



Regular Meeting
of the
Board of Trustees

March 18, 2021

**Regular Meeting of the
BOARD OF TRUSTEES OF NORTHERN ILLINOIS UNIVERSITY**

9:00 a.m. – Thursday – March 18, 2021

This BOT meeting is being conducted through video conferencing communications and is being conducted pursuant to Section 6 of Executive Order 2020-7 (Suspending OMA requirements of in person attendance by members of a public body).

AGENDA

1. Call to Order and Roll Call
2. Verification of Quorum and Appropriate Notification of Public Meeting
3. Meeting Agenda Approval..... *Action*..... i
4. [Review and Approval of Minutes of February 18, 2021](#) *Action*..... 1
5. Chair's Comments/Announcements
6. Public Comment*
7. [Reports of Board Committees and Board Liaisons](#)..... *Information*..... 5
 - a. Academic Affairs, Student Affairs and Personnel Committee (AASAP)
 - b. Finance, Audit, Compliance, Facilities and Operations Committee (FACFO)
 - c. Research and Innovation, Legal and Legislative Affairs Committee (RILLA)
 - d. Illinois Board of Higher Education
 - e. Universities Civil Service Merit Board
 - f. Northern Illinois Research Foundation
 - g. Northern Illinois University Alumni Association
 - h. Northern Illinois University Foundation
8. President's Report No. 149
 - a. University Recommendations Forwarded by the Board Committees
 - 1) [Request for New Minor in Financial Counseling](#) *Action*..... 10
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b. University Reports Forwarded by the Board Committees

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7) Campus Planning in Support of University Priorities Presentation.....	<i>Information</i>35
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c. Items Directly from the President

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3) Resolution Authorizing Issuance of Auxiliary Facilities System Revenue Bonds and Related Matters	<i>Action</i>60
4) Association of College and University Educators (ACUE) Partnership Overview and Progress Report	<i>Information</i>65

9. Chair’s Report No. 97

a. President Lisa C. Freeman Contract Extension and Proposed Terms of Extension....	<i>Action</i>66
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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 can be completed [online](#) in advance of the meeting. For more information contact Crystal Doyle, ccoppel@niu.edu, Altgeld Hall 300, DeKalb, IL 60115, 815-753-1273.

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

Minutes of the
Board of Trustees of Northern Illinois University
Special Meeting
February 18, 2021

CALL TO ORDER AND ROLL CALL

The meeting was called to order at 1:00 p.m. by Board Chair Dennis Barsema virtually. This Special meeting was conducted through video conferencing communications pursuant to Section 6 of Executive Order 2020-7 (Suspending Open Meetings Act requirements of in person attendance by members of a public body). Recording Secretary Crystal Doyle conducted a roll call.

Trustee Rita Athas: Present

Trustee John Butler: Present

Trustee Montel Gayles: Present

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Present

Trustee Aidan Shields: Present

Vice Chair Eric Wasowicz: Present

Board Chair Dennis Barsema: Present

All members of the Board of Trustees were present.

Also present: President Lisa Freeman; General Counsel Bryan Perry; Board Liaison and Chief of Staff Matt Streb; Executive Vice President and Provost Beth Ingram; Vice President for Administration and Finance and Chief Financial Officer Sarah Chinniah; Vice President for Enrollment Management, Marketing and Communications Sol Jensen; Associate Vice President for Information Technology Matt Parks; Vice President for Research and Innovation Partnerships Jerry Blazey; and University Advisory Council (UAC) Representative Cathy Doederlein.

VERIFICATION OF QUORUM AND APPROPRIATE NOTICE OF PUBLIC MEETING

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

MEETING AGENDA APPROVAL

Chair Barsema asked for a motion to approve the meeting agenda. Trustee Gayles so moved, and Trustee Pritchard seconded.

Chair Barsema asked Ms. Doyle to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

REVIEW AND APPROVAL OF MINUTES OF DECEMBER 10, 2020

Chair Barsema asked for a motion to approve the minutes of December 10, 2020. Vice Chair Wasowicz so moved, and Trustee Pritchard seconded.

Chair Barsema asked Ms. Doyle to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

CHAIR'S COMMENTS/ANNOUNCEMENTS

Chair Barsema welcomed the members of the University Advisory Council who were present.

UAC Representative Cathy Doederlein expressed appreciation for the ongoing collaboration between Business Managers and other members of the university who have been given the opportunity to make realistic revenue projections for this year and next year. Given the impact COVID has had this year on everyone, it is very much appreciated.

Chair Barsema made brief remarks.

PUBLIC COMMENT

Chair Barsema introduced the public comment portion of the meeting. General Counsel Perry stated that someone did register to make a public comment, but they have since withdrawn. There are no other public comments.

PRESIDENT'S REPORT NO. 148

Chair Barsema asked President Freeman to present the President's Report No. 148.

President Lisa Freeman presented Agenda Item 7.a. Fiscal Year 2021 Quarantine and Isolation Costs

President Freeman noted that the Fiscal Year 2021 Quarantine and Isolation Costs item was discussed in detail at the FACFO meeting earlier today.

Chair Barsema asked for a motion to approve item 7.a. Trustee Gayles so moved, and Trustee Athas seconded.

Chair Barsema asked Ms. Doyle to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

President Lisa Freeman presented Agenda Item 7.b. Fiscal Year 2022 Undergraduate Tuition Pricing Recommendation

President Freeman noted that the Fiscal Year 2022 Undergraduate Tuition Pricing Recommendation item was discussed in detail at the FACFO meeting earlier today.

Chair Barsema asked for a motion to approve item 7.b. Vice Chair Wasowicz so moved, and Trustee Gayles seconded.

Chair Barsema asked Ms. Doyle to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

President Lisa Freeman presented Agenda Item 7.c. Fiscal Year 2022 Graduate and Law Tuition Pricing Recommendation

President Freeman noted that the Fiscal Year 2022 Graduate and Law Tuition Pricing Recommendation item was discussed in detail at the FACFO meeting earlier today.

Chair Barsema asked for a motion to approve item 7.c. Trustee Shields so moved, and Trustee Gayles seconded.

Chair Barsema asked Ms. Doyle to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

President Lisa Freeman presented Agenda Item 7.d. Appointment of Vice President and General Counsel

Chair Barsema asked for a motion to approve item 7.d. Vice Chair Wasowicz so moved, and Trustee Athas seconded.

Trustees congratulated Mr. Perry, and all agreed he is wonderful to work with and is very deserving of this title change.

Chair Barsema asked Ms. Doyle to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

OTHER MATTERS

There were no other matters.

NEXT MEETING DATE

The next regularly scheduled meeting of the Board of Trustees will be held March 18, 2021 at 9:00 a.m.

CLOSED SESSION

Chair Barsema stated that the Board needed to go into closed session and would not take up new business following the closed session. He asked for a motion to close the public meeting to conduct closed session to discuss the following subjects as authorized by the Open Meetings Act: personnel matters as generally described under sections 2(c)(1)(2)(3) and (21) of the open meetings act; collective bargaining matters as generally described under section 2(c)(2) of the open meetings act; litigation and risk management matters as generally described under sections 2(c)(11) and (12) of the open meetings act; and closed session minutes matters as generally described under section 2(c)(21) of the open meetings act.

Trustee Pritchard so moved, and Trustee Gayles seconded.

Chair Barsema asked Ms. Doyle to take a roll call vote to close the public meeting.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

The Board closed the public meeting at 1:22 p.m.

The meeting reconvened from closed session at 3:31 p.m.

Chair Barsema asked Dr. Streb to conduct a roll call vote.

Trustee Rita Athas: Present

Trustee John Butler: Present

Trustee Montel Gayles: Present

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Present

Trustee Aidan Shields: Present

Vice Chair Eric Wasowicz: Present

Board Chair Dennis Barsema: Present

The motion was approved.

ADJOURNMENT

Chair Barsema asked for a motion to adjourn. Vice Chair Wasowicz so moved, and Trustee Gayles seconded.

Chair Barsema asked Dr. Streb to conduct a roll call vote.

Trustee Rita Athas: Yes

Trustee John Butler: Yes

Trustee Montel Gayles: Yes

Trustee Veronica Herrero: Absent

Trustee Bob Pritchard: Yes

Trustee Aidan Shields: Yes

Vice Chair Eric Wasowicz: Yes

Board Chair Dennis Barsema: Yes

The motion was approved.

The meeting adjourned at 3:31 p.m.

Respectfully submitted,

Crystal Doyle
Recording Secretary

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

REPORTS OF BOARD COMMITTEES AND BOARD LIAISONS

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

The Academic Affairs, Student Affairs and Personnel Committee met on February 18, 2021. Four action items appeared on the agenda: Request for New Minor in Financial Counseling, Request for New Minor in Sport Analytics, Request for New Minor in Sport Journalism and Recommendations for Faculty and Supportive Professional Staff Sabbatical Leaves for the 2021-2022 Academic Year, all four were approved. The committee received three information items: Men's Basketball Head Coach Search Update, Annual Report on Outcomes of Sabbatical Leaves and Faculty Presentation on Sabbatical Leave.

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

The Finance, Audit, Compliance, Facilities and Operations Committee met on February 18, 2021. The committee was presented with three Financial Update items: Series 2011 CHF Bond Refinancing with Series 2021 AFS Bond, Quarterly Financial Summary – FY21 Second Quarter as of December 31, 2020 and the Periodic Report on Investments for Period Ending December 31, 2020. The committee approved seven action items: FY21 Quarantine & Isolation Costs, Surplus Real Estate Property Determination of Hoffman Estate Campus, FY22 Undergraduate Tuition Pricing Recommendation, FY22 Graduate and Law Tuition Pricing Recommendation, FY22 Division of Information Technology Microsoft Enrollment Contract Renewal, FY22 Master Agreement Facility Contract Renewals and FY22 Materials Management & Integrated Media Technologies Consumable Commodities. The committee also received two University Information items. These included a presentation on Campus Planning in Support of University Priorities and the Quarterly Summary Report of Transactions in Excess of \$100,000 for the Period October 1, 2020 to December 31, 2020.

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

The Research and Innovation, Legal and Legislative Affairs Committee met on February 18, 2021. The committee was presented with four information items: State Legislative Report, Federal Legislative Report, Sponsored Programs Administration Quarterly Report, and Strategic Development Team Report. Dr. Gerald Blazey, Vice President for Research and Innovation Partnerships reported on the current level of external funding and COVID-19 relief funds. Dr. Matt Streb, Liaison to the Board of Trustees provided the State Legislative Report. Dr. Streb reported that on January 13, 2021, the 102nd Illinois General Assembly was sworn into office. He noted that during the lame-duck session four omnibus bills were passed by the state legislature and provided an overview of the four bills. Dr. Anna Quider, Assistant Vice President for Federal Relations provided the Federal Legislative Report. Dr. Quider reported on consequences of the recent election and noting that Committee assignments for the House and Senate are still being finalized and that assignments related to NIU's portfolio for the Illinois delegation include Senator Durbin as Chair of the Senate Judiciary Committee and Congresswoman Underwood as a member of the House Appropriations Committee. Dr. Quider further noted that on December 27, the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) became law. This bipartisan legislation provided \$22.9 billion for higher education and \$1.3 billion for the Governors Education Emergency Relief (GEER) fund. NIU's CRRSAA allocation is \$23.7 million, broken down into \$7.4 million for aid to students and \$16.3 million for institutional aid. The state of Illinois was allocated \$47.9 million through the GEER fund and the state will decide how to distribute those funds. Ms. Dara Little, Assistant Vice President for Research and Sponsored Programs provided a written Sponsored

Programs Administration Quarterly Report. Mr. Luke Sebby, Director of the Office of Innovation provided the Strategic Development Team Report. Mr. Sebby reported on the progress of the Strategic Development Team (SDT), an initiative comprised of members of the Divisions of Research and Innovation Partnerships (RIPS); Outreach, Engagement, and Regional Development (OERD); and University Advancement (UA) and the NIU Foundation (NIUF). He noted that the vision of the SDT is create a culture of strategic development through new, interdivisional approaches. The team mission is to develop “game-changing” opportunities that crosscut the NIU ecosystem, match donor, investor, and partner interest with NIU priorities, and drive enduring value to the University.

d. Illinois Board of Higher Education

The IBHE met on September 15, 2020 and approved New Units of Instruction at Public Community Colleges (University of Illinois at Chicago); Governor’s Emergency Education Relief Grant Fiscal Year 2020-2021 Awards, and further approved consent agenda and other routine business items. The IBHE met on December 8, 2020 and approved New Units of Instruction at Public Community Colleges (Morton College); New Operating and/or Degree Granting Authority for Independent Institutions (A.T. Still University; University of Nevada, Reno; Chamberlain University; Midwestern Career College); New Units of Instruction, Public Service, and Research at Public Universities (Illinois State University, University of Illinois at Chicago, University of Illinois at Springfield, University of Illinois at Urbana-Champaign); Adoption of Statewide Transitional English: Course Parameters, Competencies, and Policies, and further approved consent agenda and other routine business items. The IBHE Strategic Planning Committee met on September 15, 2020, October 26, 2020, and December 8, 2020. The IBHE also met on January 13, 2021, February 23, 2021, and March 9, 2021. Updates will be provided when minutes are available and additional details regarding these items are posted on the IBHE website.

e. Universities Civil Service Merit Board

The State Universities Civil Service Merit Board has met twice since the last NIU Board of Trustees meeting, once on the same day as the NIU Board, December 10, 2020, and again on February 25, 2021. Both meetings were conducted by video conference. Due to the scheduling conflict of both board meetings, NIU’s representative to the Merit Board was absent for most of the meeting on December 10th, where the Merit Board considered a discharge unrelated to NIU and several other matters (he joined the meeting briefly near the end). Included in these other matters, the Merit Board received a report by the Human Resource Directors Advisory Committee (HRDAC) that noted a wide range of accommodations sought by the universities throughout 2020 related to the pandemic and remote work (noting a responsive and productive relationship between SUCSS and universities during this time). The HRDAC noted that they anticipate a continual increase in remote work arrangements in the future, which may be complicated by existing preference given to Illinois residents in the State Universities Civil Service Act. The HRCAC also noted that working within the 900 hours limitation for extra help has been a challenge during the pandemic and will continue to be a point of concern in uncertain budget circumstances due to a reluctance to hire permanent positions. The Merit Board received an update on rulemaking concerning changes SUCSS proposed to Section 250 of the Code (80 III. Code §250.11), or the rules pertaining to discharges. The discharge rules have reportedly been finalized and SUCSS is advising universities that new discharge cases need to be processed using the adopted rules. SUCSS reported that the System’s audit program has resumed after being temporarily suspended during the pandemic. A report on audits conducted since the resumption indicated that, in one case (Chicago State University), the number of troublesome material findings led SUCSS to withdraw the authority of delegation

from Chicago State in three areas: employment and layoff, creating and filling extra help appointments, and creating or filing Principal Administrative Appointees (PAAs) (Note: PAAs are what, at NIU, are referred to as Supportive Professional Staff [university employees exempt from the civil service classifications]). Notes from the meeting indicate a brief exchange occurred between Merit Board members and the SUCSS Executive Director about how audit findings are enforced. The February 25th meeting included two personnel matters that were not related to NIU and addressed several other matters that may be of interest to the NIU Board. The Merit Board elected its executive officers and Julie Jones, of Illinois State University, was re-elected chair. The Merit Board considered a request for review of the Executive Director's review decision in a case of an employee who was dismissed during a probationary period (typically, a dismissal is not reviewable; however, this employee claimed the dismissal constituted race-based discrimination and retaliation, and thus violated Section 36p the State Universities Civil Service Act [110 ILCS 70/36p]). The Executive Director's Review Decision was affirmed and adopted as the Final Decision and Order of the Merit Board. Finally, an information item was presented on the SUCSS office's on-going efforts to formulate a proposal that might permit some variation to standard civil service obligations and rights for certain grant-funded positions. In light of evolving distinctions and the identification of issues introduced in this item, the NIU Merit Board representative is monitoring these developments closely as they may relate to concerns previously reported on concerning some staff at Illinois' universities involved in research and engagement activities.

f. Northern Illinois Research Foundation

The Audit Committee and Board of Directors of the Northern Illinois Research Foundation held their quarterly meeting December 14, 2020. The Audit Committee discussed the completion of the FY20 Audit and 990 filings, the NIRF and EIGERlab quarterly financial reports, updates on the upcoming NIRF insurance renewal, and the creation of a Chart of Accounts for potential unrelated business income tax categories. The Audit Committee, EIGERlab staff, and the NIU Office of Innovation (OI) gave quarterly reports to the full Board. The Board was introduced to Chef Bryan Flower, the new OI assistant director for food systems innovation. Mr. Flower provided an overview and vision for his work in the Office. The next NIRF Board of Directors quarterly meeting will be March 2, 2021.

g. Northern Illinois University Alumni Association

Communications – The NIUAA recently released its 2020 Impact Report. The annual report highlights engagement activity through the last fiscal year, with insights on how COVID-19 affected programming. This is available here: <https://issuu.com/niufoundation/docs/2020impactreportfinal> We will begin wide distribution on Thursday, March 4th.

We continue to produce a popular monthly all-alumni newsletter (the first Thursday of every month) and a monthly all-alumni event promo piece (the third Thursday of every month). Social media is also a primary form of communication, with high levels of engagement across all channels.

The next issue of Northern Now is in final edits and we anticipate release by the end of March.

Events – The focus has been on exclusively online events, including the popular *Meet a Huskie* series, in which alumni and faculty host a virtual “lecture” and answer audience questions. A newer addition is the *Cook with a Huskie* event series, where an alumnus, staff, or faculty member hosts a virtual cooking class. In addition, the office of alumni relations has supported

college-based efforts, including the College of Education’s *Whiteboard Wednesday* and the College of Business’s *Wednesday Night Wisdom*.

We are excited to begin planning for a return to in-person events, starting with the NIUAA’s 10th golf outing on June 28th. Planning for football season is also underway. We will focus on outdoor, low-risk events through the end of the summer and into the autumn, with a hope to be able to have more traditional indoor events by the end of fall.

Volunteerism – Volunteer engagement has been high through the pandemic, with the first half of FY21 recording more volunteer engagements than the same time the previous year. Affinity groups have been actively planning their next fiscal year and submitting budget request; an activity which is crucial to our ability to forecast spending and suitably promote their activities. Kudos to Liz McKee and affinity group leadership for making an effort for this to happen.

While some advocacy activities have been put on pause due to the pandemic and staffing turnover, plans are underway for a virtual visit day with legislators in the spring.

Travel – The travel program has been forced to constantly pivot and reconsider trips as the pandemic has dragged on. Currently we are examining a rescheduling of several trips that were delayed due to the pandemic. It is our utmost intent to assist travelers in any way we can to minimize their inconvenience and loss.

h. Northern Illinois University Foundation

Fundraising: Overall philanthropic performance was behind pace through January 2021, due to the continuing effects of the COVID-19 disruption and its impact on major and principal giving. As of the end of the month, \$7.9 million of the \$20 million goal had been raised. The 2nd quarter of the fiscal year did however include one particular and remarkable success, despite the overall lagging of major and principal gifts:

Thousands Strong, the university’s first multi-day virtual fundraising event, exceeded all expectations, raising over \$2 million in 3 days. Leading up to the key events of November 18-20, 2020 constituents were engaged through email, social media, a microsite, student callers from the *Huskie Engagement Center* and text messages. The initiative gave the Foundation a brand and mission-driven story to tell over the course of a 6-week period (10/14 – 11/20/2020). This activity elevated the digital engagement strategy resulting in a very high ROI event that focused on maximizing calendar year-end giving and opportunities to build the donor pipeline.

Some important statistics:

- Social Media/Email – Over 1,000 constituents from 37 states engaged with posts or email correspondence over the course of the November events
- RSVPs - Approximately 900 constituents responded via text or email that they would be watching the kick-off show on 11/18
- Participation– Within 30 minutes of the You Tube show going “live” over 1,400 constituents watched the production; there have been nearly 2,300 views of the video to date.

Overall, this program was highly successful in terms of overall fundraising and engagement and the format will be retained as an important new tool for advancement overall.

Upcoming Events:

<i>Huskies United – Day of Giving</i>	<i>June 23 and 24</i>	
<i>NIUAA Annual Golf Outing</i>	<i>Monday, June 28</i>	<i>Cantigny Golf, Wheaton</i>

Campaign Planning: A comprehensive, university-wide fundraising campaign is well underway in its planning. Q2 activities were highlighted with the naming of Kristen Miller as Senior Director of Strategy and Campaigns, as well as the formation of an internal campaign planning committee. Thus far in Q3, activities have begun to address the identification of potential advancement activities will culminate in October with an on-schedule launch of a planning study designed to test the case and funding priorities as well as general organizational readiness, it is anticipated that the official launch of the campaign will be July 1, 2022.

REQUEST FOR NEW MINOR IN FINANCIAL COUNSELING

Summary: New subdivisions of existing undergraduate programs, including minors, require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2021. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to offer a Minor in Financial Counseling in the School of Family and Consumer Sciences within the College of Health and Human Sciences.

Rationale: The minor in Financial Counseling is intended to provide background knowledge in the area of personal and family financial counseling. Financial counseling is a fast-growing career field. The Minor in Financial Counseling will prepare students for this growing profession. Financial counselors/coaches work with financially vulnerable clients on making sound financial decisions, creating and implementing a budget, as well as credit and debt management. Their goal is to assist clients in achieving their financial goals by increasing savings and decreasing debts. Employment opportunities exist for new graduates in (e.g. workforce development, social services, nongovernmental organizations (NGOs), and aging services) agencies that work with financially vulnerable populations and where counseling is provided for no-cost. This minor also satisfies the educational requirements to be eligible to sit for the exam portion of the Accredited Financial Counselor (AFC®) designation conferred by the AFCPE (<https://www.afcpe.org/certification/accredited-financial-counselor/>) board of standards.

Funding: The new minor leverages existing courses and the School of Family and Consumer Sciences does not require additional resources to support the minor.

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

REQUEST FOR NEW MINOR IN SPORT ANALYTICS

Summary: New subdivisions of existing undergraduate programs, including minors, require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2021. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to offer a Minor in Sport Analytics in the Department of Kinesiology and Physical Education, within the College of Education.

Rationale: This interdisciplinary minor will provide students with the tools to pursue a career in sport analytics. With a growing number of sport organizations embracing the role of data analytics in organizational decision making, there is increasing demand for professionals within this industry. As a result, professional opportunities are becoming more prevalent. This interdisciplinary minor will introduce students to some of these opportunities and potentially give them a competitive advantage when entering the job market. This minor would be a well-aligned and timely complement to majors such as, but not limited to Economics, Statistics, Computer Science, and Sport Management.

Funding: These courses are already being offered and no additional resources will be needed for this minor.

Recommendation: The Academic Affairs, Student Affairs, and Personnel Committee recommends Board of Trustee approval of the request for a New Minor in Sport Analytics.

REQUEST FOR NEW MINOR IN SPORT JOURNALISM

Summary: New subdivisions of existing undergraduate programs, including minors, require the approval of the Board of Trustees. If the board approves this addition, the university will report it in the Annual Listing of Changes sent to the Illinois Board of Higher Education in June 2021. These requests come to the Academic Affairs, Student Affairs and Personnel Committee after receiving approval from the curriculum committees at the department, college and university levels and the concurrence of the provost.

Description: The University proposes to offer a Minor in Sport Journalism in the Department of Kinesiology and Physical Education within the College of Education.

Rationale: This minor will provide students with the tools to pursue a career in writing, journalism, and public/media relations specific to the sporting industry by preparing students with broad journalistic skills and specific sport journalism and media training. With a growing number of sport organizations embracing the role of journalism and new media, there is increasing demand for professionals within this industry and professional opportunities are becoming more prevalent. This interdisciplinary minor will introduce students to some of these opportunities and potentially give them a competitive advantage when entering the job market. Students will explore timely sports-related issues in an ethical context as well as analyze sports from cross-cultural perspectives. The minor will be a well-aligned and timely complement to majors such as, but not limited to, Communication Studies, Journalism, and Sport Management.

Funding: These courses are already being offered and no additional resources will be needed for this minor.

Recommendation: The Academic Affairs, Student Affairs, and Personnel Committee recommends Board of Trustee approval of the request for a New Minor in Sport Journalism.

**RECOMMENDATIONS FOR FACULTY AND SUPPORTIVE PROFESSIONAL
STAFF SABBATICAL LEAVES FOR THE 2021-2022 ACADEMIC YEAR**

<u>Name</u>	<u>Department/School/Unit</u>	<u>Time Period</u>
COLLEGE OF BUSINESS (in alphabetical order)		
McCormick, Brian	Management	Fall 2021
COLLEGE OF EDUCATION (in alphabetical order)		
Harris, Lindsay	Leadership, Educational Psychology & Foundations	Fall 2021 - Spring 2022
Hsu, Pi-Sui	Education Technology, Research & Assessment	Spring 2022
Kortegast, Carrie	Counseling & Higher Education	Spring 2022
Wickens, Corrine	Curriculum & Instruction	Spring 2022
COLLEGE OF HEALTH & HUMAN SCIENCES (in alphabetical order)		
Barrett, Sheila	Health Studies	Spring 2022
Chung, King	Allied Health & Communicative Disorders	Fall 2021
Kim, In-Sop	Allied Health & Communicative Disorders	Spring 2022
Kim, Jinsook	Health Studies	Fall 2021
Surjadi, Florensia	Family & Consumer Sciences	Fall 2021
COLLEGE OF LAW		
Falkoff, Marc	Law	Spring 2022
COLLEGE OF LIBERAL ARTS & SCIENCES (in alphabetical order)		
Allori, Valia	Philosophy	Spring 2022
Bello Cruz, Yunier	Mathematical Sciences	Fall 2021 – Spring 2022
Burchfield, Keri	Sociology	Spring 2022
Djata, Sundiata	History	Spring 2022
Feurer, Rosemary	History	Fall 2021 – Spring 2022
Finch, Alicia	Philosophy	Fall 2021
Fogleman, Aaron	History	Fall 2021
Frank, Mark	Geology & Environmental Geosciences	Spring 2022
Guzman, Andrea	Communication	Fall 2021 - Spring 2022
Hanley, Anne	History	Fall 2021– Spring 2022
Luo, Wei	Geographic & Atmospheric Sciences	Spring 2022
Rodgers, Diane	Sociology	Spring 2022
Ryu, Duchwan	Statistics & Actuarial Science	Spring 2022
Ryzhov, Victor	Chemistry & Biochemistry	Fall 2021

Schraufnagel, Scot	Political Science	Fall 2021
Solares-Larrave, Francisco	World Languages & Cultures	Spring 2022
Stansell, Nathan	Geology & Environmental Geosciences	Fall 2021
Valde, Kathleen	Communication	Fall 2021
Woodyard, Kerith	Communication	Fall 2021 - Spring 2022

COLLEGE OF VISUAL & PERFORMING ARTS (in alphabetical order)

Barrett, Gregory	Music	Spring 2022
Bradfield, Geoffrey	Music	Spring 2022
Nunnally, Tracy	Theatre & Dance	Fall 2021
Wang, Shei-Chau	Art & Design	Fall 2021 – Spring 2022
Wooten, Ronnie	Music	Spring 2022

Recommendation: The Academic Affairs, Student Affairs, and Personnel Committee recommends Board of Trustee approval of the request for Recommendations for Faculty and Supportive Professional Staff Sabbatical Leaves for the 2021-2022 Academic Year.

SURPLUS REAL ESTATE PROPERTY DETERMINATION HOFFMAN ESTATES CAMPUS

Summary: Although it has served NIU well over its 27 years as university property, operations at the Hoffman Estates campus have been deemed unsustainable due to changing university needs, budget constraints, a years-long decline in revenue-generating business, and continuing uncertainty due to the pandemic. Event operations were discontinued in the facility as of November 2020. The facility is now considered surplus to the university mission requirements. Once approved as surplus, the university will engage a real estate broker to assist in marketing and potential sale transaction for the property.

Background: Since the Illinois Property Control Act (30ILCS 605/) allows public universities to sell surplus real estate and use the proceeds to address deferred maintenance and emergency repairs of institution property, selling the property may be in the university's best interest at this time.

The existing property located at 5555 Trillium Boulevard in Hoffman Estates was built in 1992 and consists of approximately 49,840 square feet of space including classrooms, lecture hall and various associated administrative and support spaces.

Funding: Revenue generating – Resulting net sale proceeds to be deposited in account conforming to the Property Control Act.

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustee approval of the request for Surplus Real Estate Property Determination Hoffman Estates Campus. Updates will be provided to the Board as appropriate, and subsequent approval for actual sale of the property will be requested from the Board prior to proceeding with such a transaction.

**FISCAL YEAR 2022 DIVISION OF INFORMATION TECHNOLOGY
MICROSOFT ENROLLMENT CONTRACT RENEWAL**

Summary: The Division of Information Technology requests permission to issue an order for the FY22 Renewal of Microsoft Enrollment for Education Solutions software for resale during the license period July 1, 2021 – June 30, 2022. This is the eighth of nine, one-year renewal options based on RFP #KMC138285, which was originally awarded on June 6, 2013. The renewal award will be advertised in the Illinois Procurement Bulletin.

Background: The licensing under this contract allows NIU to run Microsoft Windows Desktop OS and Microsoft Office products, including their updates, for all University owned computers and provides five copies of Office for all students, faculty, and staff to run on their personal devices while they are enrolled or employed by the University. This contract also covers Windows Server licensing costs in NIU’s virtual environment and license costs for several features such as Multi-Factor Authentication and Self-Service Password Reset.

Funding: Appropriated Funds

ScholarBuys – Carpentersville, IL \$ 400,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustee approval of the request for Fiscal Year 2022 Division of Information Technology Microsoft Enrollment Contract Renewal.

Amount Approved for FY21: \$400,000

FISCAL YEAR 2022 MASTER AGREEMENT FACILITY CONTRACT RENEWALS

Summary: Master agreements for labor and materials supporting facility repairs/improvements are required to be established or renewed for FY22. These agreements provide an important streamlined contractual mechanism to engage companies effectively and efficiently while still maintaining price competitiveness. The following renewals or new awards will be processed in accordance with applicable Illinois procurement regulations and advertised, as required, in the *Illinois Procurement Bulletin*.

Background: As the level of deferred maintenance and repair demands continue to increase, the ability and agility to respond quickly when failures occur becomes critical. Navigating the requirements of the state procurement process can be challenging. These master agreements allow interested companies to be pre-screened and validated for their willingness to operate under state procurement rules (e.g. Business Enterprise Program (BEP) qualifications/subcontract participation plans, adherence to standard state legal certifications, and financial/conflict of interest disclosures).

As facility requirements are identified and approved for execution (e.g., projects >\$250K to be separately approved by the Board of Trustees), quotes will be solicited from various companies to ensure adequate price competition. The procurement process is streamlined when companies with the lowest quotes already have an established relationship with NIU under these Master Agreements.

The amounts listed on the next page are not-to-exceed (NTE) limits established for FY22. These amounts do not reflect a commitment or obligation but are an upper limit for the amount of work that may be requested under these agreements should companies successfully respond with the lowest quote for solicited work. The continual addition of new companies to this listing provides for increased ordering flexibility and price competitiveness.

Funding: Institutional – Local Funds

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the request for Fiscal Year 2022 Master Agreement Facility Contract Renewals.

New awards – depending on criteria met, may be awarded to more than one qualified responder:

New miscellaneous services agreements (each)\$ 600,000

Renewals:

<u>Advanced Boiler Control Services – Crown Point, IL</u>	\$ 450,000
<u>AGAE Contractors, Inc. – Chicago, IL</u>	\$ 600,000
<u>Campos Construction, Inc. – Rockford, IL</u>	\$ 600,000 *
<u>Cooling Land Concepts, LLC – Cherry Valley, IL</u>	\$ 700,000
<u>Curran Contracting Company – DeKalb, IL</u>	\$ 425,000
<u>EDE Corp. – Chicago, IL</u>	\$ 700,000
<u>Elliott & Wood, Inc. – DeKalb, IL</u>	\$ 750,000
<u>Freeport Industrial Roofing, Inc. – Freeport, IL</u>	\$ 400,000
<u>G.D. Barri & Assoc., Inc. – Peoria, AZ</u>	\$ 325,000
<u>Hygieneering, Inc. – Willowbrook, IL</u>	\$ 600,000 *
<u>Independent Mechanical Ind., Inc. – Chicago, IL</u>	\$ 400,000
<u>Kelso Burnett Company (formerly Ballard Services, Inc.) – Rockford, IL</u> ...	\$ 800,000
<u>Lake & Pond Solutions Co. – Greenville, WI</u>	\$ 300,000
<u>Mid Valley Concrete Co. – Sandwich, IL</u>	\$ 300,000
<u>Otto Baum Co., Inc. – Morton, IL</u>	\$ 600,000
<u>Ringland Johnson, Inc. – Cherry Valley, IL</u>	\$ 550,000
<u>Rush Power Systems, LLC – Kirkland, IL</u>	\$ 475,000
<u>Schoening Painting & Decorating, Inc. – Rockford, IL</u>	\$ 550,000 *
<u>Sprinkmann Sons Corp. – Milwaukee, WI</u>	\$ 700,000
<u>Sterling Commercial Roofing, Inc. – Sterling, IL</u>	\$ 500,000
<u>Swedberg Electric, Inc. – Sycamore, IL</u>	\$ 800,000 *
<u>Tecnica Environmental Services, Inc. – Lemont, IL</u>	\$ 775,000 *
<u>True North Consultants, Inc. – Naperville, IL</u>	\$ 600,000
<u>Veya, Inc. – Champaign, IL</u>	\$ 600,000 *
<u>Virgil Cook & Son, Inc. – DeKalb, IL</u>	\$ 800,000
<u>Weaver Construction, Inc. – Sycamore, IL</u>	\$ 600,000

* BEP vendors currently meeting Central Management Services qualifications. Other companies are required to demonstrate BEP participation with subcontracting plans.

**FISCAL YEAR 2022 MATERIALS MANAGEMENT & INTEGRATED
MEDIA TECHNOLOGIES CONSUMABLE COMMODITIES**

Summary: Commodity purchases for consumable items are required to support the operations of various University departments for FY22. These commonly include materials for cleaning, office supplies, postage, and fuel. The following renewals or new agreements will be processed in accordance with applicable Illinois procurement regulations and advertised, as required, in the *Illinois Procurement Bulletin*.

Background: The amounts listed are not-to-exceed (NTE) limits established for FY22. These amounts do not reflect obligations but serve as an upper limit for the cost of materials that may be procured under these agreements. Materials will be ordered on an as-needed basis to maintain in-house stocks or respond to individual requirements throughout the FY22 period. Any individual orders under these agreements at or above \$250K will be preceded with a specific approval request to the Board.

Funding: Institutional – Local Funds

<u>Home Depot Pro – Rockford, IL</u>	\$ 500,000
<u>Office Depot Max, Inc. – Itasca, IL</u>	\$ 400,000
<u>W.W. Grainger – Rockford, IL</u>	\$ 250,000
<u>U.S. Postal Service / Postmaster – DeKalb, IL</u>	\$ 750,000
<u>Vendor(s) for fuel to be determined</u>	\$ 370,000
<i>Total</i>	\$ 2,270,000

Recommendation: The Finance, Audit, Compliance, Facilities and Operations Committee recommends Board of Trustees approval of the request for Fiscal Year 2022 Materials Management & Integrated Media Technologies Consumable Commodities.

Amount approved for FY21: \$2,320,000

MEN'S BASKETBALL HEAD COACH SEARCH UPDATE

At the December 5, 2019 Board meeting, the Board authorized the President to select executive search firms for head coaches in the Division of Athletics. It was further recommended that the President periodically report back to the Board regarding selection and status of such searches. Further, 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, allow the use of an external search firm for senior level positions when needed.

Due to the recent separation of the Men's Basketball Head Coach, the Division of Athletics will be utilizing an executive search firm per the approval of the Board of Trustees as noted. The executive search firm will offer the University the ability to assist in identifying and recruiting diverse candidates, as well as, conducting in-depth research and background checks on potential candidates for the Head Coach Men's Basketball position. The search firm's network of candidates and ability to maintain confidentiality, will be essential for this senior coaching position search.

ANNUAL REPORT ON THE OUTCOMES OF SABBATICAL LEAVES

Executive Summary of Sabbatical Report for 2017-2018 Academic Year

The purpose of the sabbatical leave program is to maintain and improve the quality of the educational programs of Northern Illinois University, by creating opportunities for academic and other eligible staff to acquire new methods and techniques, to broaden outlooks, and to improve professional competency and stature through study, research and other professional development activities. The university awards sabbaticals to faculty and SPS staff based on the following criteria; the quality of the proposed scholarship, the capacity of the applicant to conduct the proposed work, and the likelihood that the proposed project will be completed. At the request of the Northern Illinois University Board of Trustees, the university conducts an annual process to enumerate the products that result from sabbatical leaves, faculty and staff are asked to report on awards and honors; curricular developments; outreach; grants and projects; performances, exhibitions and recordings; presentations; publications; other outcomes; and works in progress.

This executive summary provides a summary of the outcomes for the thirty-nine faculty who received sabbaticals during the 2017-2018 academic year (no staff were granted sabbaticals in this year; a more detailed report is available). Sabbaticals were accepted by faculty from all seven colleges; twenty-eight from the College of Liberal Arts and Sciences, three from the College of Visual and Performing Arts, two from the College of Education, two from the College of Health and Human Sciences, two from the College of Business, one from the College of Engineering and Engineering Technology, and one from the College of Law. Since 2017-2018, two of the recipients have retired and three have resigned. One was on leave and unable to submit an update on sabbatical activities. This report contains information from the remaining thirty-three sabbatical recipients who are still employed at NIU.

Since their sabbaticals, the recipients have delivered 147 publications, 143 presentations, 58 grant submissions, 17 artistic works, 31 curricular development projects, 8 awards and honors, 34 outreach activities, 18 other significant contributions and 34 submitted works in progress. Of the 58 internal and external grant applications submitted, 31 initiatives were funded for nearly \$4.59 million.

Publications included journal articles, books, book chapters, conference proceedings and public media. Presentations were given at other universities, conferences (both national and international), and in public venues. Many of the recipients were active in submitting grants or conducting the work associated with a grant. Over the past three years, sabbatical recipients submitted 58 grant applications, 19 internal and 39 external. Seventeen of the external grants applications were funded for a total of nearly \$4.5 million in funding.

Sabbatical recipients completed 31 curriculum development projects. These projects included the development of 9 new courses and revisions to 22 existing courses.

Sabbatical recipients also made several other contributions to their professional fields. Below, we highlight some of the experiences of those faculty.

Sabbaticals provide faculty with the time to develop research, artistic works, curricular redesign, outreach and engagement that support NIU's mission, vision and values. Each of our faculty reflected on their experience and its contribution to NIU. All recipients expressed their deep appreciation for the time they received as part of these competitive awards and discussed how the resulting opportunities and experiences renewed their connections to their research, teaching, and service missions.

Many of the recipients said that the time allowed them to develop new areas of research or to expand current areas of activity. A typical recipient commented:

“The sabbatical provided me with release from teaching and service to develop a plan for research productivity. During and since the sabbatical, I have written many grants, to both internal and external sources. Submissions of internal grants have included NIU CHHS Tri County Endowment Grants, NIU DOIT Grants, NIU CHHS Grants, NIU Research and Artistry Grants, NIU Great Journeys Grants, and NIU Student Engagement Grants. Submissions of external grants have included the NIH AHRQ, the Borchard Center for Law and Aging, the Retirement Research Foundation, and the National Palliative Care Research Center. Additionally, I have published four peer-reviewed manuscripts, with two additional manuscripts under review. Presentations have been accepted at professional conferences, including the Gerontological Society of America and the American Public Health Association Annual Meetings.”

Another recipient said:

“My sabbatical leave afforded me the chance to jumpstart the project that has come to define the last three years of my career. My release from teaching and service responsibilities meant I was free to team up with Professor Amy J. Binder (UC San Diego) to study student activism when the opportunity presented itself. The ability to dedicate all of my time to research allowed us to apply for funding and begin gathering data in a matter of months. During the two semesters I was on sabbatical leave, I traveled to four states to conduct interviews with politically engaged students at flagship public universities. These multi-day trips would have been impossible had I been teaching my own classes at the time. I also would not have been able to so thoroughly immerse myself in the project had I been balancing my research priorities with lecturing, grading, and attending committee meetings. As of this report, Professor Binder and I have presented our findings at two conferences (a third was canceled because of COVID-19), published a journal article, and submitted a second article for review. Most importantly, we have a book contract with the University of Chicago Press, and we have written several high-impact pieces for the popular press. Additionally, over the last few years we have been consulted by policy experts and interviewed by journalists in reference to our project.”

And another:

“My personal goal was to advance the research of the prospective annotated and illustrated catalogue of the exceptional Burma Art Collection (BAC) at NIU. My second goal was to secure a permanent storage place for this collection. For the first goal this sabbatical allowed me to devote myself to further researching contents for the essays for the BAC catalogue based on the past eleven exhibits I mounted as well as to studying several important European collections of Burmese art. The second key element was succeeding, finally, to being awarded a federal grant of \$250,000 from the Institute of Museums and Library Services (IMLS) for moving and re-housing the BAC into a proper dedicated space with access to all artworks vastly facilitated by compact shelving units.”

Several recipients focused on curricular redesign or pedagogical innovation to support student success. A faculty member describes the impact of the sabbatical on teaching:

“I have integrated CPA review materials that I authored into my classes at NIU to help prepare our students to sit for the CPA exam. Becoming a CPA review author has helped me to build a reputation at the national and international levels and I hope these efforts reflect positively on and enhance NIU’s Department of Accountancy’s national reputation. I am now an invited speaker at events covering CPA review efforts and CPA candidates around the world are studying for the exam using materials that I authored. Since my sabbatical, I have expanded my footprint as an author by writing more chapters for the text. In August 2017, I attended Grant Thornton’s Audit Leadership Conference which is the training that professionals at the manager level and above

receive in our field of audit. This positively impacted my ability to link my NIU audit classes (both external and internal audit classes) to the latest methods used in the audit profession and supported my role as NIU's Grant Thornton Professor of Accountancy."

Another recipient said:

"I have gained greater fluency in Spanish, and the process of beginning an additional field site has been invaluable as a reminder of the reasons for conducting participant observation. It has already impacted my thinking on teaching and research... enriching curriculum development, and impacting courses in both Anthropology and NGO such as: International NGOs and Globalization; Anthropology and Contemporary World Problems, and Peoples and Cultures of the Caribbean. I also have more to offer Latinx students on campus. Writing Humanity's Last Stand, which is being published in a couple months, encouraged me to rethink anthropology's relevance regarding contemporary world issues...the result is a book that is very user friendly and couldn't be timelier. The companion website will make it a good teaching tool for both university classrooms and community organizations."

Many faculty were engaged in activities that supported NIU's commitment to diversity and inclusion, sustainability and social justice. One faculty member's scholarship in Critical Race Studies gained attention from peers leading to a three-year elected service position (2020-2022) representing Race and Ethnicity in the Profession for the Modern Language Association's Delegate Assembly and was also asked to lead the Department of English's Committee on Anti-Racism and Diversity Initiatives. Another used the sabbatical leave, in part, to diversify and enrich her musical repertoire, including both Israeli and Jewish repertoire, and share the findings of her research with students to expose students to a wider range of musics and cultures and encourage them to explore their heritage as well as that of others.

The investment that NIU makes in its faculty and staff yield dividends in cutting edge research and artistic activity, more research opportunities for NIU's students, exciting new pedagogical approaches and courses, and allows NIU to bring its expertise to the region, state, nation, and world.

FACULTY PRESENTATION ON SABBATICAL LEAVE

The university awards sabbatical leaves for the purpose of supporting and encouraging research, scholarship, creativity and artistry that strengthen its academic programs. Proposals for sabbatical leaves prepared by tenured faculty and members of the supportive professional staff undergo a rigorous set of reviews at the department, college and university levels to determine if they meet the criteria that address the quality of the proposed sabbatical work, the capacity of the applicant to conduct the work and the likelihood of completion of the proposed project. In the sabbatical leave proposals, applicants include information about their program of research, scholarship, creativity and artistry, how that program would be advanced by the leave and the proposed outcomes of the sabbatical.

Associate Professor Orna Arania, School of Music, recently completed a sabbatical and will present a brief report on the scholarly work she completed during her leave.

SERIES 2011 CHF BOND REFINANCING WITH SERIES 2021 AFS BONDS

Background on 2011 CHF financing

In 2011, in order to accelerate the construction of new residence hall facilities on campus, Northern Illinois University collaborated with Collegiate Housing Foundation (“CHF”) to privately finance and construct New Hall, and then leased it back to the University through the bonds maturity in fiscal year 2044. As part of this private, tax-exempt financing, a similar private financing completed with CHF in 2006 for the Northern View Apartments was also refinanced at that time. An amount of \$121.9M is currently outstanding on these Series 2011 tax-exempt CHF Bonds (the “2011 CHF Bonds”) for which CHF is the underlying Obligor.

The University’s lease payments to CHF are used to:

- a) pay debt pay service on the 2011CHF Bonds;
- b) make required repair and replacement fund contributions; and
- c) pay CHF-related fees.

The Series 2011 CHF Bonds’ Management Agreement also requires the University to make additional payments if occupancy in the two residence halls falls below 95%, or if there is a revenue shortfall to meet debt service coverage requirements.

In such a case, NIU must support the project by providing the revenue shortfall needed to meet the debt service coverage obligations. In 2020, owing to lower occupancy due to the COVID-19 Pandemic and refunds provided to students, NIU provided support to the project in an amount of approximately \$2.2M, on top of its usual payments to support bond debt service. This extra support allowed the project to meet its 1.2X debt service coverage ratio requirement for FY20.

Overview of the Refinancing Opportunity

While both New Hall and the Northern View Apartments are owned by CHF, NIU manages both facilities. The bond documents allow for the University to purchase the facilities by paying off the outstanding tax-exempt 2011 CHF Bonds and paying any accrued management fees. For NIU, the first opportunity to close such a refinancing, and simultaneously effect the purchase of the buildings and expansion of the Auxiliary Facilities System (AFS) will be on or after July 1, 2021.

The rate on the 2011 CHF Bonds for NIU’s project is very high at 6.86%, about 4% higher than the rate on NIU’s Series 2020 AFS bonds. As a result, NIU has been considering a refinancing of this debt through its AFS for some time. With the debt markets improving since the beginning of the pandemic, NIU is now poised to move forward with this refinancing (the “Series 2021 AFS Bonds”).

In addition to a reduction in payments owing to a lower rate (see “Potential Savings from a Refinancing” section below), the Series 2021 AFS Bonds refinancing will provide a number of operational flexibilities and economic efficiencies. These include the ability for NIU to set its own room rates for the two residence halls and avoid restrictive occupancy and “first fill” requirements, as well as cumbersome site-specific profitability requirements. NIU will also avoid duplicative and costly budgeting, audit and rating agency processes and fees.

Financing Climate (Ratings, Bond Insurance and General Rate Movements)

NIU’s Moody’s rating on its AFS bonds has been at “Ba2” (stable) since May 2019 and was re-affirmed in February of 2020. Moody’s has consistently said that it views the University’s

commitments to the 2011 CHF Bonds as significant, and therefore already views those bonds as “on balance sheet” when it evaluates NIU’s creditworthiness. As a result, the University and its advisors do not expect the refinancing of this debt into the AFS system, in and of itself, to lower the Moody’s AFS rating.

The University’s Series 2020 AFS bonds carried bond insurance, which allowed NIU to refinance prior debt at low rates. However, it is unlikely that bond insurance will be available for the proposed Series 2021 AFS financing, at least not at this time. After extensive conversations with the Series 2020 bond insurer, Build America Mutual (“BAM”), the company indicated that it is unwilling to consider any commitment until mid-to-late Fall of 2021. BAM also noted that it would have a limit of about \$40M on the amount of insurance it could offer, owing to the high level of NIU’s debt that it already insures. This would only cover 35% - 40% of the proposed Series 2021 AFS Bonds, if that commitment were ultimately made at all.

Between late 2020 and early February 2021, the market for *uninsured* higher education and other municipal credits has improved considerably, making savings from the refinancing of the 2011 CHF Bonds attractive. With rates historically low due to federal support of bond markets, more investors have been searching for higher yield investments, and have bid down the rates on debt for such issuers.

Guiding Principles of the Refinancing

University leadership has adopted the following guiding principles for this refinancing:

- The Series 2021 AFS Bonds will not include any monies for new projects;
- The new debt payments will not extend beyond FY44, the fiscal year of the final maturity date of the Series 2011 CHF Bonds; and
- The refinancing will be structured to maximize savings in FY22-FY24 to mitigate budgetary impact of closing the structural budget gap.

Bond Underwriter “Pricing Proposal” RFP Process

On January 12, 2021, the University and its long-time financial advisor, Longhouse Capital Advisors, sent out a “Pricing RFP” to the five members of NIU’s underwriting pool, which was established in late 2019. The University received five responses from pool members on January 28th. All underwriters provided estimated rates and fees for the refinancing, and all re-affirmed their business enterprise program (“BEP”) commitments. Based on the proposal content, Piper Sandler was selected as senior managing underwriter for the refinancing and Wells Fargo was selected as co-managing underwriter. BEP partner firms Backstrom McCarley Berry & Co., Estrada Hinojosa; and Siebert Williams Shank will also serve as co-managing underwriters.

Potential Savings from a Refinancing

Savings estimates from the underwriters’ Pricing RFP responses showed a minimum total savings over the life of the refinanced bonds of approximately \$37.7M. Final savings will be subject to changes in rates and in the University’s underlying AFS rating, among other factors, and could be higher or lower than this estimate.

Next Steps: General Financing Assumptions / Unwinding of the CHF Agreements

The Plan of Finance that was provided to underwriters in the Pricing RFP assumed a fixed rate, uninsured AFS financing with a final maturity in FY44. The bonds are assumed to have no Debt Service Reserve Fund, although one could be included if it is found to significantly lower NIU’s overall rate. The bonds could price as early as April or May of 2021, with a closing in early July of 2021.

In parallel to the Series 2021 AFS Bonds financing process, the University plans to work with

CHF to unwind the Series 2011 CHF Bonds' lease and management agreements. NIU has already had an initial meeting with CHF to set out milestones for that process, and the organization has expressed its willingness to work to meet the University's refinancing timeline.

University leadership will present an update at the Board of Trustees meeting scheduled for March 18, 2021.

QUARTERLY FINANCIAL SUMMARY - FISCAL YEAR 2021 SECOND QUARTER AS OF DECEMBER 31, 2020

Background: With the December 31, 2020 conclusion of the second quarter of the 2020-21 fiscal year (FY21), the University is now able to update the Board of Trustees on NIU's financial performance relative to the current year budget and prior year actuals. A full-year projection, primarily based on current spending, is also provided.

The FY21 Year to Date Forecast presented today incorporates an all-funds deficit of \$26.5M based on projected revenues of \$362.7M and projected expenditures of \$389.2M. These full-year expectations will be adjusted as the second federal relief program (Higher Education Emergency Relief Fund II) authorized in December is implemented.

Through the second quarter of FY21, the University received \$121.4M more revenue (\$303.9M) than was spent (\$182.5M), producing a net revenue 2.7% (\$3.4M) less than a year ago (second quarter, FY20). Tuition and Student Fee revenue grew 7.5%, or \$11.3M compared to FY20; however, the growth is primarily due to an operational change concerning when some fee revenues are recognized. Overall, revenue lagged the second quarter of FY20 by \$18.2M, mostly due to the impact of the COVID-19 pandemic on housing, sales, and other revenue sources. With less density on campus than originally expected, overall revenues trailed budget by \$20.1M (6.2%).

On the expense side, overall spending relative to FY20 decreased by 7.5% (\$14.8M), including lower overall Personnel Services expenses by 4.8% (\$5.4M) and lower Contractual Services expenses by 18.1% (\$6.9M). Scholarship spending increased \$4.4M from the prior year, partially driven by the federal CARES Act and the AIM High scholarship program. Overall, expenses through the second quarter of FY21 are \$18M below budget, reflecting cost containment efforts implemented throughout the NIU community. Based on current projections, expenses are trending 7.5% under budget for the full year (\$31.6M); however, revenues also are trending below budget by \$26M, or 6.7%.

Leadership continues to monitor the budget through the active review of revenue assumptions, including the receipt of state appropriations and additional federal assistance; and anticipated auxiliary revenue associated with housing, dining, sales and conferences. Additionally, NIU leadership is closely monitoring information provided by the Governor and the Illinois Department of Public Health. The health, wellness, and safety of the entire campus community is a priority and remains at the center of our decision-making.

As this report reflects activity and trends through the first half of the fiscal year, unexpected changes in the operating environment or spending patterns in the coming months may have a significant impact on expected results for the full fiscal year. Spending patterns that will be closely monitored for such changes include those in Contractual Services (currently 25.4% below budget), Personnel Services (currently 3% below budget), and Commodities (66.7% below budget). Because this is a dynamic environment, the university will continue to present quarterly budget updates to the Finance, Audit, Compliance, Facilities and Operations Committee of the Board of Trustees throughout calendar year 2021 noting budget performance, summarizing variances, and providing year-to-date forecasts.

Revenues

- 1. Tuition and Student Fees:** All tuition, including differential tuition, course and materials fees, athletics fees, bus fees, and health service fees.

2. **Gifts, Grants, & Contracts:** Includes on-campus scholarships, research grants and associated indirect cost pools, Pell grants, and sub-contract fees for research.
3. **Other Fees and Fines:** Includes parking, residential living-learning community fees, parking fines, and transcript and commencement fees.
4. **Sales:** Includes board plan and retail food sales, concessions sales, advertising/sponsorship, sales of services to off-campus entities (including, but not limited to catering, childcare, and conference services).
5. **Rental & Room Income:** Includes room fees for residential students, rental of on-campus and off-campus meeting and conference space, hotel revenues, and Northern View apartment revenues.
6. **Gate Receipts & Commissions:** Includes athletic ticket sales, performing arts ticket sales, commissions, and concert/event revenues from the Convocation Center.
7. **Miscellaneous & Investment Income:** Includes athletics' game guarantees, NIU share of conference tournament revenues, rental of facilities, and interest income from investments, gains and losses on disposals of fixed assets, and year-end transfers to mandated reserves in the auxiliary facilities system.
8. **State of Illinois:** Represents the annual state appropriation to public universities.

Expenses

9. **Cost of Sales:** Includes the cost of all items purchased for resale on campus such as food for dining units, parts and supplies to be charged out through the campus work order system, as well as paper for pay-to-print copiers and printers.
10. **Personnel Services:** Includes all salaries paid to faculty, supportive professional staff, civil service, graduate assistants, extra help, and student employees. Also includes required payments for Medicare and employee health insurance.
11. **Contractual Services:** Includes annual software support, subscriptions, conference registrations, non-employee travel reimbursements, service contracts, repairs & maintenance, grounds, building service work charges, speaking fees, and other arrangements with outside contractors to perform services for the University.
12. **Commodities:** Includes purchased items of a low cost that typically are consumed in a single year. Examples include paper for printing, lab supplies, napkins, and cleaning supplies.
13. **Travel:** Includes airfare, hotel rooms, mileage, meals (all up to limits set by the state and the University), and ancillary expenses for employees to travel to-and-from campus on official University business.
14. **Automotive:** Includes the cost to rent cars, vans, and busses from the University transportation department.
15. **Scholarships:** Includes scholarships awarded, including Pell Grant funds disbursed (which, when netted against Pell Grant funds received, results in zero effect on the University's cash position).
16. **Telecommunications:** Includes the cost of providing phone, internet, and other digital services to the University.
17. **Equipment & Library Books:** Includes the cost of all items over \$100 with an estimated useful life of two years or more, as well as library books, journal subscriptions, manuscripts, films, music, and video materials.

18. Capital Repairs: Includes the cost of centralized capital repair activities.

19. Debt Service: Includes debt service payment on bonds, certificates of participation, and performance contracts.

20. Miscellaneous Expense: Includes refunds issued for on-campus external programming, deposit refunds, and other expenses not classified elsewhere. This category also includes miscellaneous year-end accrual and other adjustments.

Following is a financial summary of the University's operations as of the end of the second quarter of FY21 compared to the previous fiscal year and the FY21 budget.

Northern Illinois University
as of December 31, 2020
(\$ in thousands)

	Current Year FY21			Prior Year FY20		Current Year FY21		
	Second Quarter			Second Quarter		YTD Forecast	Annual	
	YTD Actuals	YTD Budget	Variance	YTD Actuals	Variance		Budget	Variance
Revenue								
Tuition & Student Fees	\$ 161,093	\$ 151,608	\$ 9,485	\$ 149,792	\$ 11,302	\$ 168,321	\$ 168,734	\$ (413)
Gifts, Grants, & Contracts	29,580	24,940	4,640	28,185	1,395	56,211	57,476	(1,265)
Other Fees and Fines	1,822	4,043	(2,221)	4,762	(2,940)	2,522	5,303	(2,780)
Sales	11,685	22,915	(11,230)	21,208	(9,522)	15,835	28,711	(12,876)
Rental & Room Income	18,782	35,895	(17,113)	31,092	(12,310)	19,445	29,116	(9,671)
Gate Receipts & Commissions	130	486	(355)	869	(739)	200	1,757	(1,557)
Miscellaneous & Investment Income	2,036	1,644	392	3,707	(1,672)	12,322	9,788	2,534
State of Illinois	78,730	82,407	(3,677)	82,426	(3,696)	87,804	87,804	-
Total Revenue	\$ 303,859	\$ 323,938	\$ (20,080)	\$ 322,041	\$ (18,182)	\$ 362,660	\$ 388,689	\$ (26,029)
Expenses								
Cost of Sales	\$ 1,174	\$ 2,592	\$ (1,418)	\$ 2,806	\$ (1,632)	\$ 1,920	\$ 4,108	\$ (2,188)
Personnel Services	106,468	109,730	(3,262)	111,839	(5,371)	218,064	222,932	(4,868)
Contractual Services	31,326	41,966	(10,640)	38,257	(6,931)	66,267	86,565	(20,298)
Commodities	1,709	5,134	(3,425)	2,976	(1,266)	6,307	8,409	(2,102)
Travel	171	2,717	(2,546)	2,352	(2,181)	571	4,090	(3,519)
Automotive	318	732	(414)	646	(328)	570	1,188	(618)
Scholarships	32,184	26,455	5,729	27,794	4,390	61,127	55,632	5,495
Telecommunications	233	228	5	98	135	629	590	39
Equipment & Library Materials	3,783	4,958	(1,175)	4,526	(744)	7,338	7,495	(157)
Capital Repairs	293	1,543	(1,250)	922	(629)	1,500	2,977	(1,476)
Debt Service	3,355	2,862	493	3,258	97	24,500	24,672	(172)
Miscellaneous Expense	1,469	1,554	(85)	1,815	(345)	397	2,175	(1,778)
Total Expenses	\$ 182,485	\$ 200,473	\$ (17,988)	\$ 197,290	\$ (14,805)	\$ 389,191	\$ 420,833	\$ (31,642)
Net Revenue	\$ 121,374	\$ 123,466	\$ (2,092)	\$ 124,751	\$ (3,377)	\$ (26,531)	\$ (32,144)	\$ 5,613

PERIODIC REPORT ON INVESTMENTS FOR PERIOD ENDING DECEMBER 31, 2020

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

- Cash and Investment Holdings Summary as of December 31, 2020
- Investment Earnings for the quarter ended December 31, 2020

The *Cash and Investment Holdings Summary* at December 31, 2020 shows NIU's total holdings at just over \$130M. Of the total holdings balance, approximately \$77.7M is available for daily operations providing more than 60 days cash on hand. The remaining balance is restricted per collateralization requirements and contractual obligations. The total holdings balance is \$20M lower than the balance at December 31, 2019. The overall decrease is a result of planned spending of Build America Bond proceeds on the Holmes Student Center renovation project, and lower cash receipts over the same period of the previous fiscal year. At December 31, 2020, the university had vouchered the State \$78.7M for FY21 appropriations. As of this date, \$35.7M has been received.

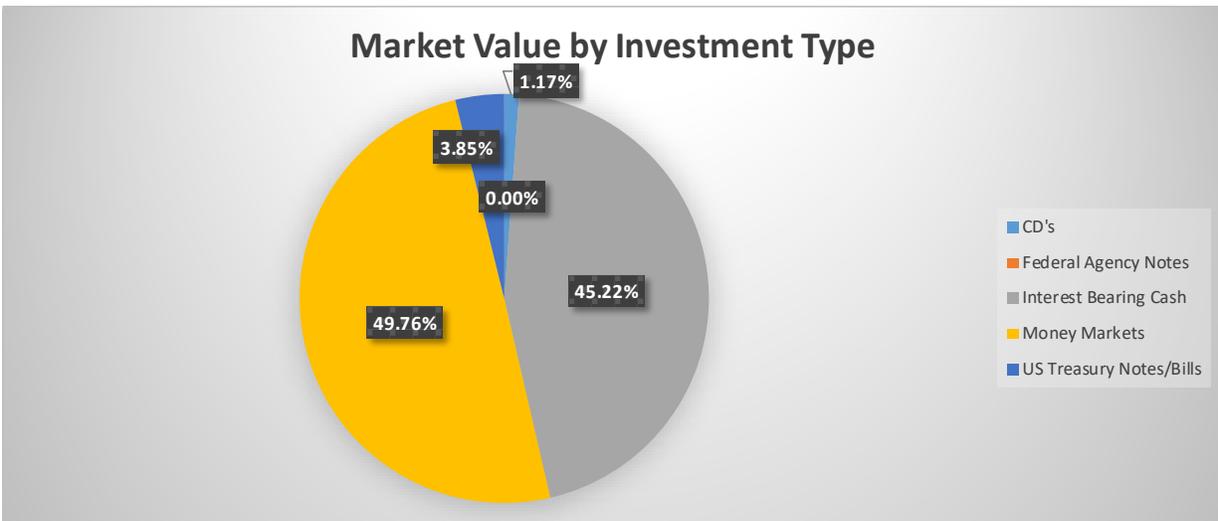
Most operating funds were invested in money markets and investment savings accounts because cash and cash equivalents were earning higher yields than long term investment instruments during the second quarter of FY21.

The *Investment Earnings* report shows income of \$66,843 and an overall annualized rate of return of .16% for the 2nd quarter. The lower return this quarter over prior quarters resulted from lower interest rates and cash balances.

The coronavirus pandemic remains a headline in economic forecasts. It altered consumer habits and industries, including higher education, throughout 2020. Vaccine development and distribution has the economy primed for recovery during the latter part of 2021 or 2022. However, growth is expected at a slow pace and the federal funds interest rate is expected to remain at its current, near-zero level. Management continues to monitor cash flow activity and align fiscal policy with operating capacity in support of University priorities.

NORTHERN ILLINOIS UNIVERSITY
CASH and INVESTMENT HOLDINGS SUMMARY
 December 31, 2020
 For Fiscal Year 2021

Investment Type	Purch Price/ Ending Bal *	Book Value **	Market Value ***
CD's:			
Local Funds	\$ 1,514,208	\$ 1,514,208	\$ 1,514,208
Federal Agency Notes:			
Local Funds	\$ -	\$ -	\$ -
Interest Bearing Cash Accounts:			
Local Funds	\$ 58,739,789	\$ 58,739,789	\$ 58,739,789
Money Markets:			
Contributory Trust	\$ 9,839,000	\$ 9,839,000	\$ 9,839,000
Local Funds	54,347,455	54,347,455	54,347,455
Project Funds	466,273	466,273	466,273
	\$ 64,652,728	\$ 64,652,728	\$ 64,652,728
US Treasury Notes/Bills:			
Local Funds	\$ 5,048,438	\$ 5,002,292	\$ 5,004,595
TOTAL INVESTMENT HOLDINGS	\$ 129,955,163	\$ 129,909,017	\$ 129,911,320
Non-interest Bearing Cash	\$ 291,043	\$ 291,043	\$ 291,043
TOTAL CASH & INVESTMENT HOLDINGS	\$ 130,246,206	\$ 130,200,060	\$ 130,202,363
TOTAL REPORTED FOR 12/31/2019	\$ 150,378,479	\$ 150,507,992	\$ 150,521,812



* Amounts per Bank and Investment Statements

** Purchase price, net of accumulated amortization of premiums and discounts

*** Estimated price for which an investment would sell in the marketplace

Assets reported in the CASH and INVESTMENT HOLDINGS SUMMARY comply with the Illinois Public Funds Investment Act (30 ILCS 235) and the NIU Investment and Cash Management Policy

**NORTHERN ILLINOIS UNIVERSITY
INVESTMENT EARNINGS
For Fiscal Year 2021
July 1, 2020 - December 31, 2020**

	December 31 Ending Balance	Qtr 2 Average Daily Balance	Percent of Portfolio	Qtr 2 Income Earned	Annualized Rates of Return				
					FY2021		FY 2020		
					2nd Qtr	1st Qtr	4th Qtr	3rd Qtr	
Short-Term Investment Accounts									
Illinois Funds	\$ 54,347,455	\$ 53,633,136	41.14%	\$ 12,857	0.095%	0.177%	0.713%	1.521%	
Investment Accounts - Financial Institutions	\$ 58,739,789	\$ 59,717,221	45.82%	\$ 27,898	0.185%	0.287%	0.856%	1.555%	
Contributory Trust	\$ 9,839,000	\$ 9,838,719	7.55%	\$ 569	0.023%	0.085%	0.437%	1.180%	
Investment Accounts - Project Funds	\$ 466,273	\$ 603,300	0.46%	\$ 9	0.006%	0.003%	0.424%	1.585%	
CD's	\$ 1,514,208	\$ 1,514,208	1.16%	\$ 305	0.080%	0.058%	0.186%	1.072%	
ST Investment Accounts Total	\$ 124,906,725	\$ 125,306,584	96.14%	\$ 41,638	0.132%	0.217%	0.741%	1.524%	
Fixed Income Securities									
Local Funds	\$ 5,048,438	\$ 5,048,438	3.87%	\$ 25,205	0.873%	1.210%	2.025%	1.890%	
Fixed Income Securities Total	\$ 5,048,438	\$ 5,048,438	3.87%	\$ 25,205	0.873%	1.210%	2.025%	1.890%	
Non-interest Bearing Cash	\$ 291,043	-	-	-	-	-	-	-	
COMBINED TOTAL	\$ 130,246,206	\$ 130,355,022	100.00%	\$ 66,843	0.16%	0.35%	1.05%	1.61%	

Assets reported in INVESTMENT EARNINGS comply with the Illinois Public Funds Investment Act (30 ILCS 235)
and the NIU Investment and Cash Management Policy

Agenda Item 8.b.7.
March 18, 2021

Information

**CAMPUS PLANNING IN SUPPORT OF UNIVERSITY PRIORITIES
PRESENTATION**

John Heckmann, Associate Vice President for Facilities Management & Campus Services, will give a presentation.

**QUARTERLY SUMMARY REPORT OF TRANSACTIONS
IN EXCESS OF \$100,000 FOR THE PERIOD OCTOBER 1, 2020 TO
DECEMBER 31, 2020**

Purchase Amount	No. of Transactions	Appropriated*	Non-Appropriated	Total
Over \$100,000	10	\$400,000	\$1,134,661	\$1,534,661

TRANSACTIONS DETAIL:

Purchases:

1. The Division of Information Technology requested permission to utilize the renewal option of Bid #CAB156820 for the period 7/1/20-6/30/21 for 10 Gig ISP link for ISP services to DeKalb Wellness and Literacy Center, located at 3100 Sycamore Road. This was the fifth of nine renewal options based on a bid opened September 29, 2015. (Syndeo Networks, Inc., St. Charles, IL) 101,250
2. Housing and Residential Services requested permission to renew cable service for the period through June 30, 2021. This was the seventh year of nine renewal options allowed in the Invitation for Bid opened on December 31, 2016 (Bid # BML110112). IPHEC renewal award was dated July 1, 2020. (Apogee, Austin, TX) 129,957
3. Athletics requested permission to issue an open order for the Mid-American Conference COVID-19 testing program for the period through 6/30/21. (Mid-American Conference, Cleveland, OH) 130,000
4. University Libraries requested permission to purchase Dell Latitude laptops. Due to COVID-19, the increase in on-line instruction, and the financial hardship on many of our students, University Libraries was circulating laptops to students who lack personal devices. (Dell Marketing LP, Round Rock, TX) 157,004
5. University Libraries requests permission to renew their access to Web of Science and Journal Citation reports for the period January 1, 2021 through December 31, 2021. (Clarivate Analytics (US) LLC, Philadelphia, PA) 175,000*
6. Athletics requested permission to issue an open order for the Student Athlete Book Loan Program for the period through June 30, 2021. This procurement was processed under the authority of RFP #JMT05012018. (Follett Bookstore Management award) (Follett Higher Education Group Inc., Westchester, IL) 135,000
7. An emergency FY21 open order was requested by the Department of Counseling and Consultation Services for sealed proposals for counseling and psychotherapy services. The services are to be rendered at prospective vendor's office, telehealth, or scheduled visits at the NIU DeKalb location. (Compassionate Edge Inc., Aurora, IL) 225,000*

Capital Improvement Projects:

1. The West Plant chillers and associated other equipment required annual maintenance and repairs to ensure that west campus would have chilled water for the next cooling season. The repairs included annual routine maintenance work and chiller tube testing on all four chillers, oil changes on two of the chillers, replacement of electronic level sensors and pump bearing maintenance and replacement as required. These upgrades inherently contributed towards improving the efficiency of the equipment. The maintenance and repairs needed to be completed during the winter shutdown of the chillers. 184,350

2. Annual maintenance and repairs were required at the West Heating Plant each winter to ensure that the aging steam boilers and associated steam distribution equipment would have the ability and capacity to operate and generate steam needed for the entire campus during the summer season. Many of the repairs were related to worn, broken or non-functioning steam valves, nozzles, gauges, vents, expansion joints, control calibration equipment and other failed equipment that could cause serious operational and safety hazards or problems if not operating properly. To ensure that the reliable and safe steam production capacity was available for the next summer season, the maintenance and repairs needed to be completed during the winter shutdown of the West Plant. 165,050

3. The Chilled Water Plant chillers and associated other equipment which serves the east side of campus required annual maintenance and repairs to ensure that east campus would have chilled water for the next cooling season. The repairs included annual routine maintenance and chiller tube testing on all four chillers, relocation of the chemical injection points, pump bearing maintenance and replacement as required. These upgrades inherently contributed towards improving the efficiency of the equipment. The maintenance and repairs needed to be completed during the winter shutdown of the Plant. 132,050

*Appropriated/Income Funds

STATE LEGISLATIVE REPORT

On January 13, 2021, members of the 102nd Illinois General Assembly were sworn into office. The current partisan breakdown is 40 Democrats and 18 Republicans in the Senate and 73 Democrats and 45 Republicans in the House. Democrats hold veto-proof majorities in both bodies, although this advantage becomes less important with a Democratic governor.

Most notably, after serving as Speaker of the House for all but two years since 1983, Michael Madigan was not re-elected. After no one received a majority after three rollcalls were cast, Emanuel “Chris” Welch was selected by the Democrats with 70 votes. Welch becomes the state’s first Black Speaker of the House. Greg Harris and Jim Durkin were re-elected as the House majority and minority leaders, respectively. In the Senate, Don Harmon was re-elected as president and Kimberly Lightford as majority leader. Dan McConchie was elected Senate minority leader, replacing Bill Brady.

Speaker Welch has promised changes to House rules that would give individual lawmakers and legislative committees more autonomy. He has also promised more transparency and to work across the party aisle.

Although the university will be focused on several issues during this legislative session (e.g., the release of capital funding, procurement reform), the highest university priority remains stable funding in the FY22 budget. The Illinois Board of Higher Education (IBHE) recently approved a proposed budget model “based on each institution’s percentage of Pell students in its undergraduate student body compared to the statewide percent of Pell students” (IBHE, January 13, 2021, Item #E-1). Under the IBHE’s proposal, NIU would receive slightly more than a 2% increase in state funding in FY22 (\$89.6 million). Recall that in December 2020, the NIU Board of Trustees approved a budget request to the IBHE of \$93.6 million.

Before the new legislature was sworn in, the 101st Illinois General Assembly held a lame-duck session unlike any that longtime state political observers could remember. At one point, the Senate remained in session throughout the night. Because of the canceled veto session last fall, there was pent-up demand to pass legislation, particularly a series of omnibus bills proposed by the Black Caucus. The four pillars in the Black Caucus agenda are criminal justice reform, violence reduction and police accountability; education and workforce development; economic access, equity and opportunity; and health care and human services. All four omnibus bills, each of which was several hundred pages long, passed both chambers and now await action by Gov. Pritzker. Three of those bills have significant direct effects on the university. Here is a brief synopsis of each:

HB2170 Education Bill

- AIM High Sliding Scale Match
 - Adds language to the AIM High Grant Pilot Program requiring that if 49% or more of the students at a public university are Pell-eligible in the previous academic year, then the university is only required to match 20% of the funds appropriated to it under the AIM High Grant Pilot Program. However, if less than 49% of the student body at the university receives Pell grants in the previous academic year, then the university is required to match only 60% of the funds appropriated to it under the program. NIU falls under the latter. This is a change from the program’s current 1-to-1 match.
- Creates the Developmental Education Reform Act

- Requires each institution of higher education to publicly post its placement policy in an easily accessible manner to both students and prospective students.
- Requires each university to submit to the IBHE its institutional plan for scaling evidence-based developmental education reforms to maximize the probability of student placement and completion of certain introductory coursework. Sets minimum components for inclusion with submission on or before May 1, 2022.
- Requires the IBHE to collect data and give a status report to the General Assembly as well as the public every two years beginning or before January 1, 2023.
- Requires the IBHE to work with institutions of higher education and other stakeholders to consider additional data reporting requirements for the continued evaluation of the institution’s implementation plan and its impact on students, particularly Black students. This action must be taken every two years beginning on or before January 1, 2024.
- Board of Higher Education Equity in Strategic Plan Resolution
 - This resolution supports the IBHE in its efforts to identify more race-conscious and equitable ways to allocate higher education funding and to address long-term inequities by developing equitable funding mechanisms in the Strategic Plan for Higher Education for the next 10 years. Provides that IBHE should:
 - Identify equitable and adequate ways to fund the system;
 - Identify an array of policy, practice and proposed legislative changes required to implement the strategic plan along with an implementation process timeline; and,
 - Embed equity into the state’s attainment goals.
 - Urges the Board of Higher Education to prepare an array of policy, practice and proposed legislative changes required to implement the strategic plan, along with an implementation process and timeline by May 1, 2021; and, finally,
 - Urges IBHE to regularly evaluate the impact of the implementation of the Strategic Plan and publicly report this evaluation.
- Changes to the Minority Teacher of Illinois Scholarship
 - Requires that MTI scholarships be allocated first to qualified students who received scholarships in the previous year, and then the remaining funds be allocated to students on the basis of financial need, as well as increases the qualified minority male set-aside from 30% to 35%.
 - Increases the annual individual maximum scholarship from \$5,000 to \$7,500.
 - Provides that Black male candidates be prioritized.
 - Provides that at least 10% of the 35% male set-aside is reserved for qualified bilingual minority candidates.
 - Provides that if ISAC does not receive enough applications from qualified bilingual minorities to award 10% to qualified bilingual candidates on or before January 1 before each fiscal year, then ISAC may award a portion of the reserved funds to other minority applicants at their discretion.
- Illinois Articulation Initiative Resolution
 - The IBHE and ICCB are urged to jointly establish a “major panel” in education to identify respective recommended major courses that shall be accepted as credit toward the Education major at the receiving institutions; and

- Urges the IBHE, ICCB and ISBE provide a report on the results of this effort and any further actions necessary to achieve the stated goals as part of the report on the status of the Illinois Articulation Initiative.

HB3653 Criminal Justice Reform

- Requires all law enforcement agencies, including the NIU Department of Public Safety, to use body cameras according to specified guidelines. The scheduled date of implementation depends on county and municipality population size. Agency compliance provides preferential grant funding.
- Increases Department of State Police data collection and reporting frequency from each law enforcement agency.
- Creates Statewide Use of Force Standardization Act applying to all peace officers.
- Amends the Uniform Peace Officers' Disciplinary Act by making unavailable a complainant's name and other identifiable information to the peace officer. Removes the requirement of a sworn affidavit, and adds any other legal documentation to the ban applying to any collective bargaining agreement entered after the effective date of the provision.
- Restricts obtainment of military surplus equipment, including prohibitions on municipality acquisitions. Requires a police department to publish public notice of request for non-military surplus program equipment.
- Amends the Criminal Code of 2012.
 - Adds language on justification of use of force to include a "totality of circumstances basis" when making an arrest. Includes language for decision-making based on perspective of a reasonable officer (in the same situation).
 - Encourages the adoption and development of polices to protect certain persons more likely to experience greater levels of physical force during police interactions.
 - Adds a prohibition on chemical agents, chokeholds, and restraints above the shoulder with risk of asphyxiation. Applies to peace officers or any person acting on behalf of peace officer.
- Creates an affirmative duty to intervene to stop or prevent unauthorized use of force exceeding the degree of force permitted. Applies to peace officers or any person acting on behalf of a peace officer.
- Makes it official misconduct for a law enforcement officer to misrepresent or fail to provide details of incident, withhold any knowledge of misrepresentations, or fail to comply with state law or department policy regarding use of officer-worn body cameras.

SB1608 Small Business Innovation

- 30% minimum (previously 20%) of the total dollar amount of state contracts awarded to businesses owned by minorities, women, and persons with disabilities.
 - At least 16% (previously 11%) of these contracts shall be awarded to minority-owned businesses.
 - At least 10% (previously 7%) of these contracts shall be awarded to women-owned businesses.
 - At least 4% (previously 2%) of these contracts shall be awarded to businesses owned by persons with disabilities.

- Department of Central Management Services to further establish committed diversity aspiration goals for state contracts awarded to minority- and women-owned businesses and businesses owned by persons with disabilities.
- Amends Illinois Procurement Code by changing evaluation factors. This includes three-part proposals (including pricing and commitment to diversity) and additional subsection on the “method of scoring.”
- Adds a subsection (under duration of contracts) with prohibitive language for vendor eligibility (i.e., those failing to meet goals agreed to in the vendor’s utilization plan).
- Adds language under awards section to require a commitment to diversity factors and methodology with scoring requests for proposals.
- Adds new section on diversity training, requiring certain persons/positions to complete annual training for diversity and inclusion. Tasks the chief procurement officer with prescribing the appropriate program for their jurisdiction.
- Agency Compliance Plans:
 - adds language to subsection on filing an annual report. Requires a plan to increase the diversity of vendors engaged in contracts with public institutions of higher education. Notes a focus on the most underrepresented in contract awards.
- Creates an African Descent-Citizens Reparations Commission. Duties include ensuring proportional economic representation in all state contracts, including reviews and updates of state procurement.
- Amends the Department of Central Management Services Law of the Civil Administrative Code of Illinois by adding a section on race and gender wage reports.
 - Requires a public institution of higher education to submit an annual report, categorized by both race and gender, specifying the respective wage earnings of employees of that public institution of higher education. Information will be available to the public.

FEDERAL LEGISLATIVE REPORT

This report covers the period of November 2020 through January 2021 and encompasses NIU equities across the federal government.

Leadership in White House and Congress

On January 6, 2021, the U.S. Capitol was overrun while Congress was in session to certify the presidential election results. The building was secured after several hours and Congress completed the certification. President Joe Biden and Vice President Kamala Harris assumed office on January 20, 2021.

The House of Representatives remains a Democratic majority by 10 members. Nancy Pelosi was re-elected as Speaker of the House and Kevin McCarthy was re-elected as Minority Leader. The Senate is evenly split, and Vice President Harris has the tie-breaking vote, handing control of the chamber to the Democrats. Chuck Schumer becomes the Majority Leader, Senator Dick Durbin becomes the Majority Whip (the #2 leadership position), and Mitch McConnell becomes the Minority Leader. With Democrats controlling the House, Senate, and White House, they are expected to move quickly and decisively to implement President Biden's legislative agenda. The razor thin margins in both chambers mean that we can expect legislators to use the reconciliation process to pass high priority fiscal legislation with just a simple majority in the Senate. Relying solely on reconciliation would force the Biden Administration to narrow the scope of their legislative agenda, so bipartisan compromise will be necessary to pass legislation on immigration, infrastructure, climate change, and other priority topics.

The committee assignments for both chambers are still being determined. One notable assignment that has been announced is that Senator Dick Durbin will become the Chair of the Senate Judiciary Committee. In this powerful position, he will play an important role in advancing immigration reform and managing the confirmation of Supreme Court justices (should vacancies arise).

COVID-19 Relief

On December 27, 2020, the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) became law. The bipartisan \$900 billion supplemental relief act—over \$1 trillion less than the Coronavirus Aid, Relief, and Economic Security (CARES) Act passed in March—is the product of 9 months of negotiations. The bill provides \$22.9 billion set aside for higher education. These funds are distributed through a Higher Education Emergency Relief Fund (HEERF) structure, similar to the CARES Act but with fewer restrictions on their usage. Additionally, the Governors Education Emergency Relief (GEER) fund received an additional \$1.3 billion. The package does not include relief funding for federal science agencies, direct aid to state and local governments, or liability protections.

Legislation	NIU allocation: HEERF student aid	NIU allocation: HEERF institution aid	Illinois allocation: GEER Fund
CARES Act	\$7.4 million	\$7.4 million	\$108.49 million
CRRSAA	\$7.4 million	\$16.3 million	\$47.9 million

Table 1. NIU and Illinois allocations from recent COVID-19 relief legislation.

President Biden has released the outlines of a \$1.9 trillion COVID-19 relief package. It includes \$35 billion for higher education relief and \$5 billion for governors' discretionary education relief.

The Administration is hopeful that it will make it through Congress during their first 100 days, yet it faces a tough path in the Senate unless it can be narrowed to meet reconciliation requirements. In the meantime, President Biden and the Department of Education have extended the pause on student loan repayment through September 2021.

The higher education community estimates \$120 billion in losses/expenses related to COVID-19 and has asked Congress to provide commensurate relief. NIU continues to work in conjunction with our sister institutions across Illinois and the nation and our professional associations to make the case to Congress and the Administration that our students and institutions are in need of relief in subsequent legislation that matches the extent of COVID-19 related impacts to operations, education, and research.

Appropriations

Congress completed Fiscal Year 2021 (FY21) appropriations in mid-December, ensuring the federal government is funded through September 30, 2021. The enacted appropriation levels are across-the-board year-on-year increases for NIU priorities spanning research, education, and student financial aid. Most year-on-year increases were up to 2.5% but notable standouts are Department of Defense Science & Technology funding increased by nearly 5% and the Economic Development Administration's Regional Innovation Program increased by 15%. The bill also included several higher education policy changes:

- **FAFSA simplification** – The FAFSA will be reduced from 108 questions to 33 questions and will simplify the formula for calculating who qualifies for Pell grants. Then-Senator Lamar Alexander, the champion of this proposal, has said his legislation would make an additional 420,000 students eligible for Pell grants each year and another 1.6 million additional students would receive the maximum award.
- **Student loan interest subsidy** – The legislation repeals the policy of cutting off the subsidy for borrowers who are still in school beyond 150% of their expected program length.
- **Pell grant increase** – The legislation boosts the maximum Pell grant award by \$150 to \$6,495 for the 2021-2022 school year.
- **Expanding Second Chance Pell** – Pell grants are now available for students who are incarcerated, lifting the prohibition Congress imposed in the 1994 crime bill.

The Administration

President Biden has nominated Dr. Miguel Cardona as Secretary of Education. His confirmation hearing has not been scheduled. His experience is primarily in K-12 education and his most recent position was Connecticut's state commissioner of education. During his first week in office, President Biden signed a number of executive actions that align with NIU equities. These include:

- Revoking the “divisive concepts” Executive Order while launching a whole-of-government initiative to advance racial equity ([text](#))
- Reinforcing Title VII of the Civil Rights Act of 1964 to require that the federal government does not discriminate on the basis of sexual orientation or gender identity ([text](#))
- Presidential memorandum to “preserve and fortify” DACA and call on Congress to enact legislation to provide a path to citizenship ([text](#))
- Repeals travel ban proclamations and orders a review of “extreme vetting” immigration policies ([text](#))

Additional actions to halt or repeal Trump Administration policies in areas such as immigration are expected to continue in the coming weeks and months. NIU Federal Relations is closely monitoring these developments.

Federal Engagement with NIU

Senator Tammy Duckworth is scheduled to be the second virtual speaker in the CLAS Rebuilding Democracy Lecture Series on February 18, 2021 at 2-2:45pm CT.

SPONSORED PROGRAMS ADMINISTRATION QUARTERLY REPORT

This report covers sponsored funding activity for the first and second quarters of fiscal year 2021 (FY21), and data presented in this report is through December 31, 2020. For this period, NIU received 89 sponsored awards totaling \$14.8 million (Figure 1). This funding includes \$3.4 million awarded to NIU through the Coronavirus Aid, Relief, and Economic Security Act (CARES) Governor’s Emergency Education Relief Fund (GEER).

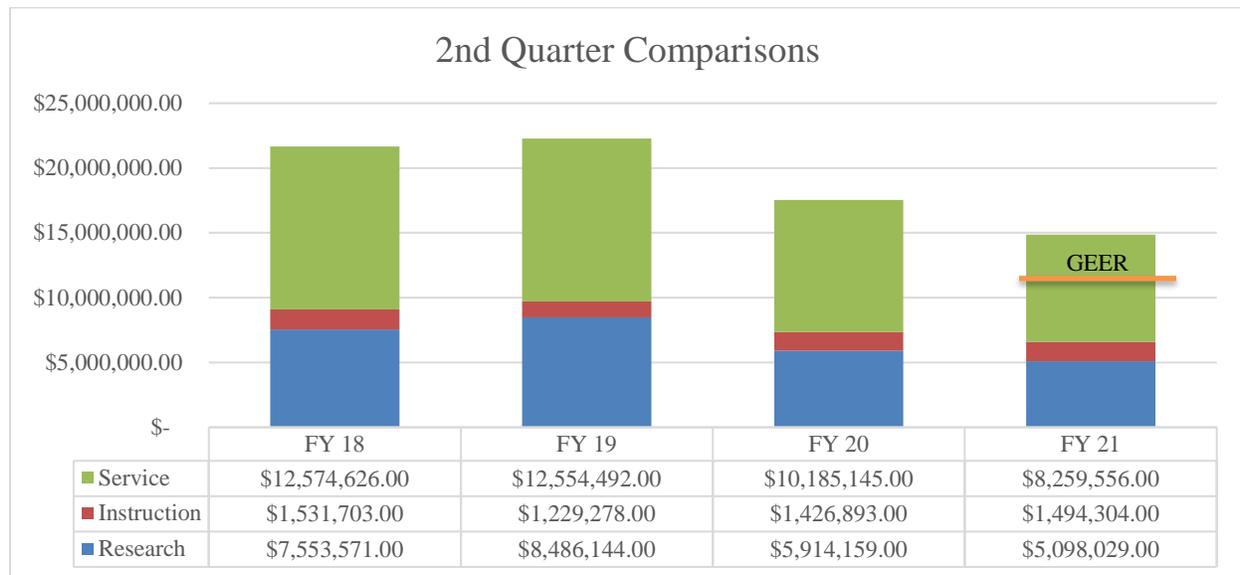


Figure 1

Funding from the U.S. Department of Education (USDE) accounts for just over half of all sponsored activities other than instruction or research. See Figure 2. These data are based on the original funding source with over half of these funds flowing to NIU through an intermediary source (e.g., USDE GEER funding flowing

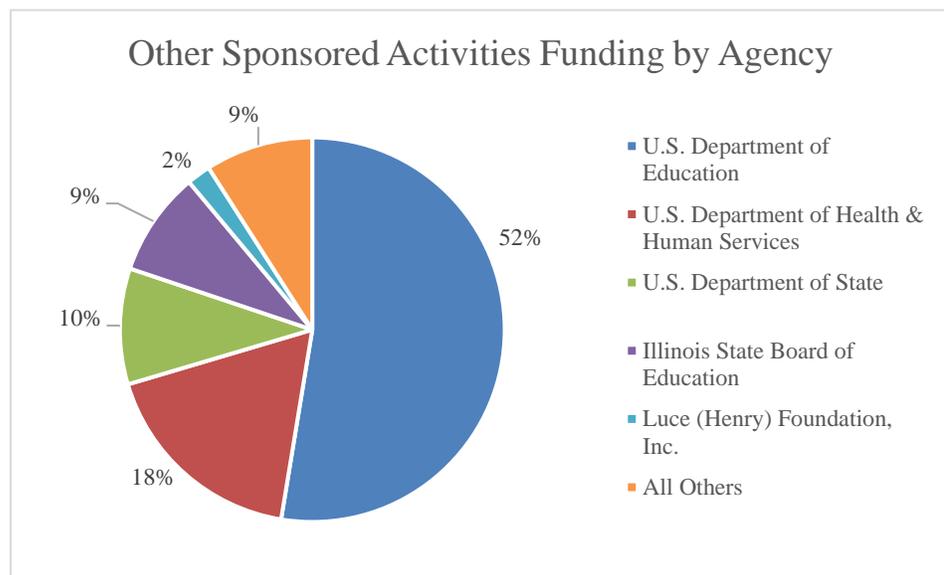


Figure 2 –OSA includes public service and all other activities other than instruction and research.

through the Illinois Board of Higher Education to NIU). Funding from the U.S. Department of Health and Human Services supports NIU’s child welfare service programs conducted on behalf of the State of Illinois as well as other P-20 activities through Outreach and Engagement.

Funding from the Illinois State Board of Education (ISBE) and USED accounts for almost all of NIU's funding for Instructional Programs. See Figure 3. ISBE funding supports early learning programs for the DeKalb community. Awards from the USED support faculty training programs in the College of Education to train and prepare those working with the visually impaired. Grant awards from the Illinois Board of

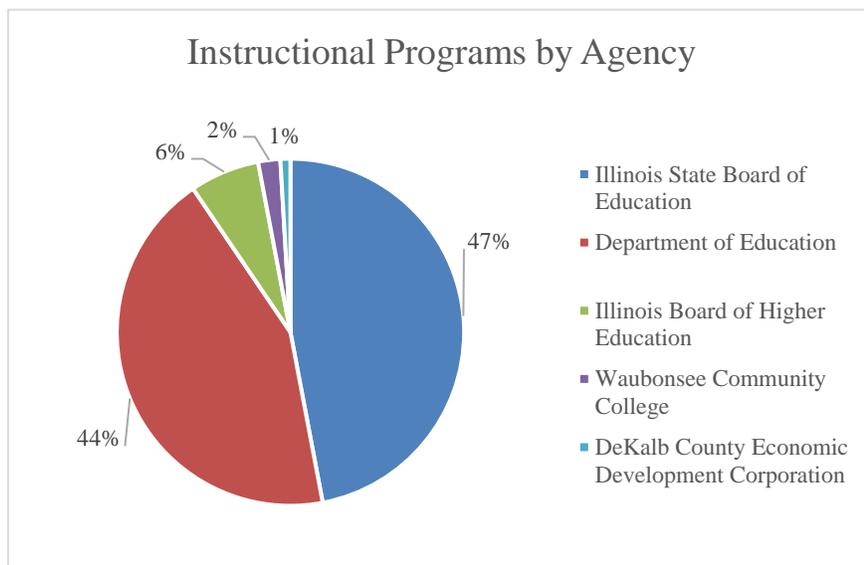


Figure 3

Higher Education provide need-based financial awards to underrepresented graduate students as part of the State's Diversifying Higher Education Faculty in Illinois Fellowship (DFI) program.

Top fund sources for research have remained relatively unchanged from last quarter's report. This quarter, National Science Foundation (NSF) funding surpassed U.S. Department of Energy funding. Faculty in Computer Science recently secured a NSF award to study machine learning and artificial intelligence while faculty in Psychology received NSF funding to develop principles to evaluate disturbance ecology. NIU's

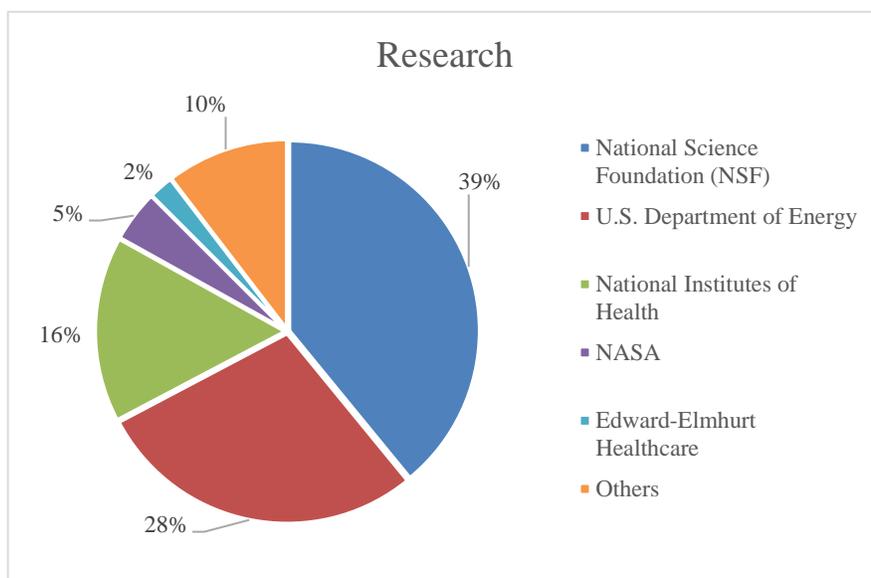


Figure 4

partnerships with area national laboratories continues to account for the majority (73%) of funding from the U.S. Department of Energy. National Institutes of Health awards support research in the College of Health and Human Sciences. These research data are also based on originating fund source, with slightly over a third (37.85%) flowing to NIU through an intermediary source.

COVID-19

Since the pandemic began, SPA staff have assisted with \$35 million in COVID-19 related funding requests and awards. Table 1 below provides the status of these actions from the start of the pandemic through the second quarter. As of writing this report, SPA is working with campus units to process the \$16.3 million in additional relief funding from the Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA). These funds will be integrated with all other funds in the third quarter report. As with CARES, the student aid portion of CRRSAA funds (\$7.4 million) will not be included in the SPA report.

Table 1: Funding associated with COVID relief.

COVID-19 Related Projects (as of 12/31/2020 – FY21 Qtr.2)		
Status	Total	# of Projects
Awarded	\$11,224,571.35	7
CARES*	\$7,487,589.00	1
GEER	\$3,402,142.09	2
Other	\$334,840.26	4
Pending	\$18,320,392.00	12
CARES	\$0	0
GEER	\$0	0
CRRSAA*	\$16,315,819.00	1
Other	\$2,004,573.05	11
Declined	\$1,813,031.22	9
Withdrawn	\$3,839,859.00	2
Total Funding Actions	\$35,197,853.50	30

* Figures do not include student aid portion of the CARES or CRRSAA funding. As noted in the August 2020 SPA report, financial aid will report these amounts.

Project changes to address COVID-19 delays and other disruptions appears to have slowed since last quarter's report with no additional requests to change scope and only two new requests for no cost extensions. This maps on to other patterns noted in RIPS for tracking COVID-19 disruptions to research. Most Principal Investigators seek no cost extensions for their federally sponsored awards so requests specifically due to COVID-19 are not likely cause for concern.

Since SPA's previous report, SPA has recorded \$1.3 million in COVID-19 related expenses to grants bringing total COVID-19 classified expenses on grants to \$1.5 million. The significant increase this quarter is the result of spending under Administration and Finance's GEER award.

Table 2 shows the distribution of funds across colleges and university units. The distribution shifted relative to last quarter due to the Division of Administration and Finance's management of NIU's GEER funding. An increase for the College of Engineering and Engineering Technology includes new funding from the NSF, NASA and the Illinois Innovation Network (IIN). A detailed listing of awards is provided at the end of this report beginning on page 5.

Table 2: Funding distribution across colleges and units.

College/Division	Research	Inst.	Other	FY21	FY20	Change
Business	\$-	\$-	\$ -	\$-	\$ -	0%
Education	\$27,126	\$650,000	\$45,000	\$722,126	\$674,952	7%
Engineering and Engineering Technology	\$799,097	\$ -	\$ -	\$799,097	\$200,536	75%
Health and Human Sciences	\$451,767	\$702,619	\$188,930	\$1,343,316	\$1,206,678	10%
Law	\$ -	\$ -	\$ -	\$ -	\$ -	0%

Liberal Arts and Sciences	\$3,820,037	\$13,905	\$1,608,303	\$5,442,245	\$10,583,691	-94%
Visual and Performing Arts	\$ -	\$ -	\$ -	\$ -	\$57,900	-100%
Outreach and Engagement	\$ -	\$ -	\$2,673,200	\$2,673,200	\$2,426,148	9%
Other Academic Units	\$ -	\$127,780	\$666,234	\$794,014	\$2,376,291	-199%
Other University Units	\$ -	\$ -	\$3,077,889	\$3,077,889	\$ -	100%
Total	\$5,098,029	\$1,494,304	\$8,259,556	\$14,851,889	\$17,526,196	-18%

ADMINISTRATION AND FINANCE

Illinois Board of Higher Education for "Governor's Emergency Relief Funding (GEER)." Sarah Chinniah.

Award: \$2,945,856.00.

July 14, 2020 - September 30, 2021. (Other Sponsored Activities) Student Service.

The proposal is to support efforts to enroll and retain low income, underrepresented, and first-generation students, that might otherwise not enroll or return due to the pandemic, including by closing digital equity gaps.

ALLIED HEALTH AND COMMUNICATIVE DISORDERS

American Speech-Language-Hearing Foundation for "Advancing Academic-Research Careers Award." Milijana Buac.

Award: \$5,000.00.

August 1, 2020 - July 31, 2021. (Organized Research) Applied Research.

This award will support the PI's academic research career through mentored teaching and research.

ANTHROPOLOGY

University of Central Florida for "SocialSim Modeling/Repast HPC Programming Support." John T Murphy.

Award: \$63,847.00. Cumulative \$275,162.00.

September 1, 2020 - December 10, 2021. (Organized Research) Applied Research.

This project seeks to develop technologies for high-fidelity simulation of on-line social behavior (the spread and evolution of online information) while rigorously testing and measuring simulation accuracy.

CENTER FOR LATINO AND LATIN AMERICAN STUDIES

University of Nebraska for "Crisis and Culture of Fear Among Latino Communities in the Midwest." Christina D Abreu.

Award: \$3,500.00.

June 1, 2020 - May 31, 2021. (Organized Research) Applied Research.

This project will develop a framework for understanding the construction of fear among Latino/a/x communities in the Midwest.

CENTER FOR SOUTHEAST ASIAN STUDIES

Bureau of Educational and Cultural Affairs/Department of State for "Southeast Asia Youth

Leadership Program." Eric A Jones.

Award: \$550,000.00. Cumulative \$1,049,546.00.

February 20, 2021 - February 3, 2022. (Other Sponsored Activities) Public Service.

This project will fund 60 students from ASEAN nations visiting the US and learning about civic engagement and good governance.

CHEMISTRY AND BIOCHEMISTRY

National Institutes of Health/NIH/DHHS for "Fluorescent Cellular Assay for Kinase Inhibitors." Evgueni E Nesterov.

Award: \$398,249.46.

September 15, 2020 - August 31, 2023. (Organized Research) Basic Research.

To develop a simple HTS-compatible cellular assay for kinase inhibitor profiling in native environments.

Argonne National Laboratory for "Investigating the High Concentration Electrolyte Solvation Behavior." Tao Li.

Award: \$74,440.00.

December 1, 2020 - November 30, 2021. (Organized Research) Applied Research.

To study the effect of ionic size, charge, and composition on how solvation phenomena and the resulting clustering behavior regulate solubility limits across a range of electrolyte classes, including those containing divalent cations and redoxmer species.

Argonne National Laboratory for "Fundamental Understanding on the Interaction Between Pt-alloy Electrocatalysts and Porous Carbon." Yingwen Cheng.

Award: \$5,000.00. Cumulative \$40,229.88.

May 16, 2020 - May 15, 2021. (Organized Research) Applied Research.

The project is intended to understand at the molecular level the nucleation, growth and deposition of electrocatalyst under microfluidic environment, and the electrochemical activities of these electrocatalysts.

CHILD DEVELOPMENT AND FAMILY CENTER

Illinois Network of Child Care Resource & Referral Agencies for "Child Care Restoration Grant." Amy S Lofthouse.

Award: \$143,931.00.

July 1, 2020 - November 15, 2020. (Other Sponsored Activities) Public Service.

These funds will provide supplemental revenue to assist the Child Development and Family Center, which has reduced capacity due to COVID-19 regulations.

COLLEGE OF ENGINEERING AND ENGINEERING TECHNOLOGY

University of Illinois at Urbana-Champaign for "NIU/ISGC NASA Internships, Fellowships, and Scholarships, STEM Engagement, Institutional Engagement, Educator Professional Development Project." Donald R Peterson/Kyu Taek Cho/YJ Lin.

Award: \$29,808.00.

April 10, 2020 - April 9, 2021. (Organized Research) Applied Research.

Funds are requested to support ISGC's mission to positively influence and support students in the pursuit of space sciences and aerospace engineering careers.

COMPUTER SCIENCE

National Science Foundation/NSF for "Collaborative Research: Identifying Reproducible Research Using Human-in-the-loop Machine Learning." Hamed M Alhoori/David A Koop.

Award: \$155,740.76.

September 1, 2020 - August 31, 2022. (Organized Research) Applied Research.
Funds are requested to develop datasets of reproducible and irreproducible research and machine learning models and algorithms to predict reproducibility and confidence level in a given research.

Argonne National Laboratory for "High Performance Computing Research." Michael E Papka.

Award: \$148,656.00. Cumulative \$341,017.24.

August 16, 2020 - August 15, 2021. (Organized Research) Applied Research.

The funds support research and development in high performance computing, including visualization and analysis of abstract datasets based on ALCF operational logs, quantum computing algorithms, and dashboard development for monitoring of systems.

Crane Composites, Inc. for "Measurement of Surface Smoothness of Composite Materials Using Computer Vision and AI Techniques." Pratoool Bharti.

Award: \$70,984.95.

November 20, 2020 - May 31, 2021. (Organized Research) Applied Research.

This project will design an automated model to measure the surface smoothness of the Sponsor's composite materials.

CONTINUING PROFESSIONAL EDUCATION

Occupational Safety and Health Administration/Department of Labor for "Susan Harwood Training Program 2020-2021: Targeted Training Program." Pettee Guerrero.

Award: \$116,644.00.

September 30, 2020 - September 30, 2021. (Other Sponsored Activities) Public Service.

This project will fund the development and delivery of machine guarding training to prevent fatalities and amputations.

COUNSELING AND HIGHER EDUCATION

Association for Assessment and Research in Counseling for "The Development and Initial Validation of the Cultural Humility and Enactment Scale in Counseling." Peitao Zhu.

Award: \$1,610.65.00.

August 3, 2020 - October 31, 2021. (Organized Research) Applied Research.

The purpose of the study is to develop a client-rated, conceptually and psychometrically sound measure on counselors' cultural humility.

CENTER FOR CHILD WELFARE AND EDUCATION

Illinois Department of Children and Family Services for "Permanency Enhancement Project FY 2021." Yasmina Sefiane.

Award: \$153,000.00.

July 1, 2020 - June 30, 2023. (Other Sponsored Activities) Public Service.

This project is looking to ensure the rights of youth in care around issues of representation, with the PEP Program focused on permanency and disproportionality of African American youth.

Illinois Department of Children and Family Services for "Educational Access Project FY 21." Yasmina Sefiane.

Award: \$1,065,487.20.

July 1, 2020 - June 30, 2021. (Other Sponsored Activities) Public Service.

Educational Access Project for DCFS FY20.

EDUCATION SYSTEMS CENTER

Illinois Department of Human Services for "Preschool Development Grant Birth to Five (PDG)

B-5) IDHS." Jon Furr.

Award: \$58,000.32.

October 1, 2020 - December 30, 2020. (Other Sponsored Activities) Public Service.
The purpose is to support high-level deliverables related to PDG B-5 data objectives.

Illinois State Board of Education for "PDG B-5 FY 2021." Jon Furr.

Award: \$150,000.00.

December 31, 2020 - December 30, 2021. (Other Sponsored Activities) Public Service.
NIU staff will support pursuit of high-level deliverables related to PDG B-5 data objectives.

ELECTRICAL ENGINEERING

Jet Propulsion Laboratory/NASA for "Engineering-in-Residence: Developing Natural Gas Upwind Survey Regions Through Machine Learning." Benedito J Fonseca/Mansour Tahernezehadi.

Award: \$33,916.680.

October 15, 2020 - August 14, 2021. (Organized Research) Applied Research.

This project will fund a Master level engineer-in-residence student to the Jet Propulsion Laboratory at NASA to use machine learning to develop natural gas upwind survey regions as a step-in defining methodologies for statistical gas leak surveys.

ENGINEERING TECHNOLOGY

Illinois Innovation Network for "Modification of Basil Flavor Via Adjustment of Light Environment." Kevin B Martin.

Award: \$15,367.00.

August 16, 2020 - August 15, 2021. (Organized Research) Applied Research.

This project aims to address current limitations and investigate the use of light quality through use of cutting-edge tools to enhance the flavor of basil.

Illinois Innovation Network for "Integrated Logistical, Techno-economic and Socio-environmental Assessment Framework for Sustained MSW Conversion Facilities: New Paradigm Shift for the State of Illinois." Mahdi Vaezi.

Award: \$29,052.00.

August 16, 2020 - August 15, 2021. (Organized Research) Applied Research.

Funds are requested to develop a comprehensive model to integrate the analysis of logistics, technical, economic, environmental, and social parameters of MSW handling facilities.

EXECUTIVE VICE PRESIDENT AND PROVOST

Illinois Board of Higher Education for "Governor's Emergency Education Relief Fund (GEER) for Underrepresented, First Generation and High-Need Students." Beth Ingram.

Award: \$456,286.09.

October 22, 2020 - September 30, 2021. (Other Sponsored Activities) Student Service.

The federal Governor's Emergency Education Relief Fund (GEER) is intended to overcome barriers created by the COVID-19 pandemic to enroll and retain underrepresented, first-generation, and high-need students.

FAMILY AND CONSUMER SCIENCES

Illinois State Board of Education for "NIU Preschool for All Expansion." Thomas W Pavkov.

Award: \$352,949.00.

July 1, 2020 - June 30, 2021. (Instructional Programs) Instructional Programs.

This project will enhance cohesive and comprehensive early learning opportunities for preschoolers in the DeKalb community.

GEOGRAPHIC AND ATMOSPHERIC SCIENCES

American Family Insurance for "Northern Illinois University Weather/Climate Modeling and Analysis." Walker S Ashley/Victor Gensini.

Award: \$104,708.00.

November 1, 2020 - October 31, 2021. (Organized Research) Applied Research.

Funding will support the transfer of knowledge in existing weather and climate data foundations, expansion of both weather and climate datasets, model research and development, and the exploration of climate simulation/scenario analysis.

JOBS PLUS

Illinois Board of Higher Education for "Northern Illinois University FY2021 Cooperative Work Study." Chad R Glover/David A Dosier/Joseph N Griffey.

Award: \$44,563.00.

July 1, 2020 - June 30, 2021. (Other Sponsored Activities) Student Service.

The purpose of the project is to provide valuable career-related work experiences to students that are applicable to their fields of study.

MECHANICAL ENGINEERING

University of Illinois at Urbana-Champaign for "National Space Grant College and Fellowship Program: Artemis Student Challenge Opportunities." John T Shelton.

Award: \$83,626.50.

May 16, 2020 - August 31, 2021. (Organized Research) Applied Research.

The goal is to develop web-based education portal to house multiple components of overall STEM education program.

Argonne National Laboratory for "Modeling Support to Advance the Performance of Next-Generation Batteries at Argonne." Kyu Taek Cho.

Award: \$14,364.00.

September 15, 2020 - March 14, 2021. (Organized Research) Applied Research.

Funds are requested to provide the computational modeling/simulation support to improve performance of the batteries under development in Dr. Srinivasan's group at Argonne.

Life fitness, LLC for "Biodynamic Analysis of Treadmill Suspension Systems." Ting Xia/Donald R Peterson.

Award: \$21,387.98.

November 20, 2020 - May 20, 2021. (Organized Research) Applied Research.

Biodynamic Analysis of Treadmill Suspension Systems.

NURSING

National Institutes of Health/NIH/DHHS for "Feasibility of Group Versus Individual Self-Management of Depression Using a Mobile App, to Increase Treatment Adherence Among Dominican Primary Care Patients." Susan Caplan.

Award: \$175,848.00. Cumulative \$364,701.00.

September 1, 2020 - August 31, 2021. (Organized Research) Applied Research.

The proposed research project will examine using a mobile app to deliver group-based CBT for depression treatment in a primary care setting in the Dominican Republic.

P-20 CENTER

Illinois State Board of Education for "FY21 Migrant Education - Regular Year." Neves, Susana A Da/Amy Jo Clemens.

Award: \$59,119.00.

August 1, 2020 - June 30, 2021. (Other Sponsored Activities) Public Service.

To ensure that migrant children fully benefit from the same free public education provided to other children and to address the special educational needs of migrant children to better enable them to succeed academically.

PHYSICS

University of Chicago for "Graduate Student Support for Mr. Danylo Lykov." Andreas Glatz.

Award: \$40,201.56.

February 20, 2020 - August 19, 2021. (Organized Research) Basic Research.

Graduate Student support for Mr. Danylo Lykov to perform research related to ColdQuanta project, funded at the University of Chicago under the DARPA ONISQ program.

Department of Energy for "Nonlinear Dynamics of Integrable Hamiltonian Systems for Novel Particle Accelerators in High Energy Physics." Bela Erdelyi.

Award: \$75,000.00. Cumulative \$150,000.00.

July 1, 2020 - June 30, 2021. (Organized Research) Basic Research.

The project will undertake a comprehensive investigation of the dynamics of nonlinear integrable Hamiltonian systems for particle accelerators in high energy physics, with a special emphasis on the Integrable Optics Test Accelerator (IOTA) at Fermilab.

Office of Science/Department of Energy for "High-Performance Electron Sources: Numerical Methods and Beam Dynamics at the Precision Frontier." Bela Erdelyi.

Award: \$74,000.40. Cumulative \$145,000.00.

September 25, 2020 - September 24, 2021. (Organized Research) Basic Research.

Funds are requested to develop an efficient and accurate numerical method to fix the boundary layer instability and devise an indirect method for very low emittance and temperature measurements based on caustics of multi-beamlet expansion.

Argonne National Laboratory for "Nuclear Resonance Time-domain Interferometry." Dennis E Brown.

Award: \$28,900.95. Cumulative \$56,659.23.

October 31, 2020 - October 31, 2021. (Organized Research) Applied Research.

Will perform quasielastic scattering experiments to extract relaxation times of the vibrational diffusive motion of atomic systems, measure very soft phonon lattice modes and spin dynamics, and measure extremely small energy shifts on the order of 1 neV.

Fermi National Accelerator Laboratory for "Resonant Extraction at Fermilab Muon Campus (support for PhD Program - Aakaash Narayanan)." Michael J Syphers.

Award: \$51,358.64.

September 1, 2020 - August 31, 2021. (Organized Research) Applied Research.

The purpose of this proposal is to further the development of the third-integee, slow resonant extraction system to be used to provide such beams and verification of its performance by Fermilab PhD Accelerator Program student Aakaash Narayanan.

Illinois Institute of Technology for "Chicagoland Accelerator Science Traineeship." Michael J Syphers/Philippe Piot.

Award: \$235,000.00. Cumulative \$370,000.00.

September 25, 2020 - September 24, 2021. (Organized Research) Basic Research.

Funds are requested to establish the proposed "Chicagoland Accelerator Science Traineeship".

Cornell University for "Optical Transport and Beam Manipulation for Optical Stochastic Cooling." Philippe Piot.

Award: \$63,602.00. Cumulative \$127,204.00.

October 1, 2020 - September 30, 2021. (Organized Research) Basic Research.

Funds are requested to develop subsystems (laser amplifier and electron-beam bypass beamlines) associated with the Optical Stochastic Cooling technique.

Universities Research Association, Inc. for "Dark Energy 2021 Project." Prudhvi Raj Varma Chintalapati.

Award: \$15,000.00.

January 1, 2021 - December 31, 2021. (Organized Research) Basic Research.

The goal is to understand the nature of cosmic expansion and the nature of Dark Energy by utilizing the data from the Dark Energy Survey experiment.

Argonne National Laboratory for "Computational X-ray Spectroscopy (Support for William Baker)." Veenendaal, Michel A Va.

Award: \$7,683.48.

January 1, 2021 - May 15, 2021. (Organized Research) Applied Research.

The graduate student William Baker will work on the computation of X-ray spectroscopy, such as X-ray absorption and resonant inelastic X-ray scattering.

Argonne National Laboratory for "University to Argonne Joint Appointment - Dr. Xueying Lu." Xueying Lu.

Award: \$75,883.50.

September 15, 2020 - May 15, 2021. (Organized Research) IPA or Joint Appointment.

Funds are being used to support a joint appointment between NIU and Argonne National Laboratory for Dr. Xueying Lu.

POLITICAL SCIENCE

United States Institute of Peace for "Inclusive Democratization in the Aftermath of Civil Resistance." Ches Thurber.

Award: \$28,020.00.

October 1, 2020 - September 30, 2021. (Organized Research) Applied Research.

This project explores the relationship between popular protest and inclusive democratization using a combination of quantitative analysis and case studies from Nepal and Indonesia.

PRESIDENTS OFFICE

DeKalb County Health Department for "NIU COVID-19 Hotline with DeKalb County Health Department." Matthew J Streb.

Award: \$132,033.26.

September 1, 2020 - May 31, 2021. (Other Sponsored Activities) Public Service.

NIU will manage COVID-19 hotline including providing recommendations for testing, isolation, quarantine and return to campus.

PSYCHOLOGY

Learning Partnership for "Collaborative Research: Developing a Generalized Storyline that Organizes the Support for Evidence-based Modeling of Long-Term Impacts of Disturbances." Amanda M Durik/Anne Britt.

Award: \$214,036.00. Cumulative \$416,647.00.

July 1, 2019 - June 30, 2022. (Organized Research) Basic Research.

This project will teach basic principles of the ability to evaluate evidence related to disturbance ecology in the Chicago school system using the model of Hurricane Maria's damage to a Puerto Rican rainforest.

REPORT CARDS

Illinois State Board of Education for "Illinois Interactive Report Card FY21." Alan D Clemens.

Award: \$725,000.00. Cumulative \$2,475,000.00.

July 1, 2020 - June 30, 2021. (Other Sponsored Activities) Public Service.

Innovation and improvement for FY21 in the MyIIRC (Illinois Interactive Report Card) data portal with respect to continuous Improvement planning and 21st Century CLC benchmarking tools.

SCHOOL OF INTERDISCIPLINARY HEALTH PROFESSIONS

National Institute of General Medical Sciences/NIH/DHHS for "The FoodMASTER Initiative: Supporting the STEM learning pipeline for underserved, minority youth through informal science learning environments." Melani W Duffrin.

Award: \$231,708.00. Cumulative \$705,082.00.

August 1, 2020 - July 31, 2021. (Organized Research) Applied Research.

This project investigates the impact of the FoodMASTER (Food, Math, and Science Teaching Enhancement Resource) Initiative on attitudes towards science among underserved minority youth in southern states to impact the health professions STEM pipeline.

SCHOOL OF HEALTH STUDIES

Borchard Foundation Center on Law and Aging for "Telehealth for Hospice Care: Implications for Racial/Ethnic and Rural Health Disparities." Courtney Hughes.

Award: \$20,000.00.

January 1, 2021 - December 31, 2021. (Organized Research) Applied Research.

This study explores using telehealth for traditionally underserved hospice patients from the perspectives of caregivers and hospice administrators.

Northern Illinois Food Bank for "Research and Outreach at the Northern Illinois Food Bank." Henna Muzaffar.

Award: \$19,211.22. Cumulative \$71,350.08.

August 1, 2020 - July 31, 2021. (Organized Research) Applied Research.

NIU will provide consultation for the Northern Illinois Food Bank related to research and nutrition education program implementations.

SOCIOLOGY

Lake County for "Redeploy Illinois Planning Grant Research and Analysis." Carol S Walther.

Award: \$13,272.60.

July 15, 2020 - December 31, 2020. (Organized Research) Applied Research.

NIU researchers will collect, code and analyze comprehensive data regarding recent participants in the Illinois juvenile justice system pursuant to a Redeploy Illinois Planning Grant.

SPECIAL AND EARLY EDUCATION

Office of Special Education and Rehabilitative Services/Department of Education for "Preparing New Teachers of Students with Visual Impairments and Existing Personnel with Certifications in Assistive Technology for the 21st Century Workforce." Stacy M Kelly/Sean Tikkun.

Award: \$250,000.00. Cumulative \$1,250,000.00.

May 2, 2020 - May 1, 2021. (Instructional Programs) Instructional Programs.

The purpose of this program is to train undergraduate and graduate students as teachers and assistive technology instructors to serve the needs of children who are blind or visually impaired in preschool through 12th grade.

Office of Special Education and Rehabilitative Services/Department of Education for "Preparation of Vision Rehabilitation Therapists and Orientation & Mobility Specialists to Prepare Individuals with Visual Disabilities for the 21st Century Workplace." Stacy M Kelly.

Award: \$150,000.00. Cumulative \$300,000.55.

October 1, 2020 - September 30, 2021. (Instructional Programs) Instructional Programs.

The purpose of the project is to train vision rehabilitation therapists (VRT) and orientation and mobility (O&M) instructors to provide services for adults and transition-aged adults with visual disabilities.

Office of Special Education and Rehabilitative Services/Department of Education for "Project Fusion: Bringing Together Scholars in Teacher of the Visually Impaired and Orientation and Mobility Programs to Serve Children with Visual Impairments in the 21st Century Classroom." Stacy M Kelly.

Award: \$250,000.00. Cumulative \$750,000.00.

August 15, 2020 - August 14, 2021. (Instructional Programs) Instructional Programs.

The purpose of this program is to train graduate students as special education teachers and orientation and mobility specialists to serve the needs of children who are blind or visually impaired with high-intensity needs in preschool through 12th grade.

STRATEGIC DEVELOPMENT TEAM REPORT

At the beginning of the fiscal year, NIU launched the Strategic Development Team (SDT), an initiative comprised of members of the Divisions of Research and Innovation Partnerships (RIPS), Outreach, Engagement, and Regional Development (OERD), University Advancement (UA) and the NIU Foundation (NIUF). The vision of the SDT is to create a culture of strategic development through new, interdivisional approaches. The team mission is to develop “game-changing” opportunities that crosscut the NIU ecosystem, match donor, investor, and partner interests with NIU priorities, and drive enduring value to the University.

With its multi-divisional membership, the SDT possesses a variety of relevant backgrounds and expertise, which collectively creates a robust opportunity development capability. Backgrounds in donor/investor relations, STEM/workforce development, university outreach and engagement, technology transfer, commercialization and partnership development ensure that the team is poised to help the university identify nascent game-changing opportunities and foster and capitalize on them.

The SDT operates within the broader university planning and prioritization context. Underpinning the work of the SDT are the university Mission, Vision, and Values, the Presidential Goals, and the Strategic Action Planning Framework. Emerging opportunities and concepts, therefore, are contextualized within the whole of ecosystem including planning bodies, existing programs and efforts, and early stage or planned programs.

The SDT is building processes to develop and nurture game-changing ideas emanating from the entire NIU ecosystem. For example, the SDT is working on building off concepts previously developed for the Northern Illinois Center for Community Sustainability (NICCS) and the West Campus. Likewise, the SDT is routinely engaging with key faculty for potential game-changing concepts, such as the Emerging Research Initiatives. To broaden perspective and seek a wider pool of opportunities, the SDT is also engaging with alumni and external partners to envision new horizons and possibilities.

The primary focus of the team this year is to hone its processes, build its network, and generate a more nuanced understanding of the NIU ecosystem’s strengths. The team aims to generate high-potential opportunities for both near and long term.

FISCAL YEAR 2022 STUDENT HEALTH INSURANCE

Summary: The University offers group health insurance to students, funded solely by student health insurance fees. For participating students, their fees are collected and submitted to the broker or insurer as a “pass through” expense by the University. Students may waive their participation in this plan if they have proof of other, comparable health insurance. As a participating institution of the Illinois Public Higher Education Cooperative (IPHEC), the University used an approved insurance broker to source and secure a student health insurance plan and program for FY22.

Background: Total premiums collected by NIU on behalf of students have decreased due to fewer student participants and continuous overall management of the program. The FY22 plan and program coverages, terms, and conditions remain the same as FY21. Underwriting for insurance providers is very difficult in the current COVID-19 environment. Final premium negotiations are ongoing, and any additional savings that are identified in the Spring will be passed along to students in Fall 2021.

	Health Insurance Provider	Original Purchase Order Requested Amount	Actual Amount Paid to Insurance Provider	Number of Students Enrolled in Student Health Insurance Fall Semester*	Semester Premium
FY22	Aetna	\$ 6,500,000	-	-	\$ 1,224
FY21	Aetna	\$ 7,250,000	\$ 1,808,414	1,629	\$ 1,114
FY20	Aetna	\$ 7,750,000	\$ 5,114,001	2,894	\$ 1,179
FY19	Aetna	\$ 8,000,000	\$ 6,012,792	3,334	\$ 1,179
FY18	Aetna	\$ 12,500,000	\$ 5,988,691	4,404	\$ 1,039

* Students are charged separately for Fall and Spring terms.

Funding: Agency Funds

Marsh and McLennan Companies – New York, NY.....\$6,500,000

Recommendation: The University recommends that the Board of Trustees approve the Fiscal Year 2022 Student Health Insurance.

HONORARY DOCTORATE RECOMMENDATION

Summary: The Honorary Degree Committee met to consider the candidacy of four nominees. The Committee unanimously recommended one individual for an honorary degree. The recommended candidate is Mr. Anthony Williams. The committee recommends that Mr. Williams be awarded an honorary doctorate in humane letters.

Mr. Williams, a native of Trinidad and Tobago, was born in 1931. During his youth, colonial progenitors of culture regarded the steel pan as a low class and “black” instrument – nothing more than noise. However, Mr. Williams was drawn to the beauty of the instrument first as a player, then as an innovative technician and soon as a prominent band leader and go-to arranger.

In the 1940s, Mr. Williams began to experiment with converting abandoned oil drums into steel pans, an innovation that other pan players rejected based on the size and weight of the pan. In 1951, he was selected for his musical talents to join the inaugural Trinidad All Steel Percussion Orchestra, an international touring group, that introduced his oil drum innovation to Europe.

The following year, Mr. Williams was named the leader of one of the most prominent steel pan bands in the Caribbean, the North Stars. From there, he developed his international acclaim as a band leader and arranger.

By the 1970s, still committed to innovating with the steel pan, Mr. Williams began collaborating with scientists to understand the physical properties and acoustics of the pan. Among his collaborators was NIU’s own Dr. Thomas Rossing, whose monograph *The Science of Percussion Instruments* remains the seminal work on the topic.

As an innovator in the science and art of the steel pan, Mr. Williams has had a unique impact on NIU, contributing to the success of Dr. Rossing, Clifford Alexis, and countless steel pan students.

Recommendation: The University recommends that the Board of Trustees approve the recommendation to award an honorary doctorate in humane letters to Mr. Anthony Williams.

RESOLUTION AUTHORIZING ISSUANCE OF AUXILIARY FACILITIES SYSTEM REVENUE BONDS AND RELATED MATTERS

Summary: The Board of Trustees of Northern Illinois University has \$121.9M in outstanding Series 2011 tax-exempt CHF Bonds (the “2011 CHF Bonds”) for which CHF-DeKalb II, L.L.C. (CHF) is the underlying Obligor. The average rate on that current debt outstanding is approximately 6.86%. The bond documents allow for the University to purchase the facilities by paying off the outstanding tax-exempt 2011 CHF Bonds and paying certain outstanding fees, including any accrued management fees. In order to issue tax-exempt bonds to pay off the outstanding tax-exempt 2011 CHF Bonds and simultaneously effect the purchase of the buildings and expansion of the Auxiliary Facilities System (AFS) the Board may issue its AFS Bonds on or after July 1, 2021. The refinancing offers opportunity for both short and long-term savings depending on the structure of the new debt and based on market conditions. Following an explanation of this and other relevant background, a resolution will be presented for approval by the Board.

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

MARCH 18, 2021

WHEREAS, the Board of Trustees (the “Board”) of Northern Illinois University (the “University”) has the authority to issue Auxiliary Facilities System Revenue Bonds (“AFS Bonds”) under the Northern Illinois University Revenue Bond Law, 110 ILCS 686/31-1 *et seq.*, and a resolution adopted by the Board on December 5, 2019; and

WHEREAS, in partnership with the University, CHF-DeKalb II, L.L.C. (“CHF”) constructed Northern View Community and New Residence Hall, the costs of which were financed or refinanced by the issuance by the Illinois Finance Authority of its Student Housing Revenue Bonds (CHF-DeKalb II, L.L.C. - Northern Illinois University Project) Series 2011 (the “CHF Series 2011 Bonds”); and

WHEREAS, the Board deems it advisable and necessary and in the interest of the University and the welfare of its students and faculty to purchase Northern View Community and New Residence Hall (together, the “Series 2021 Project”) from CHF through the issuance of its AFS Bonds; and

WHEREAS, in connection with the Board’s purchase of the Series 2021 Project, the CHF Series 2011 Bonds will be defeased and various documents in connection therewith will be terminated:

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

1. The Board authorizes the issuance of its Northern Illinois University Auxiliary Facilities System Revenue Bonds, Series 2021 (the “Series 2021 Bonds”) to finance the purchase of the Series 2021 Project, certain costs of issuance and, if determined to be

necessary by the President of the University, the University General Counsel or the Treasurer of the Board (each, a “*Designated Officer*”), a debt service reserve account. The Series 2021 Bonds shall be issued on a parity with the Board’s Northern Illinois University Auxiliary Facilities System Refunding Revenue Bonds, Series 2020A, and Northern Illinois University Auxiliary Facilities System Refunding Revenue Bonds, Series 2020B (the “*Series 2020B Bonds*”).

2. The Board approves a First Supplemental Auxiliary Facilities System Revenue Bond Resolution in substantially the form presented to the Board at this meeting (the “*First Supplemental Resolution*”), authorizing and providing for the issuance of the Series 2021 Bonds.

3. The Board approves the sale of the Series 2021 Bonds to Piper, Sandler & Co., as representative of the underwriters (the “*Underwriters*”), and the execution by a Designated Officer of a Bond Purchase Agreement in substantially the form approved for the Series 2020B Bonds, wherein the Underwriters agree to purchase from the Board and the Board agrees to sell to the Underwriters all (but not less than all) of the Series 2021 Bonds, subject to the following conditions: (a) the Series 2021 Bonds to be issued will not exceed an aggregate principal amount of \$132,000,000 (net of original issue discount or premium, if any), (b) the Series 2021 Bonds will mature not later than April 1, 2044, (c) the price at which the Series 2021 Bonds will be sold will not be less than 97% of the aggregate principal amount of the Series 2021 Bonds (net of original issue discount or premium, if any, and underwriter’s discount), and (d) the true interest cost of borrowing for the Series 2021 Bonds will not exceed 4.75%.

4. The Board approves the preparation and distribution by the Underwriters of a Preliminary Official Statement and an Official Statement in connection with the sale of the Series 2021 Bonds. The Board approves the form of the Preliminary Official Statement in substantially the form approved for the Series 2020B Bonds, updated to contain current disclosure information, including information relating to the University and its financial condition, and the terms of the Series 2021 Bonds. Any of the Designated Officers is hereby authorized and directed to execute an Official Statement in the name of and on behalf of the Board in substantially the form of the Preliminary Official Statement prepared for the Series 2021 Bonds, with such changes from the Preliminary Official Statement as a Designated Officer and the Underwriters shall approve, the execution by a Designated Officer thereof to constitute conclusive evidence of the Board’s approval of all changes from the form used in connection with the issuance and sale of the Series 2020B Bonds.

5. The Board authorizes Amalgamated Bank of Chicago, Chicago, Illinois, to serve as bond registrar and paying agent for the Series 2021 Bonds.

6. The law firm of Chapman and Cutler LLP is hereby retained to serve as Bond Counsel to the Board with respect to issuance of the Series 2021 Bonds.

7. The firm of Longhouse Capital Advisors, LLC is hereby retained to serve as Municipal Advisor to the Board with respect to issuance of the Series 2021 Bonds.

8. Each Designated Officer is hereby authorized and directed to perform all such acts and to make, execute and deliver all such other instruments and documents on behalf of the Board as may be by any such Designated Officer deemed necessary or appropriate in connection with the provisions of the Preliminary Official Statement, the Official Statement, the First Supplemental Resolution and the Bond Purchase Agreement, including but not limited to a Continuing

Disclosure Certificate in the form approved for the Series 2020B Bonds, a Tax Exemption Certificate and Agreement in form satisfactory to the University General Counsel, Bond Counsel and the Board's Municipal Advisor, and any real estate or other documents required in connection with the purchase of the Series 2021 Project from CHF and the defeasance of the CHF Series 2011 Bonds, and to ratify, approve and confirm all acts and things whether heretofore or hereafter done or performed by any of the officers of the Board which are in conformity with the intents and purposes of this Resolution.

Adopted in a regular meeting assembled this 18th day of March, 2021.

**Board of Trustees of
Northern Illinois University**

Dennis L. Barsema
Chair

Attest: Robert W. Pritchard
Secretary

ADDENDUM

SERIES 2011 CHF BOND REFINANCING SUMMARY

Background on 2011 CHF financing

In 2011, in order to accelerate the construction of new residence hall facilities on campus, Northern Illinois University collaborated with Collegiate Housing Foundation to privately finance and construct New Hall. Through various underlying documents supporting the CHF 2011 Bonds, CHF-DeKalb II, L.L.C. ("CHF") is the owner of New Hall, which is managed by the University. The Board provides funds through lease payments to pay debt service on the CHF 2011 Bonds, which have a final maturity in fiscal year 2044. As part of this private, tax-exempt financing, a similar private financing completed with CHF in 2006 for the Northern View Apartments was also refinanced at that time. An amount of \$121.9M is currently outstanding on these tax-exempt 2011 CHF Bonds for which CHF is the underlying Obligor.

The University's lease payments to CHF are used to:

- a) pay debt pay service on the 2011 CHF Bonds;
- b) make required repair and replacement fund contributions; and
- c) pay CHF-related fees.

The Series 2011 CHF Bonds' Management Agreement also requires the University to make additional payments if occupancy in the two residence halls falls below 95%, or if there is a revenue shortfall to meet debt service coverage requirements.

While both New Hall and the Northern View Apartments are owned by CHF, NIU manages both facilities. The bond documents allow for the University to purchase the facilities by paying off the outstanding tax-exempt 2011 CHF Bonds and paying certain outstanding fees, including any accrued management fees. In order to issue tax-exempt bonds to pay off the outstanding tax-exempt 2011 CHF Bonds and simultaneously effect the purchase of the buildings and expansion of the Auxiliary Facilities System (AFS) the Board may issue its AFS Bonds on or after July 1, 2021.

The rate on the 2011 CHF Bonds for NIU's project is very high at 6.86%. NIU has been considering a refinancing of this debt through its AFS for some time. With the debt markets improving since the beginning of the pandemic, NIU is now poised to move forward with this refinancing (the "Series 2021 AFS Bonds").

In addition to a reduction in payments owing to a lower rate (see "Potential Savings from a Refinancing" section below), the Series 2021 AFS Bonds refinancing will provide a number of operational flexibilities and economic efficiencies. These include the ability for NIU to set its own room rates for the two residence halls and avoid restrictive occupancy and "first fill" requirements, as well as cumbersome site-specific profitability requirements.

Financing Climate (Ratings, Bond Insurance and General Rate Movements)

NIU's Moody's rating on its AFS bonds has been at "Ba2" (stable) since May 2019 and was reaffirmed in February of 2020. Moody's has consistently said that it views the University's commitments to the 2011 CHF Bonds as significant, and therefore already views those bonds as "on balance sheet" when it evaluates NIU's creditworthiness. As a result, the University and its advisors do not expect the refinancing of this debt into the AFS system, in and of itself, to lower the Moody's AFS rating.

The University's Series 2020 AFS bonds carried bond insurance, which allowed NIU to refinance prior debt at low rates. However, it is uncertain whether bond insurance will be available again for the proposed Series 2021 AFS financing. After initially showing little interest in insuring the Series 2021 AFS bonds, the Series 2020 bond insurer, Build America Mutual ("BAM"), has recently shown more interest. With the recent indications that a March 2021 Stimulus in is in the works, the insurer has indicated it would consider securing all or a portion of the Series 2021 AFS Bonds with its bond insurance prior to the planned April 2021 pricing. However, BAM has also noted that it could have a limit of about \$43M on the amount of insurance it could offer, owing to the high level of NIU's debt that it already insures. This would only cover 35% - 40% of the proposed Series 2021 AFS Bonds, if that commitment were ultimately made at all. The University's conversations with BAM and another insurer, AGM, are ongoing.

With that being said, between late 2020 and early March of 2021, the market for *uninsured* higher education and other municipal credits has improved considerably. With rates historically low due to federal support of bond markets, more investors have been searching for higher yield investments, and have bid down the rates on the uninsured debt of issuers like NIU. As a result, in the current financing climate the University expects to obtain significant savings from its refinancing whether or not bond insurance is available.

Guiding Principles of the Refinancing

University leadership has adopted the following guiding principles for this refinancing:

- The Series 2021 AFS Bonds will not include any monies for new projects;
- The new debt payments will not extend beyond FY44, the fiscal year of the final maturity date of the Series 2011 CHF Bonds; and

- The refinancing will be structured to maximize savings in FY22-FY25 to mitigate budgetary impact of closing the structural budget gap.

Potential Savings from a Refinancing

Working with its long-time financial advisor, Longhouse Capital Advisors, the University selected Piper Sandler as senior managing underwriter for the refinancing and Wells Fargo was selected as co-managing underwriter. BEP partner firms Backstrom McCarley Berry & Co., Estrada Hinojosa; and Siebert Williams Shank will also serve as co-managing underwriters. Total savings over the life of the refinanced bonds are currently estimated at \$50M. Final savings will be subject to the availability of bond insurance, and to changes in rates and in the University’s underlying AFS rating, among other factors, and could be higher or lower than this estimated range.

Next Steps: General Financing Assumptions / Unwinding of the CHF Agreements

The Plan of Finance that was provided to underwriters in the Pricing RFP assumed a fixed rate, uninsured AFS financing with a final maturity in FY44. The Series 2011 AFS Bonds are assumed to have no Debt Service Reserve Fund, although one could be included if it is found to significantly lower the overall interest rates for the Series 2011 AFS Bonds. The Series 2011 AFS Bonds could price as early as April or May of 2021, with a closing in early July of 2021.

In parallel to the issuance of the Series 2021 AFS Bonds, the University must work with CHF to unwind the Series 2011 CHF Bonds’ lease and management agreements. NIU has already had an initial meeting with CHF to set out milestones for that process, and the organization has expressed its willingness to work to meet the University’s refinancing timeline.

A high-level summary of the timetable for completing the refinancing is shown below:

Date	Milestone
March 18, 2021	Board of Trustees meets to approve Series 2021 AFS Bonds subject to parameters being met.
March 26	Rating call with Moody’s.
April 5	Decision on bond insurance made. Preliminary Official Statement finalized.
April 12-16	Bond Rating finalized. Preliminary Official Statement posted for investors.
April 27	Bond issue priced. Rates on Series 2021 AFS bonds locked in.
May 13	Update provided during NIU’s Finance, Audit, Compliance, Facilities and Operations Committee.
July 6, 2021	Series 2021 AFS Bonds close. Funds set aside with Series 2011 Trustee to redeem Series 2011 CHF bonds at 10-1-2021. Northern View and New Hall officially become part of Auxiliary Facilities System.

University leadership will present a further update at the Board of Trustees meeting scheduled for March 18, 2021.

**ASSOCIATION OF COLLEGE AND UNIVERSITY EDUCATORS (ACUE)
PARTNERSHIP OVERVIEW AND PROGRESS REPORT**

In summer 2020, NIU launched a new partnership with the Association of College and University Educators (ACUE) to support innovative pedagogy. NIU faculty members now have the opportunity to earn a certificate in effective college instruction, endorsed by the American Council on Education. This brief update, by Jason Rhode, Executive Director of NIU's Center for Innovative Teaching and Learning (CITL), will offer an overview of the partnership and progress reported thus far and feature a testimonial from one of the faculty participants from the first cohort.

Faculty members who are participating in the ACUE program are exploring and implementing research-based approaches to teaching designed to improve student engagement and persistence and promote deeper learning.

This initiative aligns with NIU's mission, vision and values to provide students from diverse backgrounds a classroom experience that supports their success. The ACUE course incorporates culturally responsive teaching techniques and encourages faculty to engage in thought-provoking discussions and self-reflection around how to promote an inclusive class experience.

PRESIDENT LISA C. FREEMAN CONTRACT EXTENSION AND PROPOSED TERMS OF EXTENSION

Summary: Pursuant to the Northern Illinois University Law, the Board of Trustees of Northern Illinois University shall have the power, and it shall be its duty, to employ a President of Northern Illinois University. 110 ILCS 685/30-45(2).

Since 2017, the Board of Trustees (“Board”) has worked closely with President Lisa C. Freeman and has been consistently impressed by her leadership, effectiveness, commitment to NIU’s values and importantly, the significant progress she’s helped the university achieve in this time. The Board has completed three evaluations of the President, the last being in December 2020, and her performance has consistently shown the Board that her vision and priorities remain clear, her results are measurable and impactful, the opportunities for improved outcomes are well defined, and there’s a plan for moving NIU forward. The Board’s evaluations of Dr. Freeman are posted online for public access on the NIU website and were discussed by the Board during its open session meetings. As the Board considers the university’s future, it needs and wants this positive moment to continue and it’s the Board’s responsibility to see that happen. The Board wants to ensure that President Freeman, who is proven, trusted and wants to move the university forward, will be at NIU to see that work happen.

At the Meeting of the Board of Trustees to be held on Thursday, March 18, 2021, the Board will vote to extend Dr. Lisa C. Freeman’s appointment as the President of Northern Illinois University, effective July 1, 2021, with an end date of June 30, 2025. In addition, the Board will review and approve the principal financial components of the extension. Pursuant to Section 30-195 of the Northern Illinois University Law, the university is required, along with appropriate Public Notice of the meeting under the Illinois Open Meetings Act, to post, at a minimum, a description of the proposed principal financial components of the President’s appointment, which follows:

- Base salary
 - FY22 \$450,000
 - FY23 \$475,000
 - FY24 \$480,000
 - FY25 \$480,000
- Deferred compensation
 - \$55,000 University Contribution Credit under the Northern Illinois University 457(f) Plan for FY22 and each subsequent year that the President remains continuously employed as President through June 30, 2025. Dr. Freeman’s interest in her Account attributable to such University Contribution Credits and Earnings Credits shall Vest upon the earliest of (i) the Service Completion Date, (ii) termination of her service as President on account of her disability or death, or (iii) termination of her service as President by the University Without Good Cause. For purposes of this Section, the terms “Account,” “University Contribution Credit,” “Service Completion Date,” and “Vest” have the meanings given to them under the 457(f) Plan. If Dr. Freeman’s service as President terminates before a Vesting event described in this Section, her interest in her Account attributable to the University Contribution Credits and Earnings Credits described in this section shall be

forfeited. For clarity, the vesting schedule specified in this Section shall supersede any contrary vesting schedule under the 457(f) Plan document.

- Performance-based compensation
 - FY22 and FY23, the Board will consider the potential for performance-based compensation in the form of up-to \$25,000 for each year as President. FY24 and FY25, the Board will consider the potential for performance-based compensation in the form of up-to \$30,000 for each year as President. The performance upon which the compensation is based must be made available to the public no less than 48 hours before the Board would approve the awarding of such performance-based compensation.
- Pursuant to applicable State law, the new term of the Presidential appointment cannot exceed four years.
- Any severance payments under the Presidential employment agreement will comply with the Illinois Government Severance Pay Act and shall not exceed an amount greater than twenty (20) weeks of annual base salary plus applicable benefits.
- Reimbursement for or payment by the university for reasonable university-related business and travel expenses for the President and spouse for performance of duties and responsibilities as president, in accordance with applicable law and university policy, including but not limited to designated parking on campus.
- Customary and ordinary benefits available to administrative and professional employees of the university in accordance with applicable law and university policy.

The Board will take up the matter of the extension of Dr. Lisa C. Freeman as President of Northern Illinois University, as well as the principal financial components of the extension, at its Meeting on March 18, 2021.

Recommendation: As Chairman, I'm recommending to the NIU Board of Trustees that they extend Dr. Lisa C. Freeman's appointment as the thirteenth President of Northern Illinois University, and approve the principal financial components of the President's appointment effective July 1, 2021 – June 30, 2025.