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I. A. ACTION ITEM: TUITION AND FEE RECOMMENDATIONS

Overview

Annually, the Board of Trustees of Northeastern Illinois University sets tuition and fee rates for the next academic year. Consistent with last year, preliminary information was brought to the Board at its September meeting demonstrating the serious fiscal considerations that needed to be addressed. This was followed by a special meeting of the Finance Committee. On October 20, 2014, the Finance Committee met and examined the issues surrounding tuition and fee rates.

While discussing approaches to annual tuition rate setting, the Committee reached consensus that rates for new students should reflect the cost of educating students; post six-year student rates should equal those of new students; and graduate student rates should be 2 percent higher than undergraduates.

Using the above parameters, the consensus reached in the Finance Committee meeting is reflected in the recommendations for the fiscal year 2016 tuition and fees presented below:

   a) A tuition rate change for incoming Fall 2015 undergraduate students that is 5.9 percent higher than the rate for incoming Fall 2014 undergraduate students. (Note that the original consensus from the Finance Committee is 6 percent, based on rounding percentages. The amounts listed below are based on rounding to the nearest whole dollar.)
   b) A tuition rate change of 6.8 percent for graduate students; and
   c) A tuition rate change of 12.6 percent for undergraduate students who will have been at the University for more than six academic years.
   d) A decrease in the Parking fee and implementation of a new Campus Improvement fee
   e) A change in the Campus Recreation and Student Health Services fees

These recommendations are presented in Table 1. They will result in an estimated $1.7 million in new revenue based on level enrollments. Budgetary priorities, including the UPBC recommendations, anticipated employee salary increases, and non-personnel inflationary increases, are estimated at $3.7 million.

Assuming level fiscal year 2015 enrollments, level state appropriation (the most optimistic scenario), and applying the increased revenue generated by the tuition guarantee program, the University will still need to address a $1.7 million shortfall to balance next year. If the state appropriation is reduced by 5 percent, the shortfall amount would be $3.6 million, with level enrollments. Given the possibility of even greater cuts, the University will be monitoring and preparing to implement needed budget reductions to meet next year’s revenue. These may include a reduction to the UPBC priorities.
The fiscal year 2015 tuition and fee rates did not include any change in mandatory fees. Included in this year's recommendation, and supported by the Finance Committee, are an $0.80 per credit hour increase in the Campus Recreation Fee and a $1.30 per credit hour increase in the student Health Services Fee. To support an increase in student participation in recreation, a change is recommended in the Campus Recreation fee. The increased need for student health and counseling services supports the recommended change in the Student Health Services fee. Finally, the recommendations here reflect a $1.00 per credit hour decrease in the Parking fee, and the implementation of a new “Campus Improvement” fee of $1.00 per credit hour. This new fee will support the long-term debt obligations of the parking garage as well as future long-term investments. In total, recommended overall fees assessed per credit hour increases by 3.8 percent from $54.60 to $56.70 per credit hour.

Vice President for Student Affairs, Frank Ross, Vice President for Finance and Administration, Michael Pierick, and Budget Director, Ann McNabb, presented background information to the Student Government Association on October 21 regarding the Board Finance Committee's recommendation for FY2016 tuition and fee rates. The presentation focused on the national, state, and local context for the proposed change in tuition rates for new students, graduate students, and post-6-year students, and the University context for the proposed changes in several fees. SGA members asked many questions about State budget cuts, including the University's ability to hire additional faculty in the near future and maintain the low 20:1 student to faculty ratio, and how the University would deal with any drastic cut imposed by the State due to the pending "fiscal cliff".

Approval is requested for the tuition and fee rates as presented in Table 1.
Table 1
NORTHEASTERN ILLINOIS UNIVERSITY
Schedule of Proposed Tuition and Fees

<table>
<thead>
<tr>
<th>TUTION (per credit hour)</th>
<th>FY2014</th>
<th>FY2015</th>
<th>FY2016</th>
<th>Change FY15 to FY16</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Dollar</strong></td>
<td><strong>%</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate - post 6-year (enrolled prior to Fall 2010)</td>
<td>$262.00</td>
<td>$286.00</td>
<td>$322.00</td>
<td>$36.00</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2010 ¹</td>
<td>260.00</td>
<td>275.00</td>
<td>275.00</td>
<td>-</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2011 ¹</td>
<td>275.00</td>
<td>275.00</td>
<td>275.00</td>
<td>-</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2012 ¹</td>
<td>275.00</td>
<td>275.00</td>
<td>275.00</td>
<td>-</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2013 ¹</td>
<td>287.00</td>
<td>287.00</td>
<td>287.00</td>
<td>-</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2014 ¹</td>
<td>-</td>
<td>304.00</td>
<td>304.00</td>
<td>-</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2015 ¹</td>
<td>-</td>
<td>-</td>
<td>322.00</td>
<td>n/a</td>
</tr>
<tr>
<td>Graduate</td>
<td>287.00</td>
<td>307.00</td>
<td>328.00</td>
<td>21.00</td>
</tr>
<tr>
<td>Non-resident Undergraduate - post 6-year *</td>
<td>524.00</td>
<td>572.00</td>
<td>644.00</td>
<td>72.00</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2010 ¹</td>
<td>520.00</td>
<td>550.00</td>
<td>550.00</td>
<td>-</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2011 ¹</td>
<td>550.00</td>
<td>550.00</td>
<td>550.00</td>
<td>-</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2012 ¹</td>
<td>550.00</td>
<td>550.00</td>
<td>550.00</td>
<td>-</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2013 ¹</td>
<td>574.00</td>
<td>574.00</td>
<td>574.00</td>
<td>-</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2014 ¹</td>
<td>-</td>
<td>608.00</td>
<td>608.00</td>
<td>-</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2015 ¹</td>
<td>-</td>
<td>-</td>
<td>644.00</td>
<td>n/a</td>
</tr>
<tr>
<td>Non-resident Graduate</td>
<td>574.00</td>
<td>614.00</td>
<td>656.00</td>
<td>42.00</td>
</tr>
<tr>
<td><strong>MANDATORY FEES</strong></td>
<td>$54.60</td>
<td>$54.60</td>
<td>$56.70</td>
<td>2.10</td>
</tr>
<tr>
<td><strong>Activity Fee</strong></td>
<td>5.00</td>
<td>5.00</td>
<td>5.00</td>
<td>-</td>
</tr>
<tr>
<td><strong>Student Union Fee</strong></td>
<td>6.75</td>
<td>6.75</td>
<td>6.75</td>
<td>-</td>
</tr>
<tr>
<td><strong>Campus Recreation Fee</strong></td>
<td>3.60</td>
<td>3.60</td>
<td>4.40</td>
<td>0.80</td>
</tr>
<tr>
<td><strong>Performing Arts Fee</strong></td>
<td>0.80</td>
<td>0.80</td>
<td>0.80</td>
<td>-</td>
</tr>
<tr>
<td><strong>Student Health Service Fee</strong></td>
<td>1.70</td>
<td>1.70</td>
<td>3.00</td>
<td>1.30</td>
</tr>
<tr>
<td><strong>Computer Resources Fee</strong></td>
<td>16.75</td>
<td>16.75</td>
<td>16.75</td>
<td>-</td>
</tr>
<tr>
<td><strong>Academic Enhancement Fee</strong></td>
<td>7.50</td>
<td>7.50</td>
<td>7.50</td>
<td>-</td>
</tr>
<tr>
<td><strong>Campus Improvement Fee</strong></td>
<td>-</td>
<td>-</td>
<td>1.00</td>
<td>n/a</td>
</tr>
<tr>
<td><strong>Parking Fee (waivable)</strong></td>
<td>12.50</td>
<td>12.50</td>
<td>11.50</td>
<td>(1.00)</td>
</tr>
<tr>
<td><strong>Green Fee - rate per semester</strong></td>
<td>3.00</td>
<td>3.00</td>
<td>3.00</td>
<td>-</td>
</tr>
<tr>
<td><strong>U-Pass (Full-time Students only)</strong></td>
<td>128.00</td>
<td>128.00</td>
<td>128.00</td>
<td>-</td>
</tr>
<tr>
<td><strong>Health Insurance Fee ²</strong></td>
<td>752.25</td>
<td>794.50</td>
<td>794.50</td>
<td>-</td>
</tr>
<tr>
<td><strong>TUTION AND FEES (based on 15 credit hours, excludes health insurance fee)</strong></td>
<td>$4,880.00</td>
<td>$5,240.00</td>
<td>$5,811.50</td>
<td>$571.50</td>
</tr>
<tr>
<td>Undergraduate - continuing *</td>
<td>$4,850.00</td>
<td>$5,075.00</td>
<td>$5,106.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2010 ¹</td>
<td>4,850.00</td>
<td>5,075.00</td>
<td>5,106.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2011 ¹</td>
<td>5,075.00</td>
<td>5,075.00</td>
<td>5,106.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2012 ¹</td>
<td>5,075.00</td>
<td>5,075.00</td>
<td>5,106.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2013 ¹</td>
<td>5,255.00</td>
<td>5,255.00</td>
<td>5,286.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2014 ¹</td>
<td>-</td>
<td>5,510.00</td>
<td>5,541.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Undergraduate - newly enrolled Fall 2015 ¹</td>
<td>-</td>
<td>-</td>
<td>5,811.50</td>
<td>n/a</td>
</tr>
<tr>
<td>Graduate</td>
<td>5,255.00</td>
<td>5,555.00</td>
<td>5,901.50</td>
<td>346.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - continuing *</td>
<td>8,810.00</td>
<td>9,530.00</td>
<td>10,641.50</td>
<td>1,111.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2010 ¹</td>
<td>8,750.00</td>
<td>9,200.00</td>
<td>9,231.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2011 ¹</td>
<td>9,200.00</td>
<td>9,200.00</td>
<td>9,231.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2012 ¹</td>
<td>9,200.00</td>
<td>9,200.00</td>
<td>9,231.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2013 ¹</td>
<td>9,560.00</td>
<td>9,560.00</td>
<td>9,591.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2014 ¹</td>
<td>-</td>
<td>10,070.00</td>
<td>10,101.50</td>
<td>31.50</td>
</tr>
<tr>
<td>Non-resident Undergraduate - newly enrolled Fall 2015 ¹</td>
<td>-</td>
<td>-</td>
<td>10,641.50</td>
<td>n/a</td>
</tr>
<tr>
<td>Non-resident Graduate</td>
<td>9,560.00</td>
<td>10,160.00</td>
<td>10,821.50</td>
<td>661.50</td>
</tr>
</tbody>
</table>

¹ Post 6-year students in FY2016 are those enrolled prior to Fall 2010.
² Per Public Act 93-0028, Illinois undergraduate students newly enrolled starting Fall 2004 will have their tuition held constant for a period of four continuous academic years. This policy was extended at NEIU to non-resident undergraduate students.

Public Act 96-1293 extended the tuition guarantee for two additional years at the rate for the following class, effective fall 2010.

Assessed to all Undergraduate students enrolled in 12 or more credit hours who do not show evidence of other health insurance coverage. Final fee calculation for fiscal year 2016 will be the result of negotiation with the insurance carrier. Amount shown is the charge per semester. Note that the Spring semester fee provides insurance coverage during the Summer semester.

Note: Tuition and fees, other than health insurance, the Green Fee, and UPass, are charged on a credit hour basis for each credit hour enrolled per semester up to 16 credit hours. There will be no tuition and fee charges for credit hours enrolled above 16 hours per semester.
Additional Considerations

These items were presented in the September Board matter on tuition and fee rates. They were not discussed at the Finance Committee meeting in October. Both of these changes are recommendations from the Enrollment Planning Council. Each would enhance the University’s overall enrollment.

a) Tuition rates for students from neighboring states

Beginning in fall semester 2015, all new students from neighboring states will be assessed in-state tuition rates. Students will qualify if they reside in Indiana, Wisconsin, Michigan, Iowa, Kentucky or Missouri.

Review of thirty public universities in states contiguous to Illinois reveals, for fiscal year 2015, that eleven have current rates higher than Northeastern, two are the same, and seventeen are lower by $500-$2,000 annually. Given that the number of high school graduates in Illinois is predicted to remain fairly level, and the numbers in the contiguous states are predicted to increase (in various states over the next decade), the rate change provides potential to increase enrollments. Currently, Illinois remains the 3rd largest exporter of high school students to other states (National Center for Education Statistics). This change will also position the University to recruit students who will live in student housing. Some Illinois public universities already have these same arrangements for one or two contiguous states.

Approval is requested to use the in-state rates for students from the six states adjacent to Illinois.

b) Military and veteran family rate

A student who is an active member of the United States Armed Forces or an honorably discharged veteran, regardless of state residency, currently qualifies for in-state tuition. Beginning in fall semester 2015, this policy will also apply to spouses and dependent children of active duty military and veterans.

This change opens up opportunities on all campuses, but especially for the University Center of Lake County programs, since the Great Lakes Naval Base is nearby. This rate would provide a benefit beyond state and federal benefits.

Approval is requested to extend the in-state rates to spouses and dependent children of active duty military and honorably discharged veterans.

As with most universities, Northeastern is still in a very challenging place. The reductions and levelling of state support while facing increased costs of delivering high quality public education, has resulted in a greater reliance on student tuition income. Recent declining enrollments necessitated several strategies to improve recruitment and retention. Careful planning and monitoring of enrollments will be necessary. With the rates recommended, Northeastern will meet its anticipated budget requirements if state support remains level. If state support and enrollments decline, budget reductions will be inevitable.
In fiscal year 2014, Northeastern’s undergraduate tuition as a percent of the statewide average was 84 percent, below the University’s Key Performance Indicator goal of 95 percent. (At the time of preparing this report, the statewide average data for FY2015 was not available from the Illinois Board of Higher Education.) The following map provides comparative tuition and fees for undergraduates at Chicagoland public and private universities.

Fiscal Year 2015 Undergraduate Tuition and Fees

Northwestern $47,252 (3.8% Change)
Loyola $38,946 (4.9% Change)
NEIU $8,868 (4.8% Change)
North Park $24,730 (5.1% Change)
DeVry $21,197 (0.0% Change)
UIC $13,648 (1.7% Change)
Columbia College $23,779 (3.3% Change)
IIT $41,890 (3.8% Change)
University of Chicago $49,380 (3.9% Change)
National Louis $17,596 (0.0% Change)
DePaul $34,390 (3.0% Change)
Governors State University Park, IL $7,995 (2.8% Change)
Chicago State $9,264 (6.5% Change)

Fiscal Year 2015 Undergraduate Tuition and Fees (% Change from 2014)
Full-Time Student
Illinois Resident
(Based on 24 Credit Hours)

$27,545
Average Undergraduate
Tuition and Fees
Fiscal Year 2015

Source: University Websites
Prepared by the Office of Institutional Research
Key Points

Northeastern’s tuition rates are consistently below Illinois public university averages and are the lowest of the four-year institutions in Chicago. Approximately 80 percent of our students receive financial aid.

The University was recognized with the 6th Best Investment ranking from Newsweek magazine. Our students are graduating with the least debt according to U.S. News (second official citation in 2014), and our students’ loan default rates are below the national average.

In the competition for State of Illinois Performance Based Funding, Northeastern received the highest rating of all public universities for the first two years, and most recently the second highest. Our Delta Cost Measure of Degrees per 100 FTE students has increased steadily (most recent is 26.9 for 2011). It is higher than the average of our urban peers while our Cost per Degree is lower than the average of our urban peers. The results are similar among our Illinois peers. The total number of graduates over the last 3 years is the highest in our history.

Overall, the University trend data, results and recognitions demonstrate that it is well-managed, is meeting its mission, and is developing an emerging reputation for quality. Budget reductions for fiscal year 2016 are inevitable. We must try to balance cuts, reallocations and new revenue to maintain that quality. Education is worth the cost—to the individual and to society. Northeastern remains a great value.
I. B. ACTION ITEM: EXPENDITURE RECOMMENDATIONS FOR AMOUNTS OF 100,000.00 OR MORE; APPROVAL OF LEGAL EXPENDITURE

The University has retained the services of Drinker, Biddle and Reath, LLP to represent Northeastern in developing its public private partnership student housing project. The University selected Drinker Biddle because of its unique expertise in these projects, which it acquired when it represented, among other entities, Illinois State University and Northern Illinois University. Because of the complexity of the project, which is in its initial stages, it is not possible to estimate the total legal expenses. It is anticipated that legal fees for the residential life project will exceed $100,000.

Board of Trustees approval is requested for the expenditure for legal services with Drinker, Biddle and Reath, LLP related to the development of a public private partnership to provide student housing.
I. C. ACTION ITEM: UNIVERSITY FACILITIES SYSTEM REVENUE BONDS, SERIES 2014

It is requested that the Board authorize the issuance of its University Facilities System Revenue Bonds, Series 2014 in one or more series (the “Series 2014 Bonds”), in order to provide funds to refund all or a portion of its outstanding University Facilities System Revenue Bonds, Series 2004 (the “Series 2004 Bonds”), to fund a deposit to the Bond Reserve Account (if required) and to pay the necessary issuance costs.

The Series 2014 Bonds will be fully registered and will be special, limited obligations of the Board and will only be payable from and secured by the net revenues of the University Facilities System, student tuition and fees (subject to prior payment of operating and maintenance expenses of the System, but only to the extent necessary) and the Bond Reserve Account.

All legal matters incidental to the authorization and issuance of the Series 2014 Bonds, the forms of the Preliminary and Final Official Statements, the Official Notices of Sale, the Official Bid Forms, the Third Supplemental System Revenue Bond Resolution and the Continuing Disclosure Agreement have been approved by Chapman and Cutler LLP, Bond Counsel, Chicago, Illinois and by John S. Vincent & Company LLC, Financial Advisor, Chicago, Illinois.

The President requests:

1. Approval of the competitive public sale of the Series 2014 Bonds, subject to the following conditions: (i) the Series 2014 Bonds to be issued will not exceed an aggregate principal amount of $17,500,000; (ii) the Series 2014 Bonds will have a final maturity of no later than 22 years from their date of issuance; (iii) the price at which the Series 2014 Bonds will be sold will not be less than 97% of the par amount thereof and (iv) the true interest cost of the Series 2014 Bonds will not exceed 4.5%. The final terms of the Series 2014 Bonds will be approved by the Board Treasurer or his designee, at his discretion and within such parameters.

2. Approval of the preparation and distribution of the Preliminary Official Statement, the Official Notices of Sale and Official Bid Forms in connection with the sale of the Series 2014 Bonds and approval of the Final Official Statement with the addition of the final terms of the Series 2014 Bonds. Copies of such documents are on file with the Secretary of the Board for recording. The Board Treasurer or his designee is hereby authorized and directed to execute the final Official Statement and the Official Bid Forms in the name of and on behalf of the Board in substantially the forms presented to this meeting, or with such changes as may be approved by the officer of the Board executing the same, his/her execution thereof to constitute conclusive evidence of the Board's approval of all changes from the forms thereof presented to this meeting.
3. Approval of the form of the Third Supplemental System Revenue Bond Resolution, including Appendix A thereto, which by its terms will amend and restate the existing Bond Resolution on the date on which no Series 2004 Bonds are outstanding. A copy of the Third Supplemental System Revenue Bond Resolution, including Appendix A thereto, is on file with the Secretary of the Board for recording. The Board Treasurer or his designee and the Board Secretary or his designee are hereby authorized and directed to execute the Third Supplemental System Revenue Bond Resolution in the name of and on behalf of the Board in substantially the form presented to this meeting, or with such changes as may be approved by the officers of the Board executing the same, their execution thereof to constitute conclusive evidence of the Board’s approval of all changes from the form thereof presented to this meeting.

4. If required by the successful bidders for the Series 2014 Bonds, approval of the terms and provisions of bond insurance for all or a portion of the Series 2014 Bonds, if such terms and provisions are approved by the Board Treasurer or his designee.

5. Approval of the form of the Continuing Disclosure Agreement by the Board with respect to the Series 2014 Bonds. A copy of the Continuing Disclosure Agreement is on file with the Secretary of the Board for recording. The Board Treasurer or his designee is hereby authorized and directed to execute the Continuing Disclosure Agreement in the name of and on behalf of the Board in substantially the form presented to this meeting, or with such changes as may be approved by the officer of the Board executing the same, his/her execution thereof to constitute conclusive evidence of the Board’s approval of all changes from the form thereof presented to this meeting.

6. Adoption of the Bond Compliance and Management Policy relating to continuing compliance by the Board with financial, tax and securities law covenants.

7. Ratification and confirmation of all actions taken or to be taken by the officers and members of the Board in connection with the sale and delivery of the Series 2014 Bonds to the purchasers.

8. The Chair and Officers of the Board, the President of the University, the Vice President of Finance and Administration of the University, the Board Treasurer and the Board Secretary are hereby authorized and empowered to do and perform such other acts and things; and to make, execute, and deliver all such other instruments and documents on behalf of the Board as may be by them deemed necessary or appropriate in connection with the provisions of the Official Statement, the Official Notices of Sale, the Official Bid Forms, the Third Supplemental System Revenue Bond Resolution, the Continuing Disclosure Agreement, the Bond Compliance and Management Policy, and all acts and things whether heretofore or hereafter done or performed by and of the officers of the Board which are in conformity with the intents and purposes of these resolutions shall be and the same are hereby in all respects, ratified, confirmed, and approved.

Therefore, board approval is requested for the issuance of University Facilities System Revenue Bonds, Series 2014.
II. A. INFORMATION ITEM: OPEN ACCESS TO RESEARCH ARTICLES ACT 2014 REPORT

The Open Access to Research Articles Act (OARAA, Public Act 098-0295) was signed into law by Governor Quinn on August 9, 2013. The purpose of the OARAA as declared by the General Assembly is as follows:

(1) to maximize the social and economic benefits of research to the public, the published research articles produced by faculty at public universities should be made as widely available as possible, wide availability referring both to the depth of availability of a given research article (including immediate availability where practicable, long-term preservation and free public access, and broad accessibility for reuse and further research) and the breadth of research articles made available;

(2) the public support these employees receive and the increased impact that broad public dissemination of research has is an important public purpose;

(3) many public universities have developed, or are developing, the capacity to provide free access over the Internet to such research through institutional repositories or otherwise; and

(4) a substantial portion of the research currently is not freely available over the Internet because the faculty have entered into publication agreements with terms that restrict public access to the fruits of unclassified research conducted by these State employees.

The full text of the OARAA can be found at http://www.ilga.gov/legislation/publicacts/fulltext.asp?Name=098-0295.

The OARAA stipulates that each public university appoint an Open Access to Research Task Force by January 1, 2014 to “review current practices and design a proposed policy regarding open access to research articles, based on criteria that are specific to each public university’s needs”. The NEIU Board of Trustees approved the membership of the NEIU OARAA Task Force at the November 14, 2013 Board meeting.

As detailed in the OARAA, the work of the NEIU Task Force for the 2014 calendar year was to provide a report detailing their findings:

“On or before January 1, 2015, each task force shall adopt a report setting forth its findings and recommendations. These recommendations shall include a detailed description of any open access policy the task force recommends that the public university or State adopt, as well as, in the case of the public university, a plan for implementation. This report must be approved by a majority of the appointed task force voting members. A task force shall also issue minority reports at the request of any member, including a non-voting member. Each report shall be submitted to the board of trustees of the respective public university, the Board of Higher Education, both chambers of the General Assembly, and the Governor. The Board of Higher Education
shall publish, on its Internet website, a list of all public universities subject to this Act. The list shall indicate which public universities have submitted the report required pursuant to this subsection.”

The Task Force reviewed the current state of general awareness of the issues pertaining to Open Access (OA) among the various constituencies at Northeastern Illinois University (NEIU). Aside from a few individuals who possess a solid understanding of OA issues, the majority of faculty, staff, and administrators within the NEIU community had not previously engaged deeply in issues pertaining to OA and are not yet adequately familiar with the issues to discuss and adopt an OA policy that is appropriate for the university community. In lieu of designing an OA policy, this report outlines the plans formulated by the Task Force first to inform the NEIU community about the relevant OA issues and then to have the community-wide discussions that will enable the adoption of an appropriate OA policy. The Task Force unanimously recommended the development and implementation of an OA policy for NEIU and strongly opposed a statewide policy approach.

This report is being submitted with the unanimous consent of the voting members of the Task Force, and includes a Publisher Perspective section composed by the non-voting publisher representative. The Faculty Senate has agreed to designate a Task Force or similar body of representatives to guide the process leading to the adoption of an OA policy through the three phases of educating the community, broad discussion, and policy adoption. The Task Force has also assembled a list of departmental OA representatives who will insure the engagement of the broad array of disciplines represented at NEIU. The report details the steps taken by the Task Force to initiate the process of informing the NEIU community about OA issues and adopting an appropriate OA policy. The recommended target date for adopting an OA policy is January 1, 2016.

The report below details the work of the Task Force in compliance with the requirements of the Open Access to Research Articles Act (OARAA, IL Public Act 098-0295).

NORTHEASTERN ILLINOIS UNIVERSITY: 2014 OARAA TASK FORCE REPORT

Executive Summary
Northeastern Illinois University’s Open Access to Research Articles Act Task Force (hereafter referred to as the “Task Force”) hereby submits the following report in compliance with the requirements of the Open Access to Research Articles Act (OARAA, IL Public Act 098-0295).

The Task Force reviewed the current state of general awareness of the issues pertaining to Open Access (OA) among the various constituencies at Northeastern Illinois University (NEIU). Aside from a few individuals who possess a solid understanding of OA issues, the majority of faculty members, staff, and administrators within the NEIU community had not previously engaged deeply in issues pertaining to OA and are not yet adequately familiar with the issues to discuss and adopt an OA policy that is appropriate for the university community. In lieu of designing an OA policy, this report outlines the plans formulated by the Task Force first to inform the NEIU community about relevant OA issues and then to have the community-wide discussions that will enable the adoption of an appropriate OA policy. The Task Force unanimously recommends the development and implementation of an OA policy that is specific for NEIU, and strongly opposes a statewide policy approach.
This report is being submitted with the unanimous consent of the voting members of the Task Force, and includes a Publisher Perspective section composed by the non-voting publisher representative. The Faculty Senate has agreed to designate a task force or similar body of representatives to guide the process leading to the adoption of an OA policy through the three phases of educating the community, broad discussion, and policy adoption. The Task Force has assembled a list of departmental OA representatives who will ensure the engagement of the broad array of disciplines represented at NEIU. The report details the steps taken by the Task Force to initiate the process of informing the NEIU community about OA issues and adopting an appropriate OA policy. The recommended target date for adopting an OA policy is January 1, 2016.

This report was approved by the NEIU Open Access to Research Articles Act Task Force on October 31, 2014.

BACKGROUND

Statutory Requirement
Northeastern Illinois University’s Open Access to Research Articles Act Task Force was created to address the requirements of the Open Access to Research Articles Act (OARAA, IL Public Act 098-0295) which was signed into law by Governor Quinn on August 9, 2013. The full text of the OARAA can be viewed at http://www.ilga.gov/legislation/publicacts/fulltext.asp?Name=098-0295.

The OARAA stipulates that each public university appoint an Open Access to Research Task Force to “review current practices and design a proposed policy regarding open access to research articles, based on criteria that are specific to each public university’s needs”.

Purpose of the OARAA
The purpose of the OARAA as declared by the General Assembly is as follows:

(1) to maximize the social and economic benefits of research to the public, the published research articles produced by faculty at public universities should be made as widely available as possible, wide availability referring both to the depth of availability of a given research article (including immediate availability where practicable, long-term preservation and free public access, and broad accessibility for reuse and further research) and the breadth of research articles made available;

(2) the public support these employees receive and the increased impact that broad public dissemination of research has is an important public purpose;

(3) many public universities have developed, or are developing, the capacity to provide free access over the Internet to such research through institutional repositories or otherwise; and

(4) a substantial portion of the research currently is not freely available over the Internet because the faculty have entered into publication agreements with terms that restrict public access to the fruits of unclassified research conducted by these State employees.

Charge of the Task Force
As detailed in the OARAA, the work of each Task Force for the 2014 calendar year was to provide a report detailing their findings regarding open access:

“On or before January 1, 2015, each task force shall adopt a report setting forth its findings and recommendations. These recommendations shall include a detailed description of any open access policy the task force recommends that the public university or State adopt, as well as, in the case of the public university, a plan for implementation. This report must be approved by a majority of the appointed task force voting members. A task force shall also issue minority reports at the request of
any member, including a non-voting member. Each report shall be submitted to the board of trustees of the respective public university, the Board of Higher Education, both chambers of the General Assembly, and the Governor. The Board of Higher Education shall publish, on its Internet website, a list of all public universities subject to this Act. The list shall indicate which public universities have submitted the report required pursuant to this subsection.”

TASK FORCE ACTIVITIES

In reviewing the level of familiarity with Open Access at NEIU, the Task Force agreed that an informed decision to adopt (or reject) an OA Policy was not feasible, or desirable, at this time, since the requisite knowledge base for the meaningful and informed discussions needed for adoption of an OA policy was not currently in place. The Task Force therefore created an immediate communication strategy with the university community and planned for a broader and comprehensive initiative in 2015. The current status of OA at NEIU, communication strategies, and future plans are detailed below; but the general work of the Task Force in preparation for this report included:

- holding regular open meetings;
- conducting a review of the current status of OA at NEIU
- having the Task Force members learn more about OA in order to lead the University community in discussions and plans regarding OA policy options and adoption
- developing a website with information about the Open Access environment (including information from the work of the other OARAA Task Forces in Illinois) and a feedback mechanism to facilitate input from the University community
- developing electronic and print materials on OA, including a printable pamphlet (see Appendix) and primer (http://libguides.neiu.edu/OAP);
- implementing and planning communication strategies with NEIU faculty, administrators and staff
- holding Open Access Week (October 20-24, 2014) activities;
- engaging in additional discussions with other library deans of Illinois public universities
- formulating plans for a comprehensive OA initiative in 2015; and
- creating a written report to meet the requirements of the OARAA, provide information regarding OA and initiate the plan for an OA policy at NEIU.

The Task Force unanimously agreed that an institutional OA policy was preferable to pursuing a statewide policy because of the cost and complexity of engaging in statewide policy development and because pursuing a statewide policy is unlikely to meet the specific needs of NEIU. This decision was substantiated in discussions with library deans from other Illinois public institutions.

Membership

In accordance with the guidelines set aside in the OARAA, the NEIU Task Force was comprised of voting members and non-voting members. Seeking a broad campus constituency in compliance with the OARAA, the voting members included representation from the Library, NEIU faculty, University Professionals of Illinois (UPI, NEIU’s faculty union), and university administration. The non-voting member was a representative from Springer Open, an academic publisher. The Co-Chairs, Carlos Melian, Dean of Libraries and Michael Stern, Dean of the College of Graduate Studies and Research were appointed by Richard Helldobler, Provost and Vice President for Academic Affairs. Other members were recommended by the deans of each college and the library and the NEIU UPI leadership. The Co-Chairs decided also to include the Coordinator of Learning Technologies from the NEIU Center for Teaching and Learning (CTL). The publisher representative was chosen from a list of possible publishers supplied by the Consortium of Academic and Research Libraries in Illinois (CARLI).
The membership of the Northeastern Illinois University (NEIU) OARAA Task Force was approved by the Board of Trustees on November 14, 2013 and was comprised of the following eight voting members and one non-voting member:

Saba Ayman-Nolley, Professor and Chair, Psychology, College of Arts and Sciences, S-Ayman-Nolley@neiu.edu
Brad Greenburg, Professor, English, NEIU UPI representative, B-Greenburg@neiu.edu
Jian Li, Associate Professor, Management, College of Business and Management, J-Li3@neiu.edu
Carlos Melian, Dean of Libraries (Co-Chair), C-Melian@neiu.edu
Henry Owen III, Associate Professor, Library, H-Owen3@neiu.edu
Isaura Pulido, Associate Professor, Educational Inquiry and Curriculum Studies, College of Education, I-Pulido1@neiu.edu
Jordan Schilling, SpringerOpen Journal Manager at Springer Science and Business Media, academic publisher representative (non-voting), Jordan.Schilling@Springer.com
Michael J. Stern, Dean, College of Graduate Studies and Research (Co-Chair), M-Stern2@neiu.edu
Thomas J. Tobin, Coordinator of Learning Technologies, Center for Teaching and Learning, T-Tobin@neiu.edu

Task Force Meetings
In consultation with University Counsel, logistics and guidelines for open meetings were established. Open meeting dates, times, locations and agendas of the Task Force were announced in advance via NEIU Targeted Announcements (University portal and email) and posted on the publicly accessible NEIU Open Access website. Attendance by the publisher representative in New York was by conference call. The Task Force met eleven times to discuss Open Access, communication strategies and prepare this report. Due to the Board of Trustees meeting schedule the deadline for this report was October 31, 2014. A secretary was selected to take minutes at each meeting. Draft minutes were approved as the first order of business at each subsequent meeting and posted on the website.

Website
An Open Access to Research Articles Act Task Force website (http://libguides.neiu.edu/oaraa) was created as a communication tool and resource to the University community. Its purpose is two-fold—to provide public access to all of the information regarding the work of the Task Force; and as a resource guide for Open Access. The content of the website was regularly updated with meeting agendas and minutes, report drafts and other relevant OA resources. The website includes:

- general information on OARAA, including a link to the history and content of the legislation;
- task Force membership;
- meetings of the Task Force, including dates, times, agendas and minutes;
- draft reports by the Task Force;
- resources, including links to Illinois public universities’ OARAA Task Forces, Open Access Policies from numerous institutions, information about OA, and OA guidelines from recognized organizations, universities and publishers that are currently active in OA initiatives; and
- mechanism for public comments from the NEIU community.

The website will be used as the primary local resource for ongoing dissemination of OA activities and the possible adoption of an OA policy at NEIU after January 1, 2015.
BACKGROUND ON NEIU’S CURRENT STATUS

NEIU has a long and rich history as a teaching institution with a Master’s Large Carnegie Classification as well as significant engagement in research, scholarship, and creative activities. The University’s mission reflects the importance of scholarship and research:

Northeastern Illinois University, as a public comprehensive university with locations throughout Chicago, provides an exceptional environment for learning, teaching, and scholarship. We prepare a diverse community of students for leadership and service in our region and in a dynamic multicultural world.

(“University Values,” http://www.neiu.edu/about/strategic-plan/university-values)

Nevertheless, in reviewing the current practices of OA at NEIU and at other institutions, the Task Force recognized that the current level of awareness of, participation in, and understanding of open access is not widespread at NEIU, with the exception of small numbers of faculty and staff.

OARAA (IL Public Act 098-0295) follows the lead of the federal government in acknowledging the need to make government-funded research more readily accessible to the public in pursuit of democratic ideals. The US government aims to achieve open access directly by mandating that all federal agencies with R&D (research and development) expenditures of more than $100 million annually “create plans to make the published results of federally-funded research freely available to the public within one year of publication.” (Office of Science and Technology Policy, http://www.whitehouse.gov/blog/2013/02/22/expanding-public-access-results-federally-funded-research). OARAA aims to achieve open access indirectly by requiring Illinois State public universities to develop policies, either individually, or together with a policy that embraces all of the public universities, that will make the products of research performed by faculty at public universities (who are considered State employees) “as widely available as possible”.

Both the federal government and the State of Illinois, in supporting open access, realize that the current method of disseminating scholarly knowledge amounts to a double-payment system for the public, in that too often the public is required to pay, individually or through publicly funded libraries, for access to research that was done using resources provided by taxpayer dollars.

OPEN ACCESS REPOSITORIES

Repository Basics
As mandated by the OARAA, NEIU must consider creating a mechanism for open access to faculty research and their journal articles. Recognizing that there are a number of options and many factors that affect a final policy, the Task Force developed a number of questions that NEIU must consider before deciding what kind of OA process to adopt. One key element is to determine where to keep the materials that faculty members produce.

Open access materials are, most typically stored in a repository so they can be accessed by University personnel and the general public. A repository is a digital location for storing electronic documents (e.g., journal articles) and software that manages the storage, metadata (description), organization and access to the documents.

There are two levels of open access, and they have an impact on the decisions related to the adoption of an OA policy and/or the kinds of repositories available to authors.

Gold OA: Publish with publishers that automatically and immediately make the work available online to all at no cost. Some misconceptions about Gold OA are:
Some Gold OA publishers are vanity publishers because they charge—Charges for publication fees are common for many respected academic publishers.

Publication fees must be paid by authors—Publication fees are often paid by grant funds or institutional open access funds, and some publishers are willing to waive their fees.

Green OA: Publish with publishers that allow authors to archive their articles in an online open access repository committed to long-term preservation—either a subject repository (e.g., PubMed Central, arXiv, SSRN) or a college/university institutional repository. (Cirasella, 2011)

Repository Options

There are three kinds of repositories—government repositories, discipline-specific repositories and institutional repositories. Government and discipline-specific repositories are currently used by some faculty at NEIU. NEIU does not currently have an Institutional Repository.

Government Repositories: Projects and research that receive federal funding require that the products of that research be made available to the public. Faculty researchers funded by the government are already required to upload their work into repositories such as ERIC (http://eric.ed.gov/), PMC archive from U.S. National Institutes of Health's National Library of Medicine (NIH/NLM), the NIH RePORTER (http://projectreporter.nih.gov/), and the Department of Energy’s Science Accelerator (http://www.scienceaccelerator.gov/). NEIU faculty who receive government grant funding are currently using government repositories.

Discipline-Specific Repositories: These are run by scholarly societies, publishers, and others who wish to make research in a given field available to the public. There is seldom uniformity among the various repositories (e.g., AgEcon Search, arXiv, Economists Online, E-LIS, RePEc, PubMed Central, SSRN), and many such discipline-specific repositories charge researchers and/or their institutions fees in order to include their work. (Erway, 2012)

Researchers who use discipline-specific repositories are often responsible for more than merely depositing their work (as is the case with government and institutional repositories). In many instances, researchers need to identify repositories that are appropriate to their fields, submit their work, and notify their institutions that they have done so (so that institutional records can point the public to the resources).

Institutional Repositories: In response to laws such as the Illinois OA law, individual universities often create their own repositories to house versions of published works that are full, but not the final journal-formatted version (this is how Green OA works). Many institutions also offer free public access to other research performed at the university, such as student theses and staff research, as well. Alma Swan notes the benefits of housing an institution’s research output on its own site to include:

- opening up outputs of the institution to a worldwide audience;
- maximizing the visibility and impact of these outputs as a result;
- showcasing the institution to interested constituencies—prospective staff, prospective students and other stakeholders;
- collecting and curating digital output;
- managing and measuring research and teaching activities;
- providing a workspace for work-in-progress, and for collaborative or large-scale projects;
- enabling and encouraging interdisciplinary approaches to research;
- facilitating the development and sharing of digital teaching materials and aids, and
• supporting student endeavors, providing access to theses and dissertations and a location for the development of e-portfolios. (Swan, 2013)

NEIU does not currently have an Institutional Repository, although the library has been monitoring the IR environment for potential future implementation, if this option is adopted as part of a University OA policy. It is often possible to incorporate open-access content within the university’s library catalog, or other library discovery tools, so that OA content comes up as another option for full-text access via the library catalog (Center for Digital Scholarship, 2014b). The NEIU library currently links to over 14,500 free open access electronic journals from its website and catalog.

**BENEFITS OF AN OA POLICY**

**NEIU Faculty and Staff**

NEIU Strategic Goal Four is "exemplary faculty and staff" and is aimed at making NEIU "a word-class metropolitan university." Open access would support this goal by using the internet as a vehicle to make NEIU research available to a worldwide audience, thereby increasing its impact and citations. An OA policy at NEIU could also serve as a recruiting tool for attracting future faculty who are interested in the wide dissemination of their research and scholarship.

**NEIU Students**

Open access would support two NEIU strategic goals focused on students.

NEIU Strategic Goal One is "student success". Given the increasing cost of higher education, NEIU could use open access to potentially make the cost of education less expensive for students because access to a greater number research articles assigned by instructors would be free.

NEIU Strategic Goal Two is "academic excellence and innovation". Action Step 2.4 of this goal is to "support professional development opportunities for students through internships, international study, research, service learning, and career services". NEIU has a tradition of encouraging student research through annual symposia where students present the results of their research. By instituting a green OA policy that includes the creation of an institutional repository, NEIU would provide students with an opportunity to archive their research and make it available to a far wider audience than just the NEIU community. Students could then get access usage statistics their research, feedback that could be utilized in advancing their careers either within or outside of academia.

**Librarians**

Open access has the potential to provide the NEIU library with some relief from the continuing cost escalation of subscription-based scholarly journals that has made the purchasing of those journals consume a larger and larger share of the library’s overall budget for information resources. Open access would also broaden the world of scholarly knowledge that the Library makes available to NEIU faculty and students.

**PLAN FOR ADOPTION OF AN OPEN ACCESS POLICY**

This report plans for the development and approval of an Open Access Policy at NEIU that will occur with the input of the entire scholarly community, with ample opportunities for open dialogue about the potential policy, its adoption, and implementation. A set of Departmental OA Representatives have been identified who will ensure the engagement of the broad array of disciplines represented at NEIU. The goal is to maximize the voice of all constituencies in crafting a policy that is sensitive to the differences across the many different disciplines represented at the university. The Faculty Senate has agreed to designate a task force or similar body of representatives to guide the process leading to the
adoption of an OA policy through the three phases of educating the community, broad discussion, and policy adoption. The Office of Academic Affairs will provide logistical support.

To begin the process of educating the community, the Task Force considered a number of strategies for disseminating information regarding OA and the OARAA. Realizing that NEIU is relatively unfamiliar with OA, a number of communication initiatives were discussed and implemented. These included electronic communication, print materials and face-to-face presentations and discussions with numerous constituencies. The NEIU OA website will be one forum for the collection of opinions, commentary and/or concerns about OA. A series of open forums will be organized at the university level, and similar opportunities will be provided for departments and colleges so requesting.

The Task Force accomplished the following additional preparations for adopting an OA policy at NEIU:

- A PowerPoint presentation was created to be used as a communication tool by any Task Force member presenting in department meetings. The emphasis at these meetings was a brief overview of OA and the OARAA, the work of the Task Force, and the introduction of the development of an OA policy in 2015. A second presentation will be developed for use as a deeper level introduction to the key elements of OA policies and the pertinent issues. This PowerPoint will incorporate both currently available materials as well as new material that will be developed specifically for the discussions around the University.
- The Co-Chairs and other members presented at each of the colleges’ Dean’s Councils, and selected faculty assemblies and department meetings, as well as an introductory discussion with Graduate Associate Deans.
- A Quick Guide pamphlet (see Appendix) was created by one of the Task Force members for easy distribution at OA events.
- The Task Force hosted a live webcast sponsored by the World Bank and SPARC (Scholarly Publishing and Academic Resources Coalition) for the University community to kick-off International Open Access Week.
- A more extensive “OA Primer” was also created and is available along with other resources on the NEIU OA website.

The Task Force also formulated suggestions for additional communication and initiatives in 2015:

- A survey will be conducted to determine in a more systematic manner the baseline understanding of OA issues at Northeastern. This survey will also serve to raise awareness of the OA discussions planned for the campus. An initial draft of the survey has been constructed. The survey may be followed by focus groups or faculty interviews.
- Initial preparations for a presentation on OA at NEIU by Mary Case, University Librarian and Professor at the University of Illinois at Chicago (UIC).
- Bulletin boards will be created that will be posted in central areas on campus (e.g., the Student Union) that will also serve to raise awareness of the OA discussions planned for the campus. The bulletin boards will have some basic information about OA, but also will prompt responses, such as a section entitled “Your role in OA at NEIU” with room for posting responses.

The Task Force also examined mechanisms in which potential impacts on processes that are of concern to the faculty will be considered within the context of the university-wide discussions on OA. These include:
• Potential effects on the tenure process
   The process of OA policy adoption will include an opportunity for departments, Academic Affairs, and the faculty union (UPI) to have a chance to review the policy and its planned implementation to insure that it has no negative effect on the tenure/promotion process of faculty members across the various disciplines. Additional feedback will be sought from department chairs and deans as to possible consequences of an OA Policy.

• Potential effects on the Department Application of Criteria (DAC) process
   A similar precaution will be made for aligning the policy with each department’s DAC to make sure the DACs and OA neither conflict nor contradict each other. (A DAC is the explicit criteria of an academic department’s expectations for retention, promotion, and tenure.) The intention is that the adopted OA policy minimize conflict with departmental DACs. If necessary, departmental DACs may be adjusted to address the adopted OA policy. For this process to occur smoothly and effectively, the involvement of departmental representatives and department personnel committees is vital.

• Potential intellectual property concerns
   The granting of rights and distribution licenses are critical elements of OA policies. In the process of creating and adopting the NEIU OA policy, all forms of intellectual outputs and all categories of NEIU constituencies should be considered. This may potentially include non-faculty staff and students who are engaged in scholarly research and writing, including graduate theses that are completed as part of program requirements. The Research and Creative Activities Advisory Group, with the support of the Office of Research and Sponsored Projects, should be consulted to make sure that all faculty, staff and students who are known to be engaged in scholarly writing are being considered in the discussion, adoption and implementation of an OA policy.

In conclusion, significant progress has been made in formulating a plan for adopting an OA policy at NEIU. The NEIU community, under the leadership of the Task Force, has gained a much greater awareness of the OA movement, and has begun the process of gaining an understanding of the issues involved. The Task Force has begun to lay out a concrete plan by which the requisite informed discussions and OA policy adoption can occur. The subsequent work to accomplish this will be conducted using the language of the OARAA (PA 098-0295) as a guide, with specific consideration for each of the items listed in Section 15(b).

PUBLISHER PERSPECTIVE
(Jordan Schilling, SpringerOpen Journal Manager at Springer Science and Business Media)

Gold open access publishing has emerged as a viable publishing model. In the gold open access publishing model, all costs associated with the added value provided by publishers are covered up front, which removes subscription costs or access fees for either the institution or the individual user. Gold open access is the most optimal form of open access for authors, as it allows for immediate, unrestricted dissemination of research.

In a well-designed open access policy, all participants benefit from gold open access. Researchers and authors value retaining the copyright, as well as immediate dissemination of their research upon publication. Academic institutions, research funders, and organizations see benefits from research being open access, helping them to support their mission to develop and distribute knowledge. Gold open access publishing is not without costs, and publishers defray these costs through article
publication charges (APC). To support the benefits of open access, a large number of research funders, organizations, and academic institutions have made gold open access fees part of their funding priorities or have created funds dedicated to covering APCs for their researchers. It is recommended that, within the proposed policy, funds or resources are made available to help researchers cover the cost of publication if they choose to publish via gold open access. Gold open access supports digital preservation of research because authors can immediately deposit the final published version (version of record) of their article into their institutional repository.

Green open access (author archiving) is allowed by most publishers; however, it has limitations and requires a healthy subscription environment to cover the costs associated with providing peer review and publishing in a journal. In a green open access policy, it is advisable that institutions create an archiving policy that allows researchers and/or authors to comply with publisher embargo periods before an author-accepted manuscript can be deposited. A benefit of digital preservation and archiving in repositories is that it allows for typically unpublished content, like lab notes and technical reports (“grey literature”) to be made accessible. “Grey literature” can be helpful for other researchers and faculty. An institution’s archiving policy should encourage their researchers and faculty to archive “grey literature” as well as rejected or unfinished research manuscripts.

REFERENCES


Center for Digital Scholarship. (2014b, August 28). Open access. Indiana University-Purdue University Indianapolis. https://www.ulib.iupui.edu/OA.


Office of Science and Technology Policy. Expanding public access to the results of federally funded research. http://www.whitehouse.gov/blog/2013/02/22/expanding-public-access-results-federally-funded-research.


APPENDIX

- Open Access Quick Guide pamphlet developed by Task Force
II. B. INFORMATION ITEM: FIRST QUARTER BUDGET TO ACTUAL REPORT

At its September meeting, the Northeastern Illinois University Board of Trustees approved its Fiscal Year 2015 budget that totals $150.7 million. Of that total, $92.1 million is the University’s unrestricted general operating budget supported by the state appropriation and student tuition. In addition, $58.6 million is the University’s restricted funds budget supported by student fee programs, auxiliary services, grants and contracts. Upon the Board request, quarterly reports are being provided focusing on the unrestricted operating budget, which supports most University departments and ongoing operations.

This report provides an update on the first quarter spending in the unrestricted budget and is summarized in Table 1 at the end of this report.

Revenues

In fiscal year 2015, the state support for the University’s unrestricted general operating budget is $37.7 million, or 41 percent of that budget. The entire state appropriation supports salary costs for positions funded through the unrestricted general operating budget. At the end of each pay period, the University vouchers the State of Illinois for payroll reimbursement until the state appropriation is entirely committed. Consistent with previous years, the state continues to lag in its reimbursements to the University. Through the first quarter, $11.1 was vouchered to the State and is reflected as revenues in the attached tables; however no payments have been received. These outstanding payments are recorded as revenue receivables due to the University rather than cash available for expenditure.

University Income Funds are comprised primarily of tuition revenues which are dependent on student enrollments. Through the first quarter, 55.7 percent of estimated tuition and income fund revenue was recorded. This amount represents a portion of summer session 2014 and fall semester 2014. Because the summer term bridges two fiscal years, accruals are made to portion the tuition revenues and operating expenses between fiscal years. The fiscal year 2015 budget is based upon enrollments at a level 1.7% higher than what has now been determined as actual for fall semester. Due to this, the University is monitoring revenues and expenses closely and will take additional fiscal steps as needed.

It is important to note that for both the state appropriation and tuition income, revenues are recorded and reflected in this report as they are billed. Final revenues will be available after the University does all accounting adjustments during the year-end reconciliation period. These adjustments are required to adjust for activity such as class drop refunds, statutory waivers, estimated bad debt allowances, and fees associated with outstanding accounts.

Expenses

For the general operating unrestricted budget, the University spent through the first quarter, in total, 18.7 percent of the total $92.1 million budget.
The following bar graph below and Table 1 outline the actual University revenues and expenses compared to budget through the first quarter.
Table 1
NORTHEASTERN ILLINOIS UNIVERSITY
FISCAL YEAR 2015 BUDGET TO ACTUAL COMPARISONS
FOR THE PERIOD ENDING September 30, 2014
UNAUDITED FIGURES

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<tr>
<td>Commodities</td>
<td>897,049</td>
<td>810,473</td>
<td>85,462</td>
<td>10.5</td>
</tr>
<tr>
<td>Telecommunications</td>
<td>489,228</td>
<td>509,428</td>
<td>89,061</td>
<td>17.5</td>
</tr>
<tr>
<td>Travel</td>
<td>299,231</td>
<td>320,301</td>
<td>30,827</td>
<td>9.6</td>
</tr>
<tr>
<td>Permanent Improvements</td>
<td>200,000</td>
<td>200,000</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Operation of Auto Equip</td>
<td>19,515</td>
<td>27,815</td>
<td>5,461</td>
<td>19.6</td>
</tr>
<tr>
<td>Tuition Scholarships</td>
<td>1,609,030</td>
<td>1,629,030</td>
<td>554,859</td>
<td>34.1</td>
</tr>
<tr>
<td>Debt Service</td>
<td>2,014,000</td>
<td>2,014,000</td>
<td>495,298</td>
<td>24.6</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>$ 92,124,000</td>
<td>$ 92,124,000</td>
<td>$ 17,193,571</td>
<td>18.7%</td>
</tr>
</tbody>
</table>

Notes:
1. Budget column reflects the original budget approved by the Board of Trustees.
2. Year-to-date activity does not include encumbrances.
3. The $11.1 million from State Appropriations represents amount billed to the State of Illinois, $0 has been received through the 1st quarter.
4. The Current Budget reflects budget transfers processed between organizations and accounts.
II. C. INFORMATION ITEM: ENTERPRISE RESOURCE PLANNING (ERP) RELATED EXPENDITURES

At the April 6, 2006 meeting, the Board of Trustees resolved that “in order to facilitate the timely implementation of the ERP project, (the Board) delegates to the University President the authority to approve such expenditures and contracts directly related to the ERP project without prior Board approval and that the President will report to the Board on all such approved expenditures and contracts normally requiring prior Board approval at the next regularly scheduled meeting of the Board of Trustees.” Under this authority, the following contract has been approved and is reported to the Board as required.

<table>
<thead>
<tr>
<th>Touchnet Information Systems</th>
<th>License for e-payment</th>
<th>$101,664.36</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(9-1-14 to 8-31-15)</td>
<td></td>
</tr>
</tbody>
</table>
II. D. INFORMATION ITEM: CONSTRUCTION UPDATE

College of Education Building Update
- The final programming is complete and was submitted to Capital Development Board (CDB) earlier this month. The next phase of Schematic Design has just begun. Meetings have been set up with SmithGroupJJR on a regular basis to move the project along per established schedule.

El Centro Annex Building
- As mentioned in September's Board of Trustees Information Items, construction began on the El Centro Annex Building. Demolition is essentially complete. Exterior masonry work is progressing well. Interior walls are all studded, and rough-in of mechanical, plumbing and electrical is nearing completion. Construction is on schedule to be completed in December of 2014.

Utilities Infrastructure Expansion Update
- The 50% construction drawings are scheduled for November of 2014. Discussions with the College of Education consultants have begun in order to coordinate these two projects. Meetings with Metropolitan Water Reclamation District, ComED, and People’s Gas are still being held to plan for the utilities location.

Roofing and Exterior Facade
- The Library Roof and Wall Repairs began the week of 8/11/14, with mobilization. The majority of the roof replacement work has been completed. Masonry repair work continues on the exterior walls.
- The PE Building Complex Roof and Wall Repairs began on 9/2/14. Considerable rusting of the roof pan was discovered, requiring extensive unexpected repairs. Roof replacement work is underway. The masonry rebuild work on the south wall will soon begin. The project should be done by the end of 2014.
- The Building H Roof and Wall repairs will not occur until next spring at the earliest.

Microbiology Lab
- Mechanical, Electrical, and Plumbing (MEP) work has been partially completed. Casework has been delayed and is now is due end of October and that is when the bulk of the MEP and general finishing work will occur. The lab is expected to be completed at the end of November, 2014, for occupancy before spring semester.
II. E. INFORMATION ITEM: PURCHASES BETWEEN $50,000 AND $100,000

Board of Trustees’ Regulations require that the President report to the Board purchases of at least $50,000 but less than $100,000 other than those exempt from Board approval (e.g. utilities). The following lists those purchases since the last Board meeting.

<table>
<thead>
<tr>
<th>VENDOR</th>
<th>DESCRIPTION</th>
<th>PURCHASE ORDER AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Loyola Electric</td>
<td>El Centro Annex Building Electrical Work</td>
<td>67,400.00</td>
</tr>
<tr>
<td>C.W. Burns Co., Inc.</td>
<td>El Centro Annex Building Plumbing Work</td>
<td>93,000.00</td>
</tr>
<tr>
<td>Drinker, Biddle &amp; Reath LLP</td>
<td>Legal Services</td>
<td>65,000.00</td>
</tr>
<tr>
<td>NCO Financial Systems*</td>
<td>Debt Collection Services</td>
<td>52,000.00</td>
</tr>
<tr>
<td>Krueger International, Inc.*</td>
<td>El Centro Classroom Furniture</td>
<td>133,157.64</td>
</tr>
<tr>
<td>Krueger International, Inc.*</td>
<td>El Centro Classroom Furniture</td>
<td>63,426.60</td>
</tr>
<tr>
<td>Krueger International, Inc.*</td>
<td>El Centro Classroom Furniture</td>
<td>99,257.77</td>
</tr>
<tr>
<td>CDW Computer Centers, Inc.*</td>
<td>El Centro Networking Equipment</td>
<td>106,893.66</td>
</tr>
<tr>
<td>CDW Computer Centers, Inc.*</td>
<td>El Centro Wireless Network Design and Deployment</td>
<td>87,412.52</td>
</tr>
<tr>
<td>Fisher Scientific*</td>
<td>El Centro Biology Lab Equipment</td>
<td>68,934.24</td>
</tr>
</tbody>
</table>

* IPHEC Vendor Exempt from Board of Trustees Approval
II. F. INFORMATION ITEM: NEWS AND EVENTS

A copy of “News and Events” will be provided at the November 13th meeting.