

**FACULTY SENATE MEETING**  
**Wednesday, February 22, 2017, 3 p.m.**  
**Holmes Student Center Sky Room**

**I. CALL TO ORDER**

**II. ADOPTION OF AGENDA**

**III. APPROVAL OF THE [MINUTES](#) OF THE JANUARY 25, 2017 FS MEETING**

**IV. PRESIDENT'S ANNOUNCEMENTS**

**V. ITEMS FOR FACULTY SENATE CONSIDERATION**

- A. The Bob Lane Faculty Advocacy [Award](#) – Page 4  
**Faculty Senate will vote on the recipient during the February 22 meeting.**  
Recipient will be honored at the March 29 Faculty Senate meeting

1. Nominee – [Donna Munroe](#) – Page 5

**VI. CONSENT AGENDA**

**VII. REPORTS FROM STANDING COMMITTEES**

- A. Faculty Rights and Responsibilities Committee – Katy Jaekel, Chair – no report
- B. Academic Affairs Committee – John Novak, Chair – report
- C. Economic Status of the Profession Committee – Paul Stoddard, Chair – report
1. Faculty Salary Study update
- D. Rules, Governance and Elections Committee – Rebecca Hunt, Liaison/Spokesperson – report
1. Nomination for Executive Secretary of University Council/  
President of Faculty Senate – 1-year term  
NIU Constitution and Faculty Senate Bylaws [citations](#) – Page 6  
[List](#) of University Council members eligible for election – Page 7  
**Nominations will be taken during the Feb. 22 Faculty Senate meeting.**

Letters of acceptance of nomination are due in the Office of University Council and Faculty Senate by **Friday, March 17**, and will be included in the March 29 FS agenda packets. **Election of final nominee will take place at the April 26 FS meeting.**

2. Faculty and SPS Personnel Advisor  
Position [announcement](#) and NIU Bylaws, [Article 9](#) – Pages 8-10

Letters of self-nomination are due in the Office of University Council and Faculty Senate by **Tuesday, March 21**, and will be included in the March 29 FS agenda packets. **Election will take place at the April 26 FS meeting.**

The faculty and SPS personnel advisor must be a full-time, tenured faculty member, but does not need to be a member of Faculty Senate or University Council.

- E. Resources, Space and Budget Committee – Jimmie Manning, Liaison/Spokesperson – report

1. [Annual Budget Report](#) – Pages 11-13

## **VIII. UNFINISHED BUSINESS**

- A. Deferred Action for Childhood Arrivals ([DACA](#)) – Beatrix Hoffman – Page 14
- B. Program Prioritization – Matt Streb, Program Prioritization Liaison/Facilitator
- C. Discussion of [Dec. 22 Baker Report](#) – Pages 15-22  
President Baker's [response](#) to Steering Committee questions – Pages 23-30  
Michael Haji-Sheikh's [report](#) – Pages 31-42

## **IX. NEW BUSINESS**

## **X. REPORTS FROM ADVISORY COMMITTEES**

- A. FAC to IBHE – Paul Stoddard – report
- B. University Advisory Committee to the Board of Trustees – no report  
Cathy Doederlein, Greg Long, Holly Nicholson,  
Rebecca Shortridge, Kendall Thu, Leanne VandeCreek

## **XI. COMMENTS AND QUESTIONS FROM THE FLOOR**

- A. United Faculty Alliance update – Virginia Naples, President

## **XII. INFORMATION ITEMS**

- A. [Minutes](#), Academic Planning Council
- B. [Minutes](#), Athletic Board
- C. [Minutes](#), Baccalaureate Council
- D. [Minutes](#), Board of Trustees
- E. [Minutes](#), Campus Security and Environmental Quality Committee
- F. [Minutes](#), Comm. on the Improvement of the Undergraduate Academic Experience
- G. [Minutes](#), General Education Committee
- H. [Minutes](#), Graduate Council
- I. [Minutes](#), Graduate Council Curriculum Committee
- J. [Minutes](#), Honors Committee
- K. [Minutes](#), Operating Staff Council
- L. [Minutes](#), Supportive Professional Staff Council
- M. [Minutes](#), University Assessment Panel
- N. [Minutes](#), University Benefits Committee
- O. [Minutes](#), Univ. Comm. on Advanced and Nonteaching Educator License Programs
- P. [Minutes](#), University Committee on Initial Educator Licensure
- Q. [Annual Report](#), University Committee on Initial Educator Licensure

## **XIII. ADJOURNMENT**

## **Bob Lane Faculty Advocacy Award**

The Bob Lane Faculty Advocacy Award recognizes an NIU faculty member for special service to the faculty.

Written letters of nomination, identifying the reasons why the nominee should receive the award, are to be submitted to Faculty Senate President Greg Long no later than noon Wednesday, February 15, 2017. Those letters will be included in the February 22, 2017 meeting agenda packet, and the Faculty Senate will vote on the recipient at that meeting. The recipient will be honored at the March 29, 2017 meeting.

Award recipients are commemorated on a permanent plaque displayed in the Holmes Student Center which includes the names of all recipients.

### **Bob Lane Award Recipients**

Dave Ripley – 1995-1996

Ken Bowden – 1996-1997

Lorys Oddi – 1997-1998

Sherman Stanage – 1998-1999

Herbert Rubin – 1999-2000

Robert Suchner – 2000-2001

James King – 2001-2002

David Wagner – 2002-2003

Elizabeth Miller – 2003-2004

Joseph “Buck” Stephen – 2004-2005

Rosemary Feurer – 2009-2010

Charles Cappell – 2011-2012

George Slotsve – 2015-2016

Therese A. Clarke Arado – 2016-2017

February 14, 2017

**Re: Nomination for the 2017-2018 Bob Lane Faculty  
Advocacy Award**

Dear President Long and Fellow Faculty Senators,

It is my great pleasure and sorrow to nominate Donna Munroe, Ph.D., Professor, School of Nursing, for the 2017-2018 Bob Lane Faculty Advocacy Award. Donna completed her Ph.D. from the University of Southern California in 1988 with a focus on public administration and health policy. Dr. Munroe brought her passion for advocacy to Northern Illinois University in 2001.

Donna and I met in 2012 when I joined the faculty of the School of Nursing. I had the great fortune of having Donna as my mentor for the Academic Promotion and Tenure process at NIU.

Donna had an uncanny knowledge of the NIU Academic Policies and Procedures Manual. She also was an expert on the Personnel Policies and Procedures of the College of Health and Human Sciences and the Nursing and Health Studies. Donna carried a big black binder with these policies and procedures to every meeting she attended. Donna was unapologetic when politely, but firmly saying, "You can't do that because \_\_\_\_\_ policy!" when problematic changes were announced by leaders/administrators. When Donna spoke, people listened. She served on many committees and councils at the university, college, and school level.



Donna Munroe

Sadly, Donna died suddenly on January, 13, 2015 in Altgeld Hall while participating in a meeting of the University Council Personnel Committee. Donna literally gave her life advocating for the faculty of Northern Illinois University.

Sincerely,  
Laura Beamer  
Assistant Professor  
School of Nursing

## **NIU CONSTITUTION**

### **ARTICLE 3: OFFICERS OF THE UNIVERSITY COUNCIL**

#### **3.2 Executive Secretary of the University Council**

**3.2.1** The executive secretary of the University Council shall be elected by the voting members of the University Council from the elected faculty members of the University Council as defined in Section 2.2.1 of the constitution.

#### **2.2 Apportionment of Faculty Representation**

**2.2.1** For purposes of representation on the University Council, the faculty shall be defined as those regular, full-time university faculty (as defined in Section 6.1.1 of the Constitution) in the academic division of the university, excluding the president, the president's staff, the executive vice president and provost, the executive vice president and provost's staff, the deans, and the deans' staffs. Regular faculty members are those whose contracts do not carry the designation "temporary" or "adjunct."

#### **6.1.1 Definition of University Faculty**

The university faculty shall consist of all full-time staff members holding the ranks of professor, associate professor, assistant professor, and instructor.

## **FACULTY SENATE BYLAWS**

### **ARTICLE 2: OFFICERS OF THE FACULTY SENATE**

**2.1** The Executive Secretary of the University Council shall also serve as President of the Faculty Senate. The Executive Secretary is nominated by the Faculty Senate from the elected faculty members of the University Council and is elected by the University Council.

**2.1.1** The initial selection of candidates for the office of Executive Secretary of the University Council shall take place at the second spring semester meeting of the Faculty Senate. Any faculty senator may suggest or second the suggestion of a candidate. To be qualified to serve, the candidate must be an elected faculty member of the University Council for the current year and for the ensuing year.

**2.1.2** Suggested candidates for the office of Executive Secretary shall submit a letter of intent to be included with the agenda for the third and fourth (last) spring semester regularly scheduled meetings of the Faculty Senate.

**2.1.3** An election of the final candidate for nomination shall be conducted by secret ballot at the last regularly scheduled meeting of the normal academic year of the Faculty Senate. All faculty senators present may cast a ballot for the candidate. If there are more than two suggested candidates, the final nominee must receive a majority of the votes cast. If no candidate receives a majority, subsequent ballots will be taken removing the candidate receiving the fewest votes until a candidate is selected.

**Faculty Eligible to Serve as  
Executive Secretary, University Council/President, Faculty Senate  
2017-18**

Jon Briscoe, Business  
Terry Bishop, Business  
Carolyn VanderSchee, Education  
William Penrod, Education  
Michael Haji-Sheikh, Engineering and Engineering Technology  
Gary Chen, Engineering and Engineering Technology  
Cathy Carlson, Health and Human Sciences  
King Chung, Health and Human Sciences  
Therese Arado, Law  
Morse Tan, Law  
Anne Hanley, Liberal Arts and Sciences  
Eric Mogren, Liberal Arts and Sciences  
Amy Newman, Liberal Arts and Sciences  
Andrew Krmeneč, Liberal Arts and Sciences  
Reed Scherer, Liberal Arts and Sciences  
Linda Saborío, Liberal Arts and Sciences  
Kendall Thu, Liberal Arts and Sciences  
Virginia Naples, Liberal Arts and Sciences  
Janet Hathaway, Visual and Performing Arts  
Kryssi Staikidis, Visual and Performing Arts  
Judith Chitwood, Visual and Performing Arts  
Douglas Boughton, Visual and Performing Arts

## **Faculty and SPS Personnel Advisor**

Paul Stoddard, Department of Geology and Environmental Geosciences, is completing his term of service as the Faculty and SPS Personnel Advisor (FSPSPA). At its April 26 meeting, the Faculty Senate will elect a new FSPSPA for a two-year term to at the start of the Fall 2017 semester.

The FSPSPA provides advice, advocacy and counsel to both faculty members and SPS employees. The specific duties of the position are described in [Article 9](#) of the NIU Bylaws. The FSPSPA must be a full-time, tenured faculty member and should have experience with the personnel process at NIU and be familiar with the administrative structure and operations of the university. The advisor may not concurrently hold membership on any university committee dealing with the personnel process.

The FSPSPA receives compensation equal to one month of the median salary of all tenured professors each semester and summer session. The initial appointment is a two-year term of 11 months each year and is renewable for an additional 11 months. The FSPSPA is ineligible for a successive term.

**Interested faculty members should send a letter of self-nomination describing their interests and qualifications to Greg Long, President of the Faculty Senate, 103 Altgeld Hall or [glong@niu.edu](mailto:glong@niu.edu) by Tuesday, March 21. Questions should be directed to Greg Long at (815) 753-9306 or [glong@niu.edu](mailto:glong@niu.edu).**



## **ARTICLE 9: FACULTY AND SPS PERSONNEL ADVISOR**

The Faculty and SPS Personnel Advisor is a resource person whose services are available to any faculty member (ranked or no-rank faculty), administrator, Supportive Professional Staff member, or personnel body in the university. The advisor's role includes such activities as the following:

- To advise faculty and SPS members about the personnel policies and procedures within the university and the courses of action open to faculty and SPS members;
- To advise and assist faculty and SPS members who are experiencing difficulties with the personnel process;
- To advise and assist faculty and SPS members dissatisfied with personnel decisions;
- To observe the workings of the personnel process and to recommend needed changes or clarification;
- And to serve as grievance officer in cases of faculty pursuing the grievance procedure set forth in Section 10.2 of these bylaws.

### **9.1 Qualifications**

The advisor shall be a full-time, tenured faculty member. The advisor shall have had experience with the personnel process at various levels, and be familiar with the administrative structure and operations of the university.

### **9.2 Conditions of Employment**

**9.2.1** The advisor shall receive compensation equal to one month of the median salary of all tenured professors each semester and summer session funded through the budget of the University Council.

**9.2.2** Secretarial assistance shall be provided.

**9.2.3** The advisor may not hold membership on any personnel committee within the university dealing with matters relating to merit evaluations of faculty not holding administrative positions, salary increments, tenure, promotion in rank, or leaves of absence.

**9.2.4** The advisor shall receive an initial two-year appointment consisting of eleven months each year, renewable for an additional 11 months. The advisor shall be ineligible for a successive term.

**9.2.5** Files generated by the Faculty and SPS Personnel Advisor are the property of the office of the Faculty and SPS Advisor and shall be kept for eight years. Only the Faculty

and SPS Advisor shall have access to the files. After eight years, the files shall be destroyed, except that non-identifying, aggregate data may be kept indefinitely.

**9.2.6** The Faculty and SPS Personnel Advisor shall make an annual report which will summarize the activities of the advisor (in such a way as to keep clients' identities anonymous), identify the strengths and weaknesses of the personnel process, and make recommendations for changes in the personnel process. The Faculty and SPS Personnel Advisor Annual Report shall be submitted to the University Council and the Faculty Senate. The FSPSPA Annual Report will be submitted by July 31 of each year.

### **9.3 Method of Selection**

The Faculty and SPS Personnel Advisor shall be elected by the Faculty Senate in the spring for a two-year term to begin at the start of the fall semester.

*Article 9.2.1 amendment approved by University Council on 04/09/2008.*

*Amendment approved by University Council on 04/30/2008.*

*Amendment to opening paragraph and bullet points approved by University Council on 04/29/2015.*

Date: February 14, 2017

To: President Douglas Baker

From: Greg Long  
Executive Secretary of the University Council  
President of the Faculty Senate

Sarah McHone-Chase  
Chair of Resources, Space, and Budgets Committee

Jimmie Manning  
Faculty Senate Liaison/Spokesperson to Resources, Space, and Budgets Committee

Re: Committee on Resources, Space, and Budgets Statement of Budget Priorities – Spring 2017

This Annual Statement of Budget Priorities was drafted by the University Council (“the UC”) / Faculty Senate (the “FS”) Committee on Resources, Space, and Budgets (“the Committee”) and approved by the FS on [date] and the UC on [date].

The Committee has chosen to approach the budget statement differently this year than in the past, given the fact that the budget crisis in the State of Illinois and its severe impacts on the University are already common knowledge. Instead, the Committee would like to underscore issues which we feel need to continue to be highlighted and recognized, following from Program Prioritization and the Executive Budget Committee’s ongoing efforts. In addition, the Committee also would like to reaffirm what we believe should be our role, especially following Program Prioritization.

One major concern of the Committee is the lack of very specific budget figures and other pertinent budget information that we have received. This has made our role as an advisory committee harder. We affirm that we have been shown reports and general data. However, without a more in-depth understanding of the actual numbers with which the university is working, we cannot accomplish our committee’s advisory role in any capacity—neither to your office nor to the CFO’s office. In addition, the lack of specific numbers leaves us unable to advise the University Council, Faculty Senate, Operating Staff Council, and the SPS Council. We believe that this practice runs contrary to the principle of shared governance at the university, and is a lost opportunity given both the expertise of some of our committee members as well as the potential communication by all committee members to their respective councils.

Specifically, we have questions concerning such issues as, if budget reductions/rescissions are requested of divisions, how does that affect ongoing operations at the divisional and university levels? In the short term and the long term? Can we see budget figures at the divisional level? Are longitudinal data rolled up to the division or even the department/unit level? Can we get a Space Capacity Analysis, or, at the very least, a review of instructional space or research lab space? We also want to see NACUBO metrics for such factors as NIU’s Net Operating Income, our Net/Revenues/Total Revenues, our Operating expense/student FTE, our Overall surplus/deficit percent, our Financial viability ratio, our Total endowment, and our Foundation assets and revenues.

We urge the University Administration to focus on greater communication with the Resources, Space, and Budgets Committee in the interest of greater transparency. We urge this communication especially in matters of Program Prioritization, in the efforts of the Executive Budget Committee, and, in these tough fiscal times with the State, also in general budgetary matters. This includes estimates regarding budget reductions or timelines on which budget decisions are being made. More and better communication in these matters *in particular* would help increase faculty and staff trust university-wide and would decrease the unfortunate spread of rumor on campus. The Committee wants to assist in communicating specific messages, when needed. We believe that the Resources, Space, and Budgets Committee is a uniquely positioned asset to the Administration. However, we are only able to assist the Administration and, indeed, the University if we are presented with substantive and detailed figures of the budget and fiscal outlook. We are not a proper advisory committee if we are only asking questions but are not *being asked* questions.

The Committee does not see what the targets or savings in Program Prioritization are meant to be. Whether this is the intention or not, the effect is a lack of transparency that, frankly, has caused concern among this Committee that the prioritizations set by the Program Prioritization Task Forces will not be given the weights that were intended. For example, we are concerned that changes will be implemented, to academic programs especially, which were not originally recommended by the task forces. We are concerned that these will change the core identity of our institution. We have further concerns about the elimination of positions due to the intersection of Program Prioritization and budget cuts. We advise that such an action should be done with much care to remain true to the sentiments expressed during the beginning stages of Program Prioritization. Administration should keep the elimination of positions to a minimum, and extraordinary efforts should be made to place affected employees in similar positions in another area of the university. The Committee believes that we can be a valuable part of post-Program Prioritization strategic planning conversations centered on such topics as resource allocation, budget analysis, and space capacity analysis, as many of us can provide unique and expert insight in these areas—areas that define the advisory role of this committee.

A further matter about which we are concerned has to do with the budget management via staff attrition that we have endured for some time now. While we understand the necessity of such an action, and as a group we have certainly preferred this method over layoffs or furloughs, we also caution the ultimate shortsightedness of this as a solution. Service suffers without adequate staffing, and we are at a point where that short staffing is becoming evident. If we cannot meet student needs or the needs of others who come to the university, the reputation of NIU will be harmed. With the faculty searches that have been approved for the next fiscal year, it is extra important to reconsider replacing some of the empty staff positions—we will need staff support even more once these academic positions are filled. We know that there have been discussions about potential outsourcing for some staff work, but here too we offer our caution as well as our guidance and counsel: it would be too easy to outsource crucial services in the interest of potential cost savings, but inconveniencing students and leaving them with a bad impression of our University does not amount to much of a bargain overall. In addition, outsourcing typically does not amount to much cost-savings long term. Coupled with the suffering in the quality of service and other factors such as potential security risks, the Committee is unconvinced of the wisdom of such an action.

The Resources, Space, and Budgets Committee does not believe that the University's budget decisions are made in an unconsidered or unsystematic fashion. On the contrary, we appreciate the complexity and enormity of meeting the University's budget needs, especially given the current political climate in our state. Given this, we again emphasize our role as an advisory committee. We want very much to be

a resource for decision making, as a sounding board for ideas, and as a channel for communication. This Committee can be such a benefit to University Administration, if only we are utilized.

As a final note, the committee wishes to extend its sincere appreciation to the Division of Administration and Finance staff, especially to Chief Financial Officer Alan Phillips, during this difficult fiscal environment. We are in uncertain times, with respect to enrollment and fiscal sustainability. While the former remains an issue, this committee can say, with certainty, that the financial condition of the University has never been as well managed as under the stewardship of Dr. Phillips. He has dedicated a significant portion of his career to Illinois higher education. We, as an institution of higher learning, have been fortunate to benefit from his dedication and efforts. The committee looks forward to working with his staff, who are and remain dedicated to the financial viability of Northern Illinois University.

DACA (Deferred Action for Childhood Arrivals) program: Over 750,000 young people who were brought to the U.S. as children are participating in the program, which protects them from deportation and provides temporary work permits. The program was created by executive order and may be rescinded under the new administration. Approximately 40,000 Illinois residents are covered by DACA, including many college students. 93% of students in the DACA program say they are pursuing educational opportunities that would not have not been possible without their protected status.

#### How Faculty Can Support Undocumented Students

- Do not ask students to disclose their immigration status.
- If students voluntarily disclose their status to you, assure them that you will maintain confidentiality.
- Refer students to support services available on campus: DREAM Action, counseling services, Latino Center
- Use the words “undocumented” or “DREAMer,” not “illegal,” to refer to human beings.
- Put a statement in your syllabus, and/or announce in your class, that you support undocumented students’ right to pursue higher education.
- Display a sign on your office door stating your support for undocumented students.
- Schedule an “ally training” for your department or unit.
- Call your congresspeople and ask them to defend DACA against cancellation, and to support the bipartisan BRIDGE Act that would further protect our students.
- Donate to private scholarships for undocumented students (they are still not allowed to apply for state or federal financial aid)
- Get involved in an organization supporting undocumented students, such as United We Dream or Educators for Fair Consideration.

#### Resources and Contacts

To schedule an ally training: [dreamactionniu@gmail.com](mailto:dreamactionniu@gmail.com)

NIU Diversity Resources: 815-753-8387 [equity@niu.edu](mailto:equity@niu.edu)

More info: Beatrix Hoffman, History Department [beatrix@niu.edu](mailto:beatrix@niu.edu)

**From:** Greg Long  
**Sent:** Thursday, January 19, 2017 9:53 AM  
**To:** Douglas Baker <ddbaker@niu.edu>  
**Cc:** Greg Long <glong@niu.edu>; Patricia Erickson <pje@niu.edu>  
**Subject:** Faculty Senate/University Council follow-up questions regarding the

January 19, 2017

To: Douglas Baker  
President

From: Greg Long  
Executive Secretary of University Council  
President of Faculty Senate

**RE:** Requested follow up on the December 22<sup>nd</sup> *Baker Report*

Several faculty and staff have contacted me regarding the December 22<sup>nd</sup> *Baker Report* titled, "Correcting Course--new policies enhance transparency." In reply, I asked these individuals to send questions and other relevant background information to me for distribution and discussion during yesterday's Senate and University Council steering committee meetings. The steering committee members had access to the aforementioned *Baker Report* as well as the two additional articles linked below. When we discussed this topic both committees appreciated your willingness to provide written answers to our questions.

As follow up, please send your replies to me by Tuesday January 24<sup>th</sup> to allow time for copying and distribution during the January 25<sup>th</sup> Senate meeting. These questions will also be discussed during the February 1<sup>st</sup> University Council meeting.

The questions the steering committees would like you to address include the following:

1. What procurement practices, employment decisions, and contractual arrangements were violated in 2013 and 2014?
2. What are the weaknesses in internal controls and which policies lack clarity?
3. What was the involvement of the President, Provost, and CFO in these matters?
4. Which employment policies have been revised and how?
5. What changes are being made, or have been made, to the whistleblower policy? Who is making the policy changes? Why is that relevant for the violations?
6. Why communicate problems to campus on the day immediately before winter break?
7. Ethically inspired leadership is one of the pillars of your administration. How will you work to rebuild trust?
8. The *Baker Report* comes after years of struggles for employees, including flat salaries and increased workloads. The employees left on campus are hard-working and dedicated to the mission of NIU, but are despairing. Why should they continue working at NIU?
9. The title of the *Baker Report* included the word transparency, however, the report was vague. How will this administration continue to work toward greater transparency?

Thank you for your attention to this request. Please let me know if you have any questions, comments, or requests. I would be happy to talk with you.

---

**Baker Report: Correcting the Course**

<http://www.niutoday.info/2016/12/22/baker-report-correcting-course-new-policies-enhance-transparency/>

**President Baker says NIU violated employment agreement**

[http://northernstar.info/campus/president-baker-says-niu-violated-employment-agreement-issues-in/article\\_07459740-cd5d-11e6-8681-47f8823e4e6f.html](http://northernstar.info/campus/president-baker-says-niu-violated-employment-agreement-issues-in/article_07459740-cd5d-11e6-8681-47f8823e4e6f.html)

**Baker: Northern Illinois violated some employment rules in 2013, '14**

<http://www.daily-chronicle.com/2016/12/22/baker-northern-illinois-violated-some-employment-rules-in-2013-14/a9b849h/>





Northern Illinois University



# BAKER REPORT

December 22, 2016

## Correcting Course – new policies enhance transparency

I'm writing to you today to announce the conclusion of reviews into several complaints regarding procurement practices, employment decisions, and contractual arrangements that occurred in 2013-2014 when I first assumed the presidency and initiated plans to improve the physical campus. The allegations in these complaints have now been investigated, and I want to share the issues identified and what the Board of Trustees and I see as the way forward.

A major factor for both recruitment and retention is the attractiveness and functionality of our campus. Whether the campus fulfills the expectations of prospective students and those who influence their decisions was a question we intentionally posed in 2013. Feedback – particularly from students – indicated a desire for a much more vibrant social and academic campus core, similar to contemporary spaces at competing schools. Responding to this feedback, one of our goals became revitalizing our campus core. Importantly, we believed we should and could pursue this goal urgently.

Gilbert Hall renovations were nearly complete when I arrived, and the next steps in our residential renaissance included an assessment of improvements we could make to centrally-located Neptune Hall. Other projects that promised to alter the character and vibrancy of the center of campus included the renovation of Holmes Student Center, and limited institutional resources existed to substantially address this goal. Connecting the center of campus to the residence, recreation, and athletic complexes located on the west side of campus also emerged as an objective we could achieve at a remarkable pace by extending Lucinda Avenue – our campus' main thoroughfare. Finally, modest but impactful improvements to the landscape were pursued within a short timeframe.

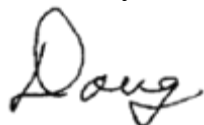
While I am confident these strategic initiatives were right for NIU and calibrated closely to our essential priorities, our progress has not been without difficulty. Investigations have substantiated that in 2013 and 2014 there were weaknesses in internal controls, some

limited compliance violations, and lack of clarity of policies across multiple units. Investigation did not yield evidence of substandard work, but it did identify issues with administering certain employment, consulting, and capital works agreements. As leader of the university, I am ultimately accountable for these issues, and I take full responsibility for them. I also make a personal pledge to the university community that they will not re-occur. To this end, in consultation with the Board of Trustees, I have supported the development of new and revised policies intended to further public trust and confidence in university employment and contracting practices and actions. These include elimination of the “affiliate employee” classification as of January 1, 2016 and corrective actions related to some of those hired into such positions in 2013 and 2014. I have also instructed my cabinet to study and implement process improvements regarding consulting, design, and other contracting arrangements.

I am also personally committed to ensuring that our employees feel confident and secure in raising future questions or concerns, and seeking clarity on procedures and policies without fear of criticism or negative consequences. Specifically, we will offer additional staff training on this matter and have adopted an upgraded Whistleblower Policy which encourages reporting and more fully protects those who choose to make good-faith reports of any suspected legal and policy violations. To be clear, even when there is urgent need for change, it is critical that policies, procedures, and protocols must be observed.

As the university engages in ongoing process improvement, I earnestly expect that our actions will demonstrate this university’s commitment to proper conduct and prudent oversight. I welcome suggestions or ideas from the campus community and will report further as our process improvements are implemented.

Sincerely,

A handwritten signature in black ink that reads "Doug". The signature is stylized with a large, looped 'D' and a cursive 'oug'.

Doug Baker  
President

---

Office of the President, Northern Illinois University

## President Baker says NIU violated employment agreement issues in 2013, '14

Leah Nicolini | News reporter Dec 28, 2016



Northern Star file photo

Faculty Senate President Greg Long (left) and President Doug Baker participate in a Feb. 3, University Council meeting in the Holmes Student Center, Sky Room.

**DeKALB** | President Doug Baker acknowledged NIU violated procurement practices, employment decisions and contractual arrangements in 2013 and 2014 after an investigation.

The violations were not stated in a Dec. 22 NIU Today article addressing the investigation. However, Baker mentions projects such as the renovation of the Holmes Student Center, extending Lucinda Avenue and Gilbert and Neptune Hall renovations, according to the article. He mentions “limited institutional resources” as a barrier to the residence halls and Holmes Student Center renovation projects.

“Investigations have substantiated that in 2013 and 2014 there were weaknesses in internal controls, some limited compliance violations and lack of clarity of policies across multiple units,” Baker wrote in the article. “Investigation did not yield evidence of substandard work, but it did identify issues with administering certain employment, consulting and capital works agreements.”

Baker’s resolution to the complaints is to eliminate the affiliate employee classification Sunday, upgrade the Whistleblower Policy to encourage more reporting and to take “corrective actions” pertaining to those hired into contractual positions in 2013 and 2014, according to the article.

The Board of Trustees reaffirmed its Whistleblower Policy in its report Dec. 15 stating the policy protects people who report unlawful conduct in “good faith” from retaliatory action but the protection does not extend to “knowingly false or fabricated reports.”

NIU will also study and modify the consulting, design and other contracting arrangement policies.

The Northern Star submitted a Freedom of Information Act today requesting more information on the results of the investigation.

Spokesperson Joe King declined to comment on the investigation, citing the article as NIU’s response.

## 2 Comments

**Michael Haji-Sheikh** ·

Associate professor at Northern Illinois University

It is time for him to leave. Ron Walters, Nancy Suttentfield, Jim Heid and others were brought on campus without following state law. When others objected, objected they were fired.

[Like](#) · [Reply](#) · [Jan 6, 2017 1:27pm](#)

**Michael Haji-Sheikh** ·

Associate professor at Northern Illinois University

Note - problems extended into 2016, too. The additional Lucinda money was part of this too.

[Like](#) · [Reply](#) · [Jan 6, 2017 1:29pm](#)

# Baker: Northern Illinois violated some employment rules in 2013, '14

---

Published: Friday, Dec. 23, 2016 12:34 a.m. CST

---

DeKALB – The president of Northern Illinois University admitted Thursday that state regulations governing employment and public improvements were violated early in his tenure at the school and pledged that they would not re-occur.

Douglas Baker, who took over as NIU's president in fall 2013, said that he took responsibility for the unidentified violations, which occurred at a time of transition where a state audit found [at least one consultant was improperly compensated](#) for travel from his home in Washington state to DeKalb.

“Investigations have substantiated that in 2013 and 2014 there were weaknesses in internal controls, some limited compliance violations, and lack of clarity of policies across multiple units,” Baker said in a statement posted on the NIU Today website. “Investigation did not yield evidence of substandard work, but it did identify issues with administering certain employment, consulting, and capital works agreements.”

The university's practices in hiring temporary employees has been the subject of a state investigation by the [Office of Executive Inspector General](#). The university's Executive Committee in November approved another \$15,000 for legal expenses for Baker in that investigation, raising the total allowable to \$165,000. Another \$20,000 was approved for legal fees for Baker in an internal controls investigation.

The university also recently settled a lawsuit brought by former NIU Police Chief Donald Grady for just more than \$1 million. Grady alleged that his civil rights had been violated when he was fired from his job in 2014.

Thursday was the last day of the semester at NIU, and documents showing the results of the investigations Baker referred to were not immediately available. The Daily Chronicle has submitted a Freedom of Information Act request seeking them.

In his post, Baker referenced plans and projects undertaken in the early years of his presidency, including improvements to the Neptune Hall dormitory, renovations at Holmes Student Center and the extension of Lucinda Avenue.

[The university is facing a federal lawsuit](#) from its former controller, Keith Jackson, who claims he was mistreated and forced out of the university. Jackson said he became a target after October 2013, when he refused to sign off on the way the university wanted to set up the hiring contract for former CFO Nancy Sutenfield.

“Mr. Jackson refused to do so on the basis that the contract required the approval of the board of trustees, and because processing the payments would have violated the Illinois procurement laws that required competitive bidding,” the lawsuit states.

Jackson claims he was asked by Suttentfield to quit – at Baker’s behest – in May 2014, and was placed on leave when he refused.

Ron Walters, a consultant hired in 2014 to help on the campus initiatives, was paid more than \$460,000 for about 18 months’ work. But he also was improperly reimbursed for more than \$30,000 in travel expenses, for which he billed the university, the state Auditor General’s office found.

Baker said the university has revised some of its employment policies in an effort to increase public trust. Specifically, Baker said there would be changes in employee classifications, and an “upgraded” whistleblower policy to protect employees who report any suspected legal and policy violations.

“To be clear, even when there is urgent need for change,” Baker wrote, “it is critical that policies, procedures, and protocols must be observed.”

In the past month, three cabinet-level administrators have announced they plan to leave the school: [Vice President and General Counsel Jerry Blakemore](#), [Vice President for Administration and Finance Alan Phillips](#) and Vice President for Student Affairs and Enrollment Management Eric Weldy.

Copyright © 2017 Daily Chronicle. All rights reserved.

## MEMORANDUM

To: Faculty Senate

From: Doug Baker

Date: January 25, 2017

---

Please find below answers to the questions posed by the faculty senate. I appreciate the opportunity to clarify these issues.

1 What procurement practices, employment decisions, and contractual arrangements were violated in 2013 and 2014?

The compliance issues primarily relate to the original hiring of Ron Walters and Nancy Suttentfield. These are issues I have previously spoken about to the University Council, NIU Town Halls, and local media.

Immediately prior to my beginning work at NIU the FBI, Housing and Urban Development, and Department of Education had searched the Police Department and collected computers and records. The leadership of the Department of Police and Public Safety had changed and the Vice President of Administration and Finance had taken a leave of absence in relation to the federal investigation. In addition, there were significant strategic, structural, and financial challenges related to student recruitment and retention, state support of public higher education, and pension obligations.

In this context and with other immediate challenges, my assessment was that it was important to engage someone with an outside perspective to work with the university and help create a strategic planning framework and quickly help us move forward. I discussed my intentions with the appropriate internal leaders assigned to assist me in the transition, and advised Board of Trustees leadership,

prior to moving forward with the hiring of Mr. Walters. Mr. Walters came to us with extensive experience as an organizational leader and turnaround specialist. He is someone I knew and trusted from his previous work at the University of Idaho. We had a professional relationship and counter to some rumors, we have no family relationship.

Further, I felt it was important to quickly hire someone with a strong financial background so that we could address critical budget issues. To that end, we worked with the Registry (a national organization that provides temporary leadership help for higher education). Again the Board was informed and several Trustees interviewed the candidates from the Registry. That process led to the hiring of Ms. Sutenfield as the Interim Vice President for Administration and Finance. She came to NIU with extensive experience having formerly served as the Chief Financial Officer at the University of North Carolina at Chapel Hill, Wake Forest, Case Western Reserve, and the Smithsonian Institution.

In making these staffing decisions I worked with NIU Vice Presidents with extensive experience at Illinois Public institutions who advised me on the process and requirements for hiring these two individuals. The advice I received and followed indicated that Mr. Walters, as well as Ms. Sutenfield, could be appropriately hired as Affiliate Employees. Further, advice was given, and taken, on how to reimburse their travel and lodging expenses.

Approximately a year later, a complaint was made over these hires. Ultimately, it was determined that the Affiliate Employee category and related travel and lodging expenses were not appropriately allocated. To address both present and prospective situations, the Affiliate Employee category was eliminated, travel expenses were recovered from Mr. Walters and appropriate adjustments were made to Mr. Walters and Ms. Sutenfield's taxable income statements.

## 2 What are the weaknesses in internal controls and which policies lack clarity?

These dealt with aforementioned use of the Affiliate Employee and travel reimbursement. Upon review from Administration and Finance, Human Resources, and Office of General Counsel it was determined that NIU defined and utilized the affiliate employee category differently than other Illinois public universities and therefore this category has subsequently been eliminated.



The Board has clarified its policies and role regarding procurement expenditures and oversight. Our travel policies have been revised and additional controls have been put in place. Further, the Human Resources Office has been reorganized and a new Senior Associate Vice President with significant Illinois public higher education experience has been hired. She continues to work on improving our hiring policies and procedures in addition to other areas of compliance.

All audit issues resulting from these weaknesses have been addressed and resolved in accordance with Auditor General guidelines. These additional procurement policies, procedures, and structures will ensure a higher level of oversight and control and serve to improve the efficiency, accuracy, and timeliness of procurement actions.

3 What was the involvement of the President, Provost, and CFO in these matters?

My role is noted above.

Dr. Alden was Provost at the time, but was not involved in the hiring of Ron Walters.

Current EVP and Provost Freeman and current CFO Phillips were not involved in the hiring of Mr. Walters.

Provost Alden and other senior leaders at the time were asked to interview the two CFO candidates in the fall of 2013.

CFO (VP for Administration and Finance) Suttentfield's hiring was in accordance with guidance by the then General Counsel and the Acting Vice President for Administration.

4 Which employment policies have been revised and how?

The Affiliate Employee rank has been eliminated. Board Regulations were amended pertaining to administrative approval of certain types of presidential decisions that may relate to employment and/or consulting, and adding new areas for Board approval and cost thresholds requiring Board approval for certain kinds of professional services and consulting (see Board measures adopted

June 18, 2015, to Board Regulations Section II . B.2

<http://www.niu.edu/board/regs/sectionII.shtml#anchor803627> and Section V.B.2.

<http://www.niu.edu/board/regs/sectionV.shtml#anchor1100473>.)

5 What changes are being made, or have been made, to the whistleblower policy? Who is making the policy changes? Why is that relevant for the violations?

The Board of Trustees adopted a new whistleblower policy at its December 15, 2016 meeting: <http://www.niu.edu/board/policies/index.shtml>. If there was any hesitancy of people in any manner to bring forward their concerns in the past, we want to ensure that this does not happen again. This new policy is relevant to all employees and situations and is aimed at ensuring that if anyone believes that something is not being done appropriately that they have a clear avenue through which to report any potential issues. Moreover, in addition to the December 22<sup>nd</sup> Baker Report, additional efforts to inform NIU employees of the new policy will continue in the spring, and become a regular part of employee training going forward.

6 Why communicate problems to campus on the day immediately before winter break?

The timing of the Baker Report was not good at the very end of the year and I apologize for that. However, the Board and I felt it was important to get the report out before the end of the calendar year. One of the reasons to send the letter at the end of December was to notify the university in a timely manner of this revised whistleblower policy, which, as noted above, was adopted by the Board on December 15, 2016. Further, it was important to the Board that I publicly acknowledge the efforts undertaken to address complaints and release the revised whistleblower policy in a timely manner and during the service of the Board members in position at the time. The Baker Report, due to its wide distribution that includes the university community, alumni, and many others, offered the most immediate means of reaching the widest audience.

7 Ethically inspired leadership is one of the pillars of your administration. How will you work to rebuild trust?

Part of being an ethically inspired leader is the ability to acknowledge mistakes, learn from them, and take corrective action which I have done. I continue to strongly believe in this pillar and am personally committed to ensuring that our employees feel confident and secure in raising future questions or concerns, and seeking clarity on procedures and policies without fear of criticism or negative consequences. We need to continue to build a culture that encourages concerns to be expressed at the beginning of processes to avoid problems.

At no time did I ever know of or intend for myself or any of my staff to violate any policies or procedures. In the cases of Mr. Walters and Ms. Suttentfield, when errors in policy and procedures were found, corrective actions were taken. The administrative team and I share that commitment and are working hard to ensure all of our policies are appropriately followed. One of the challenges that NIU has faced is that our policies have not been as easily accessible or, in some cases, as clear as they need to be to allow for easy compliance. To that end, we are working with the University Council, General Counsel, and Senior Cabinet members to develop a policy library and management structure for it. This will allow university members to easily access policies and practices, as well as identify potentially conflicting or ambiguous policies so that they can be addressed. I look forward to working with the University Council to implement the policy library and refine it over time.

8 The *Baker Report* comes after years of struggles for employees, including flat salaries and increased workloads. The employees left on campus are hard-working and dedicated to the mission of NIU, but are despairing. Why should they continue working at NIU?

These are clearly very challenging times in Illinois higher education and at NIU, but I am greatly encouraged by the way faculty and staff have worked proactively to ensure our viability. Below I detail a few examples of the steps we are taking to link our budget with mission, improve our recruitment, bolster student retention, and better allocate student scholarships and financial aid.

I am proud of and grateful for the hard work and sacrifices of the NIU faculty and staff. Through their efforts we have been able to manage through an unprecedented period of funding reduction (including a 71% cut in our state operating budget last year alone). To address these budget challenges, we have

had to significantly reduce spending (approximately \$50 million) in the last two and a half years. To do that we have had to freeze salaries, reduce hiring to fill open positions, restructure a number of areas, defer maintenance projects, etc.

Throughout this process we have focused on protecting our core mission. To help us be as strategic as possible in the allocation of our increasingly scarce resources, we undertook a Program Prioritization Process that was conducted with rigor and integrity, and that was inclusive of faculty, staff and students in accordance with shared governance. That process was undertaken prior to the dramatic state operating budget cuts last year, but the most recent fiscal challenges have underscored the need to allocate our revenues in the most strategic manner possible. A great deal of effort went into the design and implementation of the Program Prioritization Process. The outcomes from that process are insightful recommendations based on extensive data analysis and deliberations. I share the optimism exhibited by the two Program Prioritization Task Forces after they saw the amazing core strengths of NIU and the potential that is inherent to our university.

One of the key factors in stabilizing our finances and allowing us to fulfill our mission, is to turnaround our declining enrollments, an issue many of our state sister institutions are also facing. An initial step to address enrollment issues began in the fall of 2013 as we began planning for and implementing changes that would improve our student retention. Based on that planning and the good work of our faculty and staff, the freshman to sophomore retention rate has risen seven percent.

We have been working hard on recruitment in recent years as well. Admissions has undergone a dramatic transformation in building the infrastructure—in particular our Constituent Relations Management (CRM) system, which needed to be literally rebuilt from ground up to be more effective in recruiting first-year and transfer undergraduates. I recently integrated recruitment and marketing traditional and adult learners into our newly organized Enrollment Management, Marketing and Communications division to improve alignment, strategy development and execution. Early signs for the success of this integration are encouraging.

Last year, an institutional aid task force took on the assessment of our extensive

and complex set of financial aid, waivers, and scholarships. Those resources are now catalogued in Academic Works that allows for easier access for students as well as the coordination among those providing the support. The more efficient allocations of institutional aid to students will positively affect our recruitment and retention over time (<http://niu.edu/scholarships/academicworks/index.shtml>).

In addition, the two-year budget log jam in Springfield is showing signs of forward movement. A set of bi-partisan bills to address most of the extant fiscal and policy issues were introduced in the state Senate during the lame- duck session two weeks ago. Not enough time existed in that two-day session for the bills to pass, but they have been reintroduced in the Senate and form the basis for a resolution.

As such, I think there are bright signs for NIU on many fronts. We are maintaining our financial health through a very difficult period. Our work to attract and retain more students is getting some traction, and we believe our state leaders will ultimately fund higher education on a more sustainable basis, as it is a proven driver of social and economic prosperity in a state that needs more of both. We have worked hard to position the university for growth and success as these challenges are resolved and believe we are making significant progress. As our enrollment and state operating budgets are stabilized, we will make faculty and staff compensation increases a top priority.

9 The title of the *Baker Report* included the word transparency, however, the report was vague. How will this administration continue to work toward greater transparency?

The Baker Report was not meant to be vague; however, it is not always possible to provide the level of detail some may wish to have when matters are the subject of formally registered complaints. Investigations of complaints often involve a need for confidentiality to protect the integrity of investigations, ensuring that all relevant persons cooperate fully and relevant materials are reviewed thoroughly, or as otherwise required under the law. Such realities often constrain what can be publicly shared. When that is the case, corrective actions and policy reforms can hopefully provide enough information for the university community to know that complaints have been taken seriously and there exists an earnest desire to prevent the recurrence of issues.



The December message was intended to notify the campus and wider community that the university undertook extensive efforts to identify and correct weaknesses in internal controls, some limited compliance violations, and lack of clarity of policies across multiple units. The message confirmed that such efforts were in response to complaints and that such complaints were taken seriously, resulting in corrective actions. Importantly, the message also confirmed that the revision of the whistleblower policy was an intentional action of the university to encourage good faith reporting of concerns as they arise in the normal course of business.

The leadership team and I have worked hard to be transparent in these challenging times. We have done that through meetings with colleges, university-wide town hall meetings, cabinet members being willing to attend and speak at the University Council, Faculty Senate, Operating Staff Council, Resource, Space and Budget Committee, etc. We have received positive feedback on these communication efforts.

Each of the last two summers, members of my cabinet and I have met with a broad set of chairs, directors, and other leaders from across the university. Our goal was to listen to their suggestions on how to better communicate, both up, down, and across the organizational structure. That feedback has been very helpful. We have taken those suggestions to heart and made adjustments to our publications, web pages, reports, town halls, and other meetings. Changes were made to content, frequency, detail, tone, and media. These communications issues are a regular part of cabinet meetings and a key consideration as we plan for and make changes. As a learning organization, we strive to continue to improve and make corrections as appropriate. I welcome your feedback and appreciate the opportunity to respond to these thoughtful questions.

Together Forward,

Doug

# The Case

To my colleagues,

Over the last three years Dr. Baker has shown an extreme disdain for the principles of accountability and oversight. I will try to bring much of this information to light for the Faculty Senate. Everything that he has done shows a lack of respect for the students, staff, faculty, and the oversight by the IBHE and Board of Trustees. The following is a list of issues that have been investigated or are being investigated or even should be investigated. The list goes as follows:

1. The hiring of Ron Walter without a legal search.<sup>1 2</sup>
  - (a) Paying him as an employee and treating him as a consultant.
  - (b) Lying about his employment status so both his travel and hotel could be compensated illegally.<sup>3</sup>
2. The hiring of Nancy Suttentfield without a legal search.<sup>4</sup>
  - (a) Moving foundation money to bypass the controller.
  - (b) Lying about her employment status so her travel and hotel could be compensated.
3. Firing Keith Jackson when he refused to sign off of the hiring of Nancy Suttentfield.<sup>5 6</sup>
4. The hiring of Magaly Rodriguez without legal search<sup>7</sup>
  - (a) Lying about her employment status so her travel and hotel could be compensated.
5. The hiring of Wally Pfeiffer without a legal search.<sup>8</sup>
6. NIU's illegitimate subcontract with Alvarez and Marsal.<sup>9</sup>
7. Pres. Baker using college credit card on wife's travel.<sup>10</sup>
8. Hiring of Keith Ickes without a contract.<sup>11</sup>
9. The formation of College Town Partners NFP without permission from the full BOT and the IBHE.<sup>12 13 14</sup>
10. The formation of College Town Partners LLC without permission from the full BOT and the IBHE.<sup>15 16 17</sup>
11. The hiring of Jim Heid of Urban Green to write the Bold Visions plan then illegally hiring him

---

1 <http://www.citybarbs.com/2015/08/02/ron-walters-pay-arrangement-with-niu/>

2 <http://edgarcountywatchdogs.com/index.php?s=niu+cronyism&print=print-search>

3 [http://northernstar.info/campus/niu-will-ask-walters-to-repay-k-that-was-improperly/article\\_fe448732-d95c-11e4-bcfe-e3c06d160a03.html](http://northernstar.info/campus/niu-will-ask-walters-to-repay-k-that-was-improperly/article_fe448732-d95c-11e4-bcfe-e3c06d160a03.html)

4 [http://www.wspynews.com/news/local/former-administrator-sues-northern-illinois-university/article\\_1dba7a02-6d11-11e5-abe8-0385bf7130b4.html](http://www.wspynews.com/news/local/former-administrator-sues-northern-illinois-university/article_1dba7a02-6d11-11e5-abe8-0385bf7130b4.html)

5 <http://www.daily-chronicle.com/2015/10/08/former-controller-suing-northern-illinois/acyiv90/>

6 <http://www.daily-chronicle.com/2016/12/22/baker-northern-illinois-violated-some-employment-rules-in-2013-14/a9b849h/>

7 <http://edgarcountywatchdogs.com/2015/12/nius-intentional-abuse-of-state-procurement-and-travel-rules/>

8 <http://edgarcountywatchdogs.com/2015/11/niu-presidents-on-going-oeig-investigation-part-3/>

9 <http://edgarcountywatchdogs.com/2016/05/nius-alvarez-was-paid-468000-and-produced-no-final-written-report/>

10 <http://edgarcountywatchdogs.com/2016/01/nius-pres-baker-using-college-credit-card-on-wifes-travel/>

11 <http://edgarcountywatchdogs.com/2016/01/niu-the-hiring-of-keith-ickes-as-consultant/>

12 <http://www.daily-chronicle.com/2014/05/27/niu-neighbors-question-plans-for-redevelopment-partnership/a2kefqz/>

13 <http://edgarcountywatchdogs.com/2015/10/nius-newest-trustee-tim-struthers-may-have-conflicts/>

14 <http://edgarcountywatchdogs.com/2015/09/northern-illinois-universitys-250000-donation-problems-part-1/>

15 <http://www.citybarbs.com/2016/03/16/college-town-partners-is-all-about-tif/>

16 <http://www.citybarbs.com/2014/08/12/latest-on-the-college-town-partners-foia-matter/>

17 <http://dekalbcountyonline.com/2014/08/college-town-partners-a-litmus-test-for-transparency/>

to do multiple contracts and sub-contracts. List of known contracts.<sup>18</sup>

- (a) Core campus contract.
  - (b) Stevens Hall
  - (c) Lucinda road
10. Bypassing the BOT and the IBHE to form a “super-university” in which Baker would become the president. Baker paid a consultant \$20,000 a month in early 2015 for work on this.
  11. Improperly contracting Knight E/A and faking “repair” of Lucinda Rd. I will include material that I sent to The OEIG.

Additionally Dr. Baker's lack of respect for oversight and the insight of others has lead to ill advised and wasteful spending – so here are some examples:

1. The electric carts called “The Puppies” or “**Huskie Tram – Phase I**” - these carts were purchased for \$100,000 to cart students all over campus and eventually downtown. They were electric with no heat and were illegal to be driven on the sidewalks in Illinois. The total funds allocated to the “Puppies” project were around \$450,000.<sup>19</sup> These Trams were discontinued due to the inability to drive them on sidewalks and poor ridership.
2. The bus cut-out on the east side otherwise called the HSC Transit plaza. This was budgeted at \$222,100. It was discontinued in 2014 due to students nearly getting hit by the buses. Several members of the city council, who knew why the buses were moved in the first place, were pressured and over-ruled at the city council meeting.<sup>20</sup>
3. The Douglas Hall demolition and Lucinda extension which cost in excess of \$4,500,000. This was done because the New Hall contract required that to build additional dorm rooms other dorms must be removed. The road construction was an expensive ruse.

## The History of Selected Events

This started from the very beginning when in the summer of 2013 Dr. Baker hired a close friend as a consultant. It was clear from the beginning that this was going to be a problem. According to the 2016 Edgar County Watchdog article “NIU Cronyism goes Unchecked”<sup>21</sup> Dr. Baker was aware that hiring Ron Walters and his other friends was problematic - In a Saturday, July 06, 2013 10:04:11 AM email from Walters to Dr. Wally Pfeiffer (who worked at the University of Idaho):

*I was well received, although **Doug has already gotten some flack for hiring his buddy right off the bat to come in under some lucrative consulting contract that wasn't put out for bid.** Has been warned that -this is Illinois politics - and it will come out under someone's freedom of information act request within a few weeks. **That hasn't stopped him from bringing me in and cutting me lose, but he does have to be a bit cautious.** So I've brought your name up and think it could happen a little further down the road, but he doesn't have an appetite for bringing on another at this early point.*

This shows a lack of respect for state rules and laws from the very beginning. The hiring of Ron

---

18 <http://edgarcountywatchdogs.com/2016/06/niu-the-scandals-continue-as-the-board-does-nothing/>

19 <https://webcourses.niu.edu/bbcswebdav/institution/Board/12-4-14/12-04-14-Board.pdf>

20 <http://www.daily-chronicle.com/2014/06/24/dekalb-fast-tracks-niu-bus-project/a331dj0/>

21 <http://edgarcountywatchdogs.com/2016/06/niu-admitted-cronyism-goes-unchecked/>



Walters was itself an issue<sup>22</sup> because violated the rules for hiring consultants. Additionally Walters was allowed to ghost time card (not work but still get paid) to “catch up” in his pay. I recommend reading an article in the Northern Star to familiarize yourselves to the issues about Mr. Walters travel<sup>23</sup> where he was allowed to commute from his home on Lopez Island in Washington State. Often Mr. Walters travel documents were hand carried to accounting and Mr. Walters was marked as a consultant – even after the administration moved him into salaried “affiliate employee”. This salaried “affiliate employee” category was mentioned in Dr. Baker's NIU Today<sup>24</sup> and was the category that was used to obscure Mr. Walters' bypassing of state regulations. According to the Watchdog article, Mr. Walters was never a real employee -

*“ In fact, Mr. Walters is not and never has been a University employee. Rather, he was engaged by the University to provide consulting services to NIU and he functioned as an independent contractor to NIU.”(emphasis ours). [The lawyer's letter](#) validates all the previous points as proof that Mr. Walters was a consultant.”*

So the hiring and paying of Mr. Walters itself showed a clear lack of respect for the oversight process in the State of Illinois. Another demonstration of this lack of respect for the rules of the BOT and the IBHE was the Bold Visions project. Much of this project was outside of the scope of the University and was not approved by either the full BOT or the IBHE<sup>25 26</sup>.

In the Fall of 2013, Dr. Baker engaged the City of DeKalb in an exercise that lead to the formation of several questionable public private partnerships. These partnerships were called College Town Partners. These were formed using a model of incorporation that was pioneered at Ohio State University. Unfortunately for the two banks, the city, the university, and the private developer this was probably illegal and in the end it was terminated. From an article in the Daily-Chronicle<sup>27</sup> we get an insight in some of the relationships

*“An intense planning session the university held in late October spawned the partnership idea. The session included Jim Heid, a planner who was involved in redeveloping the area around Ohio State University. During the meeting, Heid suggested putting together the shell for a public-private partnership aimed at redevelopment.*

*In December, “College Town Partners” was incorporated because the partners wanted to secure the name, Nicklas said.*

*Heid returned to NIU in January as part of the team that created the Bold Ideas Thesis, a document detailing potential changes for the NIU campus. At that point, the potential partners discussed the money that would be involved as well as bringing the ideas forward to NIU's Board of Trustees and the DeKalb City Council.”.*

This shows that the partnership idea was not brought to the full BOT. In later emails receive by using the Illinois Freedom of Information Act it was found out that only two members of the BOT had any prior knowledge. This begs the question – why no oversight? It was to prevent the public input process. The following is from the receipt for the work performed by another friend of Dr. Baker's mentioned in the article. This gentleman is named Jim Heid who is a graduate of the University of

22 <http://edgarcountywatchdogs.com/2016/02/another-example-of-cronyism-and-apparent-violation-of-state-rules-has-surfaced-at-niu-president-baker-paid-his-close-friend-479875-for-a-no-bid-contract/>

23 [http://northernstar.info/campus/consultant-ron-walters-paid-k-in-months-even-without-scheduled/article\\_792612f8-d6b6-11e4-a589-335cbac80a4a.html](http://northernstar.info/campus/consultant-ron-walters-paid-k-in-months-even-without-scheduled/article_792612f8-d6b6-11e4-a589-335cbac80a4a.html)

24 <http://www.niutoday.info/2016/12/22/baker-report-correcting-course-new-policies-enhance-transparency/>

25 <http://edgarcountywatchdogs.com/2015/10/nius-newest-trustee-tim-struthers-may-have-conflicts/>

26 <http://edgarcountywatchdogs.com/2015/11/niu-and-college-town-partners-part-2/>

27 <http://www.daily-chronicle.com/2014/05/27/niu-neighbors-question-plans-for-redevelopment-partnership/a2kefqz/>

Idaho and on the advisory board for their College of Art and Architecture. He has a company named Urban Green which has received numerous contracts and subcontracts from the University. Illinois has a rule about architects which limits the amount of money with out an RFQ to \$25,000 and also limits the ability of an architect who works on a master plan for a project to obtain follow on contracts. These individuals cannot work on contracts or subcontracts defined in the master plan. I will outline in a separate document what rules were violated in a specific instance. The Bold Visions plan was paid for by a local businessman by donating \$100,000 to the NIU Foundation. By looking at the listing of hours you can see that on January 21<sup>st</sup>, Jim Heid met with the CGS and Wills Burke and Kelsey. This meeting was to look at development plans outside of the University boundaries (College Town Partners, LLC). Additionally, Terry Foegler (retired President of Ohio Campus Partners) and Jeff Kingsbury (a real estate agent specializing in government housing) met with the City and University Village representatives. Both of the items were outside of the University's scope of business and required an approval from both the board and the IBHE. The law passed by the Illinois Legislature

#### SUMMARY OF HOURS EXPENDED BY PARTICIPANT

Jim Heid		
1-Dec	2.00	Next steps proposal and collaborator coordination emails
9-Dec	1.00	Draft agenda for January work session
16-Dec	1.25	Review background files, sort for Kingsbury/ Foegler, f/u questions
19-Dec	1.00	Team and client coordination, scope refinement, materials issued
8-Jan	3.00	Coordination call with Kingsbury, Cannon. Coordination with Nicklas on contract, Foegler on sch
8-Jan	1.00	Background document review and distillation. Contract and agenda coordination
9-Jan	2.50	Itinerary finalization, workshop agenda, background review, calls Foegler, Walters
10-Jan	1.50	Coordinating emails and follow up with team
12-Jan	3.18	Briefing book preparation, document review, workshop coordination issue materials
17-Jan	2.00	Follow up coordination and briefing book update
19-Jan	2.00	Travel and prep/ orientation
20-Jan	8.00	Site touring, base map review, orientation and kick off
21-Jan	12.00	Meet with facilities, meet with WBK, CGS. Develop concepts
22-Jan	12.00	Prepare draft presentation and concepts for testing
23-Jan	14.00	Final presentation preparation and concept refinement
24-Jan	8.00	Finalize presentation and deliver
26-Jan	2.00	Next steps memo and follow up actions with team
	76.43	
Joe Hrudá		
20-Jan	8	Site tour and orientation
21-Jan	12	Facilities group meeting, site exploration
22-Jan	12	Refine concepts and draft concepts to Stakeholders and students
23-Jan	14	Final presentation preparation
24-Jan	6	Final presentation and delivery
	52	
Michael Cannon		
14-Jan	4	Base map development and document review
16-Jan	6	Project studies and pre-workshop concept development
17-Jan	4	Project studies and pre-workshop concept development
20-Jan	8	Site tour and orientation
21-Jan	12	Facilities group meeting, site exploration
22-Jan	12	Refine concepts and draft concepts to Stakeholders and students
23-Jan	14	Final presentation preparation
24-Jan	6	Final presentation and delivery
	66	
Terry Foegler		
22-Jan	8	Site tour and orientation
23-Jan	8	Meetings with City staff, U Villages research, final presentation preparation
24-Jan	6	Final presentation and delivery
	22	
Jeff Kingsbury		
16-Jan	3	Background research
22-Jan	2	Student review participation
23-Jan	8	Meetings with City staff, U Villages research, final presentation preparation
24-Jan	6	Final presentation and delivery
	19	

Figure 1. Bold Visions Task Sheet. Two people – Terry Foegler and Jeff Kingsbury spent time off campus working on convincing the owners of University Village to sell and doing due diligence.

The Northern Illinois Law states the following:

*“110 ILCS 685/30-5)*

*Sec. 30-5. Object. The object of Northern Illinois University is to offer such courses of instruction, conduct such research and offer such public services as are prescribed by the Board of Trustees of Northern Illinois University or its successor, subject to the provisions of Section 7 of the Board of Higher Education Act.*

*(Source: P.A. 89-4, eff. 1-1-96.)”*

It appears that Dr. Baker did not comply with this portion of the act when he sent consultants to work on these major projects.

The next important event was the hiring of **Nancy Suttentfield**. Ms.Suttentfield works for a consulting group called the Registry for College and University Presidents.<sup>28</sup> The issues mentioned herein are some of the supporting data for Keith Jackson's lawsuit against NIU.<sup>29</sup> I would like to discuss the single source Registry's/Suttentfield's contract itself, and assert that this contract may possibly be invalid or illegal in its entirety. A decision was made to hire an Interim Chief Financial Officer (CFO) shortly after Baker's arrival at the University as President on July 1, 2013. Contact was made with a representative of the Registry named Jerry Israel. State procurement rules for a non-architectural contract specify a \$20,000 threshold, a threshold upon which a professional service contract MUST be put to an open bid. The University did not issue a RFP (Request for Proposal) and therefore, there was no open bid on this contract as required by the state. After Israel had presented several candidates for the CFO position, the choice was made and a single contract was written with the parties involved being the University, the Registry, and, specifically Nancy Suttentfield. The first iteration of this contract had all payments to both the Registry and Suttentfield being paid by the University Accounts Payable (AP) department. This contract was declined for processing by both the University's co-director of the Procurement department and the Controller as it violated state procurement rules. I do not have a copy of this first version, however, both employees have confirmed their denial of the contract to the OEIG. The contract was reworked, apparently in January 2014 as evidenced in the emails below; payment terms were written so that the Registry portion of the contract could be paid out of Foundation funds, and Suttentfield paid through the NIU payroll system. This change appears to be a deliberate attempt to circumvent the state procurement rules for a consulting contract. Further, the scope of this contract had also apparently had been later changed unilaterally by NIU—without a revised contract. These changes are evidenced by the December 2013 payroll form which increased Suttentfield's salary retroactively to November 1, 2013 for “additional pay for increased duties” and the May 2014 payroll form which increased her salary effective June 1, 2014 for “salary adjustment per President Baker”. In addition, **NIU—USING A FOUNDATION ACCOUNT**—paid Suttentfield in the amount \$56,269.69 in June 2014 as simply “payment per President Baker”. Is it because a payment amount of this size, if made through the NIU's payroll using a NIU account, would attract state auditors attention? The total amount expended on this contract was \$512,906 for sixteen months, of which \$153,069 came from Foundation funds. A complaint has been made to the OEIG, confirmed as #14-01474, and also may be part of the massive investigation into NIU and its current administration. Please note that the contract, although with a stated effective date of November 1, 2013 was not signed/executed until January 30, 2014. (These documents are found in the attached file Suttentfield contract documents)

---

<sup>28</sup> <http://www.registryinterim.com/>

<sup>29</sup> [http://northernstar.info/campus/ex-controller-files-civil-suit-against-administration/article\\_c734aa8c-6d96-11e5-8e5f-8b8d5ad4d883.html](http://northernstar.info/campus/ex-controller-files-civil-suit-against-administration/article_c734aa8c-6d96-11e5-8e5f-8b8d5ad4d883.html)

The following excerpt from a December 9, 2013 email from Nancy Suttentfield to Jerry Blakemore, VP and General Counsel indicates there may have been questions regarding the contract's validity:

*Steve [Cunningham-then VP HR and Administration] and I were talking this morning and I learned that Illinois wishes NIU to nullify the interim CFO arrangement between NIU and the Registry. He said you would be talking to me about an arrangement as a temporary employee similar to the one for Ron Walter. I told Steve that I actually informed Doug [President Baker] at the onset of discussions that I am personally indifferent about how I get paid.*

Mr. Blakemore seems to confirm that this contract may have skirted state procurement rules as he writes in his December 23, 2014 email to Suttentfield:

*...Although I was not directly involved in the Registry negotiations I will certainly continue to make sure that the Presidents intention are fulfilled. No one saw any competition on your part and the whole intent of making a technical classification was to ensure that you are compensated in a timely manner. We accepted the substance of their contract (not employee) as a way of expediting your status with the University and were willing to do so rather than initiating a protective competitive process. I would never talk to Amy [Registry] but would not hesitate to do so if that would be helpful. **If she were supportive of a temporary employee status we could have avoided even the consideration of bidding and interesting enough if she could do it then what's the problem with us doing it.***

Finally, there is a (heated) email dated January 6, 2014 from Suttentfield to Baker regarding this contract:

*Jerry B [Blakemore] went on to say that he had also discussed the existing NIU contract with the Registry with the state procurement officer, because there was also an immediate need for a CFO. Jerry looked me in the face and said that the contract with the Registry was also not permitted under the state rules for the same reasons and "going to be a problem for us". The state officer had told Jerry that an interim CFO could be found via an RFP and would not have created any major delays. Jerry then went on to say that the contract with the Registry would be a problem for us when the state conducts (sic) the annual audit of our compliance with state rules regarding RFPs.*

Suttentfield further writes:

*Thus, Jerry and Steve asked me if I had any objection to being made an employee, to which I had always made it clear to the Registry that I was indifferent to whether I took the assignment as a contractor or a temporary employee. In addition, I made a point of telling them that the Registry should be notified of NIU's change in plans if they preferred to avoid the audit issues by making me a temp employee.*

And still further,

*I don't want to get into a dispute with Jerry B nor do I believe I created the problem with the Registry, But from where I sit this could have been avoided if Jerry had just called the Registry timely to alert them that the relationship needed to be re-worked, and if the Registry would pick up the phone rather than send more snarky emails without understanding that Illinois doesn't do things like other states.*

These email exchanges confirm that the validity of this contract between NIU and the Registry was in question.

Wally Pfeiffer was mentioned earlier in the discussion about Dr. Baker's attempts to go around the hiring rules at NIU. When Dr. Pfeiffer (a close friend of Dr. Baker and Mr. Walters) was working at personnel, he was given the assignment to help hire an Senior Associate Vice President for Human Resources. Dr. Pfeiffer was signed to a consulting contract effective March 31, 2014, through June 30, 2014, in the amount of \$19,999.99. This amount is significant as the state procurement rules stipulate a \$20,000 threshold for which a personal services contract must go out to open bid. As the contractual amount was under the threshold (by one cent), an open bid was not required. However, by the second invoice submitted by Dr. Pfeiffer, dated May 8, 2014, he had exceeded the contractual amount. To cover this overage, NIU amended the contract (but not effective until June 5, 2014), and issued a purchase order from the Foundation (dated June 6, 2014); this appears to be an attempt to circumvent state procurement rules as the total payment on this contract exceeded the \$20,000 threshold. This apparent violation of state procurement rules was reported to the OEIG under complaint 14-01530. Subsequently, however, the payment for the second invoice was reversed and Dr. Pfeiffer was placed on NIU's payroll for two cycles—notably, with the first payroll amount being exactly equal to the second invoice amount. Upon advice from the OEIG investigator, this was reported to the OEIG as a separate complaint and may be included in the massive investigation by the OEIG into NIU's administration. Further, these issues concerning Pfeiffer's contract has been publicly presented to the NIU Board of Trustees at the June 2015 meeting. Just like Dr. Baker, Dr. Pfeiffer went straight to hiring one of his friends, Sherry Cadeswan of Talence Group, for the search firm<sup>30</sup>. This company did not have the proper qualifications to contract in the State of Illinois and eventually their contract was canceled. This shows that Dr. Baker's example was causing pervasive disdain for the rules and regulations.

The next one is the **Super-University**. This project shows that there is a total disdain for the Board of Trustees and the IBHE. The following is an outline of the Super University written by the \$20,000 a month consultant – Craig Burkhardt. This money was supplied out of NIU Foundation funds. This is followed by a communication where John Butler is demanding to read this information. If Dr. Baker respected the oversight of the Board of Trustees then why did John Butler have to request this information. There is significantly more information in FOIA information that I have access to and I will put it together for you.

**From:** Burkhardt, Craig  
**To:** Douglas Baker; Michael Malone; Anne Kaplan  
**Subject:** NewUFactSheet  
**Date:** Wednesday, February 25, 2015 8:07:42 AM  
**Attachments:** NewUFactSheet.pdf

Dear Colleagues: Attached and pasted below is the fact sheet I will be using in low-key internal discussions with potential House sponsors. It includes our Senate Bill number I will also be meeting with Malone and Sevener (our NIU contract lobbyists) this morning to clue them in on the sponsor recruitment. I anticipate getting a lead Democrat in the House to co-sponsor with Pritchard, and will be guided by Malone in that regard. Fact sheets of this nature are never meant to be comprehensive – only guides to conversations. So, please do not be disappointed in the extreme summary nature of this. Remember, we are just “moving forward the conversation” that will lead to introduction of substantive legislation. Regards, Craig

---

30 <http://edgarcountywatchdogs.com/2015/12/cronyism-and-procurement-violations-at-northern-illinois-university/>

## **Support Senate Bill 1931 New University Enabling Legislation Kotowski-Connelly**

An upcoming amendment to this shell bill would authorize voluntary combining of public State universities, community colleges and private universities into new higher education entities. While intended for Northern Illinois University and institutions potentially interested in combining into a new entity, the legislation would not be limited to that particular combination.

### **Governance**

- Establish a New University statute;
- Authorize public State university, community college and private higher education governing boards to voluntarily combine into proposed new State universities;
- Authorize establishment of Governor-appointed boards for each new university, which would be representative of combining institutions;
- Authorize advisory sub-boards for each combining campus location;
- Exempt new universities from oversight of the Board of Higher Education or Community College Board in favor of intensified oversight by institution-specific inspectors general appointed by the State Auditor.

### **Finance**

- Continue collecting current tuition, public revenues (state appropriations and local property taxes) and grants which fund combining institutions;
- Cap tuition and applicable local property tax rates;
- Increase auxiliary enterprise revenues;
- Combine private foundation activities;

### **Operation**

- Operate academic, administrative and auxiliary departments on a university-wide basis to create operational savings. One English department, one purchasing department, one President.
- Exempt new universities from mandates as recommended in House Resolution 191 blue ribbon report.
- Require stringent cost-savings measures. Adopt sustainable business practices.

### **Program**

- Authorize new universities to offer existing programming of combining institutions in sufficient market demand at any of its locations. This includes baccalaureate and graduate programming at former community college locations;
- Reallocate and right-size programming;
- Require new universities to offer low-tuition certificate, training and Associates Degree programming to residents of combining former community college districts;
- Allow registration of students accepted to a program in classes at any location of a new university. Require acceptance of course credits regardless of class location;
- Upgrade actual and perceived quality and value of programming.
- Build reputation for academic prowess, instructional competence, and service achievement superior to combining institutions. Retain Illinois students.
- Specifically target new university programming to address the skill set needs of Illinois employers, with emphasis on the region a new university serves.

**For Further Information Contact: Northern Illinois University Foundation  
Craig Burkhardt, Lobbyist, [cburkhardt@btlaw.com](mailto:cburkhardt@btlaw.com)**

CONFIDENTIALITY NOTICE: This email and any attachments are for the exclusive and confidential use of the intended recipient. If you are not the intended recipient, please do not read, distribute or take action in reliance upon this message. If you have received this in error, please notify us immediately by return email and promptly delete this message and its attachments from your computer system. We do not waive attorney-client or work product privilege by the transmission of this message.

**From:** John Butler  
**To:** Douglas Baker; Jerry Blakemore  
**Cc:** "Marc Strauss"  
**Subject:** Legislation  
**Date:** Friday, February 27, 2015 3:35:04 PM

**ATTORNEY CLIENT COMMUNICATION / PRIVILEGED AND CONFIDENTIAL**

Doug and Jerry,

I wish to read the draft language of legislation being prepared by Craig Burkhardt or anyone else on behalf of NIU or the Foundation, in advance of its preparation by the Legislative Reference Bureau and posting by its respective sponsors in the Illinois House and Senate.

John

John R. Butler, Ph.D.

This communication and any accompanying document(s) are or may be confidential and privileged and protected by the attorney-client and/or attorney work product privileges. They are intended for the sole use of the addressee. If you receive this transmission in error, you are advised that any disclosure, copying, distribution, or the taking of any action in reliance upon the communication is strictly prohibited. Moreover, any such inadvertent disclosure shall not compromise or waive the attorney-client or attorney work product privilege as to this communication or otherwise. If you have received this communication in error, please delete the original message from your system and immediately contact me at the above telephone number or email address. Thank you

**The last selected piece is the OEIG complaint which I filed last Spring:**

To whom it may concern,

I have been concerned over the last couple of years about the way contracts over the Bold Visions (President Baker's initiatives) have been granted and funded. [REDACTED]

[REDACTED] Many of these contracts (some well over \$200K) were sole sourced with no RFQ's. One which had a RFQ and 14 proposals seems to actually have been rigged. What got my attention is the contract in Exhibit A. This contract (**Central Core Redevelopment Framework**) appears normal until you delve into the details. The following are deficiencies that I have found:

- The Contract was on a form that was dated 7/8/2015
- The V.P. Phillips signed the contract after the money was spent.
- V. P. Phillips signed the contract even though the contract was dated 11/10/2014 and V. P. Phillips didn't start at NIU until 3/2015.



This became a red flag for me. I then looked deeper into the contract. It appears that the prime contractor is only receiving \$12,000 of the approximately \$125,000 and Urban Green and Civitas are receiving the bulk of the contract. **Exhibit B** is the QBS document and **Exhibit C** is the posted RFQ. The problem with this contract also is that Mr. Heid of Urban Green had a no bid contract for architecture for the yearly maximum of \$24,999 as shown in **Exhibit D**. This contract was never negotiated or signed until Mr. Heid completed the work. He was then concerned (**Exhibit E page 40**) that he could not get paid for the **Exhibit D** contract and the **Exhibit A** contract along with the contract in **Exhibit F**. He then has a series of negotiations with the NIU legal department as shown in **Exhibit E**. I was also told by my anonymous source to look into Knight E/A' s Lucinda Rd Extension contract. The QBS document in **Exhibit G** does not show any competitive bidding for the contract and I could not find it either. The contract signed also shows that Urban Green is the subcontractor in the Lucinda extension also. The exchange in **Exhibit H** is a very interesting set of emails. The email between Mr. Ron Walters had Mr. Heid purposefully placed as a subcontractor on these projects to guaranty that their plans were implemented. This to me seems to be contract manipulation to make sure Mr. Walters friend got hired – I highlighted some key words.

From: Ronald Walters  
To: jim@urbangreen.net

Subject: Re: ULRC and Lucinda  
Date: Thursday, April 3, 2014 10:36:53 PM

*That was not a gesture. Sometime back when I emailed you re Lucinda design **you** suggested that it be a requirement that the engineers bring you in. I made that clear to Bill and Jeff. But Jeff has a history of making the design his own... **So I made a big deal of this a few days ago, Doug agrees.** Left to their own it will not be done as envisioned. So , you need to insert yourself into the project. I doubt one 1 hour meeting will do it.*  
*Sent from my iPhone*

I also believe that Mr. Heid's company creatively crafted the RFQ's to allow him and him alone to be hired to direct the work. This is outlined in this particular email:

> > > jim@urbangreen.net" <jim@urbangreen.net> 7/30/2014 3:50 PM > > >

Bill-

Just to get the ball rolling here are some thoughts on potential agenda items for my time on site. Add as you like:

1. Meet with procurement specialists to understand Holmes/ Neptune RFQ/P crafting and procedural requirements
2. **Review/ discuss method for contracting/ launching Core Area Framework Urban Design Study**
3. Summer projects update (either walk to see progress or meet with staff as needed to discuss any open issues)
4. Update on AECOM master plan deliverable and how presentation went with President
5. Update on Lucinda West/ extension and next steps
6. Discuss potential approach to MLK design charrette with students in fall 2014
7. Review any open items with City of DeKalb where I can assist with plans/ drawings
8. Discuss potential fall/ spring projects priority list
9. Outline potential fall project needs/ potential visit schedule

**Jim Heid** /FASLA Founder  
**URBANGREEN** ®



T:475-278-6709

E: [Jim@urbangreen.net](mailto:Jim@urbangreen.net)

Blog : [www.chasingbetter.com](http://www.chasingbetter.com)

Web : [www.urbangreen.net](http://www.urbangreen.net)

I have highlighted item 2 for it outlines that Mr. Heid both set the rules for contracting the **Central Core Redevelopment Framework** in **Exhibit A** and also received the subcontract for the work which is in a direct conflict of interest for both himself and the University employees involved (such as Douglas Baker, Bill Nicklas and Ron Walters).

I have also included an assortment of documents that are also connected to the project. These documents include change orders, travel payouts, invoices and technical reports

File list of Exhibits:

- A. 2369 - Haji-Sheikh - Knight EA Inc FY15 redacted highlighted.pdf
- B. 2392 - Haji-Sheikh - QBS Selection Memo-Baker 102314.pdf
- C. 322425410\_rfq.pdf
- D. 2369 - Haji-Sheikh - Urban Green Redacted.pdf
- E. 0240\_001\_Redacted.pdf
- F. 2393 - Haji-Sheikh - Knight Engineers Architects Final Agreement 8-5-14.pdf
- G. 2393 - Haji-Sheikh - QBS Selection Recommendations Parking Lot.pdf
- H. Walters Heid Email.pdf

I really think this is way over the head of our local ethics officer. Many on campus believe he is compromised. At best, this is way to complicated for him and he is overwhelmed.

Michael Haji-Sheikh Ph.D.  
Associate Professor of Electrical Engineering  
Northern Illinois University  
DeKalb Illinois  
Cell # 8155013186  
529 Park Avenue  
DeKalb  
Home # 8157874419

## **Related Resources**

2393 – Lucinda Ave Knight Engineers Architects Final Agreement 4-30-14

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-2393-lucinda-ave-knight-engineers-architects-final-agreement-4-30-14.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-2393-lucinda-ave-knight-engineers-architects-final-agreement-4-30-14.pdf)

2393 – Haji-Sheikh – QBS Selection Recommendations Parking Lot

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-2393-qbs-selection-recommendations-parking-lot.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-2393-qbs-selection-recommendations-parking-lot.pdf)

2392 – Haji-Sheikh – QBS Selection memo-Baker 102314

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-2392-qbs-selection-memo-baker-102314.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-2392-qbs-selection-memo-baker-102314.pdf)

2369 – Haji-Sheikh – UrbanGreen PO 152383 and contract – Redacted

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-2369-urban-green-po-152383-and-contract-redacted.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-2369-urban-green-po-152383-and-contract-redacted.pdf)

0240\_001 Redacted(1)

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-0240-001-redacted1.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-0240-001-redacted1.pdf)

Walters Heid Email

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-walters-heid-email.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-walters-heid-email.pdf)

Pages from 0240\_001 Redacted Exhibit E

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-pages-from-0240-001-redacted-exhibit-e.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-pages-from-0240-001-redacted-exhibit-e.pdf)

Gmail – Did NIU Foundation get all of the relevant facts before

OR

[http://www.niu.edu/u\\_council/reports/Misc/2016-2017/haji-sheikh-gmail-did-niu-foundation-get-all-of-the-relevant-facts-before.pdf](http://www.niu.edu/u_council/reports/Misc/2016-2017/haji-sheikh-gmail-did-niu-foundation-get-all-of-the-relevant-facts-before.pdf)