

**MINUTES OF THE MEETING OF
THE BOARD OF TRUSTEES OF OHIO UNIVERSITY**

Friday, September 13, 2002

Ohio University, Athens Campus

THE OHIO UNIVERSITY BOARD OF TRUSTEES
MINUTES OF September 13, 2002 MEETING

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PROLOGUE

Students, faculty, and staff from the College of Business hosted Trustees and guests for breakfast and a series of presentations prior to the start of committee meetings. Dean Glenn Corlett welcomed everyone and introduced presenters. A copy of the presentations is enclosed with the minutes.

Presentations included: College of Business Student Profile, Representatives of the Association of Information Technology Professionals, Student Portfolio Group, Virtual Internship Program, Global Competitiveness Program, Sales Center, and the Freshman Engagement Project.

Trustees thoroughly enjoyed the student presentations and asked that ways be found to continue this type of activity.

I. ROLL CALL

Eight members were present — Chairman Gordon F. Brunner, Patricia A. Ackerman, C. Daniel DeLawder, M. Lee Ong, M. Marnette Perry, Larry L. Schey, C. David Snyder, and Robert D. Walter. This constituted a quorum. Trustee R. Gregory Browning was unable to attend.

Student Trustees Barry Spurlock and Tara Stuckey attended, as did President Robert Glidden, Secretary Alan H. Geiger, and David Wilhelm, chairman of the Ohio University Alumni Board of Directors, who sits by invitation of the Board.

This was the first meeting for newly appointed Trustees M. Marnette Perry of Columbus, Ohio and Tara Stuckey of Maumee, Ohio. Trustee Perry replaces retiring Trustee Brandon T. Grover. Her term expires May 12, 2011. Student Trustee Stuckey replaces retiring Student Trustee Amy Vargas-Tonsi, and her term expires May 12, 2004.

II. APPROVAL OF THE MINUTES OF THE MEETING

Of June 28, 2002

(Previously distributed)

Dr. Ackerman moved approval of the previously distributed minutes. Mr. Schey seconded the motion. All agreed.

III. COMMUNICATIONS, PETITIONS, AND MEMORIALS

Secretary Geiger stated there were no communications, petitions, or memorials.

IV. ANNOUNCEMENTS

Secretary Geiger stated there were no announcements.

V. REPORTS

Diversity Update – Erek E. Perry, special assistant to the president and Sylvester Aji James, assistant director, Office of University Diversity.

Messrs. Perry and James outlined and discussed the areas critical to the success of the ongoing diversity program. They discussed 1.) The importance of diversity to the learning process 2.) A brief history of institutional efforts and what has been learned from these 3.) The establishment of a University office to promote diversity in all dimensions of University life 4.) The identification of representatives from college areas, including the accountability and responsibility in recruiting and development of curricular and co-curricular programs 5.) The initiation of Project Grad to reach out to prospective minority students early in their high school experiences 6.) The promotion of Templeton Scholars, their scholarships, and scholarly activity, and 7.) The development and availability of the Templeton and King-Chavez-Parks scholarships and programs.

Mr. Perry reported there are currently 29 Templeton and 262 King-Chavez-Parks scholars on campus for first through third year classes. It was the sense of Trustees present that we are on our way towards having a true diversity program. Members congratulated Erek and Sylvester for their outstanding leadership.

A copy of the presentation is included with the minutes.

Academic Quality Improvement Project – Provost Stephen Kopp, Ph.D.

Provost Kopp presented Trustees with a written document of the AQIP objective which is to provide a model for the continuance of quality improvement in achievement of institution mission. In contrast to the more traditional NCA re-accreditation model, this process is prospective planning involving goal setting and assessment. The Provost stated the key element of this process is to think what quality improvement is, i.e., a perfect goal, and then attempt to meet the goal. He indicated we will set the bar high in this process,

make ourselves uncomfortable with our current positions—all toward advancing our learning community. The Provost's creed is, "Perfection is the goal, excellence will be tolerated."

The Provost stated that his priority for the process's first year of the three-to-five year program is to improve active learning within the University. This will be followed by supporting faculty involvement, a systematic look at the University, and the implementation of the revised general education program.

A copy of the Provost's handout is included with the minutes.

VI. UNFINISHED BUSINESS

Secretary Geiger reported no unfinished business.

VII. NEW BUSINESS

BUDGET, FINANCE, PHYSICAL PLANT, AND AUDIT COMMITTEE

Internal Auditor Tina Abdella presented committee members with an accountability report for the fiscal year 2002 and a planned performance report for the fiscal year 2003. She reported that she and committee Chairman DeLawder agreed to develop reporting guidelines and new operational practices, and to provide monthly executive summaries and other program information to committee members. Ms. Abdella noted her office was to be subject to a professional peer review September 2004. A copy of her report is included in the official minutes.

Members asked about the number of assurance audits planned, the adequacy of staff resources, staff expertise, and the breadth of the office's authority.

Committee Chairman DeLawder, following committee discussions, asked Assistant Vice President for Planning John Kotowski to rewrite the proposed resolution to include a limit on the amount of consultant fees to be paid. This followed a discussion about the intention of the resolution and plans for the structure.

Mr. DeLawder moved approval of the revised resolution and Mr. Walter seconded the motion. All voted aye.

CONSULTANT FOR THE OASIS REHABILITATION AND EXPANSION PROJECT

RESOLUTION 2002 --- 1846

WHEREAS, Ohio University has recently acquired the 70 University Terrace property that is home to the Oasis Restaurant, and

WHEREAS, discussions have centered around improving the property so that it can continue to function as a restaurant with a vision that a spirit or trademarked products shop be included, and

WHEREAS, this property will be managed by Housing and Food Service Auxiliary, and

WHEREAS, Ohio University would like to hire a consultant to master plan the property, look more closely at the area regarding how best to incorporate a spirit shop, prepare a detailed cost estimate, and develop plans and specifications to result in a facility that includes a restaurant and spirit shop, and

WHEREAS, the work of the consultant, to do the study, develop the cost estimate and develop bid documents, will not exceed \$80,000, and

WHEREAS, the Housing and Food Service Auxiliary is prepared to provide funding necessary to employ a consultant to perform these services.

NOW, THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does hereby empower the President or his designee to interview and select a consultant for the Oasis Rehabilitation and Expansion Project.

BE IT FURTHER RESOLVED that the Ohio University Board of Trustees does hereby authorize the completion of the study and the preparation of plans and specifications for the improvements work.

OASSO202.RES

INTEROFFICE MEMORANDUM

OHIO UNIVERSITY
FACILITIES PLANNING OFFICE
Building 19, The Ridges
Athens, Ohio 45701
TELEPHONE: (740) 593-2727

John K. Kotowski
Assistant Vice President for Facilities Planning
E-MAIL: kotowski@ohio.edu



TO: Dr. Gary B. North, Vice President for Administration

DATE: September 13, 2002

SUBJECT: APPROVAL TO HIRE A CONSULTANT FOR THE
OASIS REHABILITATION AND EXPANSION PROJECT

The Ohio University Foundation recently acquired the Oasis Restaurant property located at 70 University Terrace. This facility is located on the edge of the College Green. The University is working with the State of Ohio on the transfer of the property from the Foundation to the Institution. The property was acquired because of its location on the campus and the fact that it came upon the market for sale.

It is the intent of the University, through its Food Service and Housing Auxiliary, to operate the facility as a restaurant. In addition, the University would like to add a spirit shop at this same location. This makes sense because of its central location on the campus and its proximity to the alumni center. Due to the age of the existing facility and the history of improvements that have been made to the building, it is necessary to upgrade the facility to meet minimal standards for an on-campus structure. The University would like to examine whether it makes more sense to renovate the building or raze the structure and rebuild. The intent, whether the facility is renovated or new construction is the direction taken, is to maintain the facilities residential character.

What the University would like to do is hire an architectural consultant to explore whether the existing structure should be saved and just how a spirit shop could be added. This study will include a detailed cost estimate for the proposed work. Once the strategy has been developed, it is the intent to use this same consultant to develop construction documents that will allow us to operate a restaurant and add a spirit shop at this location. It is expected that the cost of the study along with the development of bid documents will not exceed \$80,000.

Page Two
Dr. Gary B. North
September 13, 2002

I have enclosed a resolution for consideration by the Board of Trustees at their September 13, 2002 meeting which seeks authority to interview and select a consulting architect to do a study of the area surrounding the 70 University Terrace Property and develop the construction document for the implementation of this project.

If I can be of further assistance or provide additional information regarding this matter, please let me know. Thank you.

JKK/slw/OASSO203.GBN

enclosure

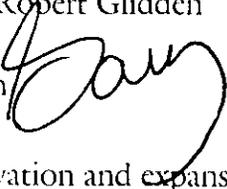
pc: Dr. Stephen Kopp
Mr. Richard P. Siemer
Mr. John F. Burns
Mr. Sherwood G. Wilson



VICE PRESIDENT FOR ADMINISTRATION

Cutler Hall 209
Athens, Ohio 45701-2979
Phone: 740-593-2556
Facsimile: 740-593-2124

M E M O R A N D U M

Date: August 28 ,2002
To: President Robert Glidden
From: Gary North 
Subject: Oasis renovation and expansion

Please find attached a request from John Kotowski seeking approval to hire a consultant to plan the Oasis renovation and expansion. The project will be funded by Auxiliary Services and will not require general university or capital funds for completion.

I recommend approval.

EDUCATIONAL POLICIES COMMITTEE

Committee Chairwoman Ackerman thanked those appearing before the committee. A list of those appearing, as well as those representing Centers and Institutes over the next several years, is included with the minutes.

A copy of the supportive materials is included only with the official minutes.

Committee Chairwoman Ackerman presented the resolution. Mr. Snyder moved approval and Mr. DeLawder seconded the motion. Approval was unanimous.

MAJOR AND DEGREE PROGRAM REVIEWS

RESOLUTION 2002 -- 1847

WHEREAS, the continuous review of academic programs is essential to the maintenance of quality within an educational institution, and

WHEREAS, Ohio University has had for many years a rigorous program of internal review, and

WHEREAS, Section 67 of Am. Sub. H.B. 694 requires the college and university Board of Trustees "shall during the 1981-83 biennium initiate on-going processes for the review and evaluation of all programs of instruction presently conducted by the institutions for which they are responsible."

THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University accepts the 2001-2002 reviews and approves the recommendations for the following:

Associate in Arts and Associate in Sciences
Biological Sciences
Environmental and Plant Biology
Geological Sciences
History
Physics and Astronomy

2001 - 2002 Program Review Results

Program Name	General Department Information			Undergraduate Program Review				Graduate Program Review				Overall Evaluation Rating	University Curriculum Council	Graduate Council Rating
	Faculty Profile	Programmatic Practices	Adequacy of Resources	Program Goals and Curriculum	Faculty	Students	Graduates	Program Goals and Curriculum	Faculty	Students	Graduates			
Associate In Arts and Associate In Sciences	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	N/A	N/A	N/A	N/A	Meets Expectations	Approved	N/A
Biological Sciences	Meets Expectations	Meets Expectations	Falls to Meet Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Approved	Acceptable
Environmental and Plant Biology	Exceeds Expectations	Exceeds Expectations	Meets Expectations	Meets Expectations	Exceeds Expectations	Meets Expectations	Exceeds Expectations	Meets Expectations	Meets Expectations	Exceeds Expectations	Meets Expectations	Exceeds Expectations	Approved	Outstanding
Geological Sciences	Exceeds Expectations	Exceeds Expectations	Falls to Meet Expectations	Meets Expectations	Exceeds Expectations	Meets Expectations	Exceeds Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Meets Expectations	Approved	Acceptable
History	Exceeds Expectations	Exceeds Expectations	Falls to Meet Expectations	Exceeds Expectations	Exceeds Expectations	Meets Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Approved	Outstanding
Physics and Astronomy	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Meets Expectations	Exceeds Expectations	Meets Expectations	Meets Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Exceeds Expectations	Approved	Outstanding



Interoffice Communication

June 4, 2002

TO: Gitanjali Kaul, Associate Provost for Academic Assessment and Institutional Research, Cutler 308

FROM: Margret Appel, Chair, University Curriculum Council, Pilcher 202

RE: Academic Assessments

Enclosed please find the final copy of the following academic assessments completed by University Curriculum Council during academic year 2001-2002.

- Associate in Arts and Associate in Science
- Biological Sciences
- Environmental and Plant Biology
- Geological Sciences
- History
- Physics and Astronomy

MA:jsc

Enclosures

cc David Descutner, Dean, University College, w/encl.
Leslie Flemming, Dean, College of Arts and Sciences, w/encls.
Kathy Krendl, Dean, College of Communication, w/encl.

Mrs. Ong presented and moved approval of the resolution. Mr. Snyder seconded the motion. All voted aye.

REVIEW OF CENTERS AND INSTITUTES

RESOLUTION 2002 - 1848

WHEREAS, the continued review of academic programs is essential to the maintenance of quality within an educational institution, and

WHEREAS, Ohio University has had for many years a rigorous program of internal review.

WHEREAS, Section 67 of House Bill 694 provides for the review and evaluation of all programs of instruction conducted by state institutions.

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University accepts the 2001-2002 Reviews of Centers and Institutes, which recommend that the following centers and institutes be continued, discontinued, or granted extensions to the review period as noted:

Center for Intelligent Chemical Instrumentation - Continue
Institute for Democracy in Education - Continue
Scripps Survey Research Center - Continue
T. Richard and Eleanora K. Robe Leadership Institute - Continue

Ohio Research Institute for Transportation and the Environment – Extension
O.U./Tsinghua University Institute for Genetics and Biotechnology – Extension

Institute for Health & Human Services – Discontinue



Office of the Vice President for Research
Research & Technology Center 120, Athens OH 45701-2979

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DATE: August 15, 2002
TO: Robert Glidden, President
FROM: Jack Bantle, Vice President for Research *Jack Bantle*
SUBJECT: Review of Centers and Institutes – 2001-2002

Reviews conducted during 2001-2002 included:

Center for Intelligent Chemical Instrumentation
Institute for Democracy in Education
Institute for Health & Human Services
Ohio Research Institute for Transportation and the Environment
O.U./Tsinghua University Institute for Genetics and Biotechnology
Scripps Survey Research Center
T. Richard and Eleanora K. Robe Leadership Institute

Attached are reports of these reviews with a brief summary and, in some cases, requests for extension of the review period. I concur with the recommendation associated with each reviewed Center or Institute. I suggest that these recommendations be presented to the Board of Trustees for their action at their September meeting.

bwc
Enclosures

REVIEW OF CENTERS AND INSTITUTES 2001-2002

COLLEGE OF ARTS AND SCIENCES

Center for Intelligent Chemical Instrumentation: The Center facilitates the development of intelligent chemical sensing technology based on the synergistic use of state-of-the-art methods of chemometrics with novel techniques in optical spectroscopy, mass spectrometry, separation science, and electrochemistry. The Center also facilitates collaborations between Ohio University and industrial, governmental, and academic research laboratories in the area of intelligent chemical sensor design. Through its support for faculty, graduate, and undergraduate research activities, the Center seeks to enhance the research productivity and prominence of Ohio University. Dean Flemming recommends continuation of the Center. Vice President Bantle supports the recommendation for the continuation of the Center for Intelligent Chemical Instrumentation.

COLLEGE OF COMMUNICATION

Scripps Survey Research Center: The Center serves students, faculty, the journalism and mass communication professions, and the public as a public opinion research center. It also assists in the conception of studies, preparation of questionnaires, preparation of the computer-assisted programming necessary to conduct studies and the compilation and distribution of results. The Center also assists in data analysis. Dean Krendl recommends continuation of the Center. Vice President Bantle supports the recommendation for the continuation of the Scripps Survey Research Center.

COLLEGE OF EDUCATION

Institute for Democracy in Education: The IDE is a partnership of teachers, administrators, parents and students who believe that democratic school change must come from those at the heart of education. Institute promotes educational practices that provide students with experiences through which they can develop democratic attitudes and values. The Institute works to provide teachers and others committed to democratic education with a forum for sharing ideas with a support network of people holding similar values, and with opportunities for professional development. Dean Heap recommends continuation of the Institute. Vice President Bantle supports the recommendation for the continuation of the Institute for Democracy in Education.

RUSS COLLEGE OF ENGINEERING AND TECHNOLOGY

Ohio Research Institute for Transportation and the Environment: The Director of the Institute requests a one-year extension for the review and also requests the five-year review of the Ohio Research Institute for Transportation and the Environment (ORITE) and its entities take place as one review instead of separate reviews of each of the ORITE entities. ORITE encompasses the Center for Geotechnical and Environmental Research and the Center for Pipe and Underground Structures. The review of ORITE and its entities will take place in 2003. Dean Irwin concurs with the request to consolidate the reviews and a one-year extension. Vice President Bantle supports this request.

T. Richard and Eleanora K. Robe Leadership Institute: The Institute designs and initiates programs to help selected undergraduate and graduate students reach beyond professional competence and extend their aspirations toward important leadership roles. The objective is to inspire those with leadership potential to acquire knowledge and skills that can help them advance to the forefront of professional practice. Interim Dean Mitchell recommended continuation of the Institute and Dean Irwin concurs. Vice President Bantle supports the recommendation for the continuation of the T. Richard and Eleanora K. Robe Leadership Institute.

COLLEGE OF HEALTH AND HUMAN SERVICES

Institute for Health & Human Services: Based on the recommendations of the Institute Director and the Review Committee, Dean Neiman recommends discontinuance of the Institute. Vice President Bantle supports the recommendation for the discontinuance of the Institute for Health & Human Services.

VICE PRESIDENT FOR RESEARCH

O.U./Tsinghua University Institute for Genetics and Biotechnology: The Director of the Institute requests a one-year extension. The agreement between Tsinghua University and Ohio University expired after five years. Ohio University needs time to prepare a new model for future cooperation. Vice President Bantle supports this request.



Interoffice Communication

Date: May 31, 2002
To: Jack Bantle, Vice President for Research
From: Leslie A. Flemming, Dean, College of Arts and Sciences /LAF
Subject: Five-Year Review of the Center for Intelligent Chemical Instrumentation

I am pleased to submit and endorse the recommendations, made by the review committee, for continuation of the Center for Intelligent Chemical Instrumentation (CICI) with continued support at its current level.

The five-year review committee consisted of four Ohio University faculty members and one outside researcher from a company laboratory. All members of the review committee are active researchers. The enclosed review materials show that the process was thorough.

I express my appreciation to the full review committee, and especially the chair of the committee, Professor Charlotte Elster, Physics and Astronomy, for their thoughtful report, which contains due praise for the considerable accomplishments of the CICI during the past five years and constructive suggestions for the future.

cc: Gary W. Small, Director, Center for Intelligent Chemical Instrumentation
Charlotte Elster, Physics and Astronomy, Chair of the review committee
Review Committee Members:
Douglas Goetz, Chemical Engineering
Winfried Just, Mathematics
Donald Miles, Biological Sciences
Willem Windig, Imaging Research and Advanced Developing, Eastman Kodak

Ohio University

Department of Physics and Astronomy

Date: May 16, 2002

To: Leslie A. Flemming, Dean, College of Arts and Sciences

From: Review Committee:

Charlotte Elster (Chair), Physics and Astronomy

Douglas Goetz, Chemical Engineering

Winfried Just, Mathematics

Donald Miles, Biological Sciences

Willem Windig, Eastman Kodak Company



Subject: Five-Year Review of the Center for Intelligent Chemical Instrumentation (CICI)

This report constitutes the second five-year review for the Center for Intelligent Chemical Instrumentation (CICI). The following information serves as the basis for this report:

- (a) A Self-Study Report for the Center for Intelligent Chemical Instrumentation by the Center Director, Prof. Gary Small (March 25, 2002).
- (b) Supplemental Information for the Five-Year Review provided by the Center Director (April 26, 2002) as requested by the Committee.
- (c) Verbal Information supplied to the Committee by the Center Director during the Review Meeting on April 30, 2002.

Executive Summary

The Review Committee reviewed the Self-Study and the Supplementary Information provided by the Center Director and conducted an extended meeting with Prof. Small on April 30, 2002. The findings of the Committee are summarized in the following report. Special consideration is given to the following aspects:

- (1) Evaluation of the current viability of the Center
- (2) Evaluation of potential future viability
- (3) Evaluation of current and future funding strategies
- (4) Recommendation regarding the continuation of the Center

As a result of the review process, the Review Committee recommends that the Center for Intelligent Chemical Instrumentation be continued with support at the current level. The Committee strongly welcomes and supports the efforts of the Department of Chemistry and Biochemistry to hire a new faculty member who will also be a member of the Center.

The Committee recommends that the Center increase its visibility, e.g. through improved Web representation and presence as well as through some selected outreach activities.

The Committee shares the Center's concern about the difficulty in attracting quality graduate students and recommends that the Center develop a more aggressive recruiting strategy for high-quality students.

(1) Evaluation of the current viability of the Center for Intelligent Chemical Instrumentation (CICI)

The Committee finds the Center for Intelligent Chemical Instrumentation (CICI) to be an active and viable contributor to the research and academic mission of Ohio University.

The Center for Intelligent Chemical Instrumentation (CICI) was formally established by the Ohio University Board of Trustees on April 3, 1992. Current faculty participants in the CICI include Dr. G. Small (Professor of Chemistry and Director of CICI), Dr. P. Harrington (Professor of Chemistry), Dr. H. Dewald (Professor of Chemistry), and Dr. B. McCord (Associate Professor of Chemistry). During the past five-year period the deceased Dr. A. Andrews was a member of CICI. The Department of Chemistry and Biochemistry is presently conducting a faculty search to hire a potential new member of CICI.

The development as well as the current viability of CICI can be assessed by standard measures of research and academic productivity. Those standard measures include the number of patents, publications in refereed journals, invited talks and contributions to conferences, number of Ph.D. and MS degrees granted, and external funding requested and received. The Center's research productivity is listed in Table I of the Self-Study and shall be summarized here. During the last five years, CICI obtained 3 patent awards, published 105 manuscripts in refereed journals and made 205 contributions to conferences and meetings. The researchers of the Center obtained \$1.967 million in total funding. A comparison of the number of funded proposals to the ones submitted reveals that 34% of the submitted proposals received funding. The Center's funding portfolio is distributed over the following categories: Federal funding 76%, Industrial funding 17%, State funding 5%, and University funding (competitive proposals) 2%. This portfolio shows a good distribution of funding sources.

The Center for Intelligent Chemical Instrumentation also actively contributed to the educational mission of Ohio University. During the past five years, 27 students obtained their degrees with researchers of the Center, 14 of whom earned a Ph.D. The names of those graduate students appear on 57 (54%) of the 105 publications in refereed journals. The Center should be commended for its policy of using Institute funds to allow graduate students to present their research at conferences. Currently, 14 graduate students work on research associated with CICI.

(2) Evaluation of potential future viability

A past review of doctoral programs in the State of Ohio conducted by the Ohio Board of Regents resulted in the designation of two focus areas for the doctoral program offered by the Department of Chemistry and Biochemistry at Ohio University: "*Chemical Analysis and Structure*" and "*Chemistry of Biological Systems and Processes.*" The Center for

Intelligent Chemical Instrumentation falls within the first area of focus, thereby making it an important part of future doctoral research within the Department of Chemistry and Biochemistry. Concerning the research topics and the increased needs for intelligent instruments, the Center is well posed for future challenges.

Currently the Center consists of four members; however, one of them will be taking an administrative position in the College of Arts and Sciences. The Director of the Center reported to the Committee that the Department of Chemistry and Biochemistry is presently conducting a new faculty search focused on hiring a faculty member who will be suited to become a member of CICI. This action will insure that the number of faculty researchers in the Center will remain at four, a number being mentioned by the Center Director as being the critical minimum mass for a productive research future for the Center. During the meeting, the Center Director expressed that it would be desirable for the Center to expand beyond the Department of Chemistry and Biochemistry, possibly with new members from the College of Engineering. The Committee views this possible expansion of the Center as positive and recommends effort in this direction.

The Committee shares the Center Director's concern about the difficulty of attracting high-quality graduate students to Ohio University and recommends more aggressive recruitment and retention of such students. The Committee also feels that the Center could enhance its visibility, and as such its viability, by creating a more prominent electronic presence through improved web pages and possibly sponsoring symposia and/or workshops at national or regional meetings. Providing or co-sponsoring workshops (also for industry) can serve to enhance the reputation of the Center and help forge long-term associations with colleagues from other institutions and make key industrial ties. The increasing interest of industry in chemometrics courses should be explored as a possible avenue of increasing industrial ties.

(3) Evaluation of current and future funding strategies

The Review Committee does not anticipate significant changes in the cost/benefit ratio over the next five-year period. The hiring of a new faculty member has the potential of increasing the Center's external funding.

The Center currently carries no debts. Its fiscal management has been very responsible over the last five-year period, leaving a reasonably comfortable financial cushion in the Center's account. The Center's largest single expense during the past five-year period was the support of graduate student travel, which was very positively received by the Committee. The Committee also suggests that in future years the Center may want to consider a more aggressive use of Center funds in recruiting and retaining high-quality graduate students.

(4) Recommendation regarding the continuation of the Center

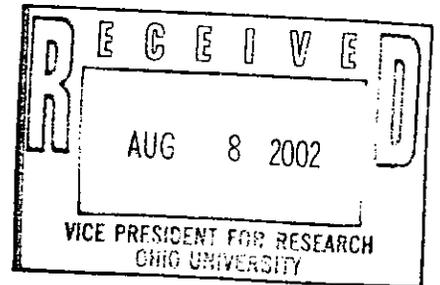
As a result of the Review Process, the Review Committee unanimously recommends that the Center for Intelligent Chemical Instrumentation be continued with support at its current level.

The Committee recommends that the Center increase its visibility, e.g., through improved Web representation and presence as well as through some selected outreach activities. These outreach activities may include colleagues within Ohio University, at other institutions, and in the industrial community.

Ohio University

College of Communication
Ohio University
Radio-TV Communication Building
Athens, Ohio 45701-2979

Office of the Dean



August 7, 2002

TO: Jack Bantle, Vice President of Research
FROM: Kathy A. Krendl, ^{WAK}Dean
RE: Scripps Survey Research Center

I am writing in response to the five-year review of the Scripps Survey Research Center. As Professor Stempel notes in his cover letter, the Center recently received an award of \$100,000 from the Scripps Howard Foundation to support its efforts in conducting surveys and making the data immediately available on a Web site. This innovation promises to bring significantly more visibility to the Center. In addition, Professor Stempel has now assumed the director's role and already the Center has generated external funding for survey work. He has also opened negotiations with a number of other potential clients. In short, the Center is experiencing a re-birth under Professor Stempel's leadership, and I am optimistic that it will become a vital research tool to scholars across campus.

Thus, I support the Review Committee's recommendations to encourage greater use of the Center for undergraduate instruction. A new General Education course on reasoning would seem a logical step in the direction of integrating it as an instructional resource. I also support the idea of a state-wide survey involving faculty and graduate students from across the campus. Furthermore, because Professor Stempel is retired, we need to address the need for a permanent director of the Center who would be qualified to teach in the area of survey research, as well as encourage others to use the resource as an instructional and research tool. More visibility for the Center on the local and national levels will be essential to its success, so recommendations to promote its use by faculty, as well as opportunities to link with other survey centers across the country, are also important recommendations to pursue.

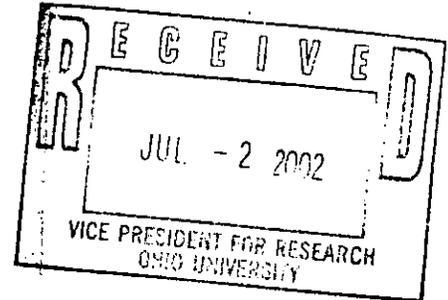
Guido H. Stempel III
Distinguished Professor

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614-593-2592 fax



OHIO UNIVERSITY

July 1, 2002



Dr. John A. Bantle
Vice President for Research
120 Research & Technology Building
Campus

Dear Dr. Bantle:

Enclosed is the report of the committee that did the five-year review of the Scripps Survey Research Center. In addition, there is a report that Thomas Hodges, director of the center for the past two years, prepared and a background paper I prepared for use of the review committee.

I am delighted to report that in the interim since the committee met we have received notification from the Scripps Howard Foundation that they will provide \$100,000 in funding so that we can pursue putting the center on the web. They are giving us \$40,000 for the current year and \$30,000 for each of the next two years. In addition to Bob Stewart, the School of Journalism's web master, we will have the help of Robert Benz, general manager for interactive media for Scripps Howard and their web expert, and Thomas Hargrove, the survey expert of the Scripps Howard News Service.

Sincerely,

A handwritten signature in cursive script that reads "Guido H. Stempel III".

Guido H. Stempel III
Director
Scripps Survey Research Center

Report of Review Committee for Scripps Survey Research Center

Members of the Committee: Daniel Riffe, Ann Tickamyer and Guido H. Stempel III

The committee notes with approval the progress made by the Scripps Survey Research Center (SSRC). The center was authorized in 1997, but actually went on-line in June 1998. The attached report indicates the activity of the center.

The committee makes these recommendations:

- 1) The initial mission statement for the center indicates that a primary use is to be for undergraduate instruction. There has been such use on a limited basis, but greater opportunity for such use needs to be provided.
- 2) Short-term use by faculty needs to be facilitated. An effort needs to be made to reach faculty in such areas as political science, sociology, health administration, education, and marketing. This may require additional funding.
- 3) We suggest creating a course cross-listed in several departments that will have as its focus the creation and completion of a state-wide survey annually. Part of this would involve soliciting from faculty in the entire campus ideas to be included in the survey. We would anticipate that this would produce several publishable manuscripts in various academic areas.
- 4) Expanded activities will create a need for a full-time technician in the near future.
- 5) There will be need for a permanent director with an academic home somewhere in the College of Communication. This person would be director half-time and would teach in the appropriate school half-time.
- 6) We recommend making startup funds available to enable young faculty to make use of the SSRC.
- 7) The SSRC should look long term to cooperating with survey centers at other Universities. The plan to put data and results in a web site should help such an effort.

Center/Institute:
Director:

Scripps Survey Research Center
Thomas E. Hodges, Jr.
E.W. Scripps School of Journalism
College of Communication

Affiliated Faculty:

01-02

Jack Bantle, VP Research
Thomas Hargrove, White House correspondent Scripps
Howard News Service, Washington D.C. Bureau
Dan Riffe, E.W. Scripps School of Journalism, COMM
Guido Stempel, Emeritus, E.W. Scripps School of Journalism,
Ann Tickamyer, Sociology
(see attached list for faculty associated with the center from 1996 –
2000)

Mission:

The Scripps Survey Research Center serves students, faculty, the journalism and mass communication professions, and the public as a public opinion research center. It can, and does, assist in the conception of studies, preparation of questionnaires, preparation of the computer assisted programming necessary to conduct studies and the compilation and distribution of results. The center also can assist in, or arrange for data analysis.

Future Activity:

In addition to our on-going studies, e.g. the Scripps Howard News Service- Ohio University poll, the center will: attempt to broaden its base of support among academics, but especially from the journalism and mass communication professions with such services as fast turn-around public opinion surveys for television news programs, especially in smaller-market cities; to attract additional market-based studies such as hospital needs in Appalachia; and to attract additional studies from academics at OHIO and other universities in the region.

Faculty Associated with Center

98-99

Joe Bernt, Scripps School of Journalism
Carol Blum
Phillip Campbell
Michael Finney
Ashok Gupta
James Heap
George Johanson
Norma Pecora
Thomas Reid, Communication Network Services
Dan Riffe
Ann Tickamyer
Michael Williford, Institutional Research

00-01

Jack Bantle
Phillip Campbell
Michael Finney
Ashok Gupta
George Johanson
Anita James, Interpersonal Communication
Robert Owens
Norma Pecora
Thomas Reid, Communication Network Services
Jeanne Steele
Ann Tickamyer
Michael Williford, Institutional Research

99-00

Jack Bantle
Joe Bernt
Phillip Campbell
Michael Finney
Ashok Gupta
George Johanson
Anita James
Robert Owens
Norma Pecora
Thomas Reid
Ann Tickamyer
Michael Williford, Institutional Research



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To: Jack Bantle, VP for Research

From: James Heap, Dean

Date: 12.viii.02

Re: Recommendation regarding IDE

I have read the report of the Institute for Democracy in Education Review Committee and on the basis of the report and the IDE Self-Study I recommend continuation of IDE "center" status at Ohio University. Over the past five years the Institute has well served its primary mission of promoting educational practices supportive of democracy and social justice in education. I commend and congratulate the Director and faculty who have been involved in continuing the work and legacy of IDE since its recognition as a center at Ohio University in 1997.

In response to IDE's statement of three strategic goals for the coming years, I suggest that the leadership establish timelines and measures that will allow the Institute to demonstrate success in meeting its three goals.

In response to the Review Committee's recommendation that College support for IDE be increased so that the current part-time administrative assistant position can become a full-time position, I have to say that the College has provided support for IDE at three to five times the level of support provided other centers in the College. When I took up the position as Dean in 1998 I was informed that centers in the College were to move toward financial self-sufficiency. In real dollars, centers have had to make do with less, as their budgets have been flatlined since 1998.

The Review Committee did not report on the income stream to IDE from its members, subscriptions for *Democracy & Education*, and registration fees from IDE conferences. In the absence of such information, and in view of the Review Committee's report that the tangible accomplishments of the Institute are modest, I do not believe the case has been made for increasing resources. There has been a problem of secretarial turnover, but it is not obvious that such turnover is related to the status of the position as part-time. Further, many of the benefits which the Review Committee sees as deriving from moving to a full-time administrative assistant position connect with improved and increased record-keeping. While this function is important, it seems more pressing for IDE to generate revenue.

On the topic of income generation, I laud the IDE Director for identifying as the Institute's third strategic goal a focus on a research-supported project. This initiative has the potential of both supporting the infrastructure needs of IDE and ensuring that the work of the Institute has a much wider and deeper impact on public education than we have heretofore seen. I disagree, then, with the Review Committee that the goal of beginning to focus on a research-supported project may be premature. Being one of the few colleges with a grants administrator on staff, and having productive, creative faculty affiliated with IDE, I think the time is right for focused discussions through the IDE network about a research project that will well serve teachers, students and parents in a time of tremendous challenge to public education and its civic commitments. The Dean's Office would be willing to support well-planned efforts to meet the third strategic goal of IDE in the context of the Institute's movement toward self-sufficiency.

In conclusion, I reiterate my recommendation that the Institute for Democracy in Education be continued as a center at Ohio University. The Institute has demonstrated its value. Its goals support its mission and have the potential of enhancing the national impact of IDE through local efforts throughout the state, the nation, and beyond.

c.c. J. Hutchinson, G. Johanson

SELF-STUDY REPORT
THE INSTITUTE FOR DEMOCRACY IN EDUCATION
 College of Education, Ohio University

A. SUMMARY SHEET

Center/Institute: The Institute for Democracy in Education (IDE)

Current director: Jaylynn N. Hutchinson, Director
 Department of Educational Studies, College of Education

Affiliated faculty:

- W. Stephen Howard, Educational Studies and director of the African Studies program, COE and A&S
- Najee Muhammad, Educational Studies, COE
- Rosalie Romano, Teacher Education, COE
- Norma Pecora, Telecommunications, A&S
- Joette Weber, Adjunct, Teacher Education, COE
- Polly Sandenburgh, Adjunct (also International Studies), COE & A&S

Mission statement:

IDE is a partnership of all participants in the educational process – teachers, administrators, parents, and students – who believe that democratic school change must come from those at the heart of education.

IDE promotes educational practices that provide students with experiences through which they can develop democratic attitudes and values. Only by living them can students develop the democratic ideals of equality, liberty, and community.

IDE works to provide teachers and others committed to democratic education with a forum for sharing ideas with a support network of people holding similar values, and with opportunities for professional development.

Summary plans for next five years/emphasis on new areas:

In addition to our on-going activities, the Institute will (1) engage in efforts to increase membership/subscriptions, (2) develop the national presence of the student organization as a means of continued growth among new teachers, and (3) focus on several research-supported projects related to the field of democratic education.

Summary of external & internal funding for the previous five years:

Source	Awards from 1997 - 2002
External Grants/Contracts	NLU Collaboration: \$106,560 (4 years) plus in kind support for editor (release time) PACE Grant: \$1800 (2001-02) was awarded PACE Grant again for 2002-03
Internal Grants/Operating	OU COE: \$118,401 (classified staff portion usually under spent and returned to College)
Total	\$226,761

Final Report
Five-Year Evaluation
Institute for Democracy in Education
August 2002

The Institute for Democracy in Education (IDE) Review Committee was convened by James Heap, the Dean of the College of Education on February 19, 2002. The committee members were Lani Banner, graduate student in the Department of Educational Studies, Bob Maher, teacher and founding member of IDE, Josep Rota, Director, Center for International Studies at Ohio University, Ginger Weade, Professor of Education and Director, Center for School/University Partnerships and George Johanson, Professor of Education, Department of Education Studies, and Chair of the IDE Review Committee.

The Self-Study Report (appendix A) was made available to the committee in mid-March. The committee was charged by Dean Heap with a five-year review of the IDE. We soon determined that additional information was desired and individual committee members requested the same from a variety of sources. Supplementary data requested from the IDE Director (appendix B) were received on May 31, 2002. Some data requested of others were not returned for the committee's review. The committee met on three occasions and has worked most recently electronically.

Background Information

The Institute for Democracy in Education in the College of Education at Ohio University is an official *Center* within the Department of Educational Studies and has roots in an initial study group of Athens County teachers convened by George Wood, a former faculty member in the College of Education, in 1984. The Institute for Democracy in Education was formally established the following year, 1985. IDE was approved as a *Center* in the College of Education in 1997. A former director of IDE, Jean Ann Hunt, is currently employed at National Louis University in Chicago. National Louis now fully supports the publication of the official journal of the Institute, *Democracy & Education*, while the College of Education at Ohio University supplies office space and supports the director and a half-time secretary. The current Director of the Institute for Democracy in Education is Jaylynn Hutchinson, Associate Professor in the Department of Educational Studies at Ohio University.

When asked about prior IDE evaluations, Jaylynn responded:

At most, IDE has engaged in a very informal type of self-evaluation activity over the past 5 years. When former IDE director Jean Ann Hunt was here in 1996 and 1997, the IDE Advisory Board was active and would hold monthly (then quarterly) dinner meetings. One purpose of those meetings was to engage the Board in a discussion of activities, goals and programs for IDE. We do not have minutes of those meetings as they were informal discussions. In the following years, the Board has ceased to function in any capacity at all, by individual self-choice and changing professional and personal situations. (Memo to Review Committee on May 31, 2002)

Mission and Objectives

From the IDE Self-Study Report, the *mission statement* of the Institute is:

IDE is a partnership of all participants in the educational process – teachers, administrators, parents, and students – who believe that democratic school change must come from those at the heart of education.

IDE promotes educational practices that provide students with experiences through which they can develop democratic attitudes and values. Only by living them can students develop the democratic ideals of equality, liberty, and community.

IDE works to provide teachers and others committed to democratic education with a forum for sharing ideas with a support network of people holding similar values, and with opportunities for professional development.

We seek to promote responsibility, reciprocity, and justice in our democratic community through education. We invite all who would like to join us in this work to participate in this organization so that student and teacher lives can flourish more fully within our schools.

IDE continues to evolve as part of the progressive education movement, with its roots grounded in the educational theory of John Dewey. As progressive educators have continued to research and practice, the Institute embraces the work of more contemporary theorists such as Paulo Freire and others.

More specific objectives of the IDE include the publication of *Democracy & Education*, hosting an annual national conference (convened annually at Ohio University since 1988), the use of technology such as the IDE web site (www.ohiou.edu/ide), maintaining national visibility through a network of regional offices that currently numbers more than 20, and convening forums each year in various locations.

Strategic Goals

The following goals were identified by the Institute in their Self-study Report:

1. Engage in efforts to increase membership/subscription in the organization.
This will be carried out through the following means:
 - a. Work with the new administrative assistant on a vibrant renewal campaign for lapsed members.
 - b. Have our Pace student continue efforts at outreach to include contacting university libraries and progressive K-12 schools for membership & subscription throughout the country.

- a. Have our Pace student begin contact with local, regional and state districts and individual schools, as well as local social justice organizations to encourage membership/subscription.
 - b. Improve web site information and availability so that those who visit are more disposed to contact us.
2. Develop an effort to empower the student organization arm of IDE so it may have a national presence as well.
 - a. Develop a plan with local leaders of the student IDE organization and the contingency of students from Antioch-Yellow Springs with whom we are already affiliated.
 - b. Provide a significant space for students to have “voice” at the annual conference, and provide them the opportunity either to guest-edit a journal or a newsletter once a year.
3. Begin to focus on a research-supported project related to the broadly conceived field of democratic education.
 - a. With permission, advertise for the IDE G.A. position for the Ph.D. program in order to support a Ph.D. student with an interest in researching an aspect of democratic education.
 - b. Have the administrative assistant and the G.A. make an effort to seek applicable grants that could potentially support a visiting research/teaching fellow in the area of democratic education.

Observations and Recommendations Concerning the Strategic Goals

In reference to these goals, the IDE Review Committee makes the following observations and recommendations:

Strategic Goal #1: Engage in efforts to increase membership/subscription in the organization.

Strategic Goal #1 is quite specific. At first glance it can appear to be only indirectly related to the Mission of IDE. On closer inspection, the committee has observed that Strategic Goal #1 is a reasonable objective, especially in light of decreasing membership reported by the Director.

We have slightly over 500 official members at this time. This number is down from approximately a high of 650 over the past five years. This amount is down primarily due to a lapse in office support staff activity in seeking renewals. We are currently in the process of updating renewals, as well as outreach and see a very positive trend in returning memberships, as well as new memberships as we reach new audiences. (Memo to Review Committee on May 31, 2002)

Certainly the decision to support a web site for the Institute and the effort to enhance the presence of the Institute on the web is desirable and should work to increase membership as well as serve current members. The professional affiliations of the current members are not all known, the Director indicates that there may be nearly equal numbers of university faculty, K-12 teachers, and university students. This would seem to be somewhat of a shift from an earlier composition of mostly K-12 teachers. It is not clear whether this is either a purposeful or desirable alteration of membership composition, but it would seem to be a significant trend. We would recommend that IDE make a concerted effort to both identify membership affiliations and to carefully consider what sort of composition might best enable the Institute to fulfill its mission.

Members of IDE currently receive a subscription to the Institute's Journal, Democracy and Education, as one of the benefits of membership. In addition, 2000 copies of each issue are also circulated to National Louis University's Interdisciplinary Studies Program (at NLU's expense) for use in their master's degree program. This increased circulation is clearly useful for several reasons and may also serve to enhance membership. To determine whether this is in fact happening, the Institute might include an additional item on their membership application form that asks new members how they came to know of the IDE. Such an item could possibly serve to identify currently unknown avenues to membership and would likely allow the Institute some insight into which means of recruitment are currently most and least effective.

Communication with several individuals at regional offices of the IDE resulted in the following positive response to a question concerning accomplishments of the Institute over the past five years:

I believe persisting over this period with the variety of activities that IDE has sponsored is very significant, and the reach of the Institute activities within the spectrum of its activities and functions is notable as well. I believe that IDE is known in progressive, critical, democratic, and social justice circles nationally and abroad by many people devoted to the same ideals and purposes. It is an ongoing source of good ideas, resources, and networks of contact and communication. I regularly read the journal, ensure that it is available in our university library, and mention IDE as a place to check with to the various communities of educators and citizens with whom I am in contact.

The Institute clearly has made a significant impression on the thinking of this educator. The same individual commented on activities and directions of the Institute to be encouraged:

I believe the journal, web site, and listserv are very valuable. Annual conferences, forums, special affinity groups, and other events are probably more local and regional in nature and are, in my view, more at the discretion of the folk primarily associated with IDE and Ohio University. I believe that IDE may well consider taking a leadership role in some national issue for targeted periods of time, such as a two-three year campaign for eliminating high-stakes testing, or promoting democratic school restructuring around "small" personalized schools, or seeking to end the social divide, cultural marginalization, and intellectually restrictive practices too often associated with computing and telecommunications technology in schools.

In responding to a question of how the work of IDE makes a difference for democratic education, the respondent commented:

IDE has certainly influenced myself, other teacher educators, teachers, students, and parents with ideas and inspiration around fundamental aims of democracy, justice, and caring. I have known teachers, especially, who have taken examples of democratic primary classrooms and reorganized their own classrooms. Others who have participated effectively in school restructuring efforts with guidance from IDE publications and contacts, and struggled to bring multicultural and social justice perspectives into their middle school social studies and integrated social studies/language arts curricula. I believe, too, that the increasing emphasis in IDE projects over the last several years on social and economic justice in schools and multicultural democracy has helped situate IDE more squarely in the social reconstructionist tradition as well as the personal development tradition of the history of American democratic progressive education.

Such views on the past, current, and future impact of the Institute for Democracy in Education are clear testimonials to its positive impact and effectiveness. However, another respondent from a regional office was somewhat less enthusiastic:

I assumed that I would receive communications directed to regional offices—perhaps suggesting activities or talking about what other regional offices were doing. None of that has occurred. I'm sure financial considerations have been the main reason.

With respect to membership and support this same person commented:

Despite some inconsistency in quality among its articles, I find the journal worthwhile and some of its articles inspiring. I look forward to receiving it. I don't know, however, whether my membership and subscription have expired. I've felt rather disconnected from IDE, though not alienated...

A forum, support network, and opportunities for professional development are important parts of the mission. The journal is a forum, but an electronically facilitated community would seem to be equally useful as a forum and support network. I have not felt that network. If professional development occurs only once a year, that is worrisome.

We note, however, that our correspondence ended on very positive note:

IDE has been a source of inspiration. It is potentially important as a forum, support network, and professional development source for educators, aspiring educators, and perhaps for academics.

A seemingly common strategy for renewing lapsed members is to send a letter (with or without a complimentary journal issue) that invites renewal and, if declined, requests a reason for

a decision to non-renew. IDE might consider this or a similar approach as a starting point for the renewal of its lapsed membership. Pointing prior members to the IDE web-site and having easy membership application available there might also be effective.

A main obstacle to many of these efforts toward renewal would be the staffing currently available to IDE. The current director receives a stipend, but no release time for her IDE duties. She has clearly indicated that this is a significant limitation. In addition, there is no full-time administrative assistance. Finally, there would appear to be quite frequent turnover in the part-time position. The current administrative assistant has indicated she is leaving. Release time for the director may be more desirable than a stipend. Also, a full-time assistant would go a long way to enhancing the effectiveness of many of the current and future IDE initiatives. Further, the turn-over problem of the administrative assistant is undoubtedly compounded by the part-time nature of the position. Consequently, the IDE Review Committee recommends both a reasonable amount of release for the director and a full-time assistant.

Strategic Goal #2: Develop an effort to empower the student organization arm of IDE so it may have a national presence as well.

The committee has observed a reasonably strong overlap between the mission and goals of IDE, and an undergraduate teacher education program at Ohio University known as the CARE Partnership (Creating Active and Reflective Educators for Democratic Education). The CARE Partnership would therefore seem to provide a wonderful base from which to recruit membership in IDE, and a very important network link for supporting connections with students in undergraduate and graduate programs at other universities throughout the United States, if not internationally as well. The committee has also observed that the overlap in interests that connects IDE with the CARE Partnership, most notably in IDE-supported forums, conferences, projects, and other events held at Ohio University, are highly visible in some circles, and less visible in other circles (for instance, public and private schools in which teachers are practicing or would like to practice democratic education in their classrooms). Efforts to support increased participation in the CARE Partnership will also increase the pool from which IDE can recruit and renew its membership. This interest is not only key, but also strategic in relation to the Committee's recommendation that IDE focus recruitment efforts by determining what may be a more or less appropriate balance in the professional affiliations represented in its membership (see response to Strategic Goal #1, above). That is, members of the CARE Partnership who complete their teacher education programs, graduate, move into their initial years of professional practice, and who also sustain their membership and affiliations with the Institute, will be simultaneously increasing the number of K-12 teachers in IDE's membership profile. Graduates who sustain their affiliation with IDE will also be enhancing geographic representation of the membership profile as they distribute themselves in various urban, suburban and rural schools and communities, state-wide and beyond.

It would appear that, at this time, the only formal student base for IDE is at Antioch-Yellow Springs, located in south-central Ohio. Perhaps this location could be a nucleus or planning group for future expansion. Looking outside colleges of education may also provide additional student members (certainly students in, say, International Studies at Ohio University and other universities would seem to be a group that might well be interested in membership). The IDE Review Committee applauds the efforts of the Institute to give the student arm of IDE a national presence.

Strategic Goal #3. Begin to focus on a research-supported project related to the broadly conceived field of democratic education.

This is another worthwhile direction for the Institute. The committee has observed that it may be premature in that it will likely require more resources than the Institute currently has available.

Conclusion

In general, the Review Committee feels that the Institute for Democracy in Education is an important Center and a decided asset to the College of Education and Ohio University. While the more tangible accomplishments of the Institute are modest, it is also certainly true that resources play a key role. We recommend that the IDE consider creative partnerships with other centers and institutes at Ohio University. There would seem to be much common interest between IDE and selected projects within ILGARD, ABLE, and/or the Center for International Studies. IDE could bring local connections with important groups to already funded projects. In return, IDE might then be in a better position to begin a research agenda.

Perhaps the one single resource that would best enable the Institute to move forward on all of its goals and objectives would be a full-time administrative assistant. We feel that this would be a great advantage in terms of turnover and training. Additionally, there are several specific areas other than continuity that might be benefited by making this position fulltime. First, information on membership would likely be enhanced by having more time for record keeping activities. Second, recruitment and retention of members could be improved by the Institute having the resources to more effectively follow-up on inquiries, innovations, and problems. Third, additional assistance would enable the Institute to maintain more comprehensive and complete records concerning income sources and expenditures, certainly desirable for all efforts to enhance effectiveness. Fourth, there would appear to be some sentiment to maintain closer contact with members in regional offices. A full-time administrative assistant could assist with this. Finally, the effectiveness of any administrative assistant will surely improve when the person is able to remain in the position for a reasonable period of time.

Ohio University
Russ College of Engineering & Technology
Office of the Dean



DATE: August 9, 2002
TO: Jack Bantle, Vice President for Research
FROM: Dennis Irwin, Dean, Russ College of Engineering and Technology
SUBJECT: Five Year Review of ORITE

A handwritten signature in cursive script, reading "Dennis Irwin".

This memo is for the purpose of conveying my concurrence with Dr. Gayle Mitchell's request for:

1. The consolidation of reviews for the Ohio Research Institute for Transportation and the Environment (ORITE), the Center for Geotechnical and Environmental Research, and the Center for Pipe and Underground Structures into one review for ORITE, the rationale being that the centers are constituent parts of ORITE.
2. A one-year extension for the review of ORITE to Spring 2003.

If you have any questions, please contact me at 3-1479 or dirwin1@ohiou.edu.

Xc: G. Mitchell, Director, ORITE
J. Mitchell, Senior Associate Dean

Ohio University
Russ College of Engineering & Technology
**Ohio Research Institute for Transportation
and the Environment**



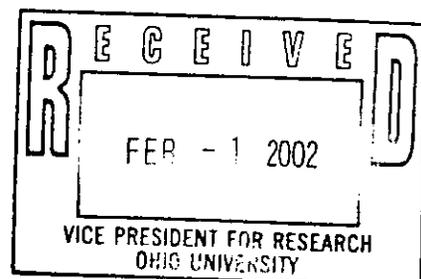
DATE: January 23, 2002
TO: Jack Bantle, Vice President for Research
FROM: *GFM*
Gayle F. Mitchell, Director, ORITE
SUBJECT: Five Year Review

This is to request that the five year review of the Ohio Research Institute for Transportation and the Environment (ORITE) and its entities take place as one review instead of separate reviews of each of the ORITE entities. ORITE encompasses the Center for Geotechnical and Environmental Research (CGER) and the Center for Pipe and Underground Structures (CPUS). The ORITE was sanctioned by the Board of Trustees in April of 1997. The last review of the CGER took place in 1998, and before that in 1993. Hence, the next review for ORITE should take place in 2003. Please advise if this request is acceptable.

Thank you for your attention to this matter.

GFM/hrs

cc: J. Mitchell, Interim Dean, RCENT



Ohio University
Russ College of Engineering & Technology
Office of the Dean



DATE: May 31, 2002

TO: Jack Bantle, VP for Research

FROM: Jerrel R. Mitchell, Interim Dean *JRM*

SUBJECT: Five-year Review of the Robe Leadership Institute

Attached you will find the report from the committee appointed to review the Robe Leadership Institute (RLI), along with a copy of the self-study report produced by the RLI. From reviewing the reports I make the following observations:

- The institute currently involves 2 faculty members (Drs. T. Richard Robe, Director and Jim Fales, Associate Director), and more than 50 students from six departments (Chemical Engineering, Civil Engineering, Electrical Engineering and Computer Science, Industrial and Manufacturing Systems Engineering, Industrial Technology and Mechanical Engineering) have participated in the Leadership Seminar in Engineering (ET 495/595) since 1997. The institute has an advisory board that is composed of faculty members from the five engineering departments, Industrial Technology, and the dean.
- Base budget support provided to the RLI is roughly \$2,000 per year for miscellaneous expenditures (leadership reading materials, videos, etc.) and the salary for the fall quarter for Dr. T. Richard Robe, the Director and Dean Emeritus.
- An endowment has been established to provide financial support so that the institute can grow and expand. The goal is for the endowment to have a net worth of \$1,000,000 that will be achieved through fund raising. As of June 30, 2001, \$376,000 had been raised. It is expected that the remainder will be raised before the end of the current fund raising campaign.
- In 1998 the college established the Loehr Leadership Resource Center that is located in Stocker 189. This room and Dr. Robe's office are the only space currently assigned to the RLI.
- Currently the institute has very capable leadership with Dr. Robe being Director and Dr. Fales being Associate Director. However, Dr. Robe will enter full retirement in 2004. Dr. Fales is eligible for retirement but has not made plans. The director of the RLI is the key to the future. Thus, replacing Dr. Robe will be an important step for assuring the continued success of the RLI. It is our belief that we can find a suitable person to assume the directorship of the RLI from the cadre of faculty members who are currently part of RCENT. This selection process for a new director will be initiated in the fall of AY 2004-05.

Without reservations, I recommend that the Robe Leadership Institute be continued as an institute at Ohio University.

SELF- STUDY

FIVE-YEAR REVIEW SUMMARY:

- a.) Institute Name: T. Richard & Eleanora K. Robe Leadership Institute
- b.) Director: Dr. T. Richard Robe
Dean Emeritus & Moss Professor of Engineering Education Emeritus
- Assoc. Director: Dr. James Fales, Loehr Professor and Chairman of Industrial Technology
- c.) Affiliated Faculty: The following faculty serve on the RLI Advisory Board
Dr. David Bayless- ME
Dr. Michael Braasch-EECS
Dr. Tingyue Gu-ChE
Dr. Lloyd Herman-CE
Dr. Robert Lipset-IMSE
Dr. Thomas Scott-IT
Dean Jerrel Mitchell- Ex-officio
- d.) Mission Statement: RLI provides a focal point in the Russ College of Engineering & Technology for understanding and promoting effective leadership with students, faculty and administrators of the College.
- e.) Abstract: Plans for Next Five Years
- The principal goal is to continue to expand the effectiveness and influence of RLI in the Russ College by continuing to improve and enhance the Leadership Seminar, the student senior leadership awards, and the faculty/staff leadership/service award. New initiatives will include expanding student participation through the introduction of select college-wide activities and lectures on leadership by nationally known speakers. The Institute's base endowment will be grown to prepare for an increased level of activity in the future for the benefit of the students and the faculty of the Russ College; the goal is to reach a total endowment of \$1 million with additional donations and/or pledges in the next five years. The eventual sponsorship of scholarships and a professorship is also envisioned.
- f.) Summary of Funding: The below table shows the non-salary expenditures for RLI from the endowment as well as the university during the first five years of the Institute's functioning. (Greater detail on the RLI endowment is shown in Appendix E.)

Fiscal Year	RLI Endowment Expenditures	Ohio U. Expenditures
1997-98	\$ 1,063.01	\$ 3,381.33
1998-99	\$ 5,801.68	\$ 1,957.21
1999-00	\$ 8,691.05	\$ 1,722.71
2000-01	\$ 6,427.21	\$ 1,794.80
2001-02	\$ 22,654.00 (available)	\$ 2,000.00 (budgeted)

Robe Leadership Institute
Russ College of Engineering and Technology
Five-Year Review Committee Evaluation & Recommendations

Executive Summary

The committee consisting of Herman "Butch" Hill, Gregory Kremer, Douglas Lawrence (Chair), and James Rankin has reviewed the Robe Leadership Institute (RLI) self-study document prepared by its director, T. Richard Robe, Dean Emeritus of the Russ College of Engineering and Technology (RCENT). The committee had follow-up contact with Dr. Robe to clarify several points in the self-study and also interviewed Ms. Lori Lewis, Assistant Dean for Development in the Russ College and Dr. James Fales, Associate Director of the Robe Leadership Institute.

The committee has concluded that the RLI has made great strides in its first five years of activity since being created in 1996 and becoming operational in 1997. Moreover, plans to further enhance and expand the RLI's activities hold great potential to provide an important dimension heretofore absent in traditional engineering curricula. However, in order to sustain the Institute's momentum and realize the identified improvements, various issues must be resolved that will require the coordination and cooperation of various stakeholders within the Institute and the Russ College.

Evaluation of Current Viability

Under Dr. Robe leadership, the Institute has been highly successful in meeting the initial charge set forth in 1997 by former RCENT dean Kent Wray:

1. Develop a mission statement and a set of objectives for the Institute;
2. Develop a 3 credit hour undergraduate course that presents the principles and examples of leadership from an engineering viewpoint;
3. Develop a cadre of successful speakers to speak to students in both formal and informal venues about the application of leadership principles to the practice of engineering;
4. Develop a leadership resource center or library;
5. Create a 5 to 10 member advisory board comprised of faculty and external members to provide oversight and guidance to the Institute and its activities;
6. Assist in increasing the endowment which supports the activities of the Institute.

The RLI's mission statement represents a well-conceived plan for raising awareness of the importance of effective leadership in professional practice, conveying the fundamentals of effective leadership, and encouraging students to develop leadership skills. The Leadership Seminar in Engineering (ET 495/595), offered for the fifth time in Fall 2001, has been very successful. The RCENT students selected to participate in the

seminar (“RLI Scholars”) have greatly benefited from an impressive list of speakers as well as resource material housed in the Loehr Leadership Resource Center located in 189 Stocker Center. The effectiveness of the seminar and the resource center is best measured by the support letters and course evaluations submitted by past RLI scholars, which are uniformly and highly positive.

The RLI Advisory Board is currently composed of six faculty members from the Russ College representing all departments except Aviation. Dr. Robe plans to selectively add members to the Board from outside the Russ College to achieve a broader perspective. The RLI Endowment, through contributions and investment earnings, has grown to a level (\$376k at the close of the 2001 fiscal year) that enables all non-salary operating expenses to be covered by endowment income funds.

The leadership awards sponsored by RLI further serve to promote and recognize leadership within the Russ College. Student Leadership Awards are awarded annually to a worthy senior in each department as selected by the RLI Advisory Board. In addition, one of the departmental awardees is selected to receive the Gerald Loehr Senior Leadership Award. The Leadership/Service Award recipient is selected by the Russ College’s Board of Visitors to recognize distinctive leadership and/or service contributions of a faculty or staff member.

The accomplishments cited above in relation to the original charge of the RLI indicate that the Institute is currently a viable operation. Moreover, the addition of an Associate Director position, currently held by Dr. Fales, in 1999 was a prudent step to help manage RLI operations during the periods when Dr. Robe is away from campus.

Evaluation of Potential Future Viability

Building upon the solid foundation developed over the first five years of operation, Dr. Robe has developed plans to enhance on-going initiatives and expand the scope of the Institute’s activities in order to reach a greater number of students. The latter is to be accomplished, in part, through college-wide activities such as open lectures, by assisting individual departments in incorporating leadership-related elements into team design projects, by interacting with Cutler Scholars in the college to enhance their experiences, and by working closely with the Russ College’s Ambassadors Program. These objectives indicate a strong potential for the RLI to make continued and expanded contributions to the Russ College in the near future.

However, various implications of Dr. Robe’s impending retirement must be resolved in order for the RLI to realize its full potential over the next five years. The selection of Dr. Robe’s successor as Director and the identification of resources required to support this position are important issues. In the long-term, this hinges on the ability to further grow the RLI endowment to a level sufficient to provide the salary component of an RCENT faculty member commensurate with the Director’s duties. Based on the committee’s understanding that Dr. Robe’s salary associated with his emeritus status, which currently supports the Director’s activities, will no longer be available upon his retirement, it will

become necessary to identify other resources to support the Director position until the RLI endowment reaches an appropriate target value.

Recommendations

Based upon the initial success of the Robe Leadership Institute over its first five year period and the potential to further benefit the students of the Russ College in the future, the committee strongly recommends that the Institute be continued for a second five year period. In order for the RLI to remain viable over this time, the issues raised above will require serious consideration by the Russ College administration and Board of Visitors, along with the RLI administration and Advisory Board. In particular, the committee recommends that these stakeholders work cooperatively to develop a plan in order to:

- Ensure that the next RLI Director is identified with adequate lead time to provide proper continuity;
- Coordinate independent efforts to grow the RLI endowment to an appropriate target value with on-going development efforts within the Russ College
- Identify intermediate sources of support to bridge the gap between Dr. Robe's retirement and when the RLI endowment reaches an adequate level.



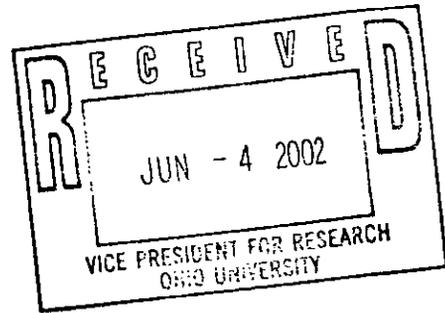
Office of the Dean

College of Health and Human Services
Grover Center W379
Athens OH 45701-2979

tel 740.593.9336
fax 740.593.0285
web www.ohiou.edu/healthandhuman

June 3, 2002

John A. Bantle II, Ph. D.
Vice President for Research
RTEC 120
Ohio University
Athens, OH 45701



Dear Jack:

I have reviewed the 2002 Self Study Report for the Institute for Health and Human Services as well as the report of the Review Committee (both enclosed). I commend Ann Teske, the Institute's Executive Director, for her work in preparing this report. I also wish to express my appreciation to the Review Committee for their diligence and care in conducting this review.

I concur with the recommendation of the Review Committee that the Institute be discontinued. The Institute for Health and Human Services can be lauded for its many accomplishments, most notably the development of an academic program in physical therapy, the establishment of Kids on Campus, and the development of two interdisciplinary academic certificate programs which are central to the College's mission. Much credit can be given to Ann Teske for these accomplishments. However, it is clear that the Institute, while originally established with a broad mission, has not developed a sufficient research focus to justify its continuation.

The College of Health and Human Services is committed to the continuation, expansion, and nurturing of the Kids on Campus program. In addition, the College recognizes the desirability to broaden the academic coalition of Kids on Campus involvement and will work toward that goal. The certificate programs will continue to report to the Dean's Office and are currently coordinated by individual faculty in academic units of the College. The research function of the Institute within CHHS has been effectively replaced with the establishment of an Associate Dean for Research and Sponsored Programs.

John A. Bantle II, Ph.D.
June 3, 2002
Page 2

With the discontinuation of this Institute, the imminent leadership vacancy in the Center of Rural and Appalachian Health Research, and the recent funding initiative to support an Appalachian Rural Health Institute, it is a propitious time to consider the creation of a broad-based institute or center to bring together Ohio University's basic and applied "health" researchers to find solutions to health problems of underserved populations, including those in Appalachia, inner cities, and in developing countries.

Sincerely,



Gary S. Neiman, Ph.D.
Dean

xc: Matthew Adeyanju, Review Committee, Director, Health Sciences
Marnie Frey, Review Committee
Norman Garber, Director, Hearing, Speech, and Language Sciences
Brooke Hallowell, Review Committee, Assoc. Dean-Rsrch and Sponsored Prgms
Emily Harman, Interim Director, Nursing
Sue Ellen Miller, Interim Director, Recreation and Sport Sciences
Tootie Overby, Director, Physical Therapy
Ann Teske, Executive Director-Institute for Health & Human Services

**Review Committee Report
Institute for Health and Human Services
May 28, 2002**

Review Committee for the Institute for the College of Health and Human Services:

- ◆ Matthew Adeyanju (Director, School of Health Sciences)
- ◆ Marnie Frey (President, CEO of Appalachian Community Visiting Nurse Association, Hospice and Health Services, Inc.)
- ◆ Brooke Hallowell (Associate Dean for Research and Sponsored Programs (Chair))

A. Executive Summary

1. Findings included in the full report

The viability of the Institute is weak in that the mission of the Institute for Health and Human Services is not separate and distinct from the mission of the College. The mission and actual activities of the Institute, which are largely service-focused, do not reflect the quality of an “institute” as defined according to policy at Ohio University. The Institute does not have appropriate representation and mentorship resources to “assist faculty in meeting their goals of scholarship, teaching, research, and outreach activities,” an essential component of its mission. Specific programs that have been historically identified with the Institute appear to have very little reliance on any aspect of the Institute’s structure, and thus may continue to exist and thrive following the dissolution of the Institute. None of the individuals consulted in the preparation of this report, including school directors, the dean, the associate dean, the certificate program coordinators, the director of Kids on Campus, and the Institute’s advisory committee and retiring executive director, have expressed a compelling need or desire to maintain the Institute of Health and Human Services.

2. The review committee’s recommendations

The committee recommends: 1) dissolution of the Institute for Health and Human Services, 2) a concerted campus-wide effort, coordinated through the College of Health and Human Services, to develop a new research-based institute in the area of health and health service delivery in underserved populations, and 3) the retention of remaining Institute funds by the College.

B. Report

This report has been generated following review of the Institute 2002 self-study report, extensive committee discussions, and interviews with and/or written surveys of: The HHS dean and associate deans, the HHS school directors, the director of Kids on Campus, the HHS Institute Advisory Committee, and the chairs of the CHHS certificate programs housed within the College.

1. Evaluation of current viability of center/institute

The viability of the Institute suffers in that the mission of the Institute for Health and Human Services is not separate and distinct from the mission of the College. The Institute 2002 self-study report indicates that its mission is “so broad-based that faculty have trouble identifying their relationship to it and its goals.” No specific means by which this dilemma might be resolved have been identified by this Committee nor by the others consulted.

The mission and actual activities of the Institute, which are largely service-focused, do not reflect the quality of an “institute” as defined according to policy at Ohio University, especially in light of the lack of activities and outcomes specifically oriented toward research. The Institute does not have appropriate representation and mentorship resources to “assist faculty in meeting their goals of scholarship, teaching, research, and outreach activities,” an essential component of its mission.

Specific programs that have been historically identified with the Institute appear to have little reliance on any aspect of the Institute’s structure, and thus may continue to exist and thrive following the dissolution of the Institute, as discussed in further detail below.

2. Evaluation of potential future viability

Dissolution of the Institute is recommended. Continuation of programs that have been historically affiliated within the Institute can and should be continued within the College and/or University. Specifically, we recommend:

Continuation of Kids on Campus. Kids on Campus is a critical campus-community partnership providing much needed educational and nutritional services for children and families in the local community. We recommend much broader, university-wide faculty and student involvement in Kids on Campus and greatly enhanced integration of Ohio University educational, service and research efforts in all related programs. Solid senior leadership and substantial funding through permanent legislated and endowed funds appear to be critical to the future success of Kids on Campus. Other entities examining the future of Kids on Campus are better suited than this Committee to make specific recommendations in this regard. The dissolution of the Institute for Health and Human Services should not negatively impact the future of Kids on Campus.

Continuation of Certificate Programs. The infrastructure of the Institute is not necessary for the continued success of the vital certificate programs offered within the College. These programs are interdisciplinary, crossing the areas of expertise represented by schools within the College.

Thus, the graduate and undergraduate Gerontology Certificate programs and the graduate Health Policy Certificate program should continue to be coordinated at the College level, with continued leadership from advisory boards comprised of faculty members with relevant expertise representing the various schools.

Continuation of Interdisciplinary Research. Despite some sincere efforts, the Institute has not had great success in its fostering of interdisciplinary research. Still, there are numerous fertile interdisciplinary research projects and opportunities within the College; the continuation of the Institute is not essential to the continuation of such projects and opportunities. The newly established CHHS Office for Research and Sponsored Programs, the newly appointed CHHS Associate Dean for Research and Sponsored Programs, the leadership of the CHHS Dean, a faculty with increasing commitments to research, new facilities, and a new communications infrastructure will all help to further opportunities and productivity in interdisciplinary research.

Although the Executive Director of the Institute once played a role in facilitating the establishment of the Lindley Inn in Athens, there no longer appear to be any vital research, educational or service connections with the Lindley Inn that could not be maintained through ongoing collaborative projects with the College.

3. Evaluation of current and future funding strategies

The retiring Executive Director of the Institute and the staff of Kids on Campus are acknowledged for formidable efforts in grant seeking to support Kids on Campus programs. Recent significant declines in funding due to the elimination of TANF funds and support from the Appalachian Regional Commission have led to a dire need for generation of major funding mechanisms for Kids on Campus.

The higher return on indirect cost rates through Institute (as opposed to College) submission of grants appears to have been, at times, a significant motivating factor in channeling proposals through the Institute. The sources of such indirect costs have declined significantly over the past year.

4. Recommendations(s) regarding continuation of the institute, including, if appropriate, levels of institutional support

The Review Committee does not recommend continuation of the Institute for Health and Human Services. The Committee does see great potential for the establishment of a new truly interdisciplinary and active research institute with a mission related to health and health service delivery in underserved populations. None of the individuals consulted in the preparation of this report have expressed a compelling need or desire to maintain the current Institute of Health and Human Services.

Upon dissolution, retention of all Institute funds within the College budget is recommended, as Institute revenues have been generated through College resources and support.

INSTITUTE FOR HEALTH AND HUMAN SERVICES

Five Year Self-Study Review

Spring, 2002

Summary

Executive Director: Ann E. Teske, Ph.D.

Mission/Purpose: The Institute provides an organizational structure for faculty to engage in interdisciplinary research, academic programs including certificate programs, professional development, and community service programs.

Affiliated Faculty: Since the Institute serves the College of Health and Human Services all faculty members are affiliated.

Future Activity: Due to the broad scope of the Institute and the limited resources of 1.3 FTE (.3 secretary), a limited number of the strategic priorities can be addressed each year. As project director of Kids on Campus, the Executive Director has been a major grant writer for the program. During the next year, it is the desire of Dean Gary Neiman that a college-wide faculty committee "create" a new institute with a more focused purpose to replace the current one. The goal will be to engage a larger number of faculty members who have an interest in a defined discipline of study. Certificate programs would be placed within schools of the college and Kids on Campus is under consideration for placement in a university-wide entity.

SOURCE	AWARDS—FY 1997 to 2001
External Grants/Contracts	\$5,467,573
Internal Awards/Operating	\$ 378,640
TOTAL	\$5,846,213



Edison

Biotechnology

Institute

August 12, 2002

Dr. John A. Bantle
Vice President for Research
Ohio University
Athens, OH
45701

Dear Dr. Bantle,

**SUBJECT: OHIO UNIVERSITY/Tsinghua UNIVERSITY INSTITUTE FOR
GENETICS AND BIOTECHNOLOGY FIVE YEAR REVIEW**

Ohio University
Konneker Research
Laboratories
The Ridges
Athens, Ohio
45701-2979

I request a one-year extension for the review of the Ohio University/Tsinghua University Institute for Genetics and Biotechnology. As you know, the documents that were executed creating the institute and setting up the collaborative relationships between Ohio University, Tsinghua University, VanYu Trading Ltd., and Huagen Pharmaceuticals have expired and are the subject of ongoing discussions within Ohio University, and with our partners.

Phone
740-593-4713

Fax
740-593-4795

Web
www.ohiou.edu/biotech/

These discussions have indicated that changes in the relationship and the partners are likely and desirable. We have already begun implementing some of these changes and expect that the relationship will be restructured within the upcoming year. Once this is completed, we will be able to compile a review document that accurately reflects the current state of the Institute. Therefore, I recommend that the five-year review of the Institute be postponed for one year.

Sincerely,

A handwritten signature in black ink, appearing to read "David C. Wight".

David C. Wight, Ph.D.
Director, Ohio University/Tsinghua University Institute for Genetics and Biotechnology
Ohio University

Ms. Stuckey presented and moved approval of the resolution. Mr. DeLawder seconded the motion. All agreed.

**ESTABLISHMENT OF THE
CENTER FOR INTELLIGENT, DISTRIBUTED, AND DEPENDABLE SYSTEMS**

RESOLUTION 2002 - 1849

WHEREAS, the School of Electrical Engineering and Computer Sciences addresses the challenges and opportunities within the growing field of Information Technology, and

WHEREAS, faculty affiliated with the EECS Laboratory for Intelligent, Real-Time, Secure Systems and the Internet Research Group have an active research program that has received significant funding from external agencies, and

WHEREAS, recognition of these laboratories will foster the continued growth of this research program.

NOW, THEREFORE BE IT RESOLVED that the Board of Trustees establish the Center for Intelligent, Distributed, and Dependable Systems.



Office of the Vice President for Research
Research & Technology Center 120, Athens OH 45701-2979

tel 740 593 0370
fax 740 593 0380
research@ohio.edu

August 22, 2002

Dr. Robert Glidden, President
Ohio University
108 Cutler Hall
CAMPUS

Dear President Glidden:

I would like to take this opportunity to recommend the formation of a new Center for Intelligent, Distributed and Dependable Systems to be housed in the Russ College of Engineering and Technology. This center is in the area of Information Technology of Computer Sciences. After consultation with Dean Dennis Irwin and Provost Steve Kopp, I can make this recommendation to you and the Board of Trustees. As you are aware, we now have a Master's degree in Computer Sciences and a young, growing faculty in the department of Electrical Engineering and Computer Science. They have brought in numerous grants so far. With center status they are confident they will be able to improve on this figure even more.

The proposed center fits in well with Ohio University's desire to support focused research. Governor Taft's third frontier initiative includes information technology as one of its cornerstones. The New Innovation Center will be supporting new information technology businesses and these are likely to arise from the work of this center. The work of this center will have relevance to Avionics Engineering, robotics and even Bioinformatics. Thus, I feel the center is good fit to the work historically performed at Ohio University and it fits our mission well.

The Electrical Engineering and Computer Science Faculty are expanding their faculty this year having received a faculty position from the UPAC process. They are looking towards a possible Ph.D. degree in Computer Sciences and their undergraduate enrollment is strong. All of these developments indicate we are focusing on our strengths to build an excellent national reputation.

Should you have any questions, please feel free to call upon me.

Sincerely,

John A. Bantle. Ph.D.
Vice President for Research

**Request for Establishment of
The Center for Intelligent, Distributed, and Dependable Systems**

*Lonnie R. Welch, Carl Bruggemann, David M. Chelberg, David W. Juedes, Hans Kruse,
Cynthia Marling, David Matolak, Shawn Ostermann, Maarten Uijt De Haag & Jim Zhu*

Approvals:

Dr. Douglas Lawrence,
Chair of the School of EECS



Dr. R. Dennis Irwin,
Dean of the Russ College
of Engineering and Technology

 7/16/02

Dr. John A. Bantle,
Vice President for Research

 8/20/02

Prospectus

a. Statement of need specifying the particular role to be accomplished:

“In 1985 the Internet connected 2000 computers. At the start of this century the Internet connected over 37 million computers. Future networks will connect at least a billion users and will be more complex – they will connect sensors, wireless modems and embedded devices¹.” Information Technology (IT), one of the primary enabling technologies for this growth, receives large allocations of research funding each year from agencies such as NSF, DARPA, NASA and ONR.

The School of EECS is well positioned to address the challenges and exploit the opportunities within the growing field of IT. Faculty affiliated with the EECS Laboratory for Intelligent, Real-Time, Secure Systems and the Internet Research Group have an active research program that has received more than \$4,000,000 in funding from the Defense Advanced Research Projects Agency (DARPA), NASA, the US Navy and the National Science Foundation (NSF). It is requested that the laboratories be recognized officially as the Center for Intelligent, Distributed and Dependable Systems (CIDDS) and that seed resources be granted to foster the continued growth of this research program.

b. Description of the manner in which the center or institute will effectively meet this need in a way existing units cannot

Achievement of our ambitious vision will require changes in our infrastructure, staffing levels and marketing approach. Thus, the following types of support are needed:

- administrative, marketing and technology transition
- technical writing
- account and budget management; secretarial
- a Ph.D. program in computer science²
- five additional faculty positions in computer science²

c. The unique value of the program to the University

The center will be both an academic center and a product center. Personnel will perform basic and applied information technology

¹ From the Information Technology Office of the Defense Advanced Research Projects Agency.

² Is being pursued currently, and is therefore not being requested in this proposal.

research; pursue technology transition and commercialization of research products; enhance the educational experiences of our students; and support partnerships with the IT industry in our geographic region. Furthermore, we will pursue private, state and federal grants to provide funding and recognition for the research center.

d. Identification of personnel and departments to be involved initially and a projection for such involvement over a five-year period

The following faculty from the School of EECS will participate as researchers:

Lonnie R. Welch, Professor, School of EECS
Carl Bruggemann, Assistant Professor, School of EECS
David M. Chelberg, Associate Professor, School of EECS
David W. Juedes, Associate Professor, School of EECS
Hans Kruse, Associate Professor, Communication Systems Management
Douglas A. Lawrence, Associate Professor, School of EECS
Cynthia Marling, Assistant Professor, School of EECS
David Matolak, Assistant Professor, School of EECS
Shawn Ostermann, Associate Professor, School of EECS
Maarten Uijt De Haag, Assistant Professor, School of EECS
J. Jim Zhu, Professor, School of EECS

It is expected that all faculty will write proposals for research funding and, through external funding, will be released from teaching to perform research for funded projects. However, the ability of faculty to have reduction of teaching loads so that they can perform work in support of the center is contingent upon obtaining new faculty positions. (Additional positions are being pursued through an effort that is independent of this proposal.)

e. Estimated fiscal resources and sources of funding for a five-year period

Ultimately, the CIDDS will be self-sustaining. It will be the responsibility of the CIDDS to obtain external funding to cover the following costs:

- engineers,
- computer and network system administrators,
- graduate students,
- faculty release time,
- support staff, and
- all personnel and other expenses after the early years of operation.

However, unless resources are invested to provide initial staffing needs, it will be difficult to realize our vision. Thus, we are requesting an investment by the School of EECS and the Vice President for Research to cover the

following costs:

- Director: permanent reduction of teaching load by 25%
- Assistant Director: half-time position
- Administrative Assistant: half-time position
- Promotional and travel costs

Funding for the salary for the Assistant Director is requested from the School of EECS and the Vice President for Research. Specifically, it is requested that the position be funded as indicated in Table 1.

Table 1. Funding for the Assistant Director position.

	School of EECS	VP for Research
Year 1	\$20,000	\$20,000
Year 2	\$20,000	\$20,000
Year 3	\$15,000	\$15,000
Year 4	\$10,000	\$10,000
Year 5	\$5,000	\$5,000
Year 6 and thereafter	\$0	\$0

Funding for the Administrative Assistant position is requested from the Vice President for Research. It is requested that the position be funded as shown in Table 2.

Table 2. Funding for the Administrative Assistant position.

	VP for Research
Year 1	\$25,000
Year 2	\$25,000
Year 3	\$20,000
Year 4	\$15,000
Year 5	\$10,000
Year 6 and thereafter	\$0

Funds are requested from EECS and the VP for Research for travel to seek new sources of funding. The specific requests are given in Table 3.

Table 3. Funding for travel to seek new funding sources.

	School of EECS	VP for Research
Year 1	\$10,000	\$10,000
Year 2	\$10,000	\$10,000
Year 3	\$7,500	\$7,500
Year 4	\$5,000	\$5,000
Year 5	\$2,500	\$2,500
Year 6 and thereafter	\$0	\$0

As shown in Table 4, funds are requested from the Vice President for Research for making promotional materials during year 1.

Table 4. Funding for promotional materials.

	VP for Research
DVD	\$15,000
website	\$2,500
brochure	\$2,500
TOTAL	\$20,000

The total funding requests from the School of EECS and the VP for Research are indicated in Table 5.

Table 5. Total funding requests for personnel, travel and promotion.

	School of EECS	VP for Research
Year 1	\$30,000	\$75,000
Year 2	\$30,000	\$55,000
Year 3	\$22,500	\$42,500
Year 4	\$15,000	\$30,000
Year 5	\$7,500	\$17,500
Year 6 and thereafter	\$0	\$0

To offset the funding requests, a phase-in of indirect cost return to the center is proposed in Table 6.

Table 6. Plan for phase-in of indirect cost return to the center.

	Indirect Cost Return to the Center	Indirect Cost Return to the VP for Research
Year 1	5%	28%
Year 2	10%	23%
Year 3	15%	18%
Year 4	20%	13%
Year 5	25%	8%
Year 6 and thereafter	33%	0%

f. Space and equipment needs and a description of how they will be met

The CIDDS will need a combined computer demonstration area and conference room of approximately 450 square feet (30'x15') for conducting briefings and software demonstrations. Office space of approximately 300 square feet is needed for the Assistant Director (12'x15' office) and the Administrative Assistant (12'x10' office).

The Russ College of Engineering and Technology will provide two offices (rooms 106 and 110 in the Corrosion Institute) and will provide \$20,000 to furnish the offices.

The School of EECS will refurbish its conference room and will give highest priority for use of the conference room to CIDDS. The refurbishment will take place during the first five years of CIDDS's existence and will with provide the following:

- conference table and 12 chairs: \$7,500
- 4 computer workstations, network switch, tables, chairs: \$25,000
- LCD projector, overhead projector, white board: \$5,000
- 2 large (4'-5') computer displays: \$20,000
- **TOTAL: \$57,500**

g. Description of administrative control and lines of authority for the center

The administrative control and lines of authority will be the same as for the Avionics Engineering Center. The Center will be under the authority of the Chair of the School of EECS, who will (in consultation with the Dean of The Russ College of Engineering and Technology) appoint the Center Director. The Board of Visitors for the School of EECS will serve as the

Advisory Board.

The Center Director will be Professor Lonnie R. Welch of the School of EECS.

h. Overview of document

The remainder of this document provides additional background information and is organized as follows:

- 1) brief statement of identity,
- 2) core values,
- 3) track record,
- 4) vision,
- 5) action plan, and
- 6) resources needed to obtain the desired results.

The Case for the Institution: A Brief Statement of Identity

The EECS Laboratory for Intelligent, Real-Time, Secure Systems (LIRTSS) and the Internet Research Group (IRG) have significant research accomplishments in the IT areas of distributed computing, real-time and control systems, artificial intelligence, computer vision, and information security.

Distributed computing (also called grid-based computing) refers to *clusters* of computers that are connected by the internet and provide a pool of computers that can be used to solve complex problems. While many understand the potential that exists if all of the computational power of the computers connected to the internet can be harnessed, many technical challenges must be overcome to make this a reality. One of the products of LIRTSS is resource management (RM) software that manages a pool of computers by allocating computing resources to programs as needed. Our research efforts have produced adaptive RM middleware that allows real-time systems (systems that must perform in a timely manner) to meet their performance constraints in highly dynamic environments, such as those that occur in military and space application systems. Currently, we are drawing on our expertise in control systems technology to enhance the stability of real-time systems that are managed by the adaptive RM middleware. Additionally, the IRG has produced a network monitoring tool, tcptrace, that is useful for tuning the allocation of network resources to application programs.

Additionally, researchers within LIRTSS and IRG are performing research in computer and internet security. Denial-of-service attacks and other intrusions by computer hackers have disabled major internet-based businesses in the recent past. In the current global climate, the intensity and frequency of such attacks are likely to increase. Thus, we are developing INBOUNDS, the Internet-Based, Ohio University Network Detective System, which uses tcptrace data to identify anomalous network usage patterns. We are also developing a software system, called Secure-RM, that will allow internet-based services to continue to be provided to mission critical software systems, even in the presence of such attacks. Secure-RM is a security management system that combines an intrusion detection system (IDS) with adaptive resource management (RM) middleware. Intrusion events, such as pre-attack probes and denial of service attacks, are detected using IDS monitoring tools and are reported to Secure-RM, which employs artificial intelligence techniques for deriving impacts of attacks on operational functions and mission goals. A strong belief in an attack strategy triggers a resource reallocation, which dynamically changes the computers and networks that are used by software systems.

Our capability in distributed real-time computing has been combined with expertise in artificial intelligence (AI) and computer vision. The resulting collaboration is a team of researchers who are exploring research issues and prototyping solutions to enable squads of cooperating, intelligent entities. The applications of this technology include satellite constellations (a part of the NASA Earth Science Vision for 2015), cooperative military engagements, autonomous mobile robots (currently used in rescue, space, and military operations, as well as potentially useful in the intelligent transportation systems of the future), and squads of UAVs (of interest to the Department of Defense). We have

constructed an experimental testbed for research and development of the IT technology that is needed to realize the vision of fully autonomous squads of cooperating, intelligent entities. This testbed is not only useful for experimentation with reasoning algorithms, but also enables us to develop and evaluate algorithms for navigation via landmark detection. Additionally, we are employing the AI techniques of *case-based and multimodal reasoning* in planning care for Alzheimer's disease patients; the research goals of this collaborative project are to understand the modes of reasoning employed in this task and to build practical decision support tools.

The Institution's Core Values

1. Perform basic research in selected areas of IT, resulting in algorithms, mathematical models, theories and software prototype systems.
2. Perform the applied research necessary to make basic research results useful in real-world contexts; our objectives include technology transition and commercialization of our research products.
3. Form partnerships for development of an IT industry in southeast Ohio.
4. Enhance the ranking of Ohio University in IT research.
5. Provide enhanced educational experiences to our students by involving them in the discovery of knowledge.

Institution's Track Record

Our track record is strong in the areas of research funding, scholarly publications and technology transition.

Below is a listing of some of our sponsored research projects:

- "DeSiDeRaTa: QoS Management Tools for Dynamic, Scalable, Dependable, Real-Time Systems," *Defense Advanced Research Projects Agency – Information Technology Office*, \$1,017,965, 6/97 to 6/00, DARPA/NCCOSC contract N66001-97-C-8250.
- "DeSiDeRaTa: QoS Management Tools for Dynamic, Scalable, Dependable, Real-Time Systems," *Defense Advanced Research Projects Agency – Information Technology Office*, \$470,430, 6/00 to 12/01.
- "Adaptive Management of Computing and Network Resources for Real-Time Sensor Webs," *NASA - Advanced Information Systems Technology Program (NRA-99-OES-08)*, \$653,338, 8/00 to 8/02, Contract NAS5-00185.

- “Distributed Resource Management for Agent Based Real-Time Mission-Critical Systems,” *NASA - Cross-Enterprise Technology Development Program*, \$797,888, 2001 to 2003.
- “INBOUNDS: Intrusion Detection Services for Networked Systems,” *National Science Foundation*, \$300,000, 9/01 to 9/04.
- “Autonomous Flight Manager,” *NASA 2nd Generation RLV Systems Engineering*, \$800,000, 2001-2004.

Our research efforts have resulted in more than 200 scholarly publications. Furthermore, the technology that we have developed has transitioned into use within many organizations.

RM technology has been transitioned to the following:

- US Naval Surface Warfare Center HiPer-D Testbed, which links to the Aegis, DD-21 and “carrier” ship classes; demonstrations have involved many Navy systems, including, AAW, ATWCS, APPEX and JMCIS
- NASA’s Goddard Space Flight Center, information technology development program for satellite constellations and sensor webs of the Earth Science Technology Office
- US Navy SPAWAR Systems Center, Theatre Battlespace Command and Control (TBC2) project for the Office of Naval Research (ONR)
- DARPA Information Technology Office Quorum integration team, technology reference implementations and demonstrations
- Naval Postgraduate School, CMU, Honeywell, Purdue University, University of Illinois and USC, used our DynBench benchmark software for evaluating RM technology

Below is an excerpt of an email message from an engineer of the US Navy who has used our RM technology:

“...a report on academic working relationships at NSWCDD which has been submitted to the Secretary of the Navy.

The High Performance Distributed Computing (HiPer-D) project has benefited greatly from our 5+ year relationship with Dr. Lonnie Welch of Ohio University. During the period of our relationship, Dr. Welch has been a key player in developing the concept of dynamic resource allocation and management for shipboard combat systems. The designs, formalisms, and algorithms that he and his grad students have produced have been instrumental in the development of resource management capabilities for the HiPer-D demonstrations. The success of these demonstrations has led to increased interest in dynamic allocation and reallocation by several program offices and contractors. We continue to work closely with Dr. Welch and his grad students, several of whom have provided on-site development and

integration support.

...

Paul V. Werme

Resource Management Team Leader

High Performance Distributed Computing Project

Naval Surface Warfare Center, Dahlgren Division”

The tcptrace software has been used by many organizations, including the following:

- GTE
- Sprint
- AT&T
- Stanford University, UC Berkeley and numerous other universities
- NASA
- The Australian FBI
- The US Army
- Communication Network Services at Ohio University

Other users of our technology include:

- The Cleveland Clinic
- Wright Patterson Medical Center at Wright Patterson Air Force Base (WPAFB)
- NASA's 2nd Generation Launch Vehicle Program

Institution's Vision: Where the institution sees itself in the next 5-10 years

The vision for our research program is to grow in conjunction with the growth of the IT field. Our vision includes the following:

- develop new theories and algorithms
- produce patent applications, achieve employment of our technologies in important government and industry projects, and enable “spin-off” companies within Athens County
- publish results frequently in the major IT journals and conferences
- become the expert that is sought within Ohio, the surrounding states, targeted federal organizations and our professional societies for research in selected areas of IT
- make the EECS graduate program in Computer Science one of the top 50 in the U.S.³
- make CIDDS one of the top 5 in the world in selected areas
- provide numerous opportunities for students to participate in IT research projects
- provide service functions in a variety of ways, including organization of professional events and special issues of journals for IT research, creation an IT conference center within the region, and contribution to the development of the IT industry in southeast Ohio

³ Contingent upon five new faculty positions being added in computer science and the creation of a Ph.D. degree program in computer science.

- obtain \$750,000 total research funding per year³
- obtain funding for support staff, full-time engineers, graduate students
- obtain research funding to allow each faculty member to be supported 40% by CIDDs funds and 60% by EECS funds during the academic year, and 100% by CIDDs funds during the summer³

Our budget projections for three different scenarios are given below. (Please note that the projections are only estimates. The actual numbers could vary.) Each of the graphs depicts projected research dollars per year, from year 2 (y2) to year 10 (y10) of the Center. Note that while the addition of Computer Science faculty is projected to increase our funded research levels, substantially more of an increase will come with the addition of faculty and with the formation of the Center.

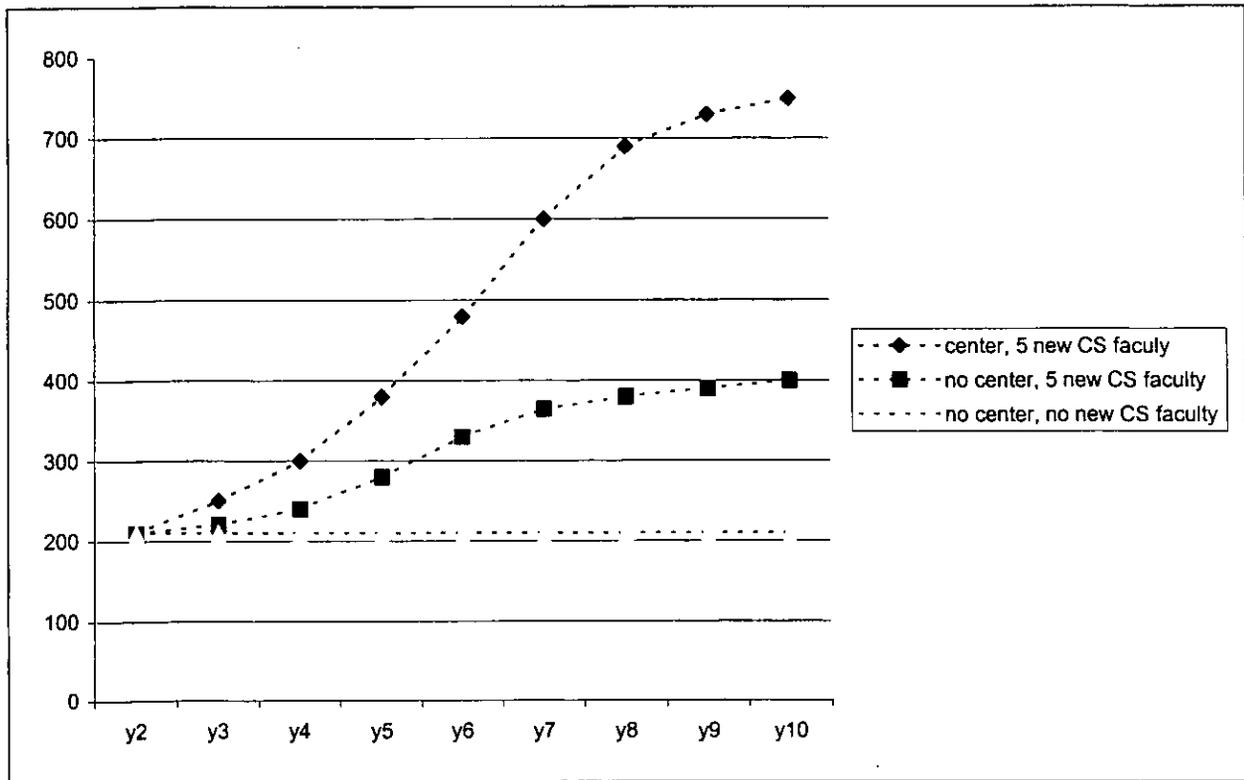


Figure 1. Budget projections for 3 scenarios over 10 years.

An Action Plan

Achievement of our ambitious vision will require changes in our infrastructure, staffing policy and marketing approach; we also need to be careful not to sacrifice our educational mission to achieve the objectives of the research center.

The traditional academic model, wherein one professor supervises a couple of graduate students and produces a couple of scholarly papers per year, is not appropriate for a large-

scale research center. We plan to adopt the model used by the Avionics Engineering Center (AEC), which conducts about \$625K of funded research per faculty member each year. Specifically, we will seek funding to support 1-2 full-time engineers per faculty member, 1-2 support staff per faculty member, and 3-4 graduate students per faculty member. Such a team will be effective at enhancing a faculty member's research productivity by providing an array of talents that allow her/him to focus on the basic research that he/she is uniquely qualified to perform. Engineers bring practical implementation expertise and continuity to research projects. Support staff offload administrative and support duties from faculty researchers. With such a support infrastructure, faculty will be empowered to focus on writing high quality research proposals and performing, publishing and promoting their research.

However, while it is desirable that we grow as a research center, it is important that we not sacrifice our educational mission. Unfortunately, without a significant increase in the number of computer science faculty, we cannot achieve our research objectives while continuing to provide high quality degree programs. We are pursuing the addition of five faculty positions in computer science. To support the research program of CIDDS and to help with the recruitment of research-oriented faculty, we are also pursuing the creation of a Ph.D. degree program in computer science.

Resources: A list of the resources needed to obtain the institution's desired results.

We are requesting an investment to cover costs of the following items for the early years of the Center's lifetime:

- Director: provides technical direction
- Assistant Director: performs promotional and fund-raising activities; performs technical and administrative duties
- Administrative Assistant: performs accounting and secretarial duties
- Promotional materials: DVD, website and brochure
- Furnished software demonstration area/conference room
- Furnished office space for the Assistant Director and the Administrative Assistant.
- Ph.D. program in computer science⁴
- Five additional faculty positions in computer science⁵

⁴ Is being pursued currently, but is not being requested in this proposal.

Associate Provost for
Graduate Studies

Chubb Hall 52
Athens OH 45701-2979



OHIO UNIVERSITY

1804

740-597-2599 phone
740-597-2770 fax
graduate@ohio.edu

May 17, 2002

To: Prof. Dennis Irwin
Chair, Electrical Engineering and Computer Science

From: Raymie E. McKerrow *REM*
Interim Associate Provost for Graduate Studies

Re: Creation of a new Ph.D. in Computer Science

I am supportive, in principle, of the development of a Computer Science Ph.D. proposal. Although new doctoral students in this program would not generate new subsidy income from the state, I believe there are strong reasons for moving in this direction. First and foremost, external funding opportunities would be enhanced by the presence of doctoral students as research assistants. Stipend dollars, and to the extent possible, tuition scholarship support, also would be enhanced through grant submissions. The contribution of doctoral level students to the overall research mission of the Department also is worthy of mention. These students can work at a higher level, allowing faculty to take on more sophisticated research projects. Finally, the current computer science program is within the master's subsidy credit cap, hence adding doctoral students to the program will not result in a loss of subsidy revenue on the master's side.

I look forward to working with you on the development of an initial program development proposal.

cc. Jack Bantle, Vice President for Research

Dr. Ackerman presented and moved approval of the resolution. Mrs. Perry seconded the motion. Approval was unanimous.

Appointment to Regional Coordinating Council

RESOLUTION 2002 - 1850

BE IT RESOLVED BY the Board of Trustees of Ohio University that the following person be appointed to membership on the Coordinating Council at the Regional Campus of Ohio University - Zanesville.

Ohio University - Zanesville

Luann Cooperrider

For a nine-year term beginning July 1, 2002, and ending at the close of business June 30, 2011, vice Sue McFerren, whose term expired.

Judge Luann Cooperrider
11995 Zion Branch Road
Thornville, Ohio 43076
740-246-5014

EDUCATIONAL HISTORY

Capital University Law School – Juris Doctor

Ohio State University – Bachelor of Arts

Loyola University of Rome

Sheridan High School

OCCUPATION

Perry County Probate – Juvenile Judge – Feb. 12, 1991 to Present

Perry County Assistant Prosecuting Attorney – May 1986 to November 1990

Private Law Practice – 1983 to 1991

Hocking College – Professor of Various Law Courses – 1991 to Present

Teaching - Central Ohio Technical College – Business Law – 1985 to 1988

Night Prosecutor – Hearing Officer – Licking County – 1982 to 1990

HONORS AND AWARDS

Elected State Officer for Ohio Association of Juvenile Judges – 2000 to present

Elected Trustee for Ohio Association of Juvenile Judges – 1998 to 2000

Honored by Ohio Education Service Center for Commitment to Children and Education – 1999

Selected to be Ohio Mock Trial Judge for 10 years and counting

Business and Professional Women’s Club – Young Careerist State Competition

Honored by the Ohio State Bar Association, Nettie Cronise Lutes Award, One of Two Women honored for the Women in the Law Profession 2001

MEMBERSHIPS AND ASSOCIATIONS

Juvenile Judges Association, Elect Secretary; Member of the Rules Committee Probate and Juvenile Judges Association

Ohio State Bar Association

Perry County Bar Association

Past President, Vice President, Secretary and Treasurer of Business and Professional Women’s Club

Past President and Vice President of the American Cancer Society

Member of the Grace Lutheran Church, Sunday School Teacher

HOBBIES

Spending time with my husband, John and son, Cooper; swimming and bicycling. I ride approximately 2,000 miles per year.

INVESTMENT COMMITTEE

Committee Chairman DeLawder briefly noted the minutes of the initial committee meeting were included with the committee's agenda. The committee discussed policy implications of the proposed statement of objectives and policies for non-endowment and endowment investments. Messrs. Timothy Holihen and Joseph Quinn, Banc One Investment Advisors Corporation, participated in the discussion, often responding to member queries.

Following discussion, Chairman DeLawder asked Treasurer Richard Siemer to revise two sections of the recommendations: First to delete the reference to rated for certificate of deposits Section 2, part h, page 6 of 8, "Policy of Procedure." Second, delete a provision limiting investments not in excess of FDIC limitations, Section 2, part I, page 7 of 8, "Policy and Procedure", both date September 16, 2002. Treasurer Siemer stated changes would be presented prior to formal consideration.

Assistant Vice President for Finance Larry Corrigan presented information on endowment and non-endowment investments as of August 1, 2002, including a flash report as of August 31, 2002, showing time-weighted rates of return for investment managers. A copy of his report is included with the official minutes.

A brief discussion was held regarding the need for the development of a debt policy and Treasurer Siemer agreed to prepare one for consideration.

Mr. DeLawder presented and moved approval of the resolution. He cited changes in state law to investments by University Trustees as the impetus for the new committee, a description of investment policies and a caveat that the resolution before Trustees supercedes all previous Board of Trustee investment resolutions. Mr. Schey seconded the motion. Approval was unanimous.

ENDOWMENT AND NON-ENDOWMENT INVESTMENT POLICIES
RESOLUTION 2002 - 1851

WHEREAS, the Board of Trustees of Ohio University is vested by Ohio Law (Section 3345.05 of the Revised Code) with certain responsibilities, as follows:

- 1) that title to investments made by the Board of Trustees with funds derived from tuition, fees, subsidy and other revenues be held in trust by the Board of Trustees, and
- 2) that the Board of Trustees adopts an investment policy that complies with certain requirements as set forth in the statute, and
- 3) that the Board of Trustees establishes an Investment Committee that meets at least quarterly.

WHEREAS, the Investment Committee of the Board of Trustees has reviewed and recommended formal adoption of The Ohio University Foundation investment policy as it applies to endowment funds, which is also covered by Ohio Law (Section 3345.16 of the Revised Code) where the endowment investments are managed by The Ohio University Foundation and;

WHEREAS, the Board of Trustees has developed and recommended a non-endowment investment policy that complies with Section 3345.05 of the Revised Code.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees recommends adoption of the existing The Ohio University Foundation investment policy as it applies to the University endowment funds, and recommends adoption of the separate non-endowment investment policy.

BE IT FURTHER RESOLVED, that future changes to The Ohio University Foundation investment policy as it applies to the University endowment funds will be brought before the Board of Trustees for its review and approval, and;

BE IT FURTHER RESOLVED, that the Board of Trustees has empowered the Investment Committee to act on its behalf in accordance with the investment policies that are recommended for adoption.

BE IT FURTHER RESOLVED, that the aforementioned endowment and non-endowment investment policies supercede all previously adopted investment related policies; and all prior resolutions concerning endowment and non-endowment investment policies of the Board of Trustees not specifically referenced herein shall be rescinded.

This resolution shall take effect immediately upon its adoption.

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**Statement of Objectives and Policies for Non-Endowment
Invested Funds**

DATE ISSUED
September 16, 2002

DATE APPROVED
September 13, 2002

ISSUED BY
Treasurer

APPROVED BY
Board of Trustees

Purpose: The Board of Trustees of Ohio University is vested by statute (Sec. 3345.05 of the Revised Code) with the following responsibility: "Notwithstanding any provision of the Revised Code to the contrary, the title to investments made by the board of trustees of a state-supported university or college with funds derived from revenues described in this section¹ shall not be vested in the state but shall be held in trust by the board." This statement of investment objectives and policies governs the management of these funds which are described herein as the University's non-endowment invested funds. This policy was "adopted by the board in public session (and) requires all fiduciaries to discharge their duties with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims."²

A. INVESTMENT OVERVIEW

1. The University has two primary pools of invested funds - cash and pooled investments, as shown on the balance sheet, and endowment funds. The primary objective for the cash and pooled investments ("non-endowment funds") is to enable the University to meet its financial obligations as they come due. A secondary objective is to achieve prudently managed investment returns.
2. The endowment funds are governed by The Ohio University Foundation Investment Policy as it pertains to endowment funds, and are administered in conjunction with The Ohio University Foundation Endowment funds. [Board of Trustees Resolution dated 9/13/2002]

B. INVESTMENT OBJECTIVE

The primary objectives, in priority order, of the University's non-endowment investment activities shall be:

1. **Safety:** Safety of principal is the foremost objective of the investment program. Investments of the University shall be undertaken in a manner that ensures, over time, the preservation of capital in the overall portfolio.
2. **Liquidity:** The University's investment portfolio will remain sufficiently liquid to enable the University to meet all its operating requirements.

Portfolio liquidity is defined as the maturity or ability to sell a security on a short notice near the purchase price of the security. To help retain the desired liquidity, no issue shall be purchased that is likely to have few market makers or poor market bids. Additionally, liquidity shall be assured by keeping an adequate amount of short-term investments in the portfolio to accommodate the cash needs of the University.

¹ "All registration fees, nonresident tuition fees, academic fees for the support of off-campus instruction, laboratory and course fees when so assessed and collected, student health fees for the support of a student health service, all other fees, deposits, charges, receipts, and income from all or part of the students, all subsidy or other payments from state appropriations, and all other fees, deposits, charges, receipts, and income received by each state-supported university and college... shall be held and administered by the respective boards of trustees of the state-supported universities and colleges; provided, that such fees, deposits, charges, receipts, and income, to the extent required by resolutions, trust agreements, indentures, leases, and agreements adopted, made, or entered into under Chapter 154. or section 3345.07, 3345.11, or 3345.12 of the Revised Code, shall be held, administered, transferred, and applied in accordance therewith." (Sec. 3345.05 (A))

² Sec. 3345.05 (C)

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3. **Return on Investments:** The University's non-endowment portfolio shall be structured with the objective of attaining the highest possible "total return" for the investment portfolio while adhering to the restraints and obligations inherent in the current legal construct of a prudent fiduciary [Third Restatement of Trusts (1990) and the Uniform Prudent Investor Act of 1994].

C. INVESTMENT STRUCTURE

The cash and pooled investments shall be divided into three funds:

	Pool Allocation	
	Target	Expected Range
Cash Pool	25%	20 – 30%
Liquidity Pool	50%	40 – 60%
Diversified Investment Pool	25%	20 – 30%

D. GENERAL OBJECTIVES

1. The objective of the **Cash Pool** shall be to meet the day to day obligations of the University. It shall be invested in highly liquid instruments with little or no risk of principal loss (e.g., STAR Ohio).
2. The objective of the **Liquidity Pool** shall be to provide a high quality, marketable source of funds in the event the Cash Pool is insufficient to meet the University's cash needs. The investment strategy opportunity for this pool is that its time horizon, and flexibility, is such as to permit investment in permitted instruments that offer substantially greater total return than money market yields. The duration of this pool shall be no greater than +/- 20% of the Lehman Brothers Aggregate Bond Index.
3. There will be sufficient investments at all times to meet the legal stipulation that investment be made only in publicly traded securities averaging at least twenty-five per cent of the average amount of the investment portfolio over the course of the previous fiscal year, invested in securities of the United States government or of its agencies or instrumentalities, the treasurer of state's pooled investment program, obligations of this state or any political subdivision of this state, certificates of deposit of any national bank located in this state or State of Ohio chartered bank, written repurchase agreements (collateralized with permissible securities having a market value of at least 102% of the investment) with any eligible Ohio financial institution that is a member of the federal reserve system or federal home loan bank, money market funds, or bankers acceptances maturing in two hundred seventy days or less which are eligible for purchase by the federal reserve system, as a reserve.³

³ Sec 3345.05 (C)(1)

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4. The objectives of the **Diversified Investment Pool** shall be to provide:

- the University's programs a flow of financial support that will grow at least as fast as the rate of inflation (as measured by the Higher Education Price Index), and
- a source of funds in the very unlikely event that the Cash Pool and Liquidity Pool are insufficient to meet the University's day to day obligations.

Up to 25% of the target amount for the **Diversified Investment Pool** funds can be utilized in the University's Investment Loan Program (Policy and Procedure No. 50.002).

E. ASSET ALLOCATION

Deliberate management of the asset mix among classes of investments is both a necessary and desirable responsibility. In the allocation of assets, diversification of investments among asset classes that are not similarly affected by economic, political, or social developments is a highly desirable objective.

Cash Pool

The **Cash Pool** may be managed by one or more short-term investment managers, each maintaining a portfolio with an average weighted maturity between one day and one year. Investments in STAR Ohio are permitted without regard to the qualification on average weighted maturity.

Liquidity Pool

The **Liquidity Pool** shall be managed by one or more fixed income managers, each maintaining a portfolio with a duration no greater than +/- 20% of the Lehman Brothers Aggregate Bond Index.

Diversified Investment Pool

The University's general policy towards the **Diversified Investment Pool** shall be to diversify investments among equity securities so as to provide a balance that will enhance total return, while avoiding undue risk concentrations in any single asset class or investment category. The diversification does not necessarily depend upon the number of industries or companies in a portfolio or their particular location, but rather upon the broad nature of such investments and of the factors that may influence them.

The **Diversified Investment Pool** funds not utilized in the University Investment Loan Program shall be invested consistent with provisions of this policy. In making asset allocation judgments, it is not expected that the University Treasurer, or investment managers, will necessarily seek to "time" subtle changes in financial markets, or that frequent or minor adjustments would be needed. Instead, the University Treasurer is expected to develop, and the Board of Trustees is expected to adopt, expressed guidelines for broad allocations on a long-term basis, in light of current and projected investment environments.

To insure broad diversification in the long-term investment portfolios among the major categories of investments, asset allocation, as a percent of the total market value of the **Diversified Investment Pool**, will be set by Board of Trustees resolution with the following framework cross referenced to benchmark indexes that follow:

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Statement of Objectives and Policies for Non-Endowment Invested Funds

<u>Type of Securities</u>	<u>Target</u>	<u>Range</u>	<u>Index</u>
Equity			
Domestic Large Cap	50%	45-55%	S&P 500
Domestic Small Cap	10%	5-15%	Russell 2000
International	5%	0-10%	MSCI EAFE
Alternative Investments	10%	5-15%	Venture Economics
Cash	<u>0%</u>	0-5%	
Total	<u>75%</u>		
Investment Loan Pool	<u>25%</u>	0-25%	Greater of prime or 5.5%
Grand Total	100%		

The University's Treasurer will monitor the asset allocation structure of the **Diversified Investment Pool** and will attempt to stay within the ranges allowed for each asset class. If the portfolio becomes over weighted or exceeds the range of percentage for that asset class, the University Treasurer will develop a plan of action, either for immediate rebalancing of the portfolio or a rebalancing that will occur over the subsequent few months.

F. MONITORING OF OBJECTIVES AND RESULTS

Due to the inevitability of short-term market fluctuations, it is intended that the following performance objectives will be achieved by the investment manager(s) over a **5-year moving period, net of investment management fees**. Nonetheless, the University Treasurer reserves the right to evaluate and make any necessary changes regarding the investment manager over a shorter term using the criteria established in the "Evaluation of Investment Manager" section of this statement.

The moving 5-year period performance objectives shall be as follows:

1. Market Benchmark

- a. The total return for the **Cash Pool** and for each **Cash Pool investment manager** shall exceed the rate of return on 3-month U.S. Treasury Bills.
- b. The total return for the **Liquidity Pool** and for each **Liquidity Pool investment manager** shall exceed the Lehman Brothers Aggregate Bond Index.
- c. The total return for the **Diversified Investment Pool** shall exceed a target Balanced Index composed of the allocable percentages of the: S&P 500 Index, the Russell 2000 Index, the EAFE Index, the Lehman Brothers Aggregate Bond Index, and STAR Ohio. Furthermore, the total return for each active **Diversified Investment Pool investment manager** shall exceed the relevant benchmark (*Domestic Large Cap - S&P 500 Index; Domestic Small Cap - Russell 2000 Index; Core International - EAFE Index; and Fixed Income - LB Aggregate Bond Index*). Passive **Diversified Investment Pool** investment managers shall approximate the return of the relevant benchmark.

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2. Variability

- a. The standard deviation for each **Cash Pool investment manager** shall not exceed the standard deviation of 52-week Treasury Bills.
- b. The standard deviation for each **Liquidity Pool investment manager** shall not exceed 1.2 times the standard deviation of the Lehman Brothers Aggregate Bond Index.
- c. The beta (volatility) for each active **Diversified Investment Pool equity investment manager** shall not exceed 1.2 times that of the relevant equity benchmark. Furthermore, each active equity investment manager is expected to achieve a positive alpha (risk-adjusted return). The standard deviation for each active **Diversified Investment Pool fixed income investment manager** shall not exceed 1.2 times the standard deviation of the LB Aggregate Bond Index. Passive investment managers shall approximate the risk level of the relevant benchmark.

3. Peer Group Ranking

- a. The total return for each **Liquidity Pool investment manager** shall rank in the top half of the Intermediate-Term Fixed Income Universe.
- b. The total return for each active **Diversified Investment Pool investment manager** shall rank in the top half of the appropriate universe (*Large Cap Equity, Small Cap Equity, Small Cap Growth, International Equity, Core Fixed Income and Alternative Investment*).

G. EVALUATION OF INVESTMENT MANAGERS

The investment managers will be reviewed on an ongoing basis and evaluated based upon the following additional criteria:

1. Ability to exceed the performance objectives stated in this Investment Policy Statement.
2. Adherence to the philosophy and style which were articulated to the University at, or subsequent to, the time the investment manager was retained.
3. Ability to exceed the performance of other investment managers who adhere to the same or similar style.
4. Continuity of personnel and practices at the firm

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H. INVESTMENT MANAGER GUIDELINES

1. In today's rapidly changing and complex financial world, no list or types of categories of investments can provide continuously adequate guidance for achieving the investment objectives. Any such list is likely to be too inflexible to be suitable of the market environment in which investment decisions must be made. Therefore, it is the process by which investment strategies and decisions are developed, analyzed, adopted, implemented and monitored, and the overall manner in which investment risk is managed, which determines whether an appropriate standard of reasonableness, care and prudence has been met for these investments.
2. The requirements stated below apply to investments in non-mutual and non-pooled funds, where the investment manager is able to construct a separate, discretionary account on behalf of the University. Although the University cannot dictate policy to pooled/mutual fund investment managers, the University's intent is to select and retain only pooled/mutual funds with policies that are similar to this policy statement. All managers (pooled/mutual and separate), however, are expected to achieve the performance objectives.
 - a. **Cash Pool investment managers** must invest at least 50% of the portfolio in U.S. Government Securities and/or U.S. Government Agency issues.
 - b. No more than 10% of the portfolio, at cost, can be invested in any single issue, except the investments in U.S. Government Securities and/or U.S. Government Agency issues.
 - c. The weighted average credit quality is to be no less than "AAA" (or its equivalent rating by two national rating agencies) for the **Cash Pool accounts**, "AA" for the **Liquidity Pool accounts** and "A" for the **Diversified Investment Pool accounts**. In addition, the minimum acceptable credit quality at the time of purchase for individual securities shall be "AA" for the **Cash Pool accounts**, "BBB" for the **Liquidity Pool accounts**, and "B" for the **Diversified Investment Pool accounts**. In the event that an investment drops below investment grade, the manager will immediately notify the Treasurer who will confer with the Investment Committee.
 - d. Portfolio holdings will be sufficiently liquid to ensure that 10% of the portfolio can be sold on a day's notice with no material impact on market value.
 - e. Commercial paper must be, at the time of purchase, rated within the highest classification established by not less than two national rating services.
 - f. Eligible instruments for the Cash Pool are those permitted by the Treasurer of the State of Ohio and/or other like investments with similar risk/reward relationships.
 - g. For each **Liquidity Pool investment manager** and each **Diversified Investment Pool fixed income investment manager**, the duration of the portfolios they manage shall be no greater than +/- 20% of the duration of the Lehman Brothers Aggregate Bond Index.
 - h. Bankers' Acceptances are to be rated within the top two rating classifications by any one national rating service. Foreign bank issues are capped at 10% of the total investment in this category.

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- i. Certificates of deposit shall not be invested with any one bank in excess of FDIC limitations without appropriate collateralization.
- j. Investments in non-marketable securities shall not exceed this policy's guidelines.
- k. The investment managers shall not utilize derivative securities to increase the actual or potential risk posture of the accounts. Subject to other provisions in this investment policy statement, the use of primary derivatives, including, but not limited to, Structured Notes⁴, lower class tranches⁵ of Collateralized Mortgage Obligations (CMO's), Principal Only (PO) or Interest Only (IO) Strips, Inverse Floating Securities, futures contracts, options, short sales, margin trading and such other specialized investment activity is prohibited.

Moreover, the investment managers are precluded from using derivatives to affect a leveraged portfolio structure (if options and futures are specifically approved by the University, such positions must be offset in their entirety by corresponding cash or securities).

- l. The investment manager shall handle the voting of proxies and tendering of shares in a manner that is in the best interest of the University and consistent with the investment objectives contained herein.
- m. For diversification purposes, each equity portfolio manager should have in excess of 20 positions.
- n. The investment manager shall immediately notify the University in writing of any material changes in its investment outlook, strategy, portfolio structure, ownership, or senior personnel.

(CONTINUED ON NEXT PAGE)

⁴ Permit investments in "conservative structured notes which are principal guaranteed, unleveraged, and of short to intermediate maturity".

⁵ Lower class defined by Federal Financial Institutional Examination Council (FFIEC)

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I. MANAGEMENT OF INVESTMENTS

Except as provided herein, the Treasurer shall be authorized to implement and administer this policy on behalf of the Board of Trustees and manage the non-endowment funds in accordance with this Policy.

This statement of investment policy shall be reviewed annually. The investment performance will be reviewed on a quarterly basis, aligned with the Board of Trustees' meeting schedule, and the report will be provided by an independent third party. The investment managers may provide any suggestions regarding appropriate adjustments to this statement or the manner in which investment performance is reviewed.

Acknowledged _____
On Behalf of Ohio University

Date: _____

Acknowledged _____
On Behalf of Investment Advisor

Date: _____

Acknowledged _____
On Behalf of Investment Manager

Date: _____

**THE OHIO UNIVERSITY FOUNDATION
INVESTMENT POLICY AND PROCEDURE
FOR INSTITUTIONAL FUNDS**

INTRODUCTION AND PURPOSE

The overriding goal of The Ohio University Foundation Investment Policy and Procedure for Institutional Funds ("Investment Policy") is to support the Mission of Ohio University including teaching, research and creative activity, and benefiting mankind through commercial development of discoveries created through Ohio University related research.

This Statement of Investment Policy is set forth to:

- 1) Define the investment policies, guidelines and objectives of the General Endowment Fund ("Endowment") and the Non-Endowment Investment Fund ("Working Capital") of The Ohio University Foundation as adopted by the Board of Trustees.
- 2) Create a framework from which the Investment Committee can evaluate performance and explore new opportunities to enhance the Endowment.
- 3) Provide guidance for, expectation of, and limitations on all parties bearing investment responsibilities with the Endowment.

I. DELEGATION OF RESPONSIBILITIES

A. Investment Committee

The authority delegated to the Investment Committee ("Committee") is granted by the Board of Trustees as outlined in Article V Section 4 of the Code of Regulations. Consistent with these provisions the members of the Committee as a group have the responsibility to manage the assets of the Endowment in a manner consistent with the policies and objectives of the Endowment. In this regard, the Committee also has oversight responsibility for full compliance with all applicable laws.

The Committee Members are charged with the responsibility of overseeing the management of assets of the Endowment available for investment. The Committee Members shall discharge their duties solely in the interest of the Endowment and for the exclusive purpose of meeting the financial needs of the Endowment. The Committee Members are authorized and permitted to engage the services of registered investment advisors and/or managers who possess the necessary specialized research facilities and skill to render advice regarding the investment of the Endowment consistent with the policies adopted by the Committee.

To conduct business a quorum of Committee Members must be present, either in person or by teleconference. The Committee shall consist of not fewer than four members with greater than half of the members representing a quorum. Each member shall be entitled to one vote and each decision of the Committee shall require the assent of a majority of those voting.

The Investment Committee's responsibilities specifically include:

1. Recommend to the Board of Trustees the investment policies and objectives, asset allocation strategy, and execute them once approved.
2. Advise the Executive Committee on the spending policy guidelines.
3. Approve and engage investment managers and consultants.
4. Approve performance measurement standards
5. Review and evaluate investment results in the context of predetermined performance standards and implementing corrective action as needed.

B. Treasurer

The Committee may by resolution, from time to time, authorize the Treasurer to exercise such responsibilities as it deems appropriate, including but not limited to:

1. Execute, at the direction of the Committee, the investment policies, objectives, and guidelines of the Endowment.
2. Monitor the spending policy of the Endowment
3. Advise as to the consistency of the asset allocation strategy with respect to the objectives of the Endowment as set forth herein.
4. Recommend investment managers or advisors to the Committee.
5. Present the Committee (or have the advisor present to the Committee) with performance evaluation reports on a quarterly basis at each regularly scheduled committee meeting and on a monthly basis for teleconferences.
6. Review and negotiate contracts and fees for current and proposed investment managers, and provide an annual analysis of the funds' cost structure including commissions, investment management, administration, and custodian fees.
7. Communicate investment policies and objectives to the investment managers. Monitor adherence to such policies and report all violations.
8. Assure that the fund's recommended allocation targets are properly maintained and reported on a quarterly basis. Suggest reallocations, based upon recommendations from the investment advisor, as deemed necessary on a quarterly basis.

C. Consultant

At the request of the Investment Committee, the Treasurer may recommend the engagement of an independent investment advisor, investment administrator or consultant to advise the Investment Committee and the Treasurer on such matters as they may, from time to time, request advice, including but not limited to:

1. Reviewing asset allocation and investment strategy on an annual basis to determine if the current strategy meets the cash flow needs of the Endowment and is maximizing the long-term total return of the assets.
2. Reviewing all separately managed accounts to ensure that each investment manager is adhering to the issued policy guidelines.
3. Communicating with all investment management organizations on a quarterly basis to determine portfolio composition and ascertain information concerning organizational change including possible style drift through portfolio holdings and returns-based style analysis as well as prohibited investments).
4. Providing a periodic performance evaluation report and assessment of the Endowment assets.
5. Reviewing asset allocation on a quarterly basis to determine if the current levels are consistent with the asset allocation policy stated in this document.
6. Monitoring the performance of each investment manager retained by the Endowment to determine the performance of the investment product relative to the appropriate benchmark over an appropriate time period.
7. Monitoring the performance of the total portfolio of Endowment assets to determine the performance of the collective investment strategy relative to the appropriate benchmarks over an appropriate time period.

D. Investment Managers

Each investment manager should pursue their own investment strategy within the guidelines as established by the Committee (if applicable) and/or by the applicable legal or contractual requirements (i.e. mutual fund or common trust fund). The Committee would generally expect investment managers to observe the following guidelines:

1. Investing assets under their management in accordance with the guidelines and restrictions as approved by the Committee or the appropriate legal document
2. Exercising discretionary authority over the assets entrusted to them, subject to appropriate guidelines and restrictions.
3. Providing written documentation of portfolio activity, portfolio valuations, performance data, and portfolio characteristics on a quarterly basis in addition to other information as may be requested from time to time.
4. Investment managers shall maintain oral and written communication with the Committee through the Treasurer on a quarterly basis as well as attending meetings with representatives of the Committee as requested.
5. Responsibility for proxy voting resides with the individual investment manager and the Committee expects proxies to be voted with the view toward maximizing the value to the Endowment of the relevant investment. Investment managers shall provide the Committee with a report annually summarizing the voting decisions from these proxies.
6. Notifying the Committee immediately of any litigation or violation of securities regulations in which the investment manager is involved.
7. Notifying the Committee immediately of any changes in portfolio managers, personnel or ownership of the investment management firm.
8. Notifying the Committee of any intent to depart from the stated investment discipline or philosophy of the portfolio manager or investment management firm.

II. INVESTMENT OBJECTIVES and POLICIES

A. General Investment Philosophy of the Investment Committee

The Endowment serves to support the educational mission of the university by providing a substantial and sustainable flow of funds to the operating budget and restricted funds in order to support the long-term goals of the University.

The Committee believes in the economic system of the United States and desires to invest funds, when it deems appropriate, as owners of companies (equities) as opposed to as lenders (owners of fixed income).

The Committee believes generally endowment funds should be invested for the long term.

The Committee is generally willing to accept short term volatility in exchange for superior long term returns.

The Committee wishes to pursue an investment strategy that maximizes total return.

The Committee does not wish to employ strategies that generally pursue "market timing".

The Committee assumes that future market returns will equal long-term historical norms and future market volatility will equal historical norms.

The Committee will utilize caution and conservatism for short-term cash needs.

B. Endowment Objectives:

Investment returns: The long term return objective is growth of principal and preservation of asset purchasing power. The Committee wishes to pursue investment strategies that maximize total return.

C. Endowment Constraints:

1. Liquidity: The Endowment has adopted a "total return" spending policy based upon the formula at Appendix A.

Contributions to the endowment portfolio have ranged from 3 to 8% of the average portfolio value on a per annum basis. Current and future capital campaigns may have an impact upon the annual contribution levels.

2. Time Horizon: The Endowment has an indefinite life (in excess of 20 years) and should be managed with a time horizon past the normal investment cycle. Providing for future generations is an important priority.

3. Taxes: The Foundation operates under Section 501(c)(3) of the Internal Revenue Code, which applies to nonprofit, educational institutions, and charitable organizations. Accordingly, the Endowment has a tax-exempt status.

4. Legal and Regulatory: The plan is governed by the Ohio Uniform Management of Institutional Funds Act (UMIFA), Sec. 1715.51 et seq, R.C., including the limitations set forth in Sec. 1715.52 R.C. with respect to the expenditure of the appreciated value of donor designated funds, and the fiduciary standards of conduct set forth in Sec 1715.56 R.C.

D. Investment Return measurement objectives

The investment objectives of the Endowment are based upon a long-term investment horizon allowing interim fluctuations to be viewed in an appropriate perspective.

Over time, the Endowment will aim to achieve the total fund return goal while maintaining acceptable risk levels. To accomplish this goal, the fund will diversify its assets among several asset classes and styles within each asset class. Appendix B and Appendix C provide permissible asset classes and appropriate index measures of these classes and styles.

The endowment has both an absolute and a relative return objective. The return objectives are net (after) of investment expense.

1. Total Endowment assets should provide an absolute return equal to or greater than the median return in the NACUBO endowment study over rolling 20-quarter periods.
2. Total Endowment assets should outperform, over rolling 12-quarter periods, a composite index created by combining various indices (Appendix B) in the same proportion as the Endowment's target allocation.

E. Asset Allocation

An important decision made by an Investment Committee is the asset allocation decision. Investment research has determined that a significant portion of a fund's investment return can be attributed to (1) the asset classes/styles which are employed by the fund, and (2) the weighting of each asset class/style. It is the goal of the Committee to determine the asset allocation that in its judgment offers the highest probability of achieving the investment objectives, based upon historical capital market

assumptions. The Committee should review the asset mix on a periodic basis and make revisions as necessary.

The target asset allocation (Appendix B) of the Endowment is designed to give balance to the overall structure of the Endowment's investment program over a long time horizon. However, many factors may impact the target allocation, thereby requiring asset allocation review and periodic rebalancing.

F. Active and Passive Management: Both active and passive portfolio management are permissible.

G. Related Party Transactions: The Endowment Fund will not loan funds to related parties defined as an officer, board member, employee, or donor either current or prospective.

H. Security Selection: The Committee has no current guidelines on security selection as to common trust funds or mutual funds owned by the Endowment.

I. Procedure for Revising Guidelines: All investment guidelines may be reviewed and amended by a majority of the Investment Committee at any time and will be reviewed on an annual basis during the Summer Foundation meeting of the Investment Committee.

J. Rebalancing Policy: The Treasurer will recommend to the Committee, in accordance with policy guidelines, action with regards to rebalancing the portfolio to the target allocation on a periodic basis.

K. Gifts of Marketable Securities The Foundation shall utilize a brokerage firm to receive and liquidate gifts of marketable securities. Utilization of a brokerage firm provides the Foundation with the ability to recognize and liquidate stock gifts in a timely and efficient manner. In accordance with IRS regulations, donors will receive gift credit for the average value of the high and low trades of the security on the date of the gift.

It is our goal to liquidate gifts of marketable securities by the close of business on the day subsequent to the official transfer of the ownership of the gift. Recognizing that liquidity and other factors may be involved that could impact the liquidation value, liquidation may be extended to a maximum of 30 days of the official transfer of the ownership of the gift.

So as to avoid adversely affecting the value of marketable securities received

- a) Shares liquidated on one trading day will not exceed 20% of the thirty day average daily trading volume of a stock;

- b) If unusual stock specific or market conditions warrant, shares liquidated on one trading day may exceed 20% of the thirty-day average daily trading volume upon approval by the chair of the Investment Committee or his designee. In no event shall the party to approve liquidation be the donor of the security. The Donor must be notified of these requirements.

L. Gifts of Illiquid or Non-Marketable Securities

Gifts of illiquid or non-marketable securities will be assessed by the staff for the purposes of promptly recommending an exit strategy to the Investment Committee.

Each illiquid or non-marketable security with a stated or assumed value in excess of \$100,000 shall be valued by an independent third party. The Investment Committee shall have the authority to reject such gifts.

M. Non-Endowment Invested Funds

1. Overview

The primary objective for the non-endowment funds (defined as the excess working capital of the Unrestricted Net Assets and the Temporarily Restricted Net Assets) is to enable the Foundation to meet its financial obligations as they come due. A secondary objective is to provide an income source for the use and benefit of the Foundation by achieving investment returns above that of money market instruments.

2. Investment Objective

- a) The primary objectives, in priority order, of the Foundation's non-endowment investment activities shall be:
 - 1) Safety: Safety of principal is the foremost objective of the investment program. Investments of the Foundation shall be undertaken with a primary goal, over time, of the preservation of capital in the overall portfolio.
 - 2) Liquidity: The Foundation's non-endowment investment portfolio should remain sufficiently liquid to enable the Foundation to meet its operating requirements. Portfolio liquidity is defined as the maturity or ability to sell a security on a short notice near the purchase price of the security. To help retain the desired liquidity, no issue shall be purchased that is likely to have few market makers or poor market bids. Additionally, liquidity shall be assured by keeping an adequate amount of short-term investments in the portfolio to accommodate the cash needs of the Foundation.
 - 3) Return on Investments: The Foundation's non-endowment investment portfolio shall be structured with, consistent with 1) and 2) above, the objective of attaining the highest possible "current income" for the investment portfolio while adhering to the restraints and obligations inherent in the current legal construct of a prudent fiduciary. [Third Restatement of Trusts (1990), the Uniform Prudent Investor Act of 1994, and the Uniform Management of Institutional Funds Act, 1715.51. R.C.]

3. Investment Structure

- a) The non-endowment investments shall be divided into two fund pools:

	<u>Pool Allocation</u>	
	<u>Target</u>	<u>Expected Range</u>
Cash Pool	25%	20-40%
Diversified Investment Pool	75%	60-80%

- b) The objective of the **Cash Pool** shall be to meet the day-to-day obligations of the Foundation. It shall be invested in highly liquid instruments affording the greatest security to the principal with the intention of obtaining the highest possible "current income" for the portfolio while adhering to a prudent level of risk. [Permitted investments; Section 8]
- c) The objectives of the **Diversified Investment Pool** shall be to provide the Foundation's non-endowment funds a return that will grow at least as fast as the rate of inflation (as measured by the Higher Education Price Index), and a source of funds in the very unlikely event that the Cash Pool is insufficient to meet the Foundation's day-to-day obligations. The Diversified Investment Pool funds shall be invested consistent with provisions of the Foundation Endowment Policy and shall be structured to mirror the Endowment investments.

4. Management of Investments

Except as provided herein, or from time to time by the Committee, the Treasurer shall be authorized to implement and administer this policy on behalf of the Board of Trustees and manage the non-endowment funds in accordance with this policy.

5. Guidelines for Transactions

As a general guideline that should apply to all assets managed, transactions should be entered into on the basis of best execution, which is interpreted normally to mean best-realized price. Consistent with the above, commissions and fees may be designated for payment of services of agents rendered to the Foundation in connection with investment management.

6. Monitoring of Objectives and Results

- a) All objectives and policies are in effect until modified by the Investment Committee of the Foundation Board of Trustees, which will review these periodically for their continued appropriateness.
- b) Investment performance will be reviewed periodically by the Investment Committee and will contain (but not be limited to) the following information: total return net of all commissions and fees, fees paid for services, current holdings at cost and market value, and purchases and sales for the quarter. Regular communication concerning investment strategy and outlook is expected. The total return will be compared to a relevant index benchmark with the same asset allocation weightings (refer to Appendix B for relevant benchmarks).

7. Permissible Cash Pool Investments

- a) U.S. Treasury Bills, Notes and Bonds
- b) U.S. Government Agencies
- c) US Corporate Bond Obligations. The overall fixed income portfolio shall have a dollar weighted credit rating of a minimum of A as rated by Standard & Poor's or similar rating agency. Non-investment grade debt is permissible but shall not exceed 20% of the portfolio.
- d) P1 commercial paper issued by large companies domiciled in the U.S. No more than 10% of the funds held in the cash pool shall be invested in commercial paper generally.
- e) Repurchase agreements secured by U.S. government and federal agency obligations, which shall have market values of at least 102% of the amount of the repurchase agreement.
- f) Money market funds of commercial banks and other major investment advisors.

APPENDIX A

SPENDING POLICY

I. The spending rate applies to the Endowment (unrestricted and restricted) and will be credited in accordance with each fund contract based on the ratio of the fund units to total fund units.

II. Annual distributions from the fund will be coordinated with consideration of contributions received, an annual review of capital market conditions, operating cash balances, and manager performance. The fund will tend to employ a constant mix strategy.

III. The Treasurer is responsible for coordination of this spending policy process.

IV. This spending policy may be amended by a majority vote of the Foundation Board of Trustees.

V. General Policy. The Ohio University Foundation shall expend in each fiscal year a percentage of the total value of the Endowment equal to the Spending Rate (as defined below). The total value of the Endowment shall be the moving average of the Fair Market Value calculated on a monthly basis for the 36-month period ending with the month for which applicable data is available most closely preceding the month in which a Spending Rate is set. The Spending Rate shall be determined by the Executive Committee of the Foundation consistent with the algorithm below within the twelve month period immediately prior to the Fiscal Year for which spending is to be approved.

VI. Spending Rate. The Spending Rate for any particular year shall be 6% except if the Total Return Rate as of the date on which a Spending Rate is determined exceeds 6% plus the Inflation Adjuster, the Executive Committee of the Foundation may, but shall not be required to, increase the Spending Rate up to the amount such excess is greater than 6% but in no event greater than 9%.

- a. Example 1. If Total Return Rate is 7% and the Inflation Adjuster is 4%, the Spending Rate shall be 6%.
- b. Example 2. If Total Return Rate is 12% and the Inflation Adjuster is 4%, the Spending Rate may, but shall not be required to be, increased by the Executive Committee, but shall not exceed 8%, inclusive.

- c. **Example 3.** If Total Return Rate is 18% and the Inflation Adjuster is 4%, the Spending Rate may, but shall not be required to be, increased by the Executive Committee, but shall not exceed 9%, inclusive.

VII. Additional Information. In setting the Spending Rate for any given Fiscal Year, the Executive Committee may consider any data it deems appropriate, but it shall consider, although it shall not in any way be bound by, a compilation of the cumulative investment return rate on the Endowment since approval of the current spending rate policy (1983) and the cumulative investment return rate over the immediately preceding five years, together with an analysis setting forth the unspent portion of the cumulative investment return.

VIII. **Definitions:**

- a. Fair Market Value. Fair Market Value at any date shall be the value of all assets of the Endowment at their most recent appraised value or, if not reported, at their cost.
- b. Fiscal Year. The fiscal year of The Ohio University.
- c. Inflation Adjuster. The Inflation adjuster for any date shall be the Higher Education Price Index (HEPI) published by Research Associates for the most recent period for which such data is available.
- d. Spending Rate. The percentage of the Fair Market Value of the Endowment determined by the Executive Committee of the Foundation to be spent for a particular Fiscal Year.
- e. Total Return Rate. The total rate of return on the Endowment as of a specified date shall be calculated by dividing the total of dividends, interest, royalties and other license revenues and realized and unrealized appreciation accrued during the year ending on the specified date for such fund, except that any investment for which a market value is not readily ascertainable shall be valued at cost (together "Total Return"), by the monthly average of the amount of such fund exclusive of amounts constituting Total Return for the twelve months immediately preceding such specified date for which data is available.

APPENDIX B

ASSET & STYLE ALLOCATION RANGES

The Ohio University Foundation Endowment

<u>Asset Class</u>	<u>Target %</u> (+/- 5%)	<u>Indices</u>
Large Cap Core Equity	40%	S&P 500
US Small Cap-Public	7%	Russell 2000
International Equity	3%	MSCI EAFE
Equity Excluding Alternative Investments	50%	
Private Equity	10%	Venture Economics
Other Alternative Investments	10%	
Alternative Investments	20%	
Core Fixed Income	30%	Lehman Aggregate
Total	100%	

As of 8/22/02

APPENDIX C

**COMPARATIVE INDICES
 FOR SEPARATE ACCOUNT MANAGERS
 COMMON TRUST FUNDS and MUTUAL FUNDS**

Though the various investment classes and particular styles may not necessarily be represented in the investment portfolio at any one time, the following are shown to represent the industry standard indices which will be used to benchmark the performance of the Endowment.

EQUITY STYLE	COMPARATIVE INDEX
Large Cap Core Equity	S&P 500
Large Cap Value Equity	Russell 1000 Value
Large Cap Growth Equity	Russell 1000 Growth
Mid Cap Core Equity	Russell Mid Cap
Mid Cap Value Equity	Russell Mid Cap Value
Mid Cap Growth Equity	Russell Mid Cap Growth
Small/Mid Core Equity	Russell 2500
Small Cap Core Equity	Russell 2000
Small Cap Value Equity	Russell 2000 Value
Small Cap Growth Equity	Russell 2000 Growth
International Equity	Morgan Stanley EAFE
Emerging Markets	Morgan Stanley Emerging Markets Free
REITS	NAREIT
Private Real Estate	NCREIF
Private Equity	Venture Economics (vintage yr)
Hedge Funds	HFRI Fund-of-Funds
FIXED INCOME STYLE	COMPARATIVE INDEX
Core Fixed Income	Lehman Aggregate
Intermediate Fixed Income (TAA portion)	Lehman Intermediate Govt/Corporate
Short-Term Fixed Income	Merrill Lynch 1-3 Yr. Govt/Corporate

APPENDIX D

INVESTMENT POLICIES & PERFORMANCE GOALS FOR TRADITIONAL INVESTMENT MANAGERS SEPARATE ACCOUNTS ONLY

The following are guidelines for individual managers within specific asset classes:

Equity

1. These constraints do not apply to mutual or commingled funds. The maximum weighting (cost basis) in any one company of the manager's portfolio holding is 5% of the total portfolio value. Additionally, the equity managers shall not have a weighting in excess of 130% of the sector weighting of the appropriate benchmark.
2. The maximum allocation to cash, at any time, will be 5% unless written permission is communicated by the Treasurer.
3. Trading and Execution: Managers should execute trades on a competitive basis, commission, and market impact, as compared to relative size funds.

Fixed Income and short term cash investments

1. All fixed income securities should be of investment grade, unless a specific strategy utilizing below investment grade securities is approved by the Committee.
2. The maximum weighting (cost basis) in any one company of the manager's portfolio holding is 5% of the total portfolio value. This does not apply to U.S. government and agency issues.
3. All cash, dividends, and coupon interest should be invested promptly.

Prohibited Investments

The following types of assets are not considered appropriate (unless approved by the Committee):

Hedge Funds

APPENDIX E

Alternative Investments

Investment Committee Process

A six-member subcommittee of the Investment Committee (the "Alternative Investment Subcommittee") will be given authority to recommend a strategy for managing this asset allocation category within the Endowment and to act, consistent with this strategy and with Committee authorization, in between meetings of the Investment Committee. Reports of any actions taken by the subcommittee will be made at the next regularly scheduled Investment Committee meeting or teleconference. Guidelines:

1. As a general practice, use funds of funds rather than single fund or individual investments.
2. Emphasize domestic companies. Limit foreign exposure to a small allocation; i.e., not more than 15% of the fund.
3. Seek diversification within and among funds selected. Within the "private equity" category this diversification includes but is not limited to venture capital, private companies, buyouts, distressed debt, and mezzanine financing.
4. Seek diversification by vintage year; that is, commit regularly over the course of years. Avoid faux diversification attributable to multiple funds of funds with same vintage year and similar access to managers.
5. Choose managers whose predecessor funds have top-tier performance.
6. Management team should have an established track record of working together and working in the private equity area.
7. Recognize the good sense of committing to follow-on funds of funds with managers already employed.
8. Avoid broker/dealer vehicles in recognition of potential hidden costs and undue influences attributable to broker/dealers generally having multiple, difficult-to-recognize ways to garner revenue from the managed portfolio.

APPENDIX F

Guidelines on Private Equity for The Ohio University Foundation

Definition. For the purpose of this policy "Private Equity" shall be deemed to include venture capital in early stage established companies and shall be understood as investment in vehicles (usually private placement limited partnerships) organized to invest in companies that are generally not publicly traded and are generally small-capitalization companies.

Classification. Private Equity shall be classified as an Alternative Investment component in the investment policy for long-term assets. For purposes of determining compliance with this policy, the measurement of current allocation to private equity on an ongoing basis shall be based upon committed capital (the sum of market value and amounts committed but not yet funded).

Purpose. The primary goal of investing in private equity is to generate high, long-term returns; i.e., expected return significantly higher than the expected return from large-cap domestic, publicly traded equity.

Diversification. Private equity will be implemented with substantial diversification by using multiple vehicles (managers/partnerships/funds) and phased-in implementation. A single fund of funds may satisfy this diversification.

Time horizon. It is understood that this category of investment needs to be made with an unusually long-term time horizon (7 to 12 years) and that investments are highly illiquid.

Professional Management. The Investment Committee may select one or more "fund-of-funds" managers who research and create portfolios of private-equity partnerships, and this fund-of-funds approach is the preferred method of implementing private-equity investment. Fund-of-fund investment managers select well-established private equity funds to build the portfolio in which limited partners such as the Foundation purchase an interest. This method creates broad diversification, delegates the selection of partnerships to the fund-of-funds investment manager, and provides access to the best managers.

The Investment Committee recognizes that the Committee is not in a position to conduct research and due-diligence reviews of individual private-equity or direct investments. From time to time there may be exceptional circumstances when the Foundation Trustees agree that a particular partnership would offer unique strategic benefits to the University. These direct investments in individual private companies in the interests of the University shall be approved by the Trustees of the Foundation.

APPENDIX F
(Continued)

The selection process should include a thorough understanding of the performance record claimed by the manager, the fee structure of the partnership, the “take-down” schedule for turning over capital to the partnership, potential life of the partnership, and the terms for closing the partnership to new investors.

Monitoring. While annual returns and interim valuations do not necessarily provide insight into the investment’s ultimate value, it is nonetheless important that the Investment Committee review on a regular basis the investment results of these private-equity vehicles and their managers.

It is also important to recognize that the standard for reporting performance on venture capital and private equity is “internal rate of return (IRR),” which is a significantly different calculation than time-weighted rate of return, which is the standard used for evaluating managers of stock and bond portfolios. Therefore, caution must be used in making comparisons between the two types of managers and portfolios.

This Investment Policy Statement must be reviewed by the Committee at least once a year and confirmed as appropriate or amended as necessary at that time.



BOARD ADMINISTRATION COMMITTEE/COMMITTEE OF THE WHOLE

Vice President for Finance and Treasurer Richard Siemer presented a University budget summary for the fiscal year 2002 citing revenue, expenditures, eliminations, fund balance trends, and a carry forward summary. A copy of his report is included with the official minutes.

A discussion focused on how carry-forward is derived, who it controls, and the current policy of returning 100% of unspent funds to budget units. It was noted fiscal year unspent funds were used to off set major equipment purchases, capital needs, startup costs for new faculty; and often as a part of strategic long range planning by units. President Glidden noted units were encouraged to be frugal with their resources given the possibility of additional state budget reductions. Trustees asked that carry-forward policies be reviewed and that in the long-term un-spent funds benefit the entire University.

Vice President John Bantle presented the resolution and Mr. Brunner moved for approval. Dr. Ackerman seconded the motion. All voted aye.

SECURITY AGREEMENT UPDATE

RESOLUTION 2002— 1852

WHEREAS, Ohio University periodically has faculty and staff involved in research activity that requires them to have access to classified information, and

WHEREAS, the United States Government requires that the university obtain security clearance as a precondition of its and staff having access to classified information necessary for their research and

WHEREAS, the university has a Managerial Group, as described in the Industrial Security Manual for Safeguarding Classified Information, consisting of the persons occupying the following positions: Robert Glidden, President; Stephen Kopp, Provost; John Bantle, Vice President for Research, and Richard Siemer, Treasurer; and

WHEREAS, the Board of Trustees delegates to this Managerial Group all of its duties and responsibilities pertaining to the protection of classified information under classified contracts awarded to Ohio University, and

WHEREAS, members as named below, of the Board of Trustees and all officers of the university not named as members of the Managerial Group shall be effectively excluded from access to all classified information in the possession of Ohio University and shall not be processed for personnel clearance, and

WHEREAS, the Managerial Group shall review and approve any classified research proposals at the university.

NOW, THEREFORE, BE IT RESOLVED that Ohio University, Cutler Hall, Athens, Ohio, 45701, authorizes the President to take all necessary steps for designating replacements to the Managerial Group and to indicate replacement members of the Board of Trustees for the herein described Board of Trustees exclusion status: Patricia A. Ackerman; R. Gregory Browning; Gordon F. Brunner; C. Daniel DeLawder; M. Lee Ong; M. Marnette Perry; Larry L. Schey, C. David Snyder; and Robert D. Walter

Provost Stephen Kopp presented the resolution and described its effect upon the University. Mr. DeLawder moved approval and Dr. Ackerman seconded the motion. Approval was unanimous.

**HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT
(HIPPA)**

RESOLUTION 2002 – 1853

WHEREAS, The Health Insurance Portability and Accountability Act of 1996 (HIPPA) was signed into law on August 21, 1996, and

WHEREAS, the law includes new protections for working Americans and their families, and places requirements on employers and medical service providers to assure Americans have adequate health insurance, reduce healthcare fraud and abuse, enforce standards for the management of health information and guarantee security and privacy of an individual's health information, including establishing standards for electronic transaction of information, and

WHEREAS, the Ohio University Board of Trustees on behalf of Ohio University desires and intends to be in compliance with HIPPA, its rules, regulations and policies.

NOW THEREFORE, BE IT RESOLVED by the Board of Trustees of Ohio University, that the Ohio University Board of Trustees, The President of Ohio University, its officers, employees and volunteers shall comply with HIPPA, its rules, regulations and policies.

BE IT FURTHER RESOLVED that the Board of Trustees hereby delegates its authority to Ohio University officers and employees to establish, monitor, manage and audit compliance with HIPPA on behalf of Ohio University.

OPEN MEETINGS. This Board finds and determines that all formal actions of the this Board relating to the enactment of this Resolution were taken in an open meeting of this Board, and that all deliberations of this Board and of any of its committees that resulted in those formal actions were in meetings open to the public in compliance with all legal requirements, including Section 121.22 of the Ohio Revised Code.

Adopted: _____

Certified by: _____

**Alan H. Geiger
Secretary to the Board of the
Ohio University Trustees**

VIII. GENERAL DISCUSSION - CALL OF MEMBERS

Members, in turn, welcomed and congratulated new Trustees M. Marnette Perry and Tara Stuckey. A warm welcome was also given to David Wilhelm, chair, board of directors, Ohio University Alumni Association, who sits with the Board by invitation.

Dr. Ackerman stated she values the work individuals do in support of our centers and institutes. She commented she was happy to finally see movement with our diversity efforts and the emphasis on quality. Dr. Ackerman expressed her appreciation to those College of Business students and faculty giving presentations to the Trustees.

Mrs. Perry noted she was delighted to be a part of the Board of Trustees and Ohio University and to be able to support the University's mission to the region and the entire State of Ohio. She indicated she was impressed by the quality of students and by the institute's commitment to diversity.

Mr. Schey formally welcomed Provost Stephen Kopp to the Trustees' meeting and said he, too, was impressed by the quality of students making presentations today. He specifically mentioned the confidence Angela DiMarino gained from her experiences studying abroad.

Mr. Wilhelm stated the Alumni Association is eager to assist the institution in achieving its goals and can be of particular assistance in supporting diversity efforts. He commented the Association is on the move, meeting its challenges.

Mr. Spurlock thanked the chairpersons of Board committees for their good efforts and said he especially appreciated the new directions taken to improve campus diversity.

Mr. Snyder indicated the presentations made by the College of Business students today were spectacular and said we need to keep our focus on why we are here – the students.

Mrs. Ong commented she looked forward to working with Provost Kopp and likes his ideas for the University, particularly his notion of engaging new students early in the learning/living environment of the University.

Ms. Stuckey thanked everyone for making her feel most welcome. She noted her appreciation for those presenting reviews of academic programs and centers and institutes and for the presentations made by her student colleagues in the College of Business.

Mr. DeLawder stated he welcomed the proposals made by Provost Kopp and thanked Vice President Siemer for his work on behalf of the Investment Committee.

Mr. Walter indicated he liked looking at new diversity efforts and how it is the right thing to include those now excluded. He cited the additional benefits from diversity for improving our learning processes.

President Glidden noted how proud he is of our students, citing the outstanding presentations made by students in the College of Business. He thanked Trustees for their support of him and the University and welcomed Marnette Perry, Tara Stuckey, and David Wilhelm. The President formally welcomed Provost Kopp noting he has hit the ground running. He concluded by reporting Ohio University has again been ranked among the top 50 US colleges by *US News and World Report*.

Chairman Brunner stated today's meetings have been productive, laying the groundwork for future initiatives. He noted he finally felt good about our diversity efforts as described by Ereka Perry, including the concept of having those within colleges be responsible and accountable for their efforts. He complimented the College of Business students for their presentations, and Trustees for their commitment to making this service enjoyable.

Concluding his remarks, Chairman Brunner asked Legal Counsel John Burns to opine on the legality of out-of-state residents being appointed to the Board of Trustees. Mr. Burns provided members with an Attorney General's opinion citing constitutional prohibition of such appointments. Trustees stated they would like to see out-of-state alumni join Trustee meetings even if they cannot vote or be appointed. Mr. Brunner said he would pursue the matter.

A copy of the Attorney General's opinion, dated June 25, 1992, is included with the official minutes.

IX. ANNOUNCEMENT OF NEXT STATED MEETING

Chairman Brunner announced the Board of Trustees would meet next on Friday, December 5, 2002 for a meeting/retreat in Columbus, Ohio.

X. ADJOURNMENT

Determining there was no further business to come before the Board, Chairman Brunner adjourned the meeting at 4:00 p.m.

CERTIFICATION OF SECRETARY

Notice of this meeting and its conduct was in accordance with Resolution 1975 - 240 of the Board, which resolution was adopted on November 5, 1975, in accordance with Section 121.22(F) of the Ohio Revised Code and of the State Administration Procedures Act.

Gordon B. Brunner
Chairman

Alan H. Geiger
Secretary

**AGENDA – BOARD OF TRUSTEES BREAKFAST MEETING
FRIDAY, SEPTEMBER 13, 2002
COPELAND HALL**

Room 112/114:

7:30 – 8:15 a.m. Breakfast

Room 104:

8:30 – 8:35 a.m. Welcome and Introductions – Glenn Corlett

8:35 – 8:40 a.m. College of Business Student Body Profile – Mike Bila

8:40 – 8:50 a.m. Student Group Activities – Mike Bila Introduces Representatives
of the Association of Information Technology Professionals
(AITP): Chris Rogers – President
Jeremy Valeda – Conference Chair
Josh Stover – Secretary

8:50 – 9:00 a.m. Student Portfolio Group – Natalie Chieffe Introduces Josh Woodby

9:00 – 9:10 a.m. Virtual Internship Program – Angela Anderson Introduces Dan
Wendorf

9:10 – 9:20 a.m. Global Competitiveness Program – John Keifer Introduces
Brandon Grinwis and Angela DiMarino

9:20 – 9:30 a.m. Sales Centre Presentation – Barbara Dyer Introduces Megan
Murtaugh and Jennifer Steinriede

9:30 – 9:40 a.m. Freshman Engagement Project – Glenn Corlett Introduces Randy
Allen

9:40 – 9:50 a.m. Questions

9:50 a.m. Conclusion of Program

**BOARD OF TRUSTEES BREAKFAST MEETING
FRIDAY, SEPTEMBER 13, 2002
COLLEGE OF BUSINESS – COPELAND HALL**

Trustees:

Patricia Ackerman
R. Gregory Brown
Gordon F. Brunner
C. Daniel DeLawder
M. Lee Ong
M. Marnette Perry
Larry L. Schey
C. David Snyder
Robert D. Walter
Barry Spurlock, Student
Tara Stuckey, Student

Ohio University:

Robert Glidden
Stephen Kopp
Richard Siemer
Alan H. Geiger
Jack Bantle
Josep Rota
Carolyn Ervin

Ohio University Alumni:

David Wilhelm

College of Business Executive

Advisory Board:

Jan Barnard
Bill Sams

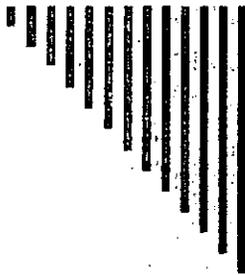
College of Business:

Glenn E. Corlett, Dean
John Day, Assoc. Dean of Academic Affairs
Nanda Rangan, Assoc. Dean of Operations
Mike Bila, Asst. Dean for Student Services
Angela Anderson, Asst. Dean of Career Resources
Mary Strother, Asst. Dean for Development
Catherine Axinn, Chair, Marketing Dept.
Kaye Rakes, Chair, Finance Dept.
Hugh Sherman, Chair, Management Dept.
Ray Stephens, Chair, School of Accountancy
Ed Yost, Director of Graduate Programs
Ken Cutright, Director of Undergrad. Programs
John Keifer, Director, CIBED
Barbara Dyer, Director of The Sales Centre
Thom Luce, Director of MBA W/B
Jack Barr, Director of External Relations
R. Budd Werner, Executive-In-Residence
Natalie Chieffe, Assoc. Professor of Finance
Susan Bauman, Assistant to the Dean

Presenting Students:

Randy Allen, Freshman Engagement
Angela DiMarino, Global Competitiveness
Brandon Grinwis, Global Competitiveness
Megan Murtaugh, Sales Centre
Chris Rogers, AITP Student Group
Jennifer Steinriede, Sales Centre
Josh Stover, AITP Student Group
Jeremy Valeda, AITP Student Group
Dan Wendorf, Virtual Internship
Josh Woodby, Student Portfolio
Abby Greene, Presentation Assistant

teamwork



DIVERSITY UPDATE

“The First 12 Months”



Introduction

Thanks

Trustees

Senior leaders

President Glidden

Deans

Provost Kopp

College representatives

Faculty, Staff and Students



Introduction

- Past Presentations
 - Our findings
 - Quantitative Factors
 - Recommendations
 - Planned Strategies

- Qualitative Aspects



Overview

- Importance of Diversity
- Brief History
- Diversity Office
- College Representatives
- Project GRAD
- Student Profiles
- Templeton and KCP Scholarships



Importance Of Diversity

- Adds important dimensions to student learning process
- Enriches portals of knowledge in various disciplines
- Prepares students for changing social and professional realities because of shift in population demographics
 - 80% of US population reside in urban centers.



Brief History

- Synergy
 - Internal and External factors for student recruitment and retention
 - 38 members
 - 8 subgroups
 - Research and Assessment
 - Admissions
 - Best models
 - Quality of life
 - President's Diversity Council
- | |
|-----------------|
| Early Outreach |
| Financial Aid |
| Curriculum |
| College |
| Representatives |



Brief History

- Recommendations
 - Internal
 - Effective Messages
 - Too Decentralized for Recruitment and Retention
 - Enhancing Support Services
 - External
 - Competition is Keen
 - Early Outreach
 - Small group of eligible students
 - Scholarships



Brief History

- President's Diversity Council
 - Expanded discussion:
 - Academic programs
 - Faculty and staff recruitment and retention
 - Recommendations:
 - Attract more faculty of color
 - Increase diversity courses
 - Enhance African American and Women's Studies programs



Brief History

- President's Provisions
 - Allocated budget and staff resources
- Increase in staff
 - Full-time
 - Erek Perry
 - Sylvester James Aji
 - Shirley Kennedy
 - 3 Graduate Assistants
 - Musonda Kapatamoyo, Nichole Griffin, Laiteisha Dobbins



Diversity Office

□ Vision and Purpose Statement

We are committed to the principles of **respect and civility** as key to preparing students for a diverse society. Providing opportunities to gain knowledge and exposure to diverse perspectives, histories and contributions, are critical to helping all University members flourish in their pursuit of personal, social and professional excellence.

The office promotes diversity in all dimensions of University life. We initiate and support opportunities to learn about racial, ethnic, gender, religious, and cultural differences that result in a deeper regard and appreciation for human diversity. We develop and administer programs that enhance university access and academic success for students from underrepresented groups.



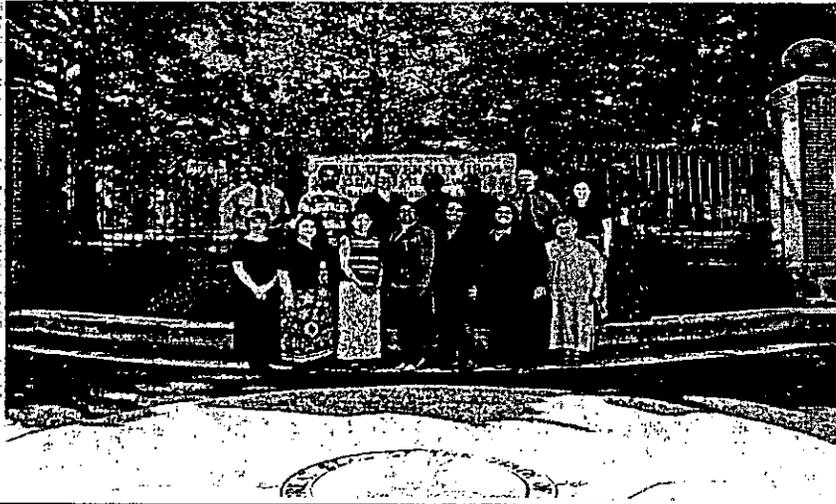
Diversity Office

The focus of our office is to:

1. Assist with the recruitment and retention of underrepresented faculty, staff and students
2. Encourage the development of curricular and co-curricular programs that enhance intercultural dialogue and understanding
3. Provide, in coordination with appointed representatives, academic services and a support network for students participating in the Templeton Scholars and King-Chavez-Parks programs
4. Develop opportunities for Templeton Scholars and King-Chavez-Parks students to participate in research, scholarship, creativity, networking and character education programs
5. Develop early outreach academic enrichment opportunities for freshman and sophomore high school students



College Representatives





College Representatives

- Growth of representatives
 - 1999 (3 college reps)
 - 2000 (5 college reps)
 - Present (12 college reps)
- Dean support
- Retreat
 - Recruitment (cross recruitment)
 - Retention
- University wide recruitment and retention calendar



College Representatives

- Recruitment Programs
 - Arts and Sciences - 1st Day
 - Communication - Journalism workshop
 - Education - New staff
 - Engineering and Technology - WENT/ MENT
 - Fine Arts - Morton Street Dance Center
 - Medicine - HCOP
 - Summer Enrichment
 - EXCEL



College Representatives

□ Retention Programs

- Business - Textbook lending library
- Health and Human Services - Peer mentoring
- University College - LINKS
- Engineering and Technology - PEP
- Education - New Staff
- Medicine - Center for Excellence in Multicultural Medicine



College Representatives

□ Programs

- Academic Districts (student engagement)
- Creating a culture of excellence
- University wide advising

Project Grad



Project Grad

- 2 weeks summer academy of 40 students
- Collaboration between Columbus Public Schools, President's Office and College of Education
- Academic subjects:
 - Math
 - Science
 - English
 - Citizenship



Student Profiles



- Cristina Penarada
 - 1 in 13 students selected nationally
 - 10 weeks Harvard Research Internship focusing on intensive research in Immunology.



- Dalia Wheatt
 - Research and study in Ecuador on an Education Abroad appointment
 - Spent time with native populations of the rain forest
 - Walked along the Earth's equator



Student Profiles



- Dustin Torres
 - 15 weeks internship with Welsh National Assembly in Cardiff, Wales. Will learn legislative process.



- Alexia Finotello
 - 10 weeks research internship at NASA Glenn Research Center



- Jesse Raney
 - 4 weeks in Johannesburg, South Africa
 - Visited University of Pretoria and University of Witswaterand
 - Apartheid Era monument
 - Winnie Mandela's home
 - Squatter camps
 - 1 of 10 OU students selected to attend the "Leadershape Institute"



Templeton & King-Chavez-Parks Programs

□ Vision and Purpose

- The Templeton Scholars and King-Chavez-Parks programs provide valuable educational opportunities designed to enrich the intellectual experiences of talented students from underrepresented populations. The programs promote personal, social, cultural and academic excellence as well as professional development. This vision is achieved through creative programs and faculty mentored research, scholarship, creativity and character education.



Templeton & King-Chavez-Parks Programs

□ Enrollment figures:

Enrollment	Templeton	KCP
Freshmen	10	75
Sophomore	8	84
Junior	11	103
Senior	—	—
Totals	29	262



Templeton & King-Chavez- Parks Programs

- Current Academic Enrichment Initiatives
 - Monday meetings and lecture series
 - Specialized exposure to knowledge, culture and scholarship.
 - Community resources.
 - Networking.
 - Learning communities
 - Academic inter-group dialogue
 - Tutoring
 - Study groups (residential and library)
 - Undergraduate research with faculty mentors
 - Interest survey
 - Faculty linkage
 - Professional academic pursuit



Templeton & King-Chavez- Parks Programs

- Current Academic Enrichment Initiatives
 - Roundtable discussion and group research
 - Student identified topics of choice with social, political, cultural and local or national significance facilitated by faculty each quarter.
 - Presentation to campus community.
 - Templeton and Cutler Scholars Dialogue
 - Meeting of the Minds
 - Discussion and research on public policy
[Fall quarter-Affirmative Action]
 - Community Service
 - Identify needs and provide service to the community.
 - Good works – homeless shelter
 - Habitat for Humanity
 - Re-Use Industries
 - Cancer Fund



Templeton & King-Chavez- Parks Programs

- Peer Mentoring
 - Junior Templetons matched with Freshmen
 - Peer Mentor Match (2 years cycle)
- Academic Districts
 - College Representatives and students
- Alumni Mentors/Career Exploration
 - Linkage
 - Internships
 - Summer programs
 - Employment



Templeton & King-Chavez- Parks Programs

- Summary of Enrollment: Percentage in the Scholarship Programs.

YEAR	ADM	ENR	% IN PROGRAM
2000	672	182	57%
2001	606	173	48%
2003	608	176	42%



Conclusion

□ Thank you

**An Overview of the Academic Quality Improvement Project (AQIP) as an Alternative to the
Traditional NCA Accreditation Process
(Abridged AQIP Brochure)**

With support from the Pew Charitable Trusts, NCA's Academic Quality Improvement Project (AQIP) has developed the structure for an alternative model of accreditation to guide institutions as they focus their own efforts on systematic quality improvement. The components of this new accreditation model differ significantly from NCA's traditional approach to accreditation. Research and experiences concerning the common characteristics, practices, and experiences of high-performing organizations, and the Malcolm Baldrige National Quality Award Program have inspired AQIP.

What is AQIP?

AQIP represents a model of continuous quality improvement in the achievement of institutional mission. This model is based on an assumption that "quality" is not a destination, but a journey. In joining AQIP, an institution agrees to participate in a cycle of workshops, assessments, reports, and activities that will enable it to strengthen its core educational systems and supporting processes, track their performance, and use the results to drive continuous improvement. AQIP will, in consultation with interested institutions, develop a formal contract governing participation, which both the institution and NCA must agree to before the institution begins formal participation. When an institution joins AQIP, NCA will formally reaffirm its continuing accreditation, scheduling the next formal reaffirmation seven years from that date. As long as the institution continues to participate in AQIP, its accreditation will continue. For participating institutions, the formal reaffirmation of accreditation every seven years will be a simple validation process that should not require reports, team visits, or other costly or intrusive processes.

Table 1: Key Differences Between Traditional Reaccreditation Processes and AQIP

Traditional NCA Reaccreditation	The AQIP Alternative
1. Frequency of interaction with NCA Self-study and team visits typically occur every 10 years.	Interactions and reviews will occur on a three-to-five year cycle. Site visits may take place once in a seven year period (or more often if the institution wishes). In addition, an institution has other opportunities to interact voluntarily with peer institutions and with NCA.
2. Contacts between NCA and institutional personnel NCA communicates primarily with the Chief Executive and with Self-Study Committees.	Leaders and leadership teams across the institution may be involved, including faculty, staff, administrators, students, and others, as the institution wishes.
3. Activities and feedback The institution typically spends two years studying itself and putting together a comprehensive self-study report prior to receiving a visit and written report from a visiting NCA team.	The institution completes a succinct self-assessment using a quality based instrument, receives peer feedback, and then develops (with additional peer input and support) a plan for improvement over the next 3-5 years. The cycle then repeats, to foster continuous improvement.
4. Costs Participation in AQIP is likely to cost an institution more than conducting a traditional self-study and hosting a site visit. But the additional costs are investments many institutions will find they must incur to become more competitive and more responsive to stakeholders.	An institution already mounting a serious quality initiative should find it less costly to combine its efforts with AQIP than to engage in a traditional reaccreditation process unaligned with its quality program.

Why institutions might want to participate in AQIP

- Learn new ways to assess itself
- Identify strengths and be able to position itself in the academic market place
- Identify opportunities for improvement and areas for growth or refinement
- Receive objective feedback
- Become part of a growing cadre of educational institutions that continually seek to improve their performance to better serve their stakeholders and earn their praise

Non-prescriptive nature of AQIP

AQIP will not encroach on an institution's right to make its own decisions about its future. The AQIP quality criteria are designed to engage an institution in dialogue with its peers about effectiveness in achieving its own purposes, which are often unique and distinctive. The criteria do not tell an institution what its purposes should be, nor do they dictate strategies or formulas for achieving them. Instead they ask an institution to examine whether it is doing those things which will help it achieve its goals, and whether it is doing them as effectively as possible.

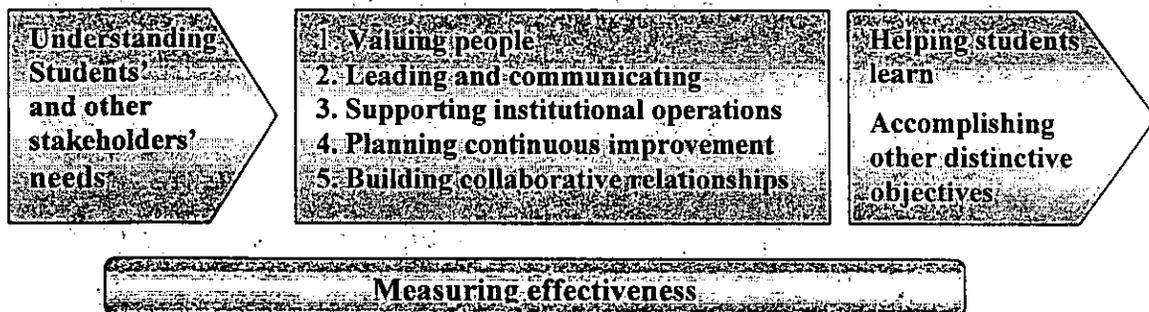
Four steps in the process of joining AQIP

(1) *Interest Exploration*: institution understands quality improvement and AQIP participation, and is ready to embark or continue on a quality journey. (2) *Comprehensive Self-Assessment*: Institution does a quality-based formative assessment of its systems; an outside perspective is required. (3) *Collaborative Goal-Setting Workshop*: Working with peers, institution sets itself challenging but realistic targets for quality improvement using the Quality Criteria (described below). (4) *Institutional Review*: Working with peers, an institution comprehensively analyzes its quality systems, and specifically measures its progress against the targets it sets for itself using quality criteria.

AQIP's 9 Quality criteria

An institution participating in AQIP will regularly use criteria as the framework for a Collaborative Goal-Setting Workshop, in which it works with peers. These criteria will, among other things, assist institutions in creating a climate that values critical self-examination and strives continually for improvement. The framework below illustrates how AQIP's nine quality criteria relate to each other:

Diagram 1: AQIP's Quality Criteria



On the left, 'Understanding students' and other stakeholders' needs' forms the basis for accountability. The center box designates the major systems and activities by which an institution achieves what its students and stakeholders require. The box on the right; highlights core processes contributing to student learning and diversity in character of higher education institutions. Underlying everything, measuring effectiveness, sustains other institutional processes by effectively collecting, storing, retrieving and interpreting the information needed to improve the entire system.

AQIP's website

AQIP maintains a website at <http://www.AQIP.org> that contains up-to-date and exhaustive information about Quality Criteria and other details on the project, participants and activities.

Summary of Possible Action Projects for Ohio University

What appears below repeats *verbatim* the A (title) and B (description) for each Action Project as it appears on the preceding Worksheets.

Action Project 1

- A. Improve Expectations and Attitudes of First-year Students Regarding Active Educational Engagement
- B. This action project has two goals for Ohio University students. The first goal is to build a shared understanding of what it means to be academically and intellectually engaged on campus. To achieve this goal the University will develop communication approaches, materials, and strategies to assist students in developing attitudes and expectations that are essential to student educational success. Efforts to develop these attitudes and expectations will assist marketing, recruitment, and pre-college programs; residence life programs, orientation courses, and first and second year courses. Emphasis will be placed on such expectations and attitudes as understanding the importance of active participation, the effort required for quality class participation and performance, the importance of collaborative interactions, and the need to develop higher order thinking and problem solving skills. The second goal is to build motivation on the part of students for working toward these expectations and attitudes. This will include developing rewards, incentives, and opportunities that encourage the development of these attitudes and expectations
-

Action Project 2

- A. Develop and Support Faculty and Future Faculty Involvement in Enhancing Active Student Engagement in Learning, Research and Creative Activity
- B. This project involves three goals for Ohio University faculty. The first goal is to develop a shared understanding among faculty of the importance of developing a learning-centered research university that fosters student engagement and active learning at all levels. The second goal is to design and implement development programs that provide opportunities for faculty to sharpen their skills in designing active learning experiences with particular attention on undergraduate and graduate research activities as a mechanism for engagement. The prime focus of these programs at the undergraduate level will be on the Breadth of Knowledge aspects of the new General Education Curriculum and on student engagement in large lecture classes; at the graduate level, the prime focus will be on the effective preparation of the future professorate. The third goal under this action project is one of realigning the faculty reward system so that individual faculty goals overlap with departmental and institutional goals in promoting active learning environments, student engagement in and out of the classroom, and the successful implementation of the new General Education Curriculum.
-

Action Project 3

- A. Develop and Support the University Community's Involvement in Enhancing Active Student Engagement
- B. Under the broader goal of creating a learning-centered university, this action project links major elements of the University Community outside the academic programs to the accomplishment of a learning-centered university. This goal aims at linking the residential experience, student affairs programming, information technology, and other academic support programs to the creation of an inclusive community that supports the creation of a learning-centered university. Although this action project may include several components, a key one relates to the structure and design of residence

halls and instructional spaces. Ohio University is currently considering options for replacing/renovating several of its residence halls and remodeling classroom spaces. This project will generate plans for the design of the new or renovated facilities and how they can most effectively support the student engagement goals of the University. This design will include consideration of information technology, student programming, and inclusion of optimal space for such activities as collaborative learning, learner-centered space designs, Residential Learning Centers, and instructional activities.

Action Project 4

- A. Implement a Revised General Education Program in the Context of Enhanced Student Engagement
- B. Currently, Ohio University is initiating the implementation of a new General Education Program and has made substantial investment of institutional time and resources toward this effort. Faculty Senate has approved all but one part of the program (that should be approved in the fall of 2002) and the stage is set for implementing the new curriculum. The first goal in implementing the program is to create guidelines for modification of courses based on the conceptual plan for the new General Education Curriculum and the establishment of a curricular review process to expedite course proposal review. The second goal is to provide a set of funding options for departments participating in general education. These options will provide funding resources to allow for successful implementation of the program. The third goal is to prepare faculty development programs for faculty who need to develop content, skills, strategies, and resources to successfully implement the new curriculum. Of particular importance in these programs is emphasizing instructional approaches that involve active learning. The fourth goal involves designing and implementing an assessment program for the General Education Program.

CENTERS/INSTITUTES

(with review dates)

Arts & Sciences

Contemporary History Institute - Michael Grow (2003)
George V. Voinovich Center for Leadership and Public Affairs - Mark Weinberg (2003*)
Local Government Administration & Rural Development, Institute for - Mark Weinberg (2003)
Intelligent Chemical Instrumentation, Center for - Peter Harrington (2007)
Nuclear & Particle Physics, Institute of - Kenneth Hicks (2006)
Ohio University Cartographic Center - Hubertus Bloemer (2003)
Quantitative Biology, Institute for - Mike Rowe (2005*)
Ring Theory and Its Applications, Center for - S.K.Jain (2006*)

Business Administration

eBusiness, Center for - John Day (2005*)
International Business Education and Development, Center for - John Keifer (2004)
Ohio University Insurance Institute - John Reynolds (2003)
The Sales Centre - Barbara Dyer (2003*)

Communication

International Journalism, Institute of - Robert Stewart (2006)
Scripps Survey Research Center - Guido Stempel (2007)
Telecommunications Center - Carolyn Baily Lewis (2005)
Telecommunication Studies, Institute for - Donald Flournoy (2003)

Education

Cooperative Curriculum Development and Partnerships, Center for - Ginger Weade (2003)
Democracy in Education, Institute for - Jaylynn Hutchinson (2007)
George Hill Center for Counseling & Research - Richard Hazler (2006)
Higher Education, Center for - Steve Howard/Robert Young (2004)
Study and Development of Literacy and Language, Center for the - Ralph Martin, Interim (2003*)

Engineering & Technology

Advanced Materials Processing, Center for - M. Khairul Alam (2006)
Advanced Software Systems Integration, Center for - Charles Parks (2005)
Automatic Identification Education & Research, Center for - James Fales (2004)
Avionics Engineering Research Center - James Rankin (2005)
Institute for Corrosion & Multiphase Technology - Charles Alexander (2003*)
Corrosion in Multi-Phase System Research, Center for - Charles Alexander (2005)
Intelligent, Distributed, and Dependable Systems, Center for - Lomy Welch (2007*)
Ohio Research Institute for Transportation and the Environment - Gayle Mitchell (2003*x)
Geotechnical & Environment Research, Center for - Gayle Mitchell (2003)
Pipe and Underground Structures, Center for - Gayle Mitchell (2003*)
Ohio Coal Research Center - Michael Prudich (2003)
T. Richard and Eleanor K. Robe Leadership Institute - T. Richard Robe (2007)

Health & Human Services

Child Development Center - Cathleen Waller (2005)

International Studies

African Child, Institute for the - Stephen Howard (2003*)

Osteopathic Medicine

Appalachian & Rural Health Research, Center for - Alfred Pheley (2004*)
Somatic Dysfunction Research Institute - John Howell (2003)
Tropical & Geographical Disease Institute - Calvin James (2005)

Provost

Innovation in Technology for Learning, Center for - Ann Kovalchick (2003*)

Research, VP for

Applied and Professional Ethics, The Institute for - Arthur Zucker (2005)
Central Region Humanities Center - Joe Slade (2006*)
Charles J. Ping Institute for the Teaching of the Humanities - Thomas H. Carpenter (2003)
Edison Biotechnology Institute, O.U. - David Wight (2006)
Empirical Study of Language, Institute for the - Danny Moates (2006)
Information Technology Education, Center for - Doug Mann (2005*)
Nanoscale & Quantum Phenomena Institute - Heremans (2006*)
O.U./Tsinghua University Institute for Genetics and Biotechnology - David Wight (2003*x)

University College

Academic Advancement Center - Carolyn Henderson (2003)

CENTERS/INSTITUTES (with dates of review and termination)

Arts & Sciences

Contemporary History Institute - Michael Grow (2003)
George V. Voinovich Center for Leadership and Public Affairs- Mark Weinberg (2003*)
Local Government Administration & Rural Development, Institute for - Mark Weinberg (2003)
Health & Behavioral Sciences, Institute for - (terminated 1997)
Intelligent Chemical Instrumentation, Center for- Peter Harrington (2007)
Mammalian Recombinant Genetics, Institute of- (terminated 1993)
Nuclear & Particle Physics, Institute of- Kenneth Hicks (2006)
Ohio University Cartographic Center- Hubertus Bloemer (2003)
Quantitative Biology, Institute for- Mike Rowe (2005*)
Ring Theory and Its Applications, Center for- S.K. Jain (2006*)

Business

Business Enterprise, Center for- (terminated 87/88)
eBusiness, Center for- John Day (2005*)
Court Administration, Center for- (terminated 89-90)
International Business Education and Development, Center for- John Keifer (2004)
Leadership Studies, Center for - (terminated)
Ohio University Insurance Institute - John Reynolds (2003)
The Sales Centre - Barbara Dyer (2003*)

Communication

Communication Studies, Center for- (terminated)
International Journalism, Institute of- Robert Stewart (2006)
Scripps Survey Research Center - Guido Stempel (2007)
Telecommunications Center - Carolyn Baily Lewis (2005)
Telecommunication Studies, Institute for- Donald Flournoy (2003)

Education

Cooperative Curriculum Development and Partnerships, Center for- Ginger Weade (2003)
Democracy in Education, Institute for- Jaylynn Hutchinson (2007)
Economic Education, Center for - (terminated 1999)
Educational Media Center - (terminated 89-90)
George Hill Center for Counseling & Research- Richard Hazler (2006)
Higher Education, Center for - Stephen Howard/Robert Young (2004)
Study and Development of Literacy and Language, Center for the - Ralph Martin, Interim (2003*)

Engineering & Technology

Advanced Materials Processing, Center for- M. Khairul Alam (2006)
Advanced Software Systems Integration, Center for- Charles Parks (2005)
Automatic Identification Education & Research, Center for- James Fales (2004)
Avionics Engineering Research Center- James Rankin (2005)
Institute for Corrosion & Multiphase Technology - Charles Alexander (2003*)
Corrosion in Multi-Phase System Research, Center for- Charles Alexander (2005)
Intelligent, Distributed, and Dependable Systems, Center for- Lonny Welch (2007*)
Ohio Research Institute for Transportation and the Environment- Gayle Mitchell (2003*x)
Geotechnical & Environment Research, Center for- Gayle Mitchell (2003)
Pipes & Underground Structures, Center for- Gayle Mitchell (2003*)
Ohio Coal Research Center - Michael Prudich (2003)
Stirling Technology Research, Center for - (terminated 1993)
T. Richard and Eleanora K. Robe Leadership Institute - T. Richard Robe (2007)

Fine Arts

Motion Picture Development, Institute for- (terminated 2001)

Health & Human Services

Child Development Center - Cathleen Waller (2005)

Health & Human Services, Institute for- Ann Teske (terminated 2002)

International Studies

African Child, Institute for the - Stephen Howard (2003*)

Osteopathic Medicine

Appalachian & Rural Health Research, Center for- Alfred Pheley (2004*)

Somatic Dysfunction Research Institute- John Howell (2003)

Tropical & Geographical Disease Institute- Calvin James (2005)

Provost

Innovation in Technology for Learning, Center for- Ann Kovalchick (2003*)

VP for Research

Applied and Professional Ethics, The Institute for- Arthur Zucker (2005)

Central Region Humanities Center- Joe Slade (2006*)

Charles J. Ping Institute for the Teaching of the Humanities- Thomas H. Carpenter (2003)

Edison Biotechnology Institute, O.U.- David Wight (2006)

Empirical Study of Language, Institute for the- Danny Moates (2006)

Information Technology Education, Center for- Doug Mann (2005*)

Nanoscale & Quantum Phenomena Institute- Heremans (2006*)

O.U./Tsinghua University Institute for Genetics and Biotechnology- David Wight (2003* x)

Political Communication, Center for- (terminated 1999)

University College

Academic Advancement Center - Carolyn Henderson (2003)