for First Midwest Bank</strong></td>
<td></td>
<td><strong>$25,783,974</strong></td>
<td><strong>$1,278,924,700</strong></td>
<td><strong>$1,263,073,468</strong></td>
<td><strong>$41,635,206</strong></td>
</tr>
<tr>
<td>Illinois National Bank</td>
<td>NIU Operations- IL Funds</td>
<td>$1,000</td>
<td>$295,130</td>
<td>$291,130</td>
<td>5,000</td>
</tr>
<tr>
<td>US Bank</td>
<td>Series 1992 Revenue Bonds</td>
<td>-</td>
<td>$720,000</td>
<td>$720,000</td>
<td>-</td>
</tr>
<tr>
<td>US Bancorp Fund Services</td>
<td>NIU Operations- IL Funds</td>
<td>$43,091,871</td>
<td>$45,223,590</td>
<td>$80,000,500</td>
<td>$8,314,961</td>
</tr>
<tr>
<td><strong>Total For All Banks</strong></td>
<td></td>
<td><strong>$83,250,791</strong></td>
<td><strong>$1,451,295,364</strong></td>
<td><strong>$1,474,382,583</strong></td>
<td><strong>$60,163,572</strong></td>
</tr>
</tbody>
</table>

* Deposits and Withdrawals include interaccount transfers.
* The balances and activity reflected on this report are taken from bank statements and may not necessarily reflect those amounts recorded in the university financial records due to reconciling items.
I. Investment Philosophy

Pursuant to Board of Trustees’ policy and Board Treasurer’s function, it shall be the policy of Northern Illinois University to manage the university's cash and investments for the use and benefit of the university in a manner that will:

A. preserve and maintain the real purchasing power of the principal

B. assure an optimal flow of cash to meet university obligations

C. produce a yield which, when compared to current marketplace, would be described as acceptable by conservative investment managers while maintaining consistency with applicable State Statutes, and/or bond indentures.

II. Safety

The safety of principal is the primary objective of the university’s investment program. The university’s Investment and Cash Management Policy provides for diversification among permissible investments while:

A. Managing market changes

B. Minimizing interest rate risk

C. Mitigating credit risk

D. Managing concentration of credit risk

E. Safeguarding custodial credit risk

F. Controlling foreign currency risk

Interest rate risk is the risk that a change in interest rate will adversely affect the fair value of an investment. The university mitigates interest rate risk by maintaining adequate cash or cash equivalent balances that are consistent with expected cash flows of the university, thus minimizing risk associated with changes in market value and/or interest rate fluctuation. It is prudent to establish a diversified portfolio with instruments that vary by issuer; by type of security; and by maturity date.

Credit Risk represents a loss due to the failure of a security issuer to fulfill its obligation to make interest and/or principal payments in accordance with required dates. By limiting investments, to only those authorized by the Illinois Public Funds Investment Act (30 ILCS 235), the university’s exposure to credit risk is mitigated. For example, short-term obligations of corporations organized in the United States that meet the following criteria at the time of purchase: 1) rated at one of 3 highest classifications as determined by at least two standard rating services, 2) to mature in 180 days or less, 3) such purchases do not exceed 10% of the corporations’ outstanding obligations, and 4) no more than one-third of the university’s funds may be invested in short-term obligations of corporations.
Concentration of credit risk is managed with diversification of investments, held at any one time, in the university’s portfolio. The risk of loss due to having a significant portion of university resources invested in a single issuer is minimized and controlled by limitations as set forth in this investment policy.

Custodial Credit Risk or the risk of loss due to a financial institution or counterparty failing, in that, the university would not receive the full value of its deposits held by such party. In accordance with the Illinois Public Funds Investment Act (30 ILCS 235), public funds on deposit, not covered by FDIC insurance, require pledged securities to be placed by financial institutions or counterparty. Collateral agreements are to provide for a third party custodian to hold such pledged securities. To mitigate custodial credit risk, all pledged securities on behalf of the university are held in an account in the name of Northern Illinois University.

Foreign currency risk or investments exposed to currency rate fluctuation are controlled by adherence to the Illinois Public Funds Investment Act (30 ILCS 235).

III. Advisors

The university at its discretion may utilize the services of external advisors to assist in the management of investments. The choice of advisors shall be determined by the Investment Committee appointed by the President. This committee shall include, but not be limited to, the Vice President for Administration and Finance, the Associate Vice President for Finance and Budget, the Controller, and the Director of Treasury Operations (non-voting).

IV. Limitations

Consistent with State Law and Board of Trustees Policy:

A. Foreign investments are prohibited.

B. Collateralization of Accounts.

Whenever such funds retained by a State university or the Board of Trustees in its own treasury are deposited with a bank or savings and loan association and the amount of the deposit exceeds the amount of federal deposit insurance coverage, a bond or pledged securities shall be obtained. The State Finance Act limits the types of securities the State Treasurer may accept for amounts not insured by the Federal Deposit Insurance Corporation or the Federal Savings and Loan Insurance Corporation. The market value of the bond or pledged securities shall at all times be equal to or greater than the uninsured portion of the deposit. (30 ILCS 105/6a-1a)

C. With authorization from the Investment Committee, the Associate Vice President for Finance and Budget may specify investment criteria that are more restrictive than those of this policy.
V. Authorized Investments

A. Board of Trustees

1. Regulations

The Board of Trustees Regulations §V.D.3. allow the combining of funds of the same category or classification in a single account with an authorized depository as long as the university's books and records reflect the amount in each fund so deposited and the charges against each fund.

Any amount of such deposits in excess of the amount reasonably necessary to meet the anticipated expenses of such funds may be invested in any investment permitted by the laws of the State of Illinois for the investment of public funds unless otherwise restricted by a bond or other legal covenant.

In the event of a conflict between the regulations and the requirements of specific bond resolutions, the latter shall govern.

All funds not required to be paid into the State Treasury shall be deposited in banks authorized by the Board of Trustees to serve as depositories.

Each year the university shall file with the Board of Trustees a report of beginning balances, withdrawals, and ending balances for all bank accounts. In addition, a statement of investment policy shall be filed annually with the report on depositories.

2. Bond Funds and Other Debt Instruments

The Resolutions authorizing the issuance of revenue bonds and other debt instruments may place restrictions on the investment of these funds. The maturity of investments purchased should be aligned with drawdown and/or use of funds schedules. The investments are limited to those permitted by resolution or meet the requirements of this investment policy.

Consistent with Federal compliance requirements, the Director of Treasury Operations is responsible for monitoring arbitrage rebate calculations and transmitting any necessary filings with IRS.

3. Fund Depositories

a. University accounts shall be held in the name of Northern Illinois University.

b. Banking activities will be conducted in a manner that is in compliance with State Statute and Board of Trustees regulations.

c. The Board Treasurer is authorized to designate depositories at such locations that require local banking services away from the Northern Illinois University main campus. Consistent with Board of Trustees regulations all new depository relationships require specific board approval.

d. The Board Treasurer is authorized to delegate signature authority for a single specific purpose bank and/or investment account. The delegation involves university departments and/or agency relationships within the university.
B. State of Illinois - Investment of Public Funds (30 ILCS 235)

1. The State of Illinois authorizes investments in instruments guaranteed by the full faith and credit of the United States of America as to principal and interest.

2. The State of Illinois authorizes investments in bonds, notes, debentures, or other similar obligations of the United States of America or its agencies.
   For the purpose of defining permitted investments, the term “agencies of the United States of America” include:
   a. federal land banks, federal intermediate credit banks, banks for cooperative, federal farm credit banks, or any other entity authorized to issue debt obligations under the Farm Credit Act of 1971 (12 U.S.C 2001 et seq.) and Acts amendatory thereto;
   b. federal home loan banks and the federal home loan mortgage corporation; and
   c. any other agency created by Act of Congress.

3. The State of Illinois authorizes investments in interest-bearing savings accounts, certificates of deposit or time deposits or any other investments constituting direct obligations of any bank as defined by the Illinois Banking Act.

4. The State of Illinois authorizes investments in short-term obligations of corporations organized in the United States with assets exceeding $500,000,000 if
   a. such obligations are rated at the time of purchase at one of the three highest classifications established by at least two standard rating services
   b. the maturity is not later than 180 days from the date of purchase
   c. such purchases do not exceed 10% of the corporation’s outstanding obligations, and
   d. no more than one-third of the public agency’s funds may be invested in short-term obligations of corporations.

5. The State of Illinois authorizes investments in money market mutual funds registered under the Investment Company Act of 1940, as from time to time amended. The portfolio is limited to those obligations described in V.B.1 and 2 above and to agreements to repurchase such obligations.

6. The State of Illinois authorizes investments only in banks which are insured by the Federal Deposit Insurance Corporation.

7. The State of Illinois authorizes investments in short-term discount obligations of the Federal National Mortgage Association or in shares or other forms of securities legally issuable by savings and loan associations which are incorporated under the laws of Illinois or any other state or under the laws of the United States.
   a. Investments may be made only in those savings and loan associations which are insured by the Federal Savings and Loan Insurance Corporation.
   b. Securities may be purchased at the offering or market price at the time of purchase.
c. Securities shall mature or be redeemable on a date or dates prior to the time when invested funds will be required for expenditure by the university.

8. The State of Illinois authorizes investment of funds with a credit union chartered under the laws of the State of Illinois or the United States, provided the principal office of the credit union must be located within the State of Illinois and the investments must be in accounts which are insured by applicable law.

9. The State of Illinois authorizes investment of funds in a Public Treasurers' Investment Pool, commonly known as Illinois Funds, created under Section 17 of the State Treasurer's Act, 15 ILCS 505/17.

Any public agency may also invest any public funds in a fund managed, operated and administered by a bank.

10. Except for repurchase agreements of government securities having the meaning set out in the Government Securities Act of 1986 and subject to the provisions of said Act and the regulations issued thereunder, the State of Illinois does not permit public agencies to purchase or invest in instruments which constitute repurchase agreements, and no financial institution may enter into such an agreement with or on behalf of any public agency unless the instruments and the transaction meet the following requirements:

a. The securities, unless registered or inscribed in the name of the public agency, are purchased through banks or trust companies authorized to do business in the State of Illinois.

b. An authorized public employee or officer, after ascertaining which firm will give the most favorable rate of interest, directs the custodial bank to "purchase" specified securities from a designated institution. The "custodial bank" is the bank or trust company, or agency of government, which acts for the public agency in connection with repurchase agreements involving the investment of funds by the public agency. The State Treasurer may act as custodial bank for public agencies executing repurchase agreements. To the extent the Treasurer acts in this capacity, he/she is hereby authorized to pass through to such public agencies any charges assessed by the Federal Reserve Bank.

c. A custodial bank must be a member bank of the Federal Reserve System or maintain accounts with member banks. All transfers of book-entry securities must be accomplished on a Reserve Bank's computer records through a member bank of the Federal Reserve System. These securities must be credited to the public agency on the records of the custodial bank and the transaction must be confirmed in writing to the public agency by the custodial bank.

d. Trading partners shall be limited to banks or trust companies authorized to do business in the State of Illinois or to registered primary reporting dealers.

e. The security interest must be perfected.

f. The public agency enters into a written master repurchase agreement which outlines the basic responsibilities and liabilities of both buyer and seller.

g. Agreements shall be for periods of 330 days or less.
h. The authorized public employee or officer of the public agency informs the custodial bank in writing of the maturity details of the repurchase agreement.

i. The custodial bank must take delivery of and maintain the securities in its custody for the account of the public agency and confirm the transaction in writing to the public agency. The Custodial Undertaking shall provide that the custodian takes possession of the securities exclusively for the public agency; that the securities are free of any claims against the trading partner; and any claims by the custodian are subordinate to the public agency's claims to rights to those securities.

j. The obligations purchased by a public agency may only be sold or presented for redemption or payment by the fiscal agent bank or trust company holding the obligations upon the written instruction of the public agency, public employee or officer authorized to make such investments.

k. The custodial bank shall be liable to the public agency for any monetary loss suffered by the public agency due to the failure of the custodial bank to take and maintain possession of such securities.

VI. Management of Cash and Investments

A. Except as provided herein, the Director of Treasury Operations, under the direction of the Associate Vice President for Finance and Budget or the Investment Committee, shall be authorized to serve as the Chief Investment Officer on behalf of the university. The Director of Treasury Operations will develop procedures necessary to administer the Investment and Cash Management Policy.

B. The Director of Treasury Operations will establish written operational procedures and will develop internal controls appropriate to address loss prevention measures and regulate the activities of subordinate university staff.

VII. Disbursements and Transfers

There shall be a requirement for two designated individuals to authorize transactions related to investment settlements and/or cash transfers. Assigned employees may be delegated authority to initiate appropriate transfers of university investment assets and funds provided suitable safeguards and security considerations are followed in conducting such transactions.

VIII. Accountability and Reporting

A. The Associate Vice President for Finance and Budget shall be accountable to the Investment Committee for implementing this policy.

B. The Director of Treasury Operations shall make reports on the status of investments and cash management to the Committee at intervals established by the Investment Committee.

C. The Associate Vice President for Finance and Budget will review investment data with the Treasurer of the Board of Trustees at intervals established by the Investment Committee.
D. The Investment Committee will report quarterly to the Board of Trustees and the university President concerning the status and results of investment activity. At a minimum, the reports shall include information regarding securities held in the portfolio by class or type, income earned, book value, and market value as of the report date.

E. The Director of Treasury Operations will make available online information concerning investment of public funds in accordance with the State of Illinois Finance Act (30 ILCS 237) – Accountability for the Investment of Public Funds Act.

IX. Ethics and Conflicts of Interest

In accordance with Northern Illinois University Board of Trustees regulations, all employees are responsible for compliance with applicable state and federal laws, university policies, and including the State Officials and Employees Ethics Act.

University employees involved in the investment process shall refrain from any actions and/or activity that would be in conflict with the proper execution of the investment program.

X. Adoption and/or Modification of Investment Policy

A. The Investment and Cash Management Policy and revisions shall be approved by the Northern Illinois University Board of Trustees.

B. The Investment and Cash Management Policy shall be made available upon request to the general public.
QUARTERLY SUMMARY REPORT OF TRANSACTIONS IN EXCESS OF $100,000 FOR THE PERIOD APRIL 1, 2017 TO JUNE 30, 2017

<table>
<thead>
<tr>
<th>Purchase Amount</th>
<th>No. of Transactions</th>
<th>Appropriated</th>
<th>Non-Appropriated</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Over $100,000</td>
<td>49</td>
<td>$1,310,850</td>
<td>$8,142,900</td>
<td>$9,453,750</td>
</tr>
</tbody>
</table>

TRANSACTIONS DETAIL:

Purchases:

1. An amendment was required to increase the open order for outside legal services relating to employment, regulatory, and compliance requirements as needed during Fiscal Year 2017. Original President’s approval was received on September 2, 2016. This vendor was selected as the result of RFP #bjm041013, and that award has been published on the Illinois Procurement Bulletin. Original amount of $80,000 was not previously reported. Amendment amount $98,700. (Franczek Radelet PC, Chicago, IL) 178,700*

2. Facilities Management requested permission to enter into a five-year real estate lease at 401 W. State Street in Rockford, IL. This will be the new location for the Zeke Giorgi Law Clinic. The lease is exempt from posting on the Illinois Procurement Bulletin as the annual expense is less than $100,000, and the leased space is less than 10,000 square feet. (Fridh Corporation, Rockford, IL) 247,650*

3. Health Services requested permission to issue an open order for outsourced laboratory services for the period July 1, 2017 - June 30, 2018. The existing PPB sole source approval is valid through June 30, 2020. This open order was governed by an ongoing contract. (Quest Diagnostics, Wood Dale, IL) 110,000

4. Renewal was required of the order for On-Site Telephone Switch Hardware/Software Maintenance for the University’s Avaya (Nortel) CS2100-SL100 hybrid telephone switch for the period July 1, 2017 – June 30, 2018. Pricing was based on Sealed Bid #KMC146458 that opened on March 25, 2014. This is the third year of five renewal options. The renewal award was advertised in the Illinois Procurement Bulletin. (Arrow Systems Integration, Irving, TX) 230,000

5. The Division of Information Technology requested permission to utilize the renewal option on Bid #CAB156820 for the period July 1, 2017 – June 30, 2018 for 10 Gig ISP link for ISP services to DeKalb Wellness and Literacy Center located at 3100 Sycamore Road. This is the second of nine renewal options based on a bid opened September 29, 2015. The renewal award was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. (Syndeo Networks, Inc., St. Charles, IL) 162,000
6. Renewal was required of the open order used to obtain telecommunication supplies and parts to be used on various projects for the period July 1, 2017 – June 30, 2018. Pricing is based on Sealed Bid #TEM124092 that opened on June 22, 2011. This is the sixth year of seven renewal options. The renewal award was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. (Anixter, Inc., Mount Prospect, IL) $243,000

7-8. An amendment was required to increase two FY17 open orders for agency collection services for the remainder of the current fiscal year. The vendors that are employed for this purpose were selected through IPHEC RFP # 1RMM906, and our engagement does not require additional Bulletin posting or bid process. (AllTran Education Inc., Woodridge, IL) Original amount previously reported $190,000; amendment amount $40,000. (National Credit Management, St. Louis, MO) Original amount previously reported $190,000; amendment amount $40,000 $80,000

9-11. Architectural and Engineering Services and the Physical Plant requested permission to issue open orders for miscellaneous repairs, maintenance, and labor as needed for project work during the period July 1, 2017 – June 30, 2018. Services to be provided include, but are not limited to: fire alarm systems, landscaping, and building and fixture repairs. Specifications and pricing are based on a bid opened on May 24, 2017. The awards have been advertised in the Illinois Procurement Bulletin.

(EDE Corp., Chicago, IL) $249,000
(Cooling Land Concepts, Cherry Valley, IL) $249,000
(Sprinkmann Sons Corp., Rockford, IL) $249,000 $747,000

12. The Northern Star requested permission to establish an open order for printing the student-run newspaper for the period July 1, 2017 - June 30, 2018. NIU requested bids for printing the Northern Star, and the bid was opened on May 2, 2017. Four one-year renewal options were offered. The intent to award this contract was advertised on the Illinois Procurement Bulletin and has been waived by the PPB. (Castle Printech, Inc., DeKalb, IL) $102,000

13-15. The Office of the Bursar requested permission to issue open orders for collection agency commissions for commercial accounts receivable, agency collections, and Perkins collections for the period July 1, 2017 – June 30, 2018. These orders are exempt from advertising on the Illinois Procurement Bulletin because the vendors are pre-approved IPHEC vendors.

(Conserve, Fairport, NY) $225,000
(Alltran Education, Inc., Woodridge, IL) $200,000
(National Credit Management, St. Louis, MO) $200,000 $625,000

16. The Division of Research and Innovation Partnerships requested permission to enter into a contract with Northern Illinois Research Foundation (NIRF), established as a not-for-profit 501(c)(3) in Illinois for the principal purpose of aiding and assisting Northern Illinois University in advancing its economic development, public service, research and educational mission. This contract will be for the period July 1, 2017 – June 30, 2018. This order is exempt from posting on the Illinois Procurement Bulletin. (Northern Illinois Research Foundation, DeKalb, IL) $249,000
17. The Division of Information Technology requested permission to purchase Blackboard One Card for the period July 1, 2017 – June 30, 2018. This purchase is for maintenance of the software product utilized by the University. The vendor is the developer of the software, and no other vendor may provide this service. The intent to award this contract as a sole source was advertised in the Illinois Procurement Bulletin under #CAB163686. (Blackboard, Inc., Phoenix, AZ)  

18. The Division of Information Technology requested permission to purchase Hyland (OnBase) Software Licensing, Support, and Maintenance Services during the period July 1, 2017 – June 30, 2018. OnBase maintenance and support services from Hyland Software allow the University to continue providing support, enhances our current implementation and allows for expansion of the enterprise document imaging and scanning services offered to the entire University. The maintenance services will provide for continued use and future growth of the OnBase imaging technology at NIU. The intent to award this contract as a sole source was advertised in the Illinois Procurement Bulletin under #CAB164832. (Hyland Software, Westlake, OH)  

19. The Division of Research and Innovation Partnerships requested permission to issue an open order for legal services for the period July 1, 2017 – June 30, 2018. This order conforms to the terms resulting from RFP #BJM041013 that opened April 24, 2013. The award for the period 1/1/14 - 6/30/18 has been advertised on the Illinois Procurement Bulletin and has been waived by the PPB. (Barnes & Thornburg LLP, Chicago, IL)  

20. An amendment was required to increase the purchase order for a five-year contract for an electronic ticketing system for issuing tickets for the various venues at Northern Illinois University. The original five-year contract covered the period FY 2013-2017. Additional costs for credit card processing and small convenience charges generated when Huskie season ticket holders use the system to purchase tickets online require an increase to cover the amount due. Original President’s approval was received on March 30, 2012, the first amendment was approved on February 8, 2013, and the second amendment was approved on April 1, 2016. The change order was advertised on the Illinois Procurement Bulletin. (Ticketmaster LLC, Chicago, IL) Original amount previously approved $200,000; amendment amount $5,000  

21. Campus Mail Services requested permission to establish an open order for postage for campus mailing needs for the period July 1, 2017 - June 30, 2018. This order is exempt from the Illinois Procurement Code (30 ILCS 500/1-10) (b) (1). (US Postal Service, DeKalb, IL)  

22-23. Renewal was required of open orders for consultative service engagements to provide branding, advertising, creative services, media relations, market research, digital and social media support, and consultative services on an as-needed basis for the period July 1, 2017 - June 30, 2018. This is the second of three one-year renewal options allowed for in a Request for Proposal that was opened on December 16, 2014. The renewal was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. (Lipman Hearne, Inc., Chicago, IL) $150,000  
(Simple Truth Communication Partners, Chicago, IL) $125,000
| 24. | Intercollegiate Athletics requested permission to renew a five-year contract for an electronic ticketing system for issuing tickets for the various venues at Northern Illinois University. The system is comprised of physical hardware and software provided by the vendor at no cost to the University for three locations at the DeKalb Campus: Convocation Center, Huskie Stadium and Holmes Student Center. The renewal was advertised in the Illinois Procurement Bulletin and has been waived by the PPB. (Ticketmaster LLC, Chicago, IL) | 205,000 |
| 25. | The Division of Information Technology requested permission to issue an order for services provided between DeKalb County and NIU for DATA Network during the 2018 calendar year. NIU in cooperation with DeKalb County is contracted to provide services including billing for CAI’s through USAC using the DATA Network. This PO will be used for the accounting of funds that are received from the CAI’s that the County in turn bills for each CAI as the funds are received by NIU. Because the vendor is a governmental agency, this purchase is exempt from posting on the Illinois Procurement Bulletin. (DeKalb County Government, Sycamore, IL) | 200,000 |
| 26. | The Division of Information Technology requested permission to renew maintenance and support of Micro Focus software licenses used by the entire University. One of the main products is the identity management suite which allows DoIT to automatically provision user accounts and access based on events such as application, acceptance, enrollment and graduate for students and hiring, departmental moves or termination for employees. It also enables provisioning Google accounts for students and O365 accounts for students and employees. This purchase is exempt from posting on the Illinois Procurement Bulletin as it is covered by an MHEC contract. (Micro Focus Software Inc., Provo, UT) | 150,000* |
| 27. | The Division of Information Technology requested permission to issue an open order for cellular and data services for NIU administrative employees for the period July 1, 2017 – June 30, 2018. This order is exempt from advertising on the Illinois Procurement Bulletin because a State of Illinois contract is being utilized. (Verizon Wireless, Rockford, IL) | 112,000 |
28-42. Architectural and Engineering Services requested permission to issue open orders for miscellaneous project and maintenance work to be done as needed on campus during the period July 1, 2017 – June 30, 2018. Services/projects include, but are not limited to: fire alarm work, pre-cast and cast stone products, electrical, roofing, plumbing, masonry, environmental professional services, general construction, HVAC, concrete, mechanical, etc. Various bids with renewal options were utilized for these orders. The renewal awards were advertised in the Illinois Procurement Bulletin and waived by the PPB.

Kelso Burnett Co., Rockford, IL $249,000
Ringland Johnson Inc., Cherry Valley, IL $249,000
Driessen Construction, St. Charles, IL $249,000
Simplex Grinnell, Madison, WI $249,000
Freeport Industrial Roofing, Inc., Freeport, IL $249,000
Otto Baum Co. Inc., Morton, IL $249,000
Irving Construction Co. Inc., DeKalb, IL $249,000
Scandrol Construction Co., Rockford, IL $249,000
DeKalb Mechanical, DeKalb, IL $249,000
True North Consultants, Inc., Naperville, IL $249,000
Advanced Boiler Control Services, Crown Point, IN $249,000
DeKalb Contract Glazing, DeKalb, IL $180,000
Campos Construction Inc., Rockford, IL $150,000
Associated Electrical Contractors, Woodstock, IL $100,000
Hollander Intl. Storage & Moving Co. Inc., Elk Grove Village, IL $249,000

43-46. The Physical Plant requested permission to issue open orders for miscellaneous repairs and maintenance work to be done as needed on campus during the period July 1, 2017 – June 30, 2018. Services to be provided include, but are not limited to: exhaust systems, air handling equipment, landscaping, tree planting, lagoon/pond fixtures, roof repair, fire protection systems, elevators, mechanical services, general contracting, etc. Various bids with renewal options were utilized for these orders. The renewal awards have been advertised in the Illinois Procurement Bulletin and have been waived by the PPB.

Nelson Fire Protection, Rockford, IL $249,000
Lake and Pond Solutions, Greenville, WI $175,000
Martin & Company Excavating, Oregon, IL $249,000
McCaulley Mechanical Construction, Bridgeview, IL $249,000

3,418,000

922,000
**Capital Improvement Projects:**

1. Repairs are required every summer to ensure that the aging steam boilers and associated steam distribution equipment at East Heating Plant will have the ability and capacity to operate and generate steam needed for heating all of campus through the next winter heating season. Many of the repairs are related to worn, broken or non-functioning steam valves, nozzles, gauges, vents, expansion joints, control calibration, and other failed equipment that caused serious operational and safety hazards or problems during this past winter heating season. To ensure that reliable and safe steam production capacity is available for the next winter heating season, repairs must be completed during the summer shutdown of the East Heating Plant. Until new boilers are installed to eliminate the need for the East Heating Plant capacity, these repairs are critical to help ensure support through the next winter season. Work will be completed by a combination of outside contractors and in-house workforce under the coordination of a NIU project manager.

   **117,500***

2. Repairs are required every summer on the dorm rooms to ensure that all critical broken, worn, or damaged features are fixed for the new residents by fall semester. Each year Housing inspects all dorm rooms and identifies a list of work that must be done in each room. This concentrated work effort prepares the rooms for occupancy and is significantly more efficient than addressing the deficiencies piecemeal during the first few weeks of the new academic year. Work will be completed by in-house workforce under the coordination of a NIU project manager.

   **232,000***

3. Based on the recently completed steam system assessment, a significant health and safety issue has been identified in the existing steam distribution system; numerous piping anchors, supports, and stanchions are deteriorated to the point of not providing the necessary structural support to the distribution piping. The supports, anchors, and stanchions provide the primary support and alignment of the steam and condensate return piping. Without this support the added stress on the distribution piping increases the risk of leaks and major breaks. The most critical portion of the work will be done during the steam shutdown for east and west campus currently planned for late May and early June 2017. These repairs are critically required to ensure reliable and safe steam distribution is available for the next heating season and hot water needs year round. Work will be completed by a combination of outside contractors and in-house workforce under the coordination of a NIU project manager.

   **105,900***

*Appropriated Income Funds*
ANNUAL SUMMARY REPORT
OBLIGATION OF FINANCIAL RESOURCES
Year Ended June 30, 2017

<table>
<thead>
<tr>
<th>Category</th>
<th>Number of Purchase Orders</th>
<th>Percentage</th>
<th>Dollar Volume</th>
<th>Percentage</th>
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</thead>
<tbody>
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<td>$0 to $25,000(^1)</td>
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<td>82.0</td>
<td>$17,484,097</td>
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<td>$25,001 to $100,000(^1)</td>
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<td>13.0</td>
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<td>$100,001 to $250,000(^2)</td>
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<tr>
<td>$250,001 to $500,000(^3)</td>
<td>29</td>
<td>.8</td>
<td>9,915,337</td>
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<tr>
<td>Over $500,000(^3)</td>
<td>31</td>
<td>.9</td>
<td>112,569,584</td>
<td>60.7</td>
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<tr>
<td>TOTAL</td>
<td>3,573</td>
<td>100.0</td>
<td>$185,404,878</td>
<td>100.0</td>
</tr>
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</table>

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

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

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

\(^2\) Authorizations for purchases and capital projects between $100,000 and $250,000 are approved by the President and periodically reported to the Board of Trustees.

\(^3\) Authorizations for purchases and capital projects exceeding $250,000 are presented for approval by the Board of Trustees.
Agenda Item 8.b.(5)  
September 14, 2017  

FACILITIES UPDATE

Briefing presented at the meeting.
NIU TELEPHONE SYSTEM UPDATE

Briefing presented at the meeting.
RECRUITMENT AND RETENTION PRESENTATION

Mr. Sol Jensen, Vice President for Enrollment Management, Marketing and Communications, Dr. Bradley Bond, Dean of the Graduate School and Dr. Anne Birberick, Vice Provost for Undergraduate Academic Affairs, will present updated information on the recruitment and enrollment strategies NIU is using to promote student academic success.
2016-2017 FACULTY EMERITUS RECOGNITION

Universities have a long tradition of granting emeritus status to faculty who retire in good standing. Northern Illinois University has created a regular process for the identification of retirees for whom the emeritus designation is appropriate. A list of ranked faculty who have announced or finalized retirements during the fiscal year is prepared annually by Human Resource Services and reviewed by the Provost for presentation to the Board of Trustees. The University hereby informs the Board of Trustees of the retired faculty members designated as emeritus for FY2017.

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
<th>Rank and Special Status</th>
<th>Retirement Date</th>
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</thead>
<tbody>
<tr>
<td>Blau, Harvey I</td>
<td>Mathematical Sciences</td>
<td>Professor - PTP</td>
<td>1/1/2017</td>
</tr>
<tr>
<td>Braun, Patricia Gail</td>
<td>Nursing</td>
<td>Associate Professor</td>
<td>6/1/2017</td>
</tr>
<tr>
<td>Dosanjh, Nancy M W</td>
<td>History</td>
<td>Professor - PRSA</td>
<td>1/1/2017</td>
</tr>
<tr>
<td>Eubanks, Philip E</td>
<td>English</td>
<td>Professor</td>
<td>7/1/2016</td>
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<td>Jaffee, Barbara</td>
<td>School of Art and Design</td>
<td>Associate Professor</td>
<td>1/1/2017</td>
</tr>
<tr>
<td>Koren, Mary Elaine</td>
<td>Nursing</td>
<td>Associate Professor</td>
<td>6/1/2017</td>
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<td>Majumdar, Pradip</td>
<td>Mechanical Engineering</td>
<td>Professor</td>
<td>1/1/2017</td>
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<td>Merino, Eloy E</td>
<td>Foreign Language &amp; Literature</td>
<td>Professor</td>
<td>7/1/2016</td>
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<tr>
<td>Shumow, Lee</td>
<td>Leadership, Educ Psyc &amp; Found</td>
<td>Professor - PTP</td>
<td>9/1/2016</td>
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<tr>
<td>Sido, Lee T</td>
<td>School of Art and Design</td>
<td>Associate Professor</td>
<td>8/1/2016</td>
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<tr>
<td>Vohra, Promod</td>
<td>College of Eng &amp; Eng Tech</td>
<td>Professor</td>
<td>7/1/2016</td>
</tr>
<tr>
<td>Ye, Zhuan</td>
<td>Mathematical Sciences</td>
<td>Professor</td>
<td>8/1/2016</td>
</tr>
</tbody>
</table>
STUDENT ATHLETIC ACADEMIC SUCCESS

Hope Schmelzle and Mikalya Voigt will briefly provide the board with their experiences as student athletes achieving academic success at NIU.

Hope Schmelzle is majoring in Psychology and currently has a 3.974 cumulative GPA. Hope Schmelzle was the first NIU women’s track & field All-American. She set two school records during the 2017 indoor season (800m mile), as well as three during the outdoor season (800m, 1500m, 3,000m steeplechase). Schmelzle matched her athletic successes with academics as well, as she was named to the CoSIDA Academic All-American team. She was also named 2017 MAC Outdoor Most Outstanding Track Performer, First-Team All-MAC, MAC Distinguished Scholar Athlete and Academic All-MAC.

Mikayla Voigt is a Nursing major and currently has a 4.0 cumulative GPA. Mikayla Voigt is also a basketball star for the NIU Women’s Basketball team. She appeared and started in all 33 games for the Huskies, playing 30 minutes-or-more 32 times. She has collected multiple honors including Academic All-MAC and MAC Distinguished Scholar Athlete honors. Voigt was named to the Dean’s List after the spring semester and is one of five Huskies to average double-digits last season, finishing fourth on the team with 11.5 points per game.
FISCAL YEAR 2016 EXTERNAL AUDIT CORRECTIVE ACTION PLANS UPDATE NARRATIVE

As a result of fiscal year 2016 audit findings, the University developed formal corrective action plans intended to strengthen internal controls and address each audit recommendation as described in the fiscal year 2016 Financial Audit and Compliance Examination. As a new process development implemented for fiscal year 2017, management engaged Internal Audit and provided copies of all corrective action plans for which Internal Audit will play a critical role in tracking progress to date. As of June 2017, responsible officers have provided status updates on corrective actions taken during the fiscal year to address material audit findings. Attached is a summary update that includes the finding description, audit recommendation, associated risk, and the average percentage of completion for all activities. As noted in the chart below, significant progress has been made during 2017 for most corrective action plans.

<table>
<thead>
<tr>
<th>Finding Number</th>
<th>Description of Finding</th>
<th>% of Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finding 2016-001</td>
<td>Financial Reporting Process</td>
<td>80%</td>
</tr>
<tr>
<td>Finding 2016-002</td>
<td>Inadequate Controls over Compensated Absences Data</td>
<td>100%</td>
</tr>
<tr>
<td>Finding 2016-003</td>
<td>Inadequate Internal Controls over Contracts</td>
<td>80%</td>
</tr>
<tr>
<td>Finding 2016-004</td>
<td>Inadequate Control over Cash Receipts and Accounts Receivable Recording and Reporting Processes</td>
<td>90%</td>
</tr>
<tr>
<td>Finding 2016-005</td>
<td>Voucher Processing</td>
<td>75%</td>
</tr>
<tr>
<td>Finding 2016-006</td>
<td>Non-compliance with Board of Higher Education Act</td>
<td>100%</td>
</tr>
<tr>
<td>Finding 2016-007</td>
<td>Non-compliance with Illinois Pension Code</td>
<td>15%</td>
</tr>
<tr>
<td>Finding 2016-008</td>
<td>Non-compliance with FOIA and State Records Retention Acts</td>
<td>100%</td>
</tr>
<tr>
<td>Finding 2016-009</td>
<td>Failure to Submit Proper Time Reporting</td>
<td>50%</td>
</tr>
<tr>
<td>Finding 2016-010</td>
<td>Procurement Card Use</td>
<td>50%</td>
</tr>
<tr>
<td>Finding 2016-011</td>
<td>Inadequate Controls over Property and Equipment</td>
<td>90%</td>
</tr>
<tr>
<td>Finding 2016-012</td>
<td>Non-compliance with Higher Education Veterans Services Act</td>
<td>100%</td>
</tr>
</tbody>
</table>

Some of the barriers that limit full implementation include the need for additional IT, financial and staff resources; staff turnover, and increased workflows. In addition, the 2016 financial and compliance audit results were not available until February and March 2017, respectively, which reduced the amount of lead time available to implement all corrective actions by June 30, 2017.

However, 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 Compliance Office function is under development that will assist the University campus in ensuring its activities comply with the laws, regulations, and policies that govern the University, and adheres to the highest legal, professional, and ethical standards.
Finding 2016-001: Financial Reporting Process

Definition: University internal controls over financial reporting are not sufficient to prevent misstatements. Auditor recommended the University improve controls over financial reporting to ensure accurate presentation and disclosure of the University’s annual financial statements. (Repeat finding since 2011)

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 (avg. 80% complete)

Comments: The Office of the Controller has adopted a technology and the staffing of open positions to remediate the audit finding. This includes a low cost technology solution introduced in Q3 that streamlines the reporting process. The solution has shortened the timeframe for capturing, summarizing, and reporting unstructured data which has increased the time to perform data analytics to identify unusual trends as indicators of potential financial misstatements. The unit is nearing the end of its recruiting efforts whereby the selected candidate’s core competencies are more in line with operating activities of the unit. Lastly, training efforts to augment their knowledge of higher education reporting standards has taken place throughout the year.

The following corrective actions are required for full implementation of the audit recommendation: finalize recruitment efforts for technical staff level positions, develop and implement a campus-wide accounting training program, and procure financial and IT resources to maximize existing ERP opportunities that will streamline workflows, create process efficiencies, and reduce opportunities for human error.

Finding 2016-002: Inadequate Controls over Compensated Absences Data

Definition: University did not use accurate information to determine its year-end accrual for compensated absences. Auditor recommended the University improve its processes to account for accrued leave to ensure year-end balances are accurate.

Risk: Using inaccurate data to determine amounts recorded in the financial statements could cause the financials to be misstated.

Recommendation Status: Implemented (100% complete)

Comments: Human Resources Services has conducted a comprehensive review of the HR system reporting of compensated absences, updated procedures, and performed test runs necessary to ensure system inputs and all corresponding management reporting is accurate for fiscal year 2017.
**Finding 2016-003: Inadequate Internal Controls over Contracts**

**Definition:** University has not established adequate internal controls over contracts to ensure that they are approved prior to performance and comply with all applicable state requirements. Auditor recommended University implement appropriate procedures to ensure contracts are complete, are properly approved prior to performance, and supported with complete public procurement files.

**Risk:** Non-compliance with regulatory, legal, or policy requirements

**Recommendation Status:** Partially Implemented (avg. 80% complete)

**Comments:** The Office of the Procurement Services and Contract Managements 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 is currently vetting a new policy that elevates employee accountability and requiring upper management approvals before a payment is made in order to change existing operating behaviors.

The following corrective actions items are under development: enterprise-wide electronic workflow system design and implementation; a newly developed process that engages department, division, and VP on purchases prior to purchase order; new QBS contract policy that applies to architecture and engineering services to ensure complete evaluation material, and development of a plan/process to establish consolidation of spend among departments. These activities will be implemented as IT and staff resources are available.

**Finding 2016-004: Inadequate Control over Cash Receipts and Accounts Receivable Recording and Reporting Processes**

**Definition:** University did not exercise adequate control over its cash receipts and accounts receivable recording and reporting processes. Auditor recommended University strengthen controls over its cash receipts and accounts receivable processes to ensure the amounts owed to the University are properly recorded and reported and that payments are promptly deposited.

**Risk:** Not recording receivable and reporting inaccurate receivable numbers to the State can cause a misstatement in the University’s financial report and hinder useful analysis of receivable balances and collection periods. The untimely deposit of cash receipts increases the risk of loss and delays the usage of available funds.

**Recommendation Status:** Partially Implemented (avg. 90% complete)

**Comments:** The Office of the Bursar in collaboration with the Office of the Controller has constructed multiple pathways to remediate the audit finding that includes the retooling existing operating activities and revisions to existing operating procedures. These changes will provide a certain level of assurance that the quarterly accounts receivable report to the state is correct. In addition, written procedures related to cash receipts and deposits have been modified and is under review by senior management. The new procedure is scheduled for implementation in fiscal year 2018 and will require campus wide collaboration.
Finding 2016-005: Voucher Processing

Definition: University did not process certain expenditures accurately or in accordance with its own or State policies. Auditor recommended University improve controls to ensure expenditures are approved timely, are posted to the correct fiscal year, and vouchers are properly prepared to comply with State law.

Risk: Late approval of invoices, lack of required approvals, and paying for unnecessary expenditures could result in a loss of State funds. Recording expenditures in the incorrect fiscal year or account results in inaccurate financial statements.

Recommendation Status: Partially Implemented (avg. 75% complete)

Comments: The Office of the Controller has constructed multiple pathways to remediate the audit finding that includes the retooling existing operating activities, introducing new operating practices, the staffing of open positions coupled with on the job training. This includes the Accounts Payable department (AP) has instituted a more robust review of expenditures for appropriate documentation support, approvals, and business purpose validation before a payment is issued. The untimely response to AP’s review questions by the University wide community is escalated to the next level of management which has resulted in changed operating behaviors. Lastly, most of the open positions have been filled with individuals whose competencies are in line with operating activities of the unit.

Finding 2016-006: Non-compliance with Board of Higher Education Act

Definition: University did not submit the required separate, monthly report for July 2015 for adjudicated cases in which there was a finding of racial, ethnic, or religious intimidation or sexual harassment. Additionally, the University did not have a general educational requirement in place during the 2015-2016 school year that called for students to complete coursework on improving human relations before obtaining a degree. Auditor recommended the University implement controls to ensure reports are filed as required by the Act and update its graduation requirements to include the required coursework on improving human relations.

Risk: Non-compliance with regulatory requirements

Recommendation Status: Implemented (100% complete)

Comments: The Office of Human Resource Services has taken measures to organize around compliance with State reporting requirements to remediate the auditing finding that includes a system of employee cross training, and the retooling of existing operating practices.

The Office of the Provost has constructed multiple pathways to remediate the specifics of the audit finding. This includes the addition of class curriculum in accordance with the Human Diversity requirement followed with student communication about the new graduation curriculum requirements. Implementation will begin with incoming freshman and transfer students new to NIU in Fall 2018.
Finding 2016-007:  Non-compliance with Illinois Pension Code

Definition: University did not remit $29,686 of employer contributions to the System. Auditor recommended the University implement procedures to ensure amounts payable to the System are properly tracked and remitted to the System.

Risk: Non-compliance with the Code results in reduced contributions to the System and result in decreased earnings potential for the System.

Recommendation Status: Partially Complete (avg. 15% complete)

Comments: The Office of Human Resource Services (HR) in collaboration with the Offices of the Controller and Sponsored Projects (SP) has constructed multiple pathways to remediate the audit finding that includes the retooling of existing operating activities and the utilization of existing technology. The short-term solution, a manual driven process, includes the monitoring of payroll activity and communication of adjustments by SP to HR. As a long term solution, there are ongoing discussions about leveraging tools within the PeopleSoft ERP to systematically automate this activity. The long term solution is subject to human capital resources availability and conflicting priorities.

Finding 2016-008:  Non-compliance with FOIA and State Records Retention Acts

Definition: University did not fully respond to Freedom of Information Act requests and did not retain documents in accordance with the Records Retention Act and its own policies. Auditor recommended the University strengthen controls over its process of providing responses.

Risk: Non-compliance with State law and decreases the University's transparency.

Recommendation Status: Implemented (100% complete)

Comments: The FOIA Office has instituted a number of corrective actions to remediate the audit finding. This includes added human capital resources introducing oversight review controls. In addition, a technology solution has been introduced to assure compliance with existing record retention policy.

Finding 2016-009:  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 staff on official state business as contemplated by the Act.

Recommendation Status: Partially Implemented (avg. 50% complete)

Comments: Human Resources Services has completed a process design and technical solution to provide the infrastructure in support of faculty time reporting. However, implementation is on hold due to recent unionization of faculty which requires finalizing collective bargaining negotiations for full compliance from faculty.
**Finding 2016-010: Procurement Card Use**

**Definition:** University has not established adequate internal controls over procurement card transactions. Auditor recommended the University review its current process for reviewing and approving procurement card transactions and consider any changes necessary to ensure charges are made in accordance with the University’s policies and procedures.

**Risk:** Unnecessary use of University’s limited resources; may result in the University’s financials being misstated; inappropriate charges not being detected.

**Recommendation Status:** Partially Implemented (avg. 50% complete)

**Comments:** The Office of the Controller has constructed multiple pathways to remediate the audit finding that includes the retooling existing operating activities, introducing new operating practices, increase cross campus collaboration, and card holder training that takes a more holistic approach around compliance and fiscal management.

Once all open positions within the unit are filled, the next step is to institute a more robust review of supporting documentation, payment approvals, and account code classifications. The untimely response to review questions from the University wide community will be escalated to the next level of management in an effort to change operating behaviors.

**Finding 2016-011: Inadequate Controls over Property and Equipment**

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

**Risk:** University misreporting the assets it actually owns; misstatement of financial statements; increase risk that property and equipment will be misplaced or stolen.

**Recommendation Status:** Partially Implemented (avg. 90% complete)

**Comments:** Property Control has constructed multiple pathways addressing the issue of inadequate controls over property and equipment that includes retooling existing operating activities, revisions to existing operating procedures, new operating practices, and increased cross campus collaboration. The unit has incorporated into existing procedures an attestation statement from campus wide stakeholders as to the completeness of the physical inventory count under their purview.

In addition, procedures for equipment transfers and reporting of missing equipment inventories with appropriate leadership approvals has been developed as a measure for tracking performance and accountability. These procedures are under senior leadership review.
Finding 2016-012: Non-compliance with Higher Education Veterans Services Act

**Definition:** University did not fully comply with the Higher Education Veterans Service. Auditor recommended the University submit the fiscal impact report to the Illinois Board of Higher Education in compliance with the Act.

**Risk:** Failure to comply with the Act.

**Recommendation Status:** Implemented (100% complete)

**Comments:** The fiscal impact report due in September 2016 for fiscal year 2017 was submitted late due to a leadership change within the Office of Military and Post-Traditional Student Services that occurred shortly before this report due date. However, the new director has fully implemented corrective actions to ensure staff are assigned and trained to complete the fiscal impact report by its due date beginning in fiscal year 2018.
CONFLICT OF INTEREST TRAINING

A Power Point presentation will be given at the meeting.
STATE BUDGET UPDATE

Summary:

On July 6, 2017, the Illinois General Assembly and Senate overrode gubernatorial vetoes of three bills (Senate Bill 6: FY17 Budget; Senate Bill 9: Budget Economic Stabilization Act; and Senate Bill 42: Budget Implementation Act). Those actions provided NIU with its first fully funded budget since FY15. For NIU, the spending bill provides:

- Retroactive funding (roughly $43 million) that will allow NIU to meet outstanding obligations from FY17.
- Retroactive funding to reimburse NIU for the funds credited to student accounts to cover grants awarded through the Monetary Assistance Program (MAP) in FY17.
- Funding for FY18 MAP grants.
- Capital Development Board funding (roughly $16 million) that should allow for completion of the Stevens Building project.
- Operating capital for FY18 at a level 10 percent below our allocation in FY15 (roughly $82 million).

While helpful, NIU has still had to absorb a funding shortfall of roughly $65 million between FY15 and FY17 and will receive roughly $9 million less in FY18 compared to FY15 (see Table 1 below).

Table 1: State Appropriations for NIU Operations, FY08-FY18

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>State Appropriations, in millions</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008</td>
<td>105.9</td>
</tr>
<tr>
<td>2009</td>
<td>107.4</td>
</tr>
<tr>
<td>2010</td>
<td>107.4</td>
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<tr>
<td>2011</td>
<td>100.7</td>
</tr>
<tr>
<td>2012</td>
<td>99.6</td>
</tr>
<tr>
<td>2013</td>
<td>93.5</td>
</tr>
<tr>
<td>2014</td>
<td>93.4</td>
</tr>
<tr>
<td>2015</td>
<td>91.1</td>
</tr>
<tr>
<td>2016</td>
<td>26.4</td>
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<tr>
<td>2017</td>
<td>91.1</td>
</tr>
<tr>
<td>2018</td>
<td>82.0</td>
</tr>
</tbody>
</table>

Given the current political environment in the state, it is likely that a similar budget battle will take place regarding FY19.
Table 2 provides general revenue fund and educational assistance fund appropriations for all Illinois public universities. As the table makes clear, all public universities received roughly a 10 percent budget cut in FY18 from FY15. Table 2:

Illinois Public Universities Higher Education Budget, FY15-FY18 (in millions of $)

<table>
<thead>
<tr>
<th>University</th>
<th>FY15</th>
<th>FY16</th>
<th>June Stop Gap</th>
<th>Allocation of $20 million</th>
<th>Senate Bill 6 for FY17</th>
<th>FY18</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chicago State University</td>
<td>36.3</td>
<td>20.1</td>
<td>12.6</td>
<td>3.0</td>
<td>23.7</td>
<td>32.7</td>
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<td>Eastern Illinois University</td>
<td>43.0</td>
<td>12.5</td>
<td>26.2</td>
<td>5.6</td>
<td>16.8</td>
<td>38.7</td>
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<td>Governors State University</td>
<td>24.1</td>
<td>7.0</td>
<td>12.8</td>
<td>11.3</td>
<td>21.7</td>
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<td>Illinois State University</td>
<td>72.2</td>
<td>20.9</td>
<td>38.3</td>
<td>33.9</td>
<td>65.0</td>
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<td>Northwestern Illinois University</td>
<td>36.9</td>
<td>10.7</td>
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<td>17.3</td>
<td>33.2</td>
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<td>Northern Illinois University</td>
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<td>48.3</td>
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<td>Western Illinois University</td>
<td>51.4</td>
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<td>46.3</td>
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<td>Southern Illinois University</td>
<td>200.0</td>
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<td>178.5</td>
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<td>University of Illinois</td>
<td>647.2</td>
<td>180.1</td>
<td>350.6</td>
<td>299.8</td>
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<tr>
<td>Totals</td>
<td>1,201.8</td>
<td>350.1</td>
<td>645.9</td>
<td>17.0</td>
<td>559.2</td>
<td>1,080.5</td>
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</table>
FEDERAL RELATIONS REPORT

This report covers the period of May through July 2017.

The Administration

On Tuesday, May 23\textsuperscript{rd}, President Trump released his $4.1 trillion Fiscal Year 2018 (FY18) budget request, called the President's Budget Request (PBR). The proposal details funding levels for federal agencies and their programs, signaling President Trump's priorities for the next year and setting the tone for FY18 negotiations with Congress leading up to the start of the fiscal year on October 1\textsuperscript{st}. Calling for cuts that would significantly impact our portfolio, the FY18 PBR is generally not favorable for NIU priorities in science, education, the arts and humanities, and several other areas.

The Trump Administration is primarily focusing on big picture issues (e.g. immigration, healthcare) and, for the most part, is still defining and clarifying its positions on these broad topics. NIU Federal Relations is closely monitoring and engaging with appropriate campus units as needed. Similarly, most agencies where NIU has equities are either laying low and executing business as usual or they are not focused on issues pertaining to higher education. An exception is the Department of Education where Acting Assistant Education Secretary for Civil Rights Candice Jackson signaled her intent to 'reorient’ a number of the policies and practices of the Office of Civil Rights for Title IX investigations.

Congress

This quarter, Congress primarily focused on non-higher education legislation. Both chambers held hearings on campus free speech policies and the costs of higher education and scientific research, although legislation has yet to follow these hearings. There is not expected to be much higher education-specific legislative activity for the remainder of 2017, leaving a full calendar for 2018: Higher Education Act reauthorization, renewing the annual increase to the maximum Pell grant award, and reauthorizing the Perkins loan program, to name a few pending issues.

Congress continues to work on the twelve FY2018 appropriations bills. The House and Senate are developing their bills with different top-line spending values which will make it more difficult to reach agreement in the fall. The House Appropriations Committee has passed all twelve of their bills and the Senate Appropriations Committee has passed three. It remains unclear how FY2018 appropriations will proceed. House leadership indicated they do not have the votes necessary to pass most appropriations bills, President Trump has not indicated how he will react to an appropriations package that rejects much of the PBR, and the Senate is proceeding as though a budget deal will materialize to raise the discretionary spending caps that were set back in 2011. For the most part, House and Senate Appropriators have rejected the Administration’s proposals for substantial cuts to research accounts, with many being held at or near current levels and NIH receiving a substantial increase. Significantly, the House bill includes language to prevent President Trump’s proposed 10% cap to Facilities and Administrative (F&A) reimbursement rates for the National Institutes of Health (NIH).
Federal Engagement with NIU

Recent and upcoming federal visitors to NIU include:

- **May 12: Senator Tammy Duckworth.** Senator Duckworth met with President Freeman, Provost McCord, Vice President Blazey, and other campus leaders. She also was the keynote speaker at the NIU ROTC commissioning ceremony, marking the 25th anniversary of her commissioning as an officer in the NIU-ROTC program.

- **August 1: Congressman Adam Kinzinger.** Congressman Kinzinger is meeting with President Freeman, Provost McCord, Senior Associate VP Edghill-Walden, the DeKalb Chamber of Commerce, and the Mayor of DeKalb.

- **August 1: Congressman Randy Hultgren.** Congressman Hultgren is meeting with Trustee Wasowicz and leaders of the NIU-IDEAL Industries Intrapreneurship Program, NIU-EIGERlab, and College of Business to discuss NIU’s support of regional entrepreneurship and innovation, on the occasion of Startup Day Across America, a congressional day of action that Congressman Hultgren co-chairs.

During state Fiscal Year 2017 (IL-FY17), the Office of Federal Relations continued to support strong relationships between campus and the federal government and to represent NIU in Washington, DC. Ongoing activities that were maintained in IL-FY17 include student, faculty, and administrator meetings with congressional staff and members of Congress both on campus and in Washington, DC; faculty and administrator meetings with federal agency officials in Washington, DC; and the Director of Federal Relations represented NIU to a diverse array of federal government officials and stakeholders.

New engagements this year include laying the foundation for hosting a congressional reception in March 2018 and participating in increased federal government relations activity with the Mid-American Conference (MAC). In January 2017, Dr. Anna Quider, the Director of Federal Relations, was elected Vice President of The Science Coalition, a national nonprofit that promotes strong federal support for university-conducted basic research. She also became an ex-officio member of the Executive Committee of the APLU Council on Research where she advises senior research officers on federal government policy and strategy.
SPONSORED PROGRAMS ADMINISTRATION

Through the work of 112 NIU faculty and staff, the University received 307 sponsored funding awards totaling $25.9 million for FY 2017 (Figure 1). Research funding is up 11% over FY 2016 at $9.7 million. The overall reduction in funding is mainly due to the University’s decision not to renew a large ($1.6 million) ongoing State of Illinois program and changes in the State’s funding schedule for the Illinois Interactive Report Card. The reduction in these programs can be seen in the decrease in instructional funding.

Figure 1

The College of Liberal Arts and Sciences received over half of the university’s total sponsored funding (see Table 1 below) for the year. The Division of Outreach, Engagement, and Regional Development continues to receive external funding to promote NIU’s service and engagement mission.

Table 1

<table>
<thead>
<tr>
<th>COLLEGE/UNIT</th>
<th>FY 2014</th>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business</td>
<td>1,916,291</td>
<td>1,239,582</td>
<td>1,337,433</td>
<td>1,280,000</td>
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<td>Education</td>
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<td>3,074,937</td>
<td>1,651,836</td>
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<td>Engineering and Engineering Technology</td>
<td>3,301,032</td>
<td>2,948,968</td>
<td>1,270,012</td>
<td>1,040,649</td>
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<td>Health and Human Sciences</td>
<td>122,059</td>
<td>770,090</td>
<td>710,995</td>
<td>1,061,556</td>
</tr>
<tr>
<td>Law</td>
<td></td>
<td></td>
<td>509,050</td>
<td></td>
</tr>
<tr>
<td>Liberal Arts and Sciences</td>
<td>11,697,053</td>
<td>13,912,323</td>
<td>11,383,805</td>
<td>14,958,920</td>
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<tr>
<td>Other Academic Units</td>
<td>3,731,125</td>
<td>3,277,050</td>
<td>2,526,037</td>
<td>2,815,161</td>
</tr>
<tr>
<td>Other University Units</td>
<td>120,000</td>
<td>19,139</td>
<td>36,527</td>
<td>10,000</td>
</tr>
<tr>
<td>Outreach, Engagement, and Regional Development</td>
<td>13,724,204</td>
<td>4,621,545</td>
<td>8,663,927</td>
<td>3,458,615</td>
</tr>
<tr>
<td>Visual and Performing Arts</td>
<td>69,450</td>
<td>46,206</td>
<td>8,000</td>
<td>73,670</td>
</tr>
<tr>
<td>Total</td>
<td>37,086,399</td>
<td>29,909,840</td>
<td>28,097,622</td>
<td>25,955,090</td>
</tr>
</tbody>
</table>
In the Colleges of Engineering and Engineering Technology and Health and Human Sciences, research funding accounted for most of their new sponsored dollars. Other Academic Units securing research funding include the Division of Research and Innovation Partnerships, Provost's Office, and Library. In the College of Liberal Arts and Sciences, research accounted for almost half of their total funding with these top performing departments: Biological Sciences, Chemistry and Biochemistry, Computer Science, Physics, and Psychology. Table 2 below includes a breakdown of research funding by College/Division.

Table 2

<table>
<thead>
<tr>
<th></th>
<th>FY 2014</th>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liberal Arts and Sciences</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Math &amp; Physical Sciences</td>
<td>5,018,459</td>
<td>3,974,162</td>
<td>4,207,576</td>
<td>5,081,365</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>925,518</td>
<td>1,204,994</td>
<td>882,235</td>
<td>1,002,206</td>
</tr>
<tr>
<td>Business</td>
<td>132,291</td>
<td>224,582</td>
<td>4,933</td>
<td>-</td>
</tr>
<tr>
<td>Education</td>
<td>202,415</td>
<td>303,833</td>
<td>78,181</td>
<td>48,714</td>
</tr>
<tr>
<td>Engineering &amp; Engineering Technology</td>
<td>2,093,663</td>
<td>2,563,161</td>
<td>839,085</td>
<td>822,449</td>
</tr>
<tr>
<td>Health &amp; Human Sciences</td>
<td>15,239</td>
<td>614,303</td>
<td>672,913</td>
<td>754,917</td>
</tr>
<tr>
<td>Visual &amp; Performing Arts</td>
<td>50,400</td>
<td>-</td>
<td>-</td>
<td>45,550</td>
</tr>
<tr>
<td>Outreach, Engagament, and Regional Development</td>
<td>17,796</td>
<td>170,655</td>
<td>27,501</td>
<td>250,667</td>
</tr>
<tr>
<td>Other Academic Units</td>
<td>501,156</td>
<td>4,657,165</td>
<td>2,063,120</td>
<td>1,696,366</td>
</tr>
<tr>
<td>Total Research Funding</td>
<td>8,956,937</td>
<td>13,712,855</td>
<td>8,775,544</td>
<td>9,702,234</td>
</tr>
</tbody>
</table>

NIU's funding portfolio continues to be consistent with previous years and aligns with the activities carried out under these awards (Figure 2). The Federal government is the largest funder of institutional research awards while most funding for Other Sponsored Activities (e.g. Public Service) reflects the ongoing service programs NIU provides on behalf of the State of Illinois. The presence of Corporate Support for Instructional Activities is for university provided contract courses and corporate funded internship programs.
STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS (SWOT) ANALYSIS FOR RESEARCH AND INNOVATION

As a student-centered, research-focused university, NIU requires strong and competitive programs in research and innovation. High quality research and innovation programs help recruit and retain students and faculty, both of which will become increasingly important as competition for students increases. Analysis of NIU's research and innovation program strengths, weakness, opportunities and threats (a SWOT analysis) provides an initial framework for evaluating the potential for future research and innovation at NIU. This first-pass analysis was undertaken only by the Division of Research and Innovation Partnerships (RIPS) and would benefit from broader participation.

For the purposes of this SWOT analysis, strengths are defined as positive attributes, tangible and intangible, internal to NIU and within the institution's control. Future programs should fully leverage these strengths. Weaknesses are defined as circumstances that detract from NIU's value proposition or place the institution at a competitive disadvantage. Steps are required to mitigate these circumstances to maintain or grow the research and innovation programs. Opportunities are external factors which, when leveraged, have the potential to enhance programs at NIU. The fourth and final component of the SWOT analysis, threats, are external factors beyond institutional control that place research and innovations programs at risk. Contingency programs are appropriate for these threats.

Broadly speaking our primary institutional strengths are associated with our faculty and their efforts, numerous programs to engage our students, and administrative efforts to coordinate and leverage resources and services. Our enthusiastic, nationally and internationally recognized faculty are NIU's foremost strength in research and innovation. These faculty act singly and in teams, as teams they have built many excellent programs with strong public and external interest. These programs encompass, but are not limited to, Southeast Asian studies, the study of family violence, environmental studies, advanced manufacturing, physics, nonprofit and NGO studies, and entrepreneurial programs. There are a great number of strong student engagement and outreach programs, especially in the Office of Student Engagement and Experiential Learning and the Division of Outreach, Engagement and Regional Development. Over the past few years, the administration has taken steps to "break down the silos" through a renewed commitment to collaborate across units and through coordination of faculty hires and startup between the Provost, colleges, and RIPS. The administration has also invested in comprehensive institutional support of grants and contracts, intellectual property, and a strong federal presence in Washington, D.C. A summary of strengths can be found in the concluding table.

An overview of weaknesses would include a developing culture of research and innovation, a lack of graduate programs in key areas, and a broad lack of resources. NIU has a developing and uneven institutional culture and vision as a research and innovation university. Two key symptoms of this developing culture are a lack of sustained mentorship across the university and uneven unit support for research and innovation. Strategic growth for research and innovation is seriously impeded by the limited number of doctoral programs. Two areas in which this is keenly felt are computer science and engineering. These disciplines are both well-funded federally and corporately and are of significant importance to the DOE laboratory system. Unfortunately, without terminal programs in these two disciplines we are unable to fully compete for external funding or more broadly leverage NIU's relationships with the national labs. A systemic lack of resources restricts research and innovation across the university as reflected in aging
instrumentation and laboratory infrastructure, limited professional development, outdated research administration infrastructure, limited expertise in research administration, and limited resources to initiate a comprehensive program in innovation. A summary of weaknesses can be found in the concluding table.

At the risk of an oversimplification, the institution’s opportunities are largely related to our location in northern Illinois. New university and city of DeKalb leadership offers a promising opportunity; regional research and innovation could greatly benefit from joint strategic planning and leveraging of resources. Key, high-potential programs in chemistry, computer science, engineering, and physics will benefit from expanded collaboration with the two, nearby national laboratories. The laboratory opportunity is coupled with NIU’s status as the largest public regional university in northern Illinois. Chicago, as a hot-bed of entrepreneurship and innovation offers a wide array of expertise and resources to foster innovation at NIU. The Chicagoland region also has an immense alumni base to support initiatives. The changing student demographics in northern Illinois offers the institution an opportunity to recruit and serve a very diverse and highly motivated population. Finally, because of changing environmental and economic conditions and NIU’s distinction as the leading regional institution, northern Illinois offers excellent programmatic opportunities in environmental stewardship and manufacturing. A summary of opportunities can be found in the concluding table.

**Threats** faced by the research and innovation program at NIU are varied with origins at the local, state, and national levels. A leading threat to the institutional portfolio is the diminishing level of state and federal funding for research. The threat has origins in both decreasing appropriations and shifting programs and priorities. The former engenders increasing competition with other institutions and the latter a disconnect between established and future areas of expertise. Related to diminishing financial support is a lack of public confidence, which manifests itself in several ways such as doubt over institutional ability to support research and innovation or reduced ability to recruit and retain high quality faculty and graduate students. More generally, external recruitment of research faculty and staff represents a constant threat to the institution. Research institutions, especially those in Chicago, with greater resources and deeper programs, are often an appealing destination for our most successful faculty and staff. The deep expertise offered by the research highest institutions also presents a threat with respect to competition for corporate sponsorships. Although listed as an opportunity, the proximity of Chicago and the associated intense competition also stands as a threat to our innovation and entrepreneurship programs. Likewise, changing student demographics offers both an opportunity and a threat, the latter because of the changing characteristics of competition with other institutions. A summary of threats can be found in the concluding table.

Through partnerships with the Provost, divisions, colleges, and departments, RIPS is actively working to capitalize on institutional strengths and opportunities while trying to correct our weaknesses and mitigate threats. We are making significant progress; however, our primary threats, best summarized as limited resources, impede our ability to be fully responsive.
SWOT Analysis
(Adapted from Bplans "What is a SWOT Analysis" http://articles.bplans.com/how-to-perform-swot-analysis/)

Scope: NIU’s scholarship and innovation potential

<table>
<thead>
<tr>
<th><strong>Strengths</strong> - Positive attributes, tangible and intangible, internal to NIU, within institutional control.</th>
<th><strong>Weaknesses</strong> - Aspects of NIU that detract from value proposition or lead to a competitive disadvantage.</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Enthusiastic nationally and internationally recognized faculty</td>
<td>• Developing institutional research culture</td>
</tr>
<tr>
<td>• Home for several strong programs of public interest (physics, southeast Asian studies, family violence, environmental studies, advanced manufacturing, nonprofit/NGO studies, entrepreneurship)</td>
<td>• Developing vision for innovation and corporate engagement</td>
</tr>
<tr>
<td>• Strong student engagement and outreach programs (OSEEL, OERD)</td>
<td>• Inconsistent mentorship &amp; unit support for faculty research and innovation (e.g. release time)</td>
</tr>
<tr>
<td>• Renewed commitment to collaboration across administrative units, attempts to vent silos</td>
<td>• Limited number of Ph.D. programs (CS, Engineering)</td>
</tr>
<tr>
<td>• Recent institutional intentionality of faculty hires between Provost/Colleges/RIPS and coordination of investments (e.g. startups)</td>
<td>• Aging instrumentation &amp; laboratory infrastructure</td>
</tr>
<tr>
<td>• Comprehensive contract/grant and intellectual property support</td>
<td>• Limited professional development support for faculty (travel, seed funding)</td>
</tr>
<tr>
<td>• Strong DC presence</td>
<td>• Outdated research administration infrastructure (software and systems)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Opportunities</strong> - External positive factors that provide potential for NIU to grow as a research university.</th>
<th><strong>Threats</strong> - External factors beyond institutional control that place institutional strategy and programs at risk.</th>
</tr>
</thead>
<tbody>
<tr>
<td>• New university and city leadership</td>
<td>• Diminishing state and federal funding for research and programs (both appropriations and program specific)</td>
</tr>
<tr>
<td>• Highly regarded and expanding collaborations with national labs that can grow key programs (Chemistry, Computing, Engineering, Physics)</td>
<td>• Shifting political/program priorities</td>
</tr>
<tr>
<td>• Closest competition for other research universities is roughly two hours away, no other large regional universities, stake our claim northern IL</td>
<td>• Lack of public confidence</td>
</tr>
<tr>
<td>• Innovation and entrepreneurship and proximity to Chicago</td>
<td>• External recruitment of NIU faculty &amp; staff</td>
</tr>
<tr>
<td>• Strong NIU alumni base in Chicagoland area</td>
<td>• Difficulty attracting experienced research administration and other staff due to location &amp; competition with Chicago schools</td>
</tr>
<tr>
<td>• Changing student demographics</td>
<td>• Competition with research highest institutions for corporate partnerships</td>
</tr>
<tr>
<td>• Growing need for environmental stewardship and manufacturing</td>
<td>• Innovation and entrepreneurship and proximity to Chicago</td>
</tr>
<tr>
<td></td>
<td>• Changing student demographics</td>
</tr>
</tbody>
</table>
CHICAGO-BASED OFFICE LEASES FOR THE EDUCATION SYSTEMS CENTER AND COLLEGE OF BUSINESS MBA PROGRAMS

Summary: Two leases commenced on August 16, 2016 with Madison RE, LLC consolidating NIU’s presence in Chicago for the Education Systems Center, part of the Division of Outreach, Engagement and Regional Development, and two College of Business masters programs. Originally anticipated to be below $250K each for the two 4.5 year leases, it was recently discovered that utility payment provisions in the leases may cause the total payments to this lessor to accumulate to over $250K for each lease. The Education Systems lease could amount to a total cost of about $260K, and the College of Business lease could amount to a total cost of about $265K.

Background: Both programs require a presence in Chicago and the resulting leases consolidate a NIU footprint in the downtown area (105 W. Madison) to allow the functions to leverage shared spaces for the most efficient leasing arrangement. The Education Systems operation has been operating in Chicago since its inception in 2012 and interacts with Chicago-based state officials, advocacy organizations, and non-profits to develop and implement education-related legislation, apply for federal grants to promote educational initiatives, and administer education and workforce development programs. Funding for this program has come from direct revenues consisting of philanthropic, state agencies, and federal grant support. Sufficient funding exists from these sources to support this leasing agreement.

The College of Business offers two programs from this location, a MBA and Master of Science in Financial Risk Management (MS FRM). Both programs target working professionals at a location where they can optimize their time between professional and personal lives. Attracting quality students into these programs is highly competitive as students look beyond the curricular aspects of the program when making a decision. A strategic vision for the College of Business is to deepen connections with businesses and alums in Chicago and the location offers an excellent platform to reach out to these constituents.

Funding:
Institutional – Local Funds
Education Systems: 41 FN17260 $260,000 total for FY17-FY21 (approx. $58K annually)
College of Business: 41 GA17098 $265,000 total for FY17-FY21 (approx. $59K annually)

Recommendation: The University requests Board of Trustee approval to continue the leases supporting the Education Systems and College of Business programs in downtown Chicago at the respective authorization levels of $260,000 and $265,000.
ALLIED HEALTH AND COMMUNICATIVE DISORDERS


This research will assess the effectiveness of Google Glass in teaching components of the LSVT BIG protocol, to increase amplitude of limb and body movement in people with Parkinson's Disease.

ANTHROPOLOGY


This research project will examine genetic diversity among populations of Callimico (Goeldi’s monkeys) and Cebuella (pygmy marmoset) in the western Amazon basin.


This project is a workshop for Bolivian Biology students to be held in La Paz, Bolivia and for the training of one Bolivian student at the Primate Molecular Ecology and Evolution Lab (PMEEL), University of Austin, Texas.


This project will investigate early patterns of human migration and colonization in the Americas, adaptation to extreme high-altitude environments, and foundations of inter-zonal connections in the Andes.


The purpose of this project is to ensure the Clean Water Act permitting program in Illinois is enforced, water monitoring on tributaries to the Mississippi River is carried out, and the organization Illinois Citizens for Clean Air and Water is sustained.

BIOLOGICAL SCIENCES


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

The purpose of the project is to provide field data collection and reporting as an assessment of the presence of fauna species in multiple forest preserves throughout Lake County.


The goal of this study is to understand how bison and other management techniques influence nest density, nest survivorship, and species composition.


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

**CAMPUS CHILD CARE**


This proposal would fund opening an additional classroom for infants and toddlers at Campus Child Care.

**CENTER FOR CHILD WELFARE AND EDUCATION**

Illinois Department of Children and Family Services for "FY17 Educational Access Project." Angela Baron-Jeffrey. Award: $43,072.00. (Cumulative $1,208,227.00). July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Public Service.

The purpose of this project is to promote academic success for every child who is a ward of the Illinois Department of Children and Family Services and children who have been adopted or are in subsidized citizenship.

**CENTER FOR GOVERNMENTAL STUDIES**


Lake County for "Sales and Service Agreement." Diana L. Robinson. Award: $22,500.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Whiteside County Economic Development for "Sales and Service Agreement." Diana L. Robinson. Award: $3,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.
Village of Shabbona for "Sales and Service Agreement." Diana L. Robinson. Award: $11,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Rockford Regional Health Council for "Sales and Service Agreement." Diana L. Robinson. Award: $15,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


DeKalb County for "Sales and Service Agreement." Diana L. Robinson. Award: $20,229.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Harper College for "Sales and Service Agreement." Diana L. Robinson. Award: $10,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Midwest Leadership Academy for "Sales and Service Agreement." Diana L. Robinson. Award: $9,725.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Oakton Community College for "Sales and Service Agreement." Diana L. Robinson. Award: $8,500.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Wisconsin City/County Management Association for "Sales and Service Agreement." Diana L. Robinson. Award: $54,922.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Martin Hill for "Sales and Service Agreement." Diana L. Robinson. Award: $17,050.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


City of Park Ridge for "Sales and Service Agreement." Diana L. Robinson. Award: $9,850.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Illinois Municipal League for "Sales and Service Agreement." Diana L. Robinson. Award: $8,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.
Special Education District of Lake County (SEDOL) for "Sales and Service Agreement." Diana L. Robinson. Award: $4,950.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

City of Elmhurst for "Sales and Service Agreement." Diana L. Robinson. Award: $9,480.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Elgin Community College for "Sales and Service Agreement." Diana L. Robinson. Award: $8,500.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


City of Batavia for "Sales and Service Agreement." Diana L. Robinson. Award: $9,800.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Schaumburg Fire Department for "Sales and Service Agreement." Diana L. Robinson. Award: $15,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

City of Sandwich for "Sales and Service Agreement." Diana L. Robinson. Award: $4,050.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Huntley Area Public Library District for "Sales and Service Agreement Diana L. Robinson. Award: $8,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


South Suburban Mayors and Managers Association for "Sales and Service Agreement." Diana L. Robinson. Award: $2,825.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

Stephenson County for "Sales and Service Agreement." Diana L. Robinson. Award: $9,350.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

City of DeKalb for "Sales and Service Agreement." Diana L. Robinson. Award: $9,800.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

McHenry County College for "Sales and Service Agreement." Diana L. Robinson. Award: $8,500.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Illinois City/County Management Association for "Sales and Service Agreement." Diana L. Robinson. Award: $153,125.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.


Kane County Health Department for "Sales and Service Agreement." Diana L. Robinson. Award: $10,800.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

DeKalb County Mental Health Board for "Sales and Service Agreement." Diana L. Robinson. Award: $5,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

City of Chicago for "Sales and Service Agreement." Diana L. Robinson. Award: $2,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


Indiana University for "Sales and Service Agreement." Diana L. Robinson. Award: $1,000.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.

DuPage County Health Department for "Sales and Service Agreement." Diana L. Robinson. Award: $4,775.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


City of Peoria for "Sales and Service Agreement." Diana L. Robinson. Award: $9,950.00. July 1, 2016 - June 30, 2017. (Other Sponsored Activities) Other.


CENTER FOR SOUTHEAST ASIAN STUDIES


Sixty students from Southeast Asian nations will engage in learning activities on thematic topics: (1) Access and Equity, (2) Green Technology and Economic Growth, and (3) Securing ASEAN's Future.


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

CHEMISTRY AND BIOCHEMISTRY


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

COLLEGE OF BUSINESS, DEAN'S OFFICE


Xerox Care Integration Services for "Executive MBA Contract Courses." Ann Carrel Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.


Oracle Corporation for "Executive MBA Contract Courses." Ann Carrel Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.
Fiat Chrysler Automobile for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Baxter International, Inc. for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Wells Lamont LLC for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

ATI Physical Therapy for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Trustmark Insurance for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Rand McNally for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

OrthoIllinois for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

HNTB Corporation for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Gold Eagle for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Fresenius Medical Care for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Corrosion Monitoring Services, Inc. for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

CitiBank for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Alligatortek for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Gri Engineering & Development, LLC for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

AT&T for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Wiss, Janney, Elstner Associates, Inc. for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Equipment Depot for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Xerox Corporation for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.
Village of Glenview for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Tate & Lyle for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Southern Wine & Spirits for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Pentair, Inc. for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Mitsuboshi Belting Ltd. for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Midwest Bone & Joint Institute for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Levenfeld Pearlstein, LLC for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Auto Truck Group for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Jewel-Osco for "Experiential Learning Center Corporate Project." Ann Carrel
Award: $10,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Elkay Manufacturing for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Hyster Corporation for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Kerry Group for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Pearson, PLC for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Valspar Corporation for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Advantage Bearing Technologies for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

CareerBuilder for "Executive MBA Contract Courses." Ann Carrel
Award: $35,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Linde Gas for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

PricewaterhouseCoopers for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.
RTS Packaging LLC for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Universal Health Services for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

University of Illinois at Chicago for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Astellas Pharma Global Development for "Executive MBA Contract Courses." Ann Carrel
Award: $25,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Discover Financial Services for "Executive MBA Contract Courses." Ann Carrel
Award: $50,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Scot Forge for "Experiential Learning Center Corporate Project." Joan Petros.
Award: $10,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Caterpillar, Inc. for "Experiential Learning Center Corporate Project." Joan Petros.
Award: $10,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

AbbVie Inc. for "Experiential Learning Center Corporate Project." Joan Petros.
Award: $10,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Medline Industries for "Experiential Learning Center Corporation Project." Joan Petros.
Award: $20,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Parent Petroleum for "Experiential Learning Center Corporate Project." Joan Petros.
Award: $10,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

**COLLEGE OF EDUCATION, DEAN'S OFFICE**

Award: $399,917.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

College of Lake County for "Contract Courses." Laurie A. Elish-Piper.
Award: $34,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Award: $138,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Award: $54,546.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Award: $40,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Miaoli County Government Education Department, Taiwan for "Open Imagination Project." Terry E. Borg.
Award: $53,671.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Miaoli County Government Education Department, Taiwan for "Educate Global Taiwan." Terry E. Borg.
Award: $20,025.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.
COLLEGE OF ENGINEERING & ENGINEERING TECH, DEAN'S OFFICE

Navistar Inc. for "Contract Courses." Mansour Tahernezhadi.  
Award: $85,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

COLLEGE OF HEALTH AND HUMAN SCIENCES, DEAN'S OFFICE

Illinois Department of Public Health for "Illinois Behavioral Risk Factor Surveillance System (IL-BRFSS)."  

The major goal of this project is to collect and process data for the Illinois Behavioral Risk Factor Surveillance System in service to the Illinois Department of Public Health.


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


NIU will work with Northwestern to conduct interventions in 35 small medical practices in northern Illinois designed to improve the use of health information technology in order to improve practice quality and enhance patient-centered approaches to care.

COLLEGE OF VISUAL AND PERFORMING ARTS, DEAN'S OFFICE

Illinois Comprehensive Musicianship Through Performance for "Contract Courses." Paul D. Bauer  
Award: $18,500.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

COMPUTER SCIENCE


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

ENGINEERING TECHNOLOGY


The goal is to increase the number of college graduates with renewable energy and power engineering knowledge and skills in order to create a sufficient workforce for the future.

This project will offer Nestle an energy audit, outlining potential energy efficiency measures and their potential savings.

ENGLISH


The PI will write Jefferson's Muslim Fugitives, a book centering on President Thomas Jefferson's receipt of Arabic writings by Muslim slaves and his attempts to interpret the writings and free their authors from American captivity.

GEOGRAPHIC AND ATMOSPHERIC SCIENCES


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

GEOLOGY AND ENVIRONMENTAL GEOSCIENCES


To produce reconstructions of past precipitation amounts across the dry coordinator of Central America to serve as predictive tools for future forecasting by exploring the associations between ocean-atmosphere dynamics and rainfall over the region.

INDUSTRIAL AND SYSTEMS ENGINEERING


This project analyzes the DeKalb Nestle facility for potential areas of improvement, including product movement within the facility, demand and forecasting analysis, and facility layout.


Northwestern Medicine for "Senior Design Project - Increasing Throughput in the PTC." Purushothaman Damodaran. Award: $2,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.
Aurora Specialty Textiles Group, Inc. for "Senior Design Project - Minimizing Defects Identified in Canvas Produced on Range 1." Purushothaman Damodaran. Award: $7,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.

Woodward, Inc. for "Senior Design Project - Verifying the Usage of Torque Drivers in Assembly at Woodward." Purushothaman Damodaran. Award: $7,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.


The primary objective for this project is to aid the company to develop a quality management system with an ultimate goal of getting the ISO 13485 certification.


Aurora Metals Division, LLC for "Senior Design Project: Reducing Late Orders." Purushothaman Damodaran. Award: $6,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.


Daubert Chemical Company, Inc. for "Senior Design Project - Raw Inventory Control and Reorder Point Assessment." Purushothaman Damodaran. Award: $7,000.00. July 1, 2016 - June 30, 2017. (Instructional Programs) Instructional Programs.


The primary objective for this project is to aid the company to develop a quality management system with an ultimate goal of getting the ISO 13485 certification.


INTERNATIONAL STUDENT AND FACULTY OFFICE

This program brings the incoming Fulbright student scholars to NIU for a week-long orientation to the Fulbright Program and to U.S. higher education.

KINESIOLOGY AND PHYSICAL EDUCATION


Funds will be used to purchase cross-curricular teaching materials to help enhance the KNPE & LEED program.

LEADERSHIP, EDUCATIONAL PSYCHOLOGY AND FOUNDATIONS


The goals for this project include expanding understanding of how practices employed in the delivery of Informal Stem Learning (ISL) activities are associated with cultivating youth interest and engagement and using these findings to inform practice.


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

MECHANICAL ENGINEERING


NIU will assess the structural impact of sandblasting on painted truss structures.

MUSIC


This award will be used to purchase new music stands and rehearsal chairs for NIU and Community choirs using the NIU choral rehearsal space.

NORTHERN PUBLIC RADIO


Funds are being used to support high quality public programming.

OUTREACH, ENGAGEMENT, AND REGIONAL DEVELOPMENT, VP

Award: $24,999.00. February 1, 2017 - December 31, 2017. (Other Sponsored Activities) Public Service.

NIU will provide technical assistance and professional development on curriculum alignment and transitional math pathways through support and facilitation of the state's transitional math panel and Technical Math Committee.


This project aims to promote student readiness for college. NIU will provide technical assistance and professional development on curriculum alignment and transitional math pathways via support and facilitation of the state's transitional math panel.

PHILOSOPHY


Funds will support the PI to write a book about scientific realism and quantum mechanics.

PHYSICS


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


The major goal is to search for the coherent neutrino-less conversion of muons to electrons in the presence of a nucleus, and aims to achieve sensitivity of about 2 x 10^-17 on the muon-to-electron rate.


Funds are requested to investigate the atomic-scale surface structure and dynamics during growth.


Funds are requested to simulate the models for both the long-range longitudinal and transverse wakefields using FAST-linac facility in Fermilab.

Department of Energy for "R&D toward a proof-of-principle experiment on optical stochastic cooling at the Fermilab's IOTA ring." Philippe R. Piot. Award: $70,000.00. (Cumulative $210,000.00). May 1, 2017 - April 30, 2018. (Organized Research) Basic Research.

The main goal of the proposed research is to finalize the design of a proof-of-principle experiment on optical
stochastic cooling to be carried at a compact storage ring in construction at Fermilab.


The purpose of this project is to study the effects of local lattice distortions and short-range correlations on the unusual physical properties of novel materials, such as iron based superconductors and relaxor ferroelectrics.


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


Funds are requested to investigate integrable nonlinear dynamics with self forces in intense beams with the goal of developing highest power neutrino beams probing the frontier of particle physics.


The proposed project aims to use the newly discovered Higgs boson as a probe of the validity of the Standard Model (SM) of particle physics.

National Science Foundation for "Using the Higgs boson to probe and test the Standard Model at ATLAS." Jahred Adelman. Award: $139,534.00. (Cumulative $419,995.00). July 1, 2016 - June 30, 2017. (Organized Research) Basic Research.

The proposed project aims to use the newly discovered Higgs boson as a probe of the validity of the Standard Model (SM) of particle physics.


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


The NIU's Beam Physics group will participate in the beam-dynamics simulation and optimization necessary to demonstrate the possible use of patterned cathode to coherent and multi-color light sources.
**POLITICAL SCIENCE**


Funds will support travel to the Midwest Political Science Association meeting in April 2017.


Examination of public, private and personal documents will be used to perform an assessment of decision-making from World War I to Iraq to determine if norms or power concerns are acting as the primary motivator in using unconventional weapons.

**PRECOLLEGIATE PROGRAMS**


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

**PSYCHOLOGY**

Kreider Services, Inc. for "Graduate Psychology Externship at Kreider Services." Leslie Matuszewich/Laura D. Pittman. Award: $18,700.00. (Cumulative $149,380.00). July 1, 2017 - June 30, 2018. (Instructional Programs) Instructional Programs.

Funds will be used to support a psychology department graduate extern and faculty supervisor at Kreider Services.

DeKalb County Court Services for "Psychology Externship at DeKalb County Court Services." Leslie Matuszewich/Alan Rosenbaum. Award: $21,408.00. (Cumulative $128,448.00). July 1, 2017 - June 30, 2018. (Instructional Programs) Instructional Programs.

Funds will be used to support a psychology graduate externship at DeKalb County Court Services.


The project will identify unique risk factors for poor mental health among bisexual women and provide data necessary to inform future intervention and prevention efforts among this population of women.


Funds will be used to support a psychology graduate extern and clinical supervisor at Sheltered Village.

**REGIONAL DEVELOPMENT INSTITUTE**

**UNIVERSITY LIBRARIES**


NIU Libraries will develop and deliver a series of two-day institutes enabling librarians and archivists from medium-sized and smaller organizations to build skills necessary for the curation and preservation of digital collections.


This is a collaborative project to increase engagement between Myanmar and US academic libraries by providing advanced training for Myanmar academic librarians.
### SUMMARY OF GRANT/CONTRACT AWARDS

*Office of Sponsored Projects – Fiscal Year 2017
April 1, 2017 – June 30, 2017*

<table>
<thead>
<tr>
<th>DOLLARS AWARDED BY SOURCE</th>
<th>Fiscal Year 2017</th>
</tr>
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<tr>
<td></td>
<td>This Report</td>
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<tr>
<td>Federal Government</td>
<td>4,181,007</td>
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<tr>
<td>State of Illinois</td>
<td>440,860</td>
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<td>Corporate</td>
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<td>Public/Not for Profit</td>
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### DOLLARS AWARDED BY PURPOSE

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<tr>
<td>Instruction</td>
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<td>Research</td>
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<td>Public Service</td>
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<td>Other Sponsored Activities*</td>
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### DOLLARS AWARDED BY COLLEGE

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<th>College</th>
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<tbody>
<tr>
<td>College of Business</td>
<td>1,280,000</td>
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<tr>
<td>College of Education</td>
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<td>College of Engineering and Engineering Technology</td>
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<tr>
<td>College of Health and Human Sciences</td>
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<tr>
<td>College of Law</td>
<td>0</td>
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<tr>
<td>College of Liberal Arts and Sciences</td>
<td>2,850,222</td>
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<tr>
<td>College of Visual and Performing Arts</td>
<td>20,500</td>
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<tr>
<td>Outreach, Engagement, and Information Technologies</td>
<td>1,769,152</td>
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<td>Other Academic Units</td>
<td>394,497</td>
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<td>Other University Units</td>
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<td><strong>Total</strong></td>
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### STUDENT FINANCIAL AID

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<tbody>
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Agenda Item 9.a.
September 14, 2017

PROPOSED BYLAW CHANGES FOR STANDING COMMITTEES

Objective: Per the directives and input of the Board Chair and the President, the CARL Committee is putting forth a proposal to amend the Bylaws of the Board of Trustees regarding the Board’s committee structure and operations. These changes are intended to promote efficiency, streamlining and consolidation of topics that come before committees. Specifically:

- These Bylaw changes will establish four standing committees of the Board:
  - The Executive Committee
  - The Academic Affairs, Student Affairs, and Personnel Committee
  - The Research and Innovation, Legal and Legislative Affairs Committee
  - The Finance, Audit, Compliance, Facilities, and Operations Committee

- The subjects of governance and enrollment will be incorporated into the Executive Committee and Academic Affairs, Student Affairs, and Personnel Committee, respectively, thereby concluding the work of the Ad Hoc Committees on Governance and Enrollment, but continuing the Board’s focus on these important areas.

- The Executive Committee will retain its power to act on behalf of the Board in particular situations; and will also provide the full Board its advice and counsel pertaining to Board governance matters, University vision and priorities, and presidential goals and performance review. Such advice and counsel will assist the Board in the exercise of its responsibilities related to these matters; going forward, recommendations for consideration by the full Board may originate in the Executive Committee and be forwarded to the full Board for consideration and/or action. The Committee also expressly commits to giving due consideration to participants in the shared governance process; monitoring University activity related to goals, priorities and benchmarks; and informing the full Board of major issues, actions and needs of the University pertaining to such matters.

- The Academic Affairs, Student Affairs, and Personnel Committee will retain its focus on all areas previously within its purview, and will assume responsibility for the continuation of the Board’s focus on enrollment (recruitment and retention), and add to its portfolio the newly aligned marketing and communications functions. The Committee will also attend to matters concerning the University’s programming and commitments in the area of diversity, equity and inclusion. Other areas traditionally considered by the Committee are identified to provide clarity.

- Board consideration of the University’s audit, compliance, and risk management functions will be incorporated into the Committee that has traditionally focused on finance, facilities, and operations, establishing a new Finance, Audit, Compliance, Facilities, and Operations Committee. Related attention will be paid by the Committee to information technology and public safety. This alignment of areas is consistent with developments affecting these areas. Moreover, a streamlined mandate for the Committee in the areas of audit, compliance, and risk management offers a clear and accessible signal of the Board’s continued commitment to these matters.

- The Research and Innovation, Legal and Legislative Affairs Committee will retain the Board’s focus on the resources and assets, and achievements, of NIU as a national research university, and continue the Board’s attention to state and federal governmental activities that have implications...
for University operations. A related focus on legal affairs will provide a committee setting to discuss emerging legal issues and, if appropriate, specific legal matters that may be of interest to Board members.

- Several additional edits are proposed to achieve consistency between the descriptions of each committee, and improve clarity.

Per Article X of the Board Bylaws:

*Bylaws of the Board of Trustees may be amended at any regular meeting of the Board by six (6) affirmative votes of the Members of the full Board, provided that notice of the intention to amend the Bylaws shall have been presented in writing at the regular or special meeting immediately preceding. Such notice shall provide so far as possible the exact wording of the amendment proposed.*

A copy of the exact wording of the amendments proposed is attached.

**Recommendation/Status:** The Compliance, Audit, Risk Management and Legal Affairs Committee (CARL) endorsed this request on August 17, 2017. The proposed bylaw amendments were approved at a first reading by the Board of Trustees at a Special Meeting on August 17, 2017. The request for changes for standing committees are forwarded to the Board of Trustees by means of the Chair’s Report for approval at its meeting on September 14, 2017.
SECTION 1. Executive Committee

A. Purpose

The Executive Committee shall have as its purpose to act on behalf of the Board; and to discuss and offer counsel on University operations as needed; and provide the full Board its advice and counsel pertaining to Board governance matters, University vision and priorities, and presidential goals and performance review.

B. Membership

The Executive Committee shall be comprised of the Board Chair, the Board Vice Chair, Board Secretary, the Board delegate to the State Universities Civil Service Merit Board, and a Member of the Board elected by the Board. If there is a vacancy in the membership of the Committee (for example, the Board delegate to the State Universities Civil Service Merit Board also serves as the Board Chair, the Board Vice Chair, or the Board Secretary), then the Board Chair shall appoint other members of the Board to fill the vacancy in order to maintain a membership of five on the Committee. The President shall be a nonvoting member of the Committee. The Board Chair shall preside during meetings of the Committee.

C. Meetings

The Executive Committee shall meet upon the request of the Board Chair, the President, or any three of the members of the Committee. A quorum is established by the physical presence of three (3) members of the Committee and the affirmative vote of three members is necessary to adopt any motion, resolution or ordinance, unless a greater number is otherwise required by law, Board Legislation, or applicable University policy.

D. Powers and Duties

The Executive Committee may discuss and act upon all matters pertaining to the Board of Trustees and Northern Illinois University between meetings of the Board except amendments to Board Bylaws and policies of the Board. The Executive Committee shall act on behalf of the Board on matters expressly designated for consideration by the Committee, routine matters that require Board action between regular Board meetings, in an existing or impending emergency, or on other matters when specifically requested to do so by the full Board. At any time, the full Board has the authority take up any matter expressly designated for consideration by the Committee.

The Committee’s shall have the power to make final determinations as to matters of the Board of Trustees, provided its acts shall not conflict with action taken by the Board.
Regardless of any public notice, the Board Chair shall provide the Board written notice of any proposed actions that, if adopted, will constitute a final determination at an Executive Committee meeting as soon as practicable but no less than three (3) business days prior to the meeting date with a description of any and all items being considered for final determination at the planned meeting. If circumstances dictate that notice cannot be provided within 3 business days, notice shall be provided as soon as practicable.

If, following the Board Chair’s notice, two (2) or more members of the Board object to a matter being considered by the Committee for final determination, any action on the matter shall be postponed until it can be added to the agenda of a meeting of the full Board. Members of the Board issuing such objection must do so in written form no later than twenty-four hours prior to the planned start of the meeting, addressed to the Board Chair and the Board Liaison. An objection may be retracted in written form any time prior to the start of the meeting. If objections render the meeting of the Committee no longer necessary, the Board Chair shall notify the Board as soon as practicable that the meeting has been cancelled. The Board Chair shall notify the Board of any decision of the Committee within twenty-four hours of its making. Actions of the Committee normally shall also be reported to the full Board at the next meeting of the Board and entered in the minutes of that meeting. The ability of Board members to object to consideration of matters by the Committee shall only apply to matters being considered by the Committee for final determination.

Concerning governance matters, the Committee shall assist the Board in the exercise of its responsibilities under Article X of these Bylaws and its consideration of proposals from Board members, the University, and other stakeholders. The Committee shall also give due consideration to participants in the shared governance process, as appropriate, and inform the full Board of major issues, actions and needs of the University pertaining to such matters. Recommendations of new provisions or amendments to these Bylaws and related Board and University regulations and policies shall be forwarded to the full Board for consideration and/or action.

Concerning University vision and priorities, and presidential goals and performance review, the Committee shall provide the full Board its advice and counsel, and perform planning and information gathering, intended to assist the Board in the exercise of its responsibilities under Article VI, Sections 2 and 3 of these Bylaws and contemplated by Section II, B, 7 of the Regulations of the Board of Trustees. The Committee shall also give due consideration to participants in the shared governance process; monitor University activity related to goals, priorities and benchmarks; and inform the full Board of major issues, actions and needs of the University pertaining to such matters. Recommendations affecting the approval of University vision and priorities, presidential goals and performance reviews shall be forwarded to the full Board for consideration and/or action.

The Committee may at any time schedule or move into closed session to discuss matters allowed under the Illinois Open Meetings Act or other applicable law. All such meetings shall be confidential and closed to the public.

SECTION 2. Academic Affairs, Student Affairs and Personnel Committee
A. Purpose

The Academic Affairs, Student Affairs and Personnel Committee shall have as its purpose to review Board level policy concerns and transactions, and provide the full Board its advice and counsel, related to academic programs; student affairs; and personnel administration; diversity, equity and inclusion; and enrollment management, marketing, and communications and to provide the full Board its advice and counsel relative to such matters. Such matters shall include, but not be limited to, recommendations for program changes, recruitment and retention, faculty promotion and tenure, sabbaticals, and appointments of vice presidents and deans.

B. Membership

The Academic Affairs, Student Affairs and Personnel Committee shall be comprised of a minimum of six (6) voting Members of the Board, including the student Member, selected by the Board Chair and the student Member. The Board Chair, the President and the Provost shall serve as ex officio members, the first being able to vote and the second and third without vote. The Board Chair shall designate one member of the Committee to serve as its Chair and may designate another member to serve as Vice Chair. The Provost President shall designate a staff liaison to the Committee and shall provide the Committee such additional staff assistance as needed.

C. Meetings

The Academic Affairs, Student Affairs and Personnel Committee shall meet at the request of the President, the Provost, the Board Chair, the staff liaison, or the Chair of the Committee. Committee meetings will be scheduled so as to facilitate timely review of matters under consideration by the Board.

The Committee may at any time schedule or move into closed session to discuss matters allowed under the Illinois Open Meetings Act or other applicable law. All such meetings shall be confidential and closed to the public.

Section 3. Compliance, Audit, Risk Management and Legal Affairs Committee

A. Purpose

1. The Committee shall oversee adherence to laws, regulations, and policies that pertain to University operations and approve compliance-related goals, priorities and benchmarks.

2. The Committee shall consider, report or recommend to the Board on matters pertaining to compliance, risk management oversight and legal issues.

3. The Committee shall provide oversight for the legal functions of the University and for the Office of the Vice President and General Counsel.

4. The Committee shall provide oversight for the compliance and audit functions of the University and for the University Ethics Officer.

5. It is not the duty of the Committee or its members, individually or collectively, to ensure adherence to laws, regulations and policies; to
represent the University in legal matters; to provide legal advice; to perform the legal or compliance functions of the University; to conduct legal or other investigations; to initiate or defend litigation; or otherwise to undertake the roles, responsibilities or functions of the General Counsel, the Ethics Officer, the Internal Auditor and Compliance Officer or others who have responsibilities for the management of the University.

B. Composition and Structure

1. The Committee on Compliance, Audit, Risk Management and Legal Affairs shall consist of a minimum of four (4) voting Members of the Board selected by the Chair. The Board Chair and the President shall serve as members, the first being able to vote and the second without voting powers. The Board Chair shall designate one member of the Committee to serve as its Chair and may designate another member to serve as Vice Chair. The President shall designate staff liaison(s) to the Committee as described in Section D,2 below, and shall provide the Committee such additional staff assistance as needed.

2. The Committee will seek consultation from representative constituent groups as appropriate in the exercise of its responsibilities.

C. Meetings

1. The Committee on Compliance, Audit, Risk Management and Legal Affairs shall meet at the request of the President, the Chair of the Committee, or the staff liaison. Committee meetings will be scheduled so as to facilitate the timely review of matters under consideration by the Board.

2. The Committee is a Standing Committee of the Board and shall follow Board rules for a quorum, voting, and minutes.

3. The Committee may at any time schedule or move into a seminar or conference session or meeting to discuss litigation or other matters protected by the attorney-client privilege or other legal protections. All such meetings shall be confidential, privileged and closed to the public.

4. At the request of any Committee member or the General Counsel, and at least once annually, the Committee shall meet privately with the General Counsel to discuss any matter that the Committee or the General Counsel believes should be discussed privately. If outside counsel has been retained to represent the Board separately from the General Counsel—for example, in the case of a conflict of interest or special investigation—then the Committee shall meet privately with such outside counsel as appropriate.

D. Authority and Responsibility

1. The Committee shall coordinate with other Board committees as appropriate, including, specifically, the Committee on Legislative and External Affairs.

2. The Vice President and General Counsel, the Executive Vice President for
Business and Finance (Administration) or Compliance Officer, the Director of Risk Management, and the Ethics Officer shall staff the Committee. These four individuals shall also coordinate their activities as necessary and appropriate, and shall report to the Committee on matters within the purview of the Committee.

3. The following is a partial but not exclusive list of legal subject matter areas which may be brought to the Committee for discussion and oversight, or which the Committee may ask to review. This list is intended to be illustrative and is included here to help define the scope of the legal and compliance functions of the University. Most of these matters fall in whole or in part within the oversight purview of other committees of the Board.

The scope of this Committee's review and oversight will be limited to the legal, ethical, risk management and compliance issues.

a. Threatened or pending litigation involving the University;
b. Legal aspects of compliance issues (e.g., research compliance; financial aid; export controls; health, safety and environment; etc.);
c. Employment litigation;
d. Substantial administrative agency complaints;
e. Substantial government inquiries and investigations; f. Material conflicts of interest;
g. Material campus safety and security;
h. Student conduct and other legal issues affecting students; i. Mandatory reporting requirements;
j. Clery Act reporting;
k. Enterprise Risk Management;
l. Intellectual property (e.g., patents, copyright, trademark) concerns; m. NCAA Compliance;
n. Significant settlement agreements.

E. Role and Mission of the Office of the Vice President and General Counsel

1. The Office of the Vice President and General Counsel provides legal counsel and representation to Northern Illinois University and all of its schools and colleges, divisions, units, affiliates and related entities on the broad range of legal matters affecting the University. The General Counsel's Office serves the University Board of Trustees, the President, officers, administrators, faculty and staff in their official capacities. The General Counsel's Office is also responsible for hiring and managing outside counsel to represent the University.

2. The mission of the Office is to provide the highest quality legal services to the University in a responsible, constructive and timely manner; to protect and promote the mission and values of the University, including compliance with its obligations and protection and promotion of its interests; to minimize legal risks and costs; and to address and resolve legal disputes.

3. Consistent with the mission and best interests of the University, including its
duties to follow the law and meet its obligations to the public, governments and third parties, the lawyers in the General Counsel’s Office strive to be problem solvers; to engage in strategic thinking with the University decision makers; to defend the interests of the University and its constituents; to protect and promote integrity and ethical conduct; to practice preventive law; and to assist the University’s Board of Trustees, President, officers, faculty and staff to accomplish their institutional objectives.

4. In undertaking the work of the Office, the Vice President and General Counsel will coordinate with other University officials, including the President, the Internal Audit Director, the Ethics Officer, and the Compliance Officer, as necessary and appropriate.

F. Reporting Obligations of the General Counsel

1. The legal and ethical reporting obligations of the General Counsel and the other attorneys in the Office of the Vice President and General Counsel are determined by the Illinois Supreme Court and American Bar Association Rules of Professional Conduct (Rules of Conduct). These requirements include that the General Counsel and the other lawyers in the Office employed by the University represent the organization acting through its duly authorized constituents. The lawyers in the Office represent the University through authorized individuals and constituents acting in their official capacities on behalf of the organization.

2. Subject to the legal and ethical obligations of the professional standards, the General Counsel reports to the President of the University for administrative purposes and also to the Board of Trustees which is the highest constituent authority within the organization.

3. Consistent with the Bylaws and University Personnel Policies and Procedures, the appointment and removal of the Vice President and General Counsel shall be made by the President subject to approval by the Board of Trustees.

G. Role and Mission of the University Ethics Officer

1. NIU is charged with maintaining an ethical environment for university employees and participants of the campus community. As an institutional standard, all faculty, students, and administrators are expected to act in an ethical manner. We hold the members of our University to the highest standards, and expect honesty and integrity in all issues. NIU strictly abides by the State Officials and Employees Ethics Act, and the Illinois Governmental Ethics Act. Anyone who violates applicable ethics requirements in their professional capacities as state employees may face significant consequences.

2. Each University and every state agency has an Ethics Officer. Responsibilities of the Ethics Officer include: developing and administering annual ethics training; reviewing the Statement of Economic Interests forms for officers and certain other employees; and providing guidance on interpretation and implementation of the State Officials and Employees Ethics Act, and the
Illinois Governmental Ethics Act. Interpretation of ethics requirements is based on court decisions, Attorney General opinions, and the findings and opinions of the Executive Ethics Commission. Ethics Officer work products are exempt from Freedom of Information Act (FOIA) requests.

3. The Ethics Officer provides guidance in helping university employees and participants of the campus community comply with all state wide ethics standards. The Ethics Officer and Ethics investigators often determine whether or not to conduct investigations into allegations of ethical wrongdoing. The Ethics Officer also serves as a repository for Whistleblower complaints, and retaliation for Whistleblowing complaints. The Ethics Act, the Whistleblower Act, and University policy protect employees who, in good faith, report or threaten to report an act or omission they believe to be a violation of law, policy, or procedure. Under the Ethics Act, retaliatory action is defined as reprimand, discharge, suspension, demotion, or denial of promotion or transfer, or change in the terms or conditions of employment of any State employee, which is taken in retaliation for involvement in protected activity. Individuals who take retaliatory action against whistle blowers are subject to disciplinary action up to and including discharge by the University, in addition to potential administrative action by the Executive Ethics Commission.

H. Reporting Obligations of the Ethics Officer

1. The Ethics Officer reports directly to the University President. The Ethics Officer also serves as the liaison between the University, the appropriate Inspector General and the Illinois Executive Ethics Commission. The Executive Ethics Commission is composed of nine appointed commissioners, each serving a four-year term. The Commission’s duties include, but are not limited to: conducting administrative hearings on alleged violations of the Ethics Act, providing guidance to Ethics Officers, and overseeing ethics training for all employees of the executive branch of state government.

2. For University employees, the Office of Executive Inspector General for the Agencies of the Illinois Governor (OEIG) serves as the Executive Inspector General. This position is appointed by the Governor of the State of Illinois for a term of five years. Established in 2003, the OEIG is an independent state agency. Its primary function is to investigate fraud, abuse, and violations of laws, rules, and policies in governmental entities. The OEIG also has responsibility for investigating alleged violations by those doing business with entities under its jurisdiction.

I. Roles and Mission of the Internal Audit Department

1. The Fiscal Control and Internal Auditing Act (30 ILCS 10) requires each State agency to maintain a full-time program of internal auditing. The Internal Audit Department provides both assurance audits and consulting services. As required by the Fiscal Control and Internal Auditing Act (FCIAA), the Internal Audit Director reports directly to the President and shall have direct communications with the university’s go
The Internal Audit Director and all full-time members of the internal audit staff shall be free of all operational duties.

2. The mission of the Internal Audit Department is to provide independent and objective assurance and consulting services to assist the Board of Trustees and University management in the effective discharge of their oversight, management, and operating responsibilities. Internal auditing is based on an objective assessment of evidence. It uses a systematic, disciplined approach to evaluate and recommend improvements to the risk management, internal control, and governance processes.

3. With the concurrence of the President and the Board of Trustees and in accordance with the Fiscal Control and Internal Auditing Act, the internal audit department is authorized to review and evaluate policies, procedures, and practices of any University activity, program, or function. This authority provides for full access to all records, properties, and personnel relevant to the subject under review.

4. FCIAA created the State Internal Audit Advisory Board, which established professional standards and a code of ethics to which all State internal auditors must adhere. All audits shall be conducted in compliance with the general and specific standards of the "International Standards for the Professional Practice of Internal Auditing" published by the Institute of Internal Auditors, or where required, in accordance with government auditing standards published by the U.S. Government Accountability Office. The professional conduct of persons involved in internal audit operations shall be based on the ethical standards adopted by the Institute of Internal Auditors, "IIA Code of Ethics and Standards of Conduct."

5. The Internal Audit Director shall have, in addition to all other powers or duties authorized by law, required by professional ethics or standards, or assigned consistent with the FCIAA, the powers necessary to carry out the duties required by this act.

6. Public Act 97-1055, the Financial Reporting Standards Board Act, signed by Governor Quinn in August 2012, requires the internal auditor of every state agency that submits a GAAP package to complete and submit to the Financial Reporting Standards Board an annual audit of its GAAP package and financial statement preparation process.

I. Reporting Obligations of the Internal Audit Director

1. The reporting obligations of the Director and other internal auditors in the department are determined by the Fiscal Control and Internal Auditing Act, standards promulgated by the Institute of Internal Auditors, and the Financial Reporting Standards Board Act, as well as university and departmental policies and procedures.

2. Consistent with the Fiscal Control and Internal Auditing Act, the Internal Audit Director is appointed by the President and will serve a five-year term. The Internal Audit Director may be removed only for cause after a hearing before the Executive Ethics Commission concerning the removal. Further, the annual salary of the Internal Audit Director cannot be diminished during
the term of appointment.

3. The Internal Audit Director is required to have a two-year audit plan, approved by the chief executive officer before the beginning of the fiscal year. The Internal Audit Director is to ensure that audits of major systems of internal accounting and administrative control are conducted on a periodic basis so that all major systems are reviewed at least once every two years. By September 30 of each year, the Internal Audit Director must submit a written report detailing how the audit plan for that year was carried out.

Section 43. Legislative Affairs, Research and Innovation, Legal and Legislative Affairs Committee

A. Purpose

The Legislative Affairs, Research and Innovation, Legal and Legislative Affairs Committee shall have as its purpose to review Board level policy concerns and transactions, and to provide the full Board its advice and counsel, related to research, and artistry, and innovation; technology transfer and economic engagement; legal affairs; and shall monitor pending state and federal legislation, administrative agency activity, and changing statutory or policy regulations at the state and federal levels that impact University interests.

B. Membership

The Legislative Affairs, Research and Innovation, Legal and Legislative Affairs Committee shall be comprised of a minimum of four (4) voting Members of the Board selected by the Board Chair. The Board Chair, the President and the Vice President for Research and Innovation Partnerships shall serve as ex officio members, the first being able to vote and the second and third without voting powers. The Board Chair shall designate one member of the Committee to serve as its Chair and may designate another member to serve as Vice Chair. The President shall designate a staff liaison to the Committee and shall provide the Committee such additional staff assistance as needed.

C. Meetings

The Legislative Affairs, Research and Innovation, Legal and Legislative Affairs Committee shall meet at the request of the President, the Vice President for Research and Innovation Partnerships, the Board Chair, the staff liaison, or the Chair of the Committee. Committee meetings will be scheduled so as to facilitate the timely review of matters under consideration by the Board.

The Committee may at any time schedule or move into closed session to discuss litigation or other matters protected by the attorney-client privilege or other legal protections, or as otherwise allowed under the Illinois Open Meetings Act or other applicable law. All such meetings shall be confidential and closed to the public.
Section 54. Finance, Audit, Compliance, Facilities, and Operations Committee

A. Purpose

The Finance, Audit, Compliance, Facilities, and Operations Committee shall have as its purpose to review Board level policy concerns and transactions, and to provide the full Board its advice and counsel, related to financial affairs, physical facilities and operations, compliance, risk management, and audit functions of the University and to provide the full Board its advice and counsel relative to such matters. Such matters shall include the University’s information technology and public safety functions.

Concerning compliance, risk management, and audit specifically, the Committee shall oversee University programs, mechanisms and entities responsible for adherence to laws, regulations, and policies that pertain to University operations and approve compliance related goals, priorities and benchmarks; consider, report or recommend to the Board on matters pertaining to compliance, risk management oversight, and internal controls and procedures intended to deter and prevent wrongful conduct; facilitate communication with the Internal Audit Director to assist in the effective discharge of audit functions; and engage, as appropriate, the University Ethics Officer. The Committee shall also serve as a repository for complaints registered directly with the Board Chair under the provisions of the Board of Trustee’s Whistleblower Policy, or through other direct communication with Members of the Board. The Committee shall coordinate with other Board committees as appropriate; monitor University activity related to goals, priorities and benchmarks; and inform the full Board of major issues, actions and needs of the University pertaining to such matters.

B. Membership

The Finance, Audit, Compliance, Facilities, and Operations Committee shall be comprised of a minimum of five voting Members of the Board selected by the Board Chair. The Board Chair, and the President, and the Board Treasurer shall serve as members, the first being able to vote and the second and third without voting powers. The Board Chair shall designate one member of the Committee to serve as its Chair and may designate another member to serve as Vice Chair. The President shall designate a staff liaison to the Committee and shall provide such additional staff assistance as needed.

C. Meetings

The Finance, Audit, Compliance, Facilities, and Operations Committee shall meet at the request of the President, the Board Chair, the staff liaison, or the Chair of the Committee. Committee meetings will be scheduled so as to facilitate timely review of matters under consideration by the Board.

The Committee may at any time schedule or move into closed session to discuss matters allowed under the Illinois Open Meetings Act or other applicable law. All such meetings shall be confidential and closed to the public.
SECTION 65. Ad Hoc Committees

Special purpose or ad hoc committees may be established by the Board either at the discretion of the Board Chair or on motion properly put and approved by the Board. Such committees shall remain in existence only so long as warranted by their assigned purpose or charge. Their operations shall be consistent with state laws on open meetings and applicable Board Bylaws, policies and Regulations.
RESOLUTION

SOLIDARY SUPPORT FROM THE BOARD OF TRUSTEES
OF NORTHERN ILLINOIS UNIVERSITY REGARDING THE DEFERRED ACTION FOR
CHILDHOOD ARRIVALS (DACA) PROGRAM

WHEREAS, the Deferred Action for Childhood Arrivals (DACA) program was established in 2012 and
allowed those who immigrated to the United States as children younger than the age of 16 prior to 2007,
to remain in the country and obtain work permits on a renewable basis if they met a series of criteria;

WHEREAS, on Tuesday, September 5, 2017, President Trump initiated an executive order to end DACA,
affecting the lives of more than 800,000 immigrants; and

WHEREAS, the State of Illinois has joined at least 15 other states in challenging the recent federal
legislation that serves to overturn the protection measures of the DACA program; and

WHEREAS, Northern Illinois University (NIU) Acting President Lisa Freeman has issued a clear and swift
response of commitment of continued support to all NIU students and their educational pursuits, as well
as employees, regardless of their immigration status; and

WHEREAS, NIU proactively fosters an inclusive culture for all – including more than 200 undocumented
students, who are seeking a path to citizenship as well as economic and societal stability; and

WHEREAS, NIU is taking a transparent position of solidarity in standing with our undocumented students
and employees, in vowing to continue to offer resources and forums to address the inevitable repercussions
of the White House actions to rescind DACA,

THEREFORE, BE IT RESOLVED that the Board of Trustees of Northern Illinois University supports
legislative actions to create a pathway for citizenship for DACA participants; and we strongly encourage all
local, state and national citizens to support our position of solidarity;

BE IT FURTHER RESOLVED that this RESOLUTION be sent to Illinois lawmakers 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 testament of the voice of this body, which believes
in due process rights for all and the tenets of the United States Constitution.

Adopted in a regular meeting assembled this 14th day of September, 2017.

BOARD OF TRUSTEES OF
NORTHERN ILLINOIS UNIVERSITY

Wheeler G. Coleman
Chair

John R. Butler
Secretary
DREAM ACTION NIU

DACA/DREAM Action NIU students Yeon Woo Kim and Laura Vivaldo Cholula will speak at the meeting.