

Minutes of the  
**NIU Board of Trustees**  
**Legislative Affairs, Research and Innovation Committee**  
**February 16, 2017**

**CALL TO ORDER AND ROLL CALL**

The meeting was called to order at 9:04 a.m. by Committee Chair Barsema in the Board of Trustees Room, 315 Altgeld Hall. Recording Secretary Cathy Craddock conducted a roll call. Members present were Trustee Matthew Holmes, Trustee Timothy Struthers, Trustee Eric Wasowicz, and Committee Chair Trustee Dennis Barsema. Also present Trustee John Butler, Trustee Veronica Herrero, Trustee Wheeler Coleman, Board Parliamentarian Greg Brady, President Doug Baker, and Interim Vice President for Research Gerald C. Blazey. Trustee Robert Boey was not present.

**VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING**

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

**MEETING AGENDA APPROVAL**

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

**REVIEW AND APPROVAL OF MINUTES**

Chair Barsema asked for a motion to approve the minutes of November 17, 2016. Trustee Struthers moved and Trustee Holmes seconded the motion. The motion passed.

**CHAIR'S COMMENTS/ANNOUNCEMENTS**

Chair Barsema welcomed the UAC committee members including Dr. Long, Dr. Thu and Cathy Doederlein. Dr. Long spoke to the board and audience and said thank you for the opportunity to make a comment in support of sponsored projects administration and our overall goal of research and artistry. NIU is a research high-intensive university, the highest classification among universities in terms of expectations for activity and output. In addition, many professors are drawn to work in universities where the opportunity to further knowledge and products of research and artistry. Maintaining our research classification is paramount to bringing and retaining the best and brightest faculty to campus and I would ask the board to please show continued support for our mission to create and disseminate new knowledge at the university. Dr. Thu added that the university is doing a good job of getting our undergraduates involved in research through the Research Rookie program and other such activities that add to our research mission.

**PUBLIC COMMENT**

General Counsel Brady indicated that there was one request for public comment from Professor Virginia Naples.

Professor Naples began with good morning and welcome to the new members of the Board and also thank you for taking on this business opportunity in a very difficult and challenging time and also to say thank you to the continuing members of the board who are staying with us. I've been at Northern Illinois University, this is my 33<sup>rd</sup> year and I have never seen such challenging financial times as we are facing at the present. I appreciate that all of you are willing to either sign on board or to stay on board. I am Virginia Naples, a professor in Biological Sciences. I am an anatomist and a vertebrate paleontologist and that means I'm interested in history. What I'd like to talk to you about today has to do with some extent with research but also our teaching and creativity missions as well. This is the issue of the change in policies

about the ability to print from a local printer to instead consolidating printers into single or just a couple of locations within each academic building or somewhere else on campus. There are many problems facing this issue and one of the problems is that there were two committees that were investigating the possibilities of doing this; the Information Technology Planning Council and the Information Technology Steering Committee. They had very poor faculty representation with the first committee only one faculty member and the second committee only two. If you are looking for a consensus of a dozen or more people for a committee, a single individual or a couple of individual's voices are probably going to get lost in the process. And so the faculty as a whole feel as though they have not been included in this process. I should perhaps mention in addition to wearing the faculty hat which is the main reason why I'm coming to talk to you today, I'm also the President of the newly formed United Faculty Alliance the tenure and tenure-track faculty union. But this is an issue that transcends faculty issues and affects not only faculty but staff and students as well. I wanted to make sure that the opinions and the ideas of our faculty were presented to the board because I have been hearing from many, many people. And I will say universally that no one is satisfied with this policy. So some of the specific things is that there was a study made about the efficacy of changing printing policies, but from the data that I have read what happened is that they looked at only a small number of printers; one of which included a printer I believe located in the Campus Life building which was free and open for everyone to be able to print and so that was printing probably 24 hours a day/7 days a week as fast as it could possibly print. Other things that I have understood is that they only used a single faculty printer to look at the amount of material that was printed and the supposition was that we were going to save 30% on printing costs. Now I cannot speak for all faculty, but I can speak for those that have contacted me and all of us are very aware of environmental issues and we're very concerned about not wasting paper. As a biologist that's a very important thing for me, but it is also important to our other faculty. The other thing that has gone on to make faculty very unhappy is that the comment was made that making printing more inconvenient will reduce the likelihood that people will print. And granted you don't want to print lots of things and you don't want to waste paper, but there are times you just plain have to print something. One of the other problems that I've been looking at that people have raised to me is the fact that this is going to waste a tremendous amount of faculty time. This has not been I believe sufficiently looked at in this proposal. And I did a very rough back-of-the-envelope calculation and it probably suggest that faculty who are going to spend probably a minimum of 15 minutes a day out of their offices or their labs or their discussion sections or whatever waiting for printing or going to and from a printer. If you add up all of those people, and now my calculation was just based on the tenure and tenure-track faculty about 600 people not included staff, instructors or any other category, probably will be wasting about a million and a half dollars a year and that's just the fall and spring semesters, in lost time and productivity. There are also many security concerns. People have expressed that they are very upset about how are they going to handle a situation, especially counselors who have students in their offices if they need to go and print a document for that student they have to leave their office and what do they do? Do they leave the student in the office with a lot of confidential material? Granted most students are fine and trustworthy but you just don't always know. And if you then kick a student out of your office because you have to go and print something for them to come back and pick up, then other people wanting to meet with you or waiting to see you think that you're gone. That is going to be a negative impact that the students will see that the faculty are not caring about their needs. This is going to affect recruitment and retention enrollment of students as well as the difficulties faced by the faculty with more of their time being taken by a variety of things that are not necessarily directed toward executing the mission of teaching research and creativity on campus. It would be a little bit different if there were opportunities for secure things like exams being delivered online to large classes. We do not presently have that capability and an example was sent to me by another faculty member who teaches a very large class. It is necessary to print an exam for each of those students in the class and it must be done under secure circumstances. At present she prints those items in her office while she's doing other things and says it usually takes 40 – 45 minutes to print out enough of the pages for each of the students in the class. If she is required to go to a central printing location to wait for her print to come out she will be spending that 40 or 45 minutes plus transit time trying to get that exam printed. She went on to say that there are enough additional things that take her time for which there is not a duly valuable benefit received that this is just an additional burden. The idea of printing from home is something that was raised as a convenience, but because you do not initiate

the print until you get onto campus, that doesn't seem to make a lot of sense and I don't understand how it could be considered an efficiency. If I am writing a document for my class I may very well write it at home. Sometimes on the weekends, sometimes at 3 or 4 o'clock in the morning, but if I can't print it until I come to campus it doesn't really matter where I wrote it or when I wrote it. The other thing that has been a severe issue I have heard about is that people were told they could apply for liberal exemptions for situations where they really needed to have immediate access to a printer. Several people have told me those exemptions have been denied and people who have gotten those exemptions have said that the exemptions will be reexamined at some point in the future and they may not be continued. So this added together is a serious problem. I mentioned the about \$1.5 million as a very conservative estimate of faculty time that is being thrown away just walking back and forth and standing staring at printers and I ask you to think about that in contrast to what the I/T department claimed we will save is 500 to 800 thousand dollars a year. I'm asking if the Board will ask the I/T department to scrap this process or scrap this project or examine it far more closely or slow it down because the other thing that they have already said they will do is to take all the printers that are still functioning, still have toner and paper and no longer make use of those. It makes much more sense to use up the resources for which we have already invested the money before we go to any kind of a new system. Thank you.

Chair Barsema thanked Professor Naples for her comments.

## UNIVERSITY RECOMMENDATIONS/REPORT

### **Agenda Item 7.a. State Update**

Mike Mann greeted members of the committee and began by saying there was considerable amount of activity that occurred in Springfield yesterday and is occurring today and this week. Before I get to the state report I did want to recognize a student that we have here with us today. She is a transfer from the College of DuPage. As a student at the College of DuPage she was active in the Student Advisory Committee of the Board of Higher Education. She's currently serving as a student board member of the Illinois Board of Higher Education. Last week she and several of her peers braved the icy, snowy conditions on I-39 to attend the budget rally in Springfield. So Stephanie Torres is here with us today.

Now to the legislative report. I asked Cindy to show this slide first, but Cindy could you back up to the actual item? I want to mention something that actually is in your books. One of the things that you're all hearing a lot about lately is the Senate grand plan. This plan, the grand bargain, consists of 13 components and they're all listed in your item. Each item in itself is a highly debatable, could be even controversial topic. So just running through them real quick; Senate Bills 1 through 13 include education reform, an increase in the minimum wage, local government consolidation, borrowing to pay down debt. And on that topic I would just like to note that it's not a typo when it says that this would allow the state to borrow \$7 billion to pay down the backlog. That word down is correct. It's not pay off. Unfortunately this would not pay off the backlog. The backlog is currently about \$11 billion. SB5, CPS pension pickup, SB6 is the FY17 budget that would provide NIU as well as some other agencies funding for the second half of the current fiscal year. There's a gambling expansion pieces. There's a procurement reform piece. There's a tax portion that is clearly a very critical part of this grand plan. Not only is it a highly debated issue but the fiscal problems of the state cannot be solved by cutting along so any type of grand plan needs to include some sort of revenue piece. Local government borrowing, there's pension reform, workers comp, and a two-year property tax freeze. Those are the items. I wish they would have thrown in SB14, the kitchen sink, but you can see this is a very ambitious agenda and we'll see where it goes. Since the writing of this item there have already been several amendments to several of these bills to try to make them more palatable. The governor commented on a few of these items yesterday in his remarks. The house, particularly the speaker, has been fairly silent on most of these issues but more and more information is starting to leak out about what his likes or dislikes are on some of these topics. I think what I'd like to do next is Cindy if you could go to that PowerPoint slide. I'd like to talk a little bit about what has actually happened to our state appropriation over the past couple of years just to provide a little context and then give you an update on

the figure that was in the governor's budget yesterday. On the slide that I passed out this morning, you'll see that our final budget and state budget for operations in FY15 was \$91.1 million. The reason I refer to that is the final appropriations for FY15, we started the year with \$93 million and there as a two and a quarter percent rescission that occurred in the spring of 2015. In FY 2016, we received a stop-gap budget that consisted of merely \$26.4 million, a 71% increase. You'll see over to the right side that's a \$64.7 million deficit if you will if you want to compare that to that FY15 baseline figure. In FY17 year-to-date, we have received \$48.3 million which again that's a 47% decrease using that FY15 as a baseline. Again that's a \$42.8 million decrease compared to that base year. So prior to the announcement of the proposal for FY18 we have been quoting a figure of \$107.5 million is the amount we are down so to speak. Yesterday the governor's proposal he focused a little bit on education, but as I went through the details of the proposal, it was fairly clear that the recommendation for K12 was very strong. We had full funding for K12. Unfortunately for public universities, the proposed reduction is 15% which as you can see on the slide that for us that's a \$77.4 million budget. Again that's \$13.7 million less than that FY15 base. Potentially, without any additional funding for '17 and if we endure a 15% cut in FY18, that would be \$121.2 million decline compared to what we would have had with just a flat funding scenario. I would note that the recommendation for community colleges is similar, a 10% decrease. The other thing I would note and the governor's office points out, is that universities could improve that 15% decrease to potentially only a 10% decrease because the proposal provided a \$60 million pot of funds for performance funding through which public universities would be able to earn some of that loss back. Performance funding has been around for three or four years and has never been a significant portion of funding before and just because it's in the governor's proposal does not mean it will make its way into the General Assembly's budget, but that's the proposal for now. The other thing I'd like to talk about is Table 2 which also got passed out at your places this morning. Cindy that's the Excel. This is similar to what got presented, sorry if that's hard to read, this was similar to what was presented in your books although it includes a new column that shows the governor's budget. I'd like to just walk across the page. Some of these numbers were on the slide. The Northern Illinois University line the blue shaded line, FY15 final approp \$91 million. The next number the stop-gap figure of \$26.4 million. The next number is that \$48.3 million that the partial FY17 figure. The Senate plan would provide us with \$42.8 million in additional funding for the current year. If we were to receive that, the total for FY17 would be the \$91 million, the same amount that we received in FY15.

As of right now the attempt of the Senate plan is to hold universities harmless in FY17 compared to FY15. I just wanted to point out that all the universities are treated equally in the governor's budget at a 15% decrease. You'll notice there's a line for the performance funding pool that I talked about. It's \$60 million. The other important thing I'd like to note is that the governor's budget for MAP program is very solid. It's a 10% increase. It would provide \$401 million. That would be very important clearly to students on our campus. We are currently crediting MAP awards for our students in the current fiscal year where about 4,800 of our students rely on MAP and our eligible for approximately \$18 million in MAP funding. So we're pleased to see the strong MAP recommendation in the budget proposal and we are hoping for continued – for some sort of supplemental funding for FY17 and we're hoping that any proposals for FY18 are a little better than provided in this proposal.

Chair Barsema asked about the next steps in the process, to which Mr. Mann responded over the next several weeks each of the 13 pieces of the Senate grand plan will be vetted by the various committees. The issues are so broad that a couple of the items – procurement reform may go to the Higher Ed Committee. It may go to other committees as well. There is a Revenue Committee that will study the tax issues and some of the other components. So as these different components work their way through seeking approval, we will have the opportunity to take a position on these bills, advocate for the components that impact us that we potentially support. One key thing that I left out of my earlier presentation on the 13 is that each of the separate pieces contains almost what I would want to call poison pill language that states that this measure will not become law unless the other pieces of the package become law. So if minimum wage goes down the tubes, the whole package goes down the tubes, taxes, and borrowing. I don't know if there will at some point be a separation of the items, probably not because that's the point that Senate President Cullerton and Leader Radogno were trying to make is that we are

not in favor of stop-gap we need a plan a solution. We're also expecting to see some things out of the House this week. There is a bill that would provide a continuing appropriation for state employee payroll. You've all seen that Attorney General Madigan issued a motion to potentially halt state agency employee payroll as of February 28<sup>th</sup> is there is no state budget in place. There was a lot of legal maneuvering going on with that issue and I would defer to Greg Brady on that topic. The other thing that will be occurring in the next few weeks where we will have the opportunity it make our case or talk about the impact this has had on our university and on our students and on our faculty and staff, President Baker and I and Provost Freeman and others will be asked to come to a Senate appropriations hearing and a House appropriations hearing where we will be asked about how things are and what the impacts have been. So we will have that opportunity too. Just in general we will spend our time and energy working with the other universities, working with the budget agencies such as the Illinois Board of Higher Education, working with the Governor's office and just trying to continue to strongly advocate for higher education and to convince them that higher education is an investment in the state. We are not an expense. We are not an ordinary state expenditure. We are an investment. Higher education has a tremendous return on the dollar.

Prior to the Attorney General's motion a couple of weeks ago, a lot of people were starting to think this year would be a lot like last year. This year there are so many different moving parts, I believe there is incredible pressure on all members of the General Assembly to do something and get something done. I believe there is incredible pressure to make the Senate grand bargain work. Trustee Wasowicz asked if the 28<sup>th</sup> is a drop dead date of some sort. Board Parliamentarian Brady clarified that the 28<sup>th</sup> is not a drop dead date. The filing by the Attorney General's office is actually a motion to enter a case with the AFSCME union against the Governor and other public officials and if the court allows the Attorney General to enter the case on behalf of the people of Illinois, then she will file a motion asking for the current preliminary injunction against the Comptroller, which is continuing pay for state employees during this budget impasse. She would ask that that preliminary injunction be dropped. But the way she drafted it is to say drop on February 28<sup>th</sup> which would at the time have given the governor and the legislature a month to create a budget plan. So that is a date that she has put out because she publicized her filing. In fact it's a date that hasn't even gotten to the court just yet. I don't want to give any illusion that we have a drop dead date of February 28<sup>th</sup> at this juncture.

### **Agenda Item 7.b. Federal Relations update**

Thank you all for the opportunity to be here today, began Dr. Quider. It's great to be here in person. I, too, welcome all of the new board members. I look forward to working with all of you. Before I begin my remarks, I'd like to recognize my intern, Ben Staub, who is here in the audience today. Ben is an undergraduate political science student who works remotely with me and I'm proud to say that he will be interning with Congressman Bill Foster in his D.C. office this summer through the NIU congressional internship program.

In light of the new board members, Vice President Blazey has asked me to spend a couple minutes going over the Office of Federal Relations before giving my federal update. I lead the Office of Federal Relations based in Washington D.C. but I visit NIU regularly. I provide a fixed presence with members of congress and the administration, federal agencies, and national level organizations while also advising NIU on federal policies and priorities. Federal relations actually spans the entire NIU community and mission space of research, education, and service. And it's the university unit responsible for communicating institutional priorities, developing and maintaining positive working relationships, and raising the profile of NIU all within the federal establishment. I pay particular attention to the 20 members of Congress from Illinois which many people are surprised to find out is the fifth largest congressional delegation in the United States. I also pay attention to the administration and the seven federal agencies that account for over 95% of NIU's federal funding, with the top three being the Departments of Education and Energy and the National Science Foundation. I would point out that a coordinated effort of advocacy between the congressional delegation and the executive branch is essential for moving forward NIU's mission and priorities. Federal Relations works in collaboration with campus on a variety of techniques to engage federal stakeholders

and raise the national profile of NIU. These include personal engagements such as meetings, networking events, receptions, briefings and workshops as well as virtual engagements through social media, written communications, as well as working with the press. These techniques require access and I cultivate access for NIU through serving as the Vice President of the Science Coalition, a coalition of 60 top public and private universities that promotes increased federal funding for basic research. I am also an ex-officio executive committee member of the APLU Council on Research. Through those leadership positions I am able to open the door for even more opportunities to showcase NIU. Turning to the federal update, I'll start with something that was in my November remarks, which is: the only thing that is certain about the policies and actions of the Trump administration and this Congress is uncertainty. Despite the flurry of activity from the Trump administration, very little policy discussion and actions have occurred regarding NIU's primary federal equities. The exception to this is the immigration issues that have come to the floor, which include President Trump's now suspended executive order which restricts immigration from seven countries, as well as the uncertain fate of the Deferred Action for Childhood Arrivals or DACA program. Regarding federal agencies, Betsy DeVos was confirmed as the Secretary of Education and her higher education priorities are still taking shape because she comes from a K-12 background. Frances Collins, the Director of the National Institutes of Health, will remain in his role, which is a positive for NIU because he is very well liked on Capitol Hill and NIU researchers work closely with the NIH on a number of funding issues. It is difficult to comment on other prioritizations within the federal agencies at this point because we are awaiting details from the Trump administration. Not least of which is signals on what they plan to do for FY17 and FY18 federal funding. So regarding funding, NIU priorities of higher education and research are unlikely to be top priority investment areas for the Trump administration and congress. Therefore I anticipate that we'll receive less funding, those priorities will receive similar or less funding than in recent years. But I do stress that the funding that is available for federal research is through a competitive grant program. So even if there is less money overall, NIU faculty researchers will still have the opportunity to robustly compete for that money as we do. In the immediate term, congress needs to act by April 28<sup>th</sup> to maintain its FY17 funding and keep the federal government open. While President Trump may choose to weigh in on FY17 with his own proposal, congress is primarily discussion and continuing resolution that will fund the federal government as FY16 levels through September 30, 2017. President Trump is expected to release his FY2018 budget in late March or early April. This is almost two months later than normal. Normally it comes out in early February. In FY18 there is a scheduled 2.3% cut to discretionary spending which could have an outsized impact on NIU's priorities especially in light of expected increases to defense discretionary spending which could be balanced by cuts to non-defense discretionary spending and the non-defense discretionary spending is all the federal research agencies as well as Department of Education. Ultimately the impact on NIU priorities depends upon how the policies and legislative agenda shape up in this Congress and we are awaiting clear signals from both sides. In the final moments, let me turn to opportunities that I'm cultivating to appropriately position NIU for success in this new environment. NIU is hosting a poster session and reception on March 15<sup>th</sup> in the Rayburn House office building. This event will feature alumni Congresswoman Robin Kelly as well as hopefully Senator Tammy Duckworth and Congressman Don Bacon, who is a congressman from Nebraska, and it will unite President Baker and other leadership along with NIU federally-funded faculty and current students with congressional and agency staff plus DC area NIU alumni. The Office of Federal Relations continues to facilitate connections between NIU administrators, faculty, and students and congressional staff and federal agency officials. We have six individuals or groups scheduled to visit D.C. for such meetings by the end of April and a couple of those were outlined in your update. Also I note that the MAC athletics conference is building up its federal relations enterprise and NIU is very active in that. Finally, I've begun working closely with Jason Good in the Honors Program on developing NIU's nationally competitive prestigious scholarship enterprise. Since our collaboration began four months ago, we have doubled the number of applicants compared to the three year average including adding three scholarships. Most notably of those is the Goldwater Scholarship, which is the highest national award for undergraduate STEM researchers and as was pointed out earlier, it really speaks to NIU's strength in undergraduate research. These scholarships are an opportunity to cultivate a cohort of nationally endorsed students who can expand NIU's federal visibility as well as our prestige. Thank you.

Trustee Struthers asked Dr. Quider if she has historical data on capturing all the federal dollars that flow to NIU in the form of the various buckets and how significant the federal piece is in total and how that is trending. Dr. Quider responded that in total when you look at the NIU full federal portfolio, student financial aid in the form of PELL grants accounts for about \$30 million a year. When you look at the broad distribution of where our federal dollars, any kind of federal dollars, whether it's from sponsored programs and grant money or from student financial aid, in the neighborhood of 60 to 70 percent of it comes from student federal financial aid. About 50 percent of our undergraduates are on federal PELL grants and then a total of about 70 percent of our undergraduates are on some form of federal financial aid. I defer to my colleagues in Student Financial Aid to speak in much more depth on our financial aid system but those are sort of in the big picture overview.

### **Agenda Item 7.c. Sponsored Programs Administration**

Dara Little, Assistant Vice President for Sponsored Programs Administration, gave a presentation on sponsored research and began with, thank you to the Board for the opportunity to talk for a few minutes about Sponsored Programs Administration and our external funding portfolio to date for fiscal year 2017. I'm going to make a few brief remarks about what the office does. Sponsored Programs exists to support faculty, staff, and students' external funding efforts throughout the full funding life cycle. We want to do what we can to make sure that they're successful in their endeavors. At the same time, we're also a compliance office to make sure that the funding that we're pursuing and that we're receiving is effectively managed. The vast majority of our external funding is public dollars either through federal or state monies and it is important for us as an institution to be good stewards of those dollars. The mission of Sponsored Programs is really two-fold; it is to help faculty to be successful in their funding efforts but also to maintain the integrity of the institution and to insure compliance with those funds. That's not always an easy balance to strike, particularly when funding is very competitive. Projects are becoming much more complex than they have been in the past and there is much more calls for heightened accountability. The other piece that I will just mention with respect to what we do as an office we are just one piece of a very big university puzzle in supporting external funding and so you know I certainly appreciate the comments this morning about Sponsored Programs, but really what we do is support the work of our faculty and staff and so I think you are referring, Dr. Long, to the HERD survey, the increase in expenditures for this year. We report up to the Vice President for Research and as I said we support research, instruction, service, artistry activities. We have two associate directors who report to me. On our pre-award side of the house that is everything that has to do with funding development up through proposal submission and then on our award support side, that is the work that we do to support the awards as they come in. Collectively, SPA leadership has over 50 years of research administration experience. Not just here at NIU, but at other research intensive universities and non-profit organizations.

To give you brief update on the external funding portfolio, you had asked about federal and state funding; the vast majority of our external funding portfolio is federal and state dollars. That's consistent year over year. I can provide you those details at a later date. For this year, for fiscal year 2017, we are on track to at least achieve funding levels as in FY16. We generally hover around \$30 million in total external funding a year. The spike back in 2014 was due to a \$7 million state grant that we had received for the Illinois Shared Learning Environment. So when you take that out, it really is generally pretty consistent year over year. Again at this point reporting on the first and second quarter for this fiscal year we are on target to achieve those same funding levels for FY17. At present, we have about \$52 million in pending funding sitting with our sponsors. Drilling down to research funding, again you can see that we did have a spike in FY15. This was because we had a number of faculty in our very research intensive departments. They were very successful in this year which means that they are doing the work of those awards that they've received and so that funding has fallen off a little bit for total research funding but looking at where we're at right now in FY17 we do appear to be again on target to meet last year's funding level if not a little bit ahead. So as I mentioned we do have a very diverse funding portfolio here at NIU. It covers the range of fundamental research projects to public service demonstration type programs. Generally our largest federal sponsors are the Department of Education, the Department of Energy, and the National Science

Foundation. The Department of Energy really reflects the relationships that we have with the national labs, Argonne and Fermilab. We are on target to meet FY16 funding levels although I will caution that anything can happen when you're relying on federal funding or state funding, but we will be watching this closely. Annually we have about \$30 million in external funding. Much of the sponsored funding rests in our College of Liberal Arts and Sciences and in our Division of Outreach and Engagement. Again that's kind of to be expected, most of the research funding is in CLAS; most of our public service type funding is in Outreach which just kind of bears the mission of those two areas of the university. And again as an office of Sponsored Programs, we really exist for two main reasons; to help the faculty and the staff and students to be successful in their external funding endeavors, but also to protect the institution and to insure compliance with funding.

Chair Barsema asked if SPA personnel work closely with the NIU Foundation. AVP Little confirmed, I work fairly closely with April Arnold and one of the ways that we work together is to determine if funding that's coming in should be managed through Sponsored Programs or whether it should come through the Foundation. Sometimes those distinctions are very clear, other times it's not. But we do have open conversations about those types of activities on a regular basis and we're also talking about how we can kind of leverage each other's work. Not everything can come in in the form of a grant and so we are just starting to have those conversations. Trustee Barsema asked how is that money used? Is it used primarily for programs costs, is it used for, how is it used? AVP Little confirmed that the vast majority is for salary support, equipment - particularly with research projects - if there's instrumentation that's needed, travel to disseminate the project findings, and of course supplies. But salary is often the number one sponsored funding expense. Also not all of the sponsored funding comes through a traditional request for proposal type process. We do have some contracts and other type of agreements that have come through that have just you know occurred organically because a faculty member is working with an industry partner.

Trustee Wasowicz followed up with a question, I know April is a sales person and she's out there getting stuff, so I'm guessing you have sales people on your staff too that are out getting this? AVP Little responded that yes, it is a different world because we are not so as stewarding our sponsors and so when we think about federal agencies you know there's very rigorous peer review processes that we're not going to sort of steward or lobby them in the same way that a foundation might a donor. It's just a different process. We do work closely with Anna in creating some of those touch points with the federal agencies and making sure that we're helping our faculty to connect with program officers so that their work can become visible.

VP Blazey continued, I believe it would be useful for me to give you a typical example of how it works with federal funding. And you'll now why Dr. Long made the comment about how support is important to retain our faculty. We have a researcher who is really interested in some subject, let's say, funded by NSF and they will keep an eye open and when NSF puts a solicitation out or a proposal in that area they will submit a proposal for research in that area. Sponsored Programs helps them with that submission, but Sponsored Programs really doesn't write the technical research parts of the proposal. That's up to the faculty member, but Sponsored Programs will help insure the faculty member submits it properly because even a margin being incorrect will disqualify the submission to the federal agency. Then there is a rigorous peer review that NSF will use to decide whether or not they want to fund the proposal. If the faculty member is successful then the proposal will be granted but that actual technical handoff of the funding will be handled through Sponsored Programs Administration. In the proposal, typically a faculty member will ask for summer salary for a post doc or a graduate student and that's why AVP Little said most of it is for personnel, but they'll also ask for equipment and travel and any other items then need to do their research. That's what we call the direct funding and on top of that the university is reimbursed for the facilities and administration costs associated with the grant. So there's two types of funds associated with the grants; what the faculty member will get and what the university gets to support the procurement, travel, everything else. We have some freedom how we spend the indirect funding, but there are two such pots. At the end of the process usually a proposal or a grant that's three years long we're responsible, we help insure that the faculty member submits their report. It's faculty driven, but it's really important that we



support the faculty as Dr. Long pointed out to encourage that and retain them and to promote the reputation of the university.

#### **Agenda Item 7.d. Research & Innovation**

Interim Vice President for Research and Innovation Partnerships Dr. Gerald Blazey presented to the group, beginning by saying, 'To round things out, I should mention there are two additional offices in our division that are very important for promoting faculty research and innovation. First is the Office of Research, Compliance, Integrity, and Safety. With federal and state research there is heavy compliance that the faculty need help to ensure we meet. We also have the Office of Innovation that takes some of this intellectual property and helps the faculty development and ultimately in some cases market it. I want to point out from the get-go that these initiatives are completely informed by the recent program prioritization exercise we underwent and are still undergoing. To begin to increase our base for research and as part of program prioritization, RIPS has proposed enhanced faculty support. This takes a number of forms, I won't go into details at this time except to mention that this support includes training or mentorship of faculty, resources to help them with their travel to insure we have adequate instrumentation and computing power and also administrative assistance in the form of handling internal paperwork and issues like that. Along the lines of administrative assistance through a bit of reorganization in the division we've stood up and electronics records group and to improve grant administration we like really to go completely on line with it and also to go completely on line with our compliance requirements. And as you can imagine Dara and I have been working quite closely on this standing up this group. External to RIPS but still within NIU, we've undertaken several initiatives with the boarder university community. The recently chartered research and Innovation Advisory Board has been working to identify policies and practices that impeded scholarship and they've offered excellent advice on procurement, hiring and travel policies; and I'm pleased to report that Finance & Facilities and have been working with us to alleviate some of those impediments. To insure shared responsibility and alignment of resources, the division has been participating in extensive discussions about research strategies with each of the colleges, and these plans include support for individual faculty and concentrations research excellence which is a well-established strategy for increasing research intensity. So that's one of the primary levers Dennis is to really focus on areas of research where you have a competitive advantage and put resources and faculty in those areas and we can talk more about that later. With the external Northern Illinois community, so I'm working outward, and in partnership with the colleges RIPS has aggressively pursued broadened partnerships with our two neighboring national laboratories, Fermilab and Argonne. The accelerator science concentration represents a very deep collaboration between the College of Liberal Arts and Science and Fermi and through this concentration NIU has one of the two or three largest accelerator science programs in the country. Our peers are MIT and UCLA. Our investment in that area has more than matched by resources from NSF, DoE and Fermilab. Looking to Argonne National Laboratory, to extend these collaborations RIPS has been working with CLAS and the College of Visual and Performing Arts for potential collaborations in chemistry, computer science, process engineering, and data visualization. They are a general purpose lab in the DoE complex and there is tremendous potential for us to increase our research and partnership with them. We've already realized joint positions in process engineering, data visualization, and are searching for a joint position in computer science. I would like to acknowledge that this has very much been a partnership with the Provost's office as we find the resources to create new tenure or redirect tenure lines in these areas.

Turning to the business community, NIU has many highly successful corporate partnerships. They are primarily instructional and College of Business is extremely successful in this area and CEET is also having some success. Two initiatives facilitated by RIPS but lead by faculty show great promise for increased corporate collaboration. Last year we saw the beginning of the Ideal Industry Intrepreneurship Program. Student teams mentored by faculty and Ideal staff develop business plans for Ideal intellectual property. The proposals offered by the two inaugural teams last year were well received by Ideal management and the students hired as interns for further development. The goal is ultimately if Ideal likes the business case, the marketing plans, the technological developments they will take these interns on as employees to develop these products. And as a clear measure of success Ideal and NIU are now assembling a second

cohort of teams this year. That's a model that we'd like to see if we can propagate and engage other industrial partners. There's a nascent partnership involving a computer science internships program with a national firm that develops software for customer service. This partner has shown an interest in investing in our infrastructure to house the program on site. We've named it 71 North in Founders Memorial Library and it has potential to become a focal point for corporate engagement. Besides housing the internship program, 71 North is the home of Jobs Plus, which is a program that came out of the academic side which provides professional development for on and off campus interns and includes sessions on innovation on entrepreneurship. This space is also available for the Ideal teams and other programs promoting entrepreneurship. RIPS is taking a number of steps to increase research and innovation through internal initiatives, increased partnerships, especially with the national labs, and promoting corporate collaborations. I look forward to working with the board to further develop and expand these initiatives.

#### **OTHER MATTERS**

No other matters were discussed.

#### **NEXT MEETING DATE**

The next meeting of the LARI Committee will be May 18, 2017 at 11:00 a.m.

#### **ADJOURNMENT**

Chair Barsema asked for a motion to adjourn. Trustee Eric Wasowicz so moved and Trustee Matthew Holmes seconded. The motion was approved. Meeting adjourned at 10:15 a.m.

Respectfully submitted,

Cathy J. Craddock

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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.*