



OHIO
UNIVERSITY

Board of Trustees

Ohio University

Athens Campus

Agenda

June 22, 2012



OHIO
UNIVERSITY

BOARD ACTIVITIES FOR June 21 & 22, 2012 **Ohio University – Athens Campus**

Activity & Committee Meeting Schedule

Thursday, June 21, 2012

- 9:30 a.m. Convene at Margaret M. Walter Hall, Governance Room
- 10:00 a.m. Presentation – Town and Gown Partnerships for the Present and Future: Community Engagement
- 11:45 a.m. Lunch, Alden Library, Mahn Center Reading Room
- 1:00 p.m. University Resources Committee, Margaret M. Walter Hall, Governance Room 104
- 1:00 p.m. University Academics Committee, Margaret M. Walter Hall, Room 125
- 4:00 p.m. Governance Committee, Margaret M. Walter Hall, Room 125
- 4:00 p.m. Audit Committee, Margaret M. Walter Hall, Room 127
- 6:30 p.m. Reception – Trustees, President, First Lady, Executive Staff, Board Secretary and invited guests – Latitude 39, Baker University Center
- 7:00 p.m. Dinner – Trustees, President, First Lady, Executive Staff, Board Secretary and invited guests – Latitude 39, Baker University Center

Friday, June 22, 2012

- 7:30 a.m. Trustee Breakfast, Executive Committee, Wilson Room, Ohio University Inn
- 10:00 a.m. Board Meeting, Margaret M. Walter Hall, Governance Room 104
- Noon Media Availability, Margaret M. Walter Hall, Room 125
- Noon Trustee Luncheon, Margaret M. Walter Hall, Room 127

AGENDA
Board of Trustees' Meeting
Friday, June 22, 2012 – 10:00 a.m.
Governance Room, Margaret M. Walter Hall, Athens Campus

OPEN SESSION

Roll Call

Approval of Agenda

1. Minutes of Board of Trustees' Meeting of April 20, 2012

Comments from the Chair of the Board of Trustees

2. Report from the President

Committee Reports and Information Items and items apart from the Consent Agenda

- University Resources Committee
- University Academics Committee
- Governance Committee
- Audit Committee
- Executive Committee

Consent Agenda

Any trustee may request, in advance of action on the consent agenda, that any matter set out in this consent agenda be removed and placed on the regular agenda for discussion and action.

All matters listed within the Consent Agenda have been distributed to each member of the Ohio University Board of Trustees for reading and study, are considered to be routine, and will be enacted by one motion of the Board with no separate discussion.

- Tab 11: Resolution**, Construction Projects
- Tab 12: Resolution**, Zanesville Recreation Center
- Tab 13: Resolution**, Retirement Plans
- Tab 20: Resolution**, Faculty and Administrative Emeritus/Emerita Awards
- Tab 21: Resolution**, Appointment to Regional Coordinating Councils
- Tab 22: Resolution**, Naming of the Walter C. Clay and Christina Stevens Clay Conference Center
- Tab 23: Resolution**, Naming of the Patricia and Michael McTeague Reading Room
- Tab 24: Resolution**, Naming of the Cora E. Rogge Pavilion
- Tab 25: Resolution**, Approval for Change to Faculty Senate Constitution
- Tab 26: Resolution**, Appointment of National Trustee
- Tab 27: Resolution**, Amendments to the Statement of Expectations
- Tab 30: Resolution**, FY 2013 Audit Plan
- Tab 31: Resolution**, Election of President
- Tab 32: Resolution**, Election of Treasurer

Unfinished Business

New Business

Communications, Petitions, and Memorials

Announcement of Next Stated Meeting Date

Adjournment

AGENDA
University Resources Committee
Margaret M. Walter Hall, Governance Room 104
1:00 p.m. – Thursday, June 21, 2012

3. FY 2013 Budget Update
Resolution, Budget Approval
Resolutions, Student Fee Approvals
4. FY 2012 Sources & Uses Year-end Projection
5. Capital Improvement Plan Update
Resolution, FY 2013 Capital Improvement Plan
6. **Resolution**, Performance Contracting
7. OUHCOM Update
8. Ohio Service Alignment Update/Huron
9. **Resolution**, Mineral Rights Update
10. Capital Campaign Update
11. **Consent Agenda**, Construction Projects
12. **Consent Agenda**, Zanesville Recreation Center
13. **Consent Agenda**, Retirement Plans

AGENDA
University Academics Committee
Margaret M. Walter Hall, Room 125
1:00 p.m. – Thursday, June 21, 2012

14. Academic Quality: Health Sciences and Professions—Dashboard and Accreditations
15. Academic Quality: Dashboard— Tuition Discount, Group 1 Faculty, Group 1 Faculty Retention
16. Academic Quality: Rankings
17. Search Updates
18. Student Affairs: Student Athlete Code of Conduct
19. Promotion and Tenure Report
20. **Consent Agenda**, Faculty and Administrative Emeritus/Emerita Awards
21. **Consent Agenda**, Appointment to Regional Coordinating Councils
22. **Consent Agenda**, Naming of the Walter C. Clay and Christina Stevens Clay Conference Center
23. **Consent Agenda**, Naming of the Patricia and Michael McTeague Reading Room
24. **Consent Agenda**, Naming of the Cora E. Rogge Pavilion

AGENDA
Governance Committee
Margaret M. Walter Hall, Room 125
4:00 p.m. – Thursday, June 21, 2012

- 25. **Consent Agenda**, Approval for Change to Faculty Senate Constitution
- 26. **Consent Agenda**, Appointment of National Trustee
- 27. **Consent Agenda**, Amendments to the Statement of Expectations

AGENDA
Audit Committee
Margaret M. Walter Hall, Room 127
4:00 p.m. - Thursday, June 21, 2012

- 28. ICA Compliance Presentation
- 29. FY 2012 Audit Update
- 30. **Consent Agenda**, FY 2013 Audit Plan

EXECUTIVE SESSION

AGENDA
University Executive Committee
Ohio University Inn, Wilson Room
7:30 a.m. – Friday, June 22, 2012

- 31. **Consent Agenda**, Election of President
- 32. **Consent Agenda**, Election of Treasurer

EXECUTIVE SESSION

Resolution 2009 - 3114

Statement of Expectations for Members of the Board of Trustees of Ohio University

Adopted by the Board of Trustees on April 24, 2009

This Statement of Expectations is intended to provide guidelines and information to assist members of the Board of Trustees in fulfilling their roles and responsibilities in service to Ohio University and the citizens of the State of Ohio.

1. The Role of the Board

- a. The Board of Trustees is the governing body of Ohio University. It is a body politic and corporate under Ohio law and has the right to sue and be sued. The General Assembly has conferred upon the Board the authority to: adopt rules for the governance of the institution; hire and supervise the President, faculty and staff; oversee university finances; and control university property and facilities.
- b. The Board serves the citizens of the State of Ohio. It is responsible for ensuring that the university offers students an educational experience of the highest quality and produces research that provides economic and cultural benefits to the citizens of Ohio. It is also responsible for making efficient and effective use of state resources by working with the Governor, the Board of Regents and the other state universities through the University System of Ohio.
- c. The Board's primary concerns are strategic governance and accountability. It should adopt a strategic plan designed to ensure the long-term fulfillment of the university's teaching, research and service mission, monitor progress in achieving the plan's goals and update the plan as necessary. It should provide oversight to protect the university's fiscal integrity and make sure that the President, faculty and staff comply with all applicable laws and perform their responsibilities ethically and competently.
- d. The Board should adopt a procedure governing the creation and monitoring of corporate entities affiliated with the university.
- e. The Board should govern through the President and should refrain from becoming involved in day-to-day operations.
- f. The Board should recognize the important role that the principle of shared governance plays in institutions of higher education. It should seek input from faculty, staff and students and whenever possible incorporate their views into its decisions.

2. The Role of Individual Trustees

- a. Members of the Board of Trustees are stewards of the public trust. They have a fiduciary obligation to act in the best interests of the university and the State of Ohio. They must adhere to the highest ethical standards and perform their university duties without regard to any personal interests they may have. Trustees should understand and comply with state ethics laws and keep themselves informed of developments in these laws. They should avoid situations that may give rise to even the appearance of a conflict of interest and promptly disclose any conflicts of interest that may occur.
- b. Trustees should understand that they serve the institution as a whole and are not advocates for any particular unit or constituency of the university.
- c. Student Trustees have a unique responsibility to ensure that the views of students are heard in Board deliberations. They should also share with other students the Board's perspectives on University issues. In performing both of these functions, they should keep in mind the needs of all constituencies within the university.
- d. Service on the Board is a time consuming professional commitment. Trustees should attend all meetings of the Board and committees and should give notice to the Chair when they are unable to do so. Trustees should also make an effort to participate in conferences and other programs designed to educate and update Trustees and to attend commencements, convocations and other special events on campus.
- e. Trustees should be attentive during meetings and refrain from multitasking. They should treat the opinions of their colleagues on the Board as well as others participating in Board discussions with civility and respect and should be open to alternative points of view. They should respect and protect the confidentiality of matters discussed in executive sessions and should refrain from publicly or privately criticizing other Trustees or impugning their motives.
- f. Trustees should strive to make informed decisions based on an analysis of objective data. In their deliberations they should rely on the application of sound management principles and prudent business judgment. To ensure thorough consideration of Board decisions, they should review briefing materials and be prepared to actively participate in discussions.
- g. In order to make good decisions, Trustees need to engage in robust and thorough discussions of university issues in public meetings. Disagreements will occur and Trustees should seek productive ways to resolve them. Once a consensus is reached on an issue, all Trustees should respect the final decision of the Board.
- h. Trustees should keep themselves informed about issues and events at the local, state and national level that may affect the university and higher education in general.
- i. Trustees are encouraged to offer financial support to the university in accordance with their means.

- j. Trustees should understand and comply with the Ohio Public Records and Open Meetings Laws and should keep themselves informed of developments in these laws.

3. The Board's Relationship with the President

- a. The Board delegates responsibility for all aspects of institutional management to the President. The Board and individual Trustees should refrain from involvement in operational matters except as necessary to fulfill their fiduciary duties.
- b. The Board and the President should agree on clearly defined institutional goals and strategies for achieving them.
- c. The Board should hold the President accountable for achieving institutional goals. Evaluation of the President should be an ongoing process with the Board offering candid and constructive feedback as necessary. In accordance with Board policy, formal evaluations should be conducted on a regular basis.
- d. The President reports to the Board as a whole and not to individual Trustees. Trustees who have concerns about the President's performance should convey them to the Board Chair who will take appropriate action to address the concern. The Chair will report back to the Trustee who raised the concern in a timely manner.
- e. Individual Trustees should develop a comfortable working relationship with the President. They are encouraged to interact with the President one-on-one as needed to share information, concerns or advice but they should remember that when they do so they are not speaking for the entire Board.

4. The Board's Relationship with Internal Constituencies

- a. Trustees are encouraged to interact informally with administrators, faculty and students, bearing in mind that they do so as individual members of the Board. They should avoid any statements that would give rise to the perception that they speak for the entire Board.
- b. When interacting with faculty, staff and students, Trustees should not disclose matters deemed confidential by the Board in executive session, advocate for their personal position on university issues or criticize other members of the university community.
- c. Trustees should submit requests for information about institutional issues to the Board Secretary who will facilitate a response from the appropriate university official.
- d. Consistent with the principle of shared governance, the faculty, through the Faculty Senate, plays an active advisory role to the administration and the Board of Trustees on all academic matters, including but not limited to academic standards, research, admissions, curriculum and the granting of degrees. The Faculty Senate initiates policies relating to university-wide academic matters, the rights and responsibilities of faculty and faculty grievances. The Board should respect the role of the Senate in these areas and should also

consider advice from the Senate on matters of general concern to the university community.

- e. The Board should encourage the President and administrators to involve individual faculty and students in the development of institutional goals and priorities. The active participation of faculty and students in these matters will give them a broader understanding of institutional governance and will enrich the Board's understanding of faculty and student views on university issues.

5. Relationships with External Entities

- a. The Board Chair is the only Trustee authorized to make public statements on behalf of the entire Board.
- b. When asked to comment on Board actions or deliberations, Trustees may defer to the Chair or the President. If Trustees choose to speak publicly on issues relating to the university or higher education in general they should make it clear that they are stating their personal views and are not expressing the formal position of the Board or the university.
- c. When individual Trustees communicate with federal, state or local officials on issues relating to higher education, they should take care not to create the perception that they speak for the Board or the university unless they have been authorized by the Chair or the Board to do so.
- d. When individual Trustees are presented with concerns about university operations, these matters should be communicated to the President and/or the Chair.
- e. While Trustees should seek information and ask questions of others, they should refrain from publicly criticizing the President or other members of the University Community. Criticisms or concerns that Trustees may have about the President or other members of the University Community should be conveyed to the Chair who will determine the appropriate method for the Board to address the issue.



The Ohio University Board of Trustees By-Laws as Amended

Revised April 24, 2011

Revised February 10, 2010

Revised January 23, 2009

Revised February 8, 2008

Revised July 14, 1989

Revised June 23, 1990

Revised September 20, 2002

Revised December 17, 2004

Article I. Corporate Authority and By-Laws

Section 1. Since by Federal and State law, there shall be and forever remain in the said university, a body politic and corporate, by the name and state of The President and Trustees of the Ohio University in the name and style of The Ohio University. The Ohio University Board of Trustees, hereinafter referred to as the Board, chooses to be governed by these By-Laws and the applicable provisions of Ohio law.

Section 2. The adoption of these By-Laws by the Board automatically nullifies all previous By-Laws.

Section 3. No By-Laws shall be enacted, amended, or repealed, except by a majority vote (5 votes) of the Board, and then only after thirty (30) days notice of a proposed change has been given to all members.

Section 4. The Board is composed of nine Trustees and two student Trustees, all appointed by the governor of the State of Ohio in accordance with Section 3337.01 of the Ohio Revised Code. The Board shall also include two national Trustees and the chair of the Ohio University Alumni Association Board of Directors or his or her designee. One national Trustee shall be appointed by the Board for a term of one year beginning on July 1, 2010. One national Trustee shall be appointed by the Board for a term of three years beginning on July 1, 2010. Thereafter, both national Trustees shall serve terms of three years.

Section 5. The nine Trustees appointed by the Governor will hold voting privileges. The two student trustees, the two national trustees and the chair of the Ohio University Alumni Association Board of Directors may not vote on Board matters but their opinions and advice will be actively solicited and welcomed in Board deliberations.

Article II. Officers of the Board

Section 1. Officers of the Board shall be as follows:

- (a) Chairperson
- (b) Vice-Chairperson
- (c) Secretary
- (d) Treasurer

Section 2. The Chairperson shall preside at all meetings of the Board, and unless otherwise directed by the Board, shall have the authority to appoint members of and to fill vacancies on all standing and special committees. He or she shall serve as Chairperson of the Executive Committee. Subject to these By-Laws, he or she shall fix the date and time of all regular, special, and emergency meetings, and perform such other duties as may be pertinent to the office of the Chairperson.

Section 3. The Vice-Chairperson, in the absence or incapacity of the Chairperson, shall assume the duties and obligations of the Chairperson.

Section 4. The Secretary shall keep minutes of all Board meetings and shall promptly distribute copies to all Board members. He or she shall be responsible for the orderly preservation of all records pertaining to Board business, and shall perform all other duties usual to the office or imposed by the Chairperson or by Board action.

Section 5. The Treasurer shall be responsible for the fiscal management of the University, including supporting budget preparation, the preparation of all officially required financial reports, investments, coordination of audits with auditors, including federal and state auditors, relationships with financial reporting agencies, and all other financial responsibilities generally or specifically assigned by the Board or the President.

Article III. Election of Officers

Section 1. The Chairperson, Vice-Chairperson, Secretary, and Treasurer shall be elected annually by the Board.

Section 2. The Chairperson and Vice-Chairperson shall each serve for one year and shall be eligible for re-election to their respective offices for a period up to three (3)

consecutive years. The Secretary and the Treasurer shall be eligible for annual election to these offices without a yearly limitation.

Article IV. The President and Presidential Duties

Section 1. On the basis of mutual good faith and any contractual relationship pointing to continuous service, the President of the University shall be elected from year to year, and shall be entitled at all times to one (1) year severance notice or one (1) year salary if terminated.

Section 2. The President shall attend all meetings of the Board and shall, in an advisory capacity, have a voice in its deliberations. He or she shall have the authority to initiate any subject at Board meetings.

Section 3. The President shall be responsible to the Board for the administration and discipline of the University.

Article V. Meetings

Section 1. Regular Meetings. The Board shall hold no fewer than five (5) regular meetings a year, with the date and time fixed in accordance with the provisions of Article II. Section 2.

Section 2. Special and Emergency Meetings. Special and emergency meetings may be held upon the call of the Chairperson or upon the written request of three (3) Board members to the Secretary.

Section 3. Notice of Meetings. The Secretary shall notify all Board members and the President at least five days in advance of all regular and special meetings and at least one day in advance of all emergency meetings. The policy designated "Notification Procedures for Meetings," which has been adopted by the Board pursuant to Revised Code Section 121.22, is hereby incorporated by reference into this section, and the Secretary shall carry out his or her responsibilities under that policy in accordance with its provision for all meetings.

Section 4. Attendance. It shall be the policy of the Board to require full attendance at all meetings of the Board and committees in accordance with Revised Code Section 3.17. Excuses for absence from meetings shall be communicated to the Secretary at least two (2) days before meetings. Persistent unreasonable absences in violation of Ohio law shall be cause, at the pleasure of the Chairperson, for reporting such delinquency to the appropriate authority of the State of Ohio.

Section 5. Quorum. For the purpose of doing business, a majority (5 voting Trustees) of the Board membership shall constitute a quorum; however, a vote of two-thirds (6 votes) of the voting Trustees shall be necessary to elect or remove a President; and a vote of a

majority (5 votes) of the voting Trustees shall be necessary to authorize the sale or lease of a University building or the planned demolition of a University building.

Section 6. Agenda. The Secretary shall consult with the chairs of the Standing Committees and then prepare a proposed agenda for each Regular Meeting. The proposed agenda shall be delivered to the President for his or her review and then to the Chairperson of the Board for final approval.

Article VI. Standing and Special Committees

Section 1. Standing Committees of the Board, consisting of no fewer than three (3) members each, shall be appointed annually or for longer terms by the Chairperson of the Board, and each Standing Committee shall consider and make recommendations for action by the Board on the various policy matters enumerated below as follows:

(a) University Academics. Responsibilities will include the academic plan; enrollment management; student life; intercollegiate athletics; diversity; research and technology transfer policies and activities; information technology; communications and marketing; academic appointments; promotion and tenure policies and procedures; academic program reviews; and awarding of degrees.

(b) University Resources. Responsibilities will include financial operations; business organization and practices; human resources; university advancement; relations with local, state, and federal legislative and administrative agencies; recommending of the schedule of tuition and fees; borrowing of funds; naming, location, planning, construction, and maintenance and renovation of the University's facilities and grounds; the purchase, sale and lease of lands and buildings; reviewing and monitoring of all investments including the endowment; contract oversight on public utilities and other large contracts; and recommending of investment policy, advising the Board on investments and appointment of investment advisors to assure compliance with Section 3345.05 ORC.

(c) Audit. Responsibilities will include the oversight of the internal audit functions, annual or other periodic audits of financial operations, the recommendation of the appointment of an external audit firm to the Board of Trustees, the receipts of the reports of the internal auditor and the external audit firm, and the university's accountability and compliance procedures.

(d) Governance. Responsibilities will include the recommendation of general governance policies and procedures, the nomination of Board officers and recommendation of candidates for future trustees and national trustees. At the last meeting in each fiscal year, the Committee shall review these Bylaws to determine whether any changes are appropriate and shall recommend any such changes to the Board of Trustees.

(e) Executive. Responsibilities will include consulting with the President on the appointment of executive officers and business not specifically assigned to another Standing or Special Committee.

Section 2. The Executive Committee shall be made up of the Chair and Vice Chair of the Board of Trustees and the Chairs of University Academics and University Resources Committees and have broad powers to act in all matters not deemed by the Chairperson of the Board and the President of the University as of importance to command the immediate attention of the entire Board. All actions of the Executive Committee shall be subject to approval by the Board, except those wherein the Board has delegated to the Executive Committee or the President full power to act for the Board.

Section 3. Special committees may be appointed by the Chairperson of the Board for the purpose as the Board may deem necessary.

Section 4. The Chairperson of the Board and the President or designee shall be ex-officio members of all Standing Committees and Special Committees; however, neither is eligible to serve as a voting member of a Standing or Special Committee, in his or her ex-officio capacity.

Article VII. Parliamentary Authority

Section 1. When not in conflict with any of the provisions of these By-Laws, the Robert's Rules of Order Newly Revised shall govern the proceedings of the Board.



OHIO
UNIVERSITY

Board of Trustees

O h i o U n i v e r s i t y

Minutes

April 20, 2012

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

April 20, 2012

**Walter Hall
Ohio University, Athens Campus**

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

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- A President’s Report
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- C University Resources Committee
- D University Academics Committee
- E Governance Committee
- F Audit Committee
- G Executive Committee

CALL TO ORDER

Chairperson C. Robert Kidder called the meeting of the Ohio University Board of Trustees to order at 10:00 a.m.

Chair Kidder requested the roll be called by Board Secretary, Thomas E. Davis.

ROLL CALL

Present—Chairperson C. Robert Kidder, Vice-Chairperson Gene T. Harris, and Trustees Sandra J. Anderson, Janetta King, Kevin B. Lake, N. Victor Goodman, and David Brightbill.

Not Present— Trustee David Wolfort and National Trustee Frank Krasovec.

Also in attendance were Ohio University President Roderick J. McDavis, National Trustee Henry Heilbrunn, Alumni Representative Arlene Greenfield, Student Trustees Danielle Parker and Allison Arnold, and Board Secretary Thomas E. Davis.

Chair Kidder introduced a special presentation by the Ohio University men's basketball team. The team came forward and President McDavis reviewed the team's accomplishments over the past year. The men's basketball team won the most games in the school's history with a record of 29-8 overall record, and a 11-5 record in the Mid-American Conference (MAC), was the MAC tournament champions, and was seeded 13th in the NCAA's men's college basketball tournament. Their NCAA tournament run included wins over heavily favored Michigan, South Florida, and a last minute overtime loss to #1 seeded North Carolina. President McDavis expressed his pride in these student athletes and announced they would all be returning next season. President McDavis welcomed two captains, D.J. Cooper and Walt Offutt, to say a few words on behalf of the team.

D.J. Cooper conveyed the team's appreciation of the support during the season, on which they hope to build upon next season.

Walt Offutt also shared the thanks of the team for the support that runs through Ohio University.

President McDavis introduced the new head coach of the men's basketball team, Jim Christian. Coach Christian came to Ohio University from Texas Christian University where he successfully turned their program around. He was the former head coach at Kent State and is currently holds the most wins of any coach in MAC history. Finally, Coach Christian is married to an alumna of Ohio University and President McDavis expressed his pleasure in bringing both of them to Athens.

Coach Jim Christian acknowledged how humbling it is to hear the accolades given to this year's basketball team. He acknowledged the great work of former men's basketball head coach, John Groce, and he hopes to continue to make the OHIO community proud.

President McDavis acknowledged the work of Ohio University's athletic director, Jim Schaus, which resulted in the first ever bowl game victory for the football team and the most wins ever by the basketball team. These results tied OU with Michigan State for the most combined men's basketball and football Division I wins in the nation.

Student Trustee Allison Arnold expressed her appreciation to the team for getting the student body engaged and stated the returning player's decision to remain in school speaks to what it means to be a Bobcat. Trustee Brightbill and Trustee Harris both shared their appreciation.

On behalf of the basketball team, President McDavis presented Chair Kidder, an alumna from the University of Michigan, with a t-shirt commemorating OU's victory over Michigan in the NCAA tournament.

Chair Kidder expressed his joy in the team's accomplishments and the team was dismissed.

APPROVAL OF THE CONSENT AGENDA

Chair Kidder presented the Consent Agenda items to the Trustees for action. It is important to note that any trustee may request, in advance of action on the consent agenda, that any matter set out in this consent agenda be removed and placed on the regular agenda for discussion and action. All matters listed within the consent agenda have been distributed to each member of the Ohio University Board of Trustees for reading and study, are considered to be routine, and will be enacted by one motion of the Board with no separate discussion.

Chair Kidder announced that one consent agenda item regarding emeriti faculty appointments was removed from the consent agenda in order to add more recipients to the resolution. The consent agenda also included the approval of the minutes from the January meeting of the Ohio University Board of Trustees. Trustee Harris moved for the approval of the consent agenda with the one item removed and Trustee Brightbill seconded the motion. There was no discussion and the motion carried by unanimous vote.

**APPROVAL OF PROJECT AND AUTHORIZATION TO DEVELOP CONSTRUCTION DOCUMENTS, RECEIVE
BIDS AND AWARD CONSTRUCTION CONTRACTS FOR
JEFFERSON HALL ROOF REPAIR/REPLACEMENT,
HOUSING PARKING GARAGE CEILING REPLACEMENT,
SCRIPPS COLLEGE OF COMMUNICATION PHASE I, AND COMPOST FACILITY EXPANSION**

RESOLUTION 2012-3257

WHEREAS, four capital projects have been planned, developed and funded as follows:

- Jefferson Hall Roof Repair/Replacement with a total project budget of \$3.0 million to be funded from the Residential Housing Auxiliary reserve,
- Housing Parking Garage Ceiling Replacement with a total project budget of \$570,000 to be funded from the Residential Housing Auxiliary reserve,
- Scripps College of Communication Project, Phase 1, with a total revised project budget of \$22.5 million with the following revised fund sources:
 - \$2.4 million from FY2007 – FY2008 House Bill 496,
 - \$2.5 million in both received and anticipated gifts,
 - \$17.6 million from the University's Series 2012 debt issuance, and
- Compost Facility Expansion, with a total revised project budget of \$1,670,000 with the following revised fund sources:
 - \$1,090,000 from an American Recovery and Reinvestment Act grant
 - \$580,000 in state appropriations.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees authorizes the receipt of bids and the President or his designee to accept and award construction contracts within the total project budgets identified.

ESTABLISHMENT OF UNIVERSITY QUASI-ENDOWMENTS

**STRATEGIC RESEARCH ENHANCEMENT and
HUMANITIES RESEARCH FUND**

RESOLUTION 2012 -3258

WHEREAS, The Board of Trustees of Ohio University is responsible for oversight of the financial condition of the institution, and **WHEREAS**, the Board of Trustees has the ability to establish quasi-endowments, or funds functioning as endowments, to be utilized at the discretion of the University, and

WHEREAS, The Ohio University Foundation Board of Trustees and, specifically, the Investment Sub-Committee is entrusted by The Board of Trustees of Ohio University with the oversight to invest funds established as University quasi-endowments, and

WHEREAS, University quasi-endowments are invested alongside endowments of the University and The Ohio University Foundation and managed in accordance with The Ohio University Foundation's investment policy and spending policy, and

WHEREAS, the following two quasi-endowments are requested to be established:

- Strategic Research Enhancement Quasi-Endowment – requested by the Vice President for Research and Creative Activity and Dean of the Graduate College; funding from the quasi-endowment, with an initial corpus of \$10.9 million, will support the University's Technology Transfer Office in its pursuit to encourage research and development that will result in future royalty streams for the institution, and
- Humanities Research Fund Quasi-Endowment – requested by the Interim Dean of Arts and Sciences; funding from the quasi-endowment, with an initial corpus of \$1.0 million, will support research in the field of humanities.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby approves the establishment of the above listed funds.

BE IT FURTHER RESOLVED, that the Treasurer of Ohio University, be and hereby is, directed and authorized to administer policies and procedures to manage this quasi-endowment.

**FACULTY FELLOWSHIP AWARDS
RESOLUTION 2012-3259**

WHEREAS, the proposed University Faculty Fellowships on the attached list have been reviewed in accordance with University policy and found to be meritorious.

THEREFORE, BE IT RESOLVED that the attached University Faculty Fellowships for 2012-2013 be approved, and

BE IT FURTHER RESOLVED that the Executive Vice President and Provost can approve changes in the conditions of the fellowships but not the total number of fellowships granted for the academic year.

**VICE PRESIDENT OF RESEARCH & CREATIVE ACTIVITY
NAME CHANGE OF THE ARHI DIABETES CENTER @ OHIO UNIVERSITY HERITAGE COLLEGE OF
OSTEOPATHIC MEDICINE
TO THE DIABETES INSTITUTE AT OHIO UNIVERSITY**

RESOLUTION 2012-3260

WHEREAS, efforts at Ohio University to understand and treat diabetes increasingly involve collaborations across colleges, and

WHEREAS, the new name reflects the institute's more comprehensive mission, the aims of the Osteopathic Heritage Foundations grant, and the work being undertaken to develop an Ohio University Health Sciences Center, and

WHEREAS, the proposed name has the support of the Faculty involved with the center, the Executive Vice President and Provost, the Vice President for Research and Creative Activity, the Dean of the Heritage College of Osteopathic Medicine, and the Dean of the College of Health Sciences and Professions.

THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby approves that the ARHI Diabetes Center @ Ohio University Heritage College of Osteopathic Medicine be renamed The Diabetes Institute at Ohio University.

**OHIO UNIVERSITY HERITAGE COLLEGE OF OSTEOPATHIC MEDICINE
CREATION OF A DEPARTMENT OF OSTEOPATHIC MANIPULATIVE MEDICINE**

RESOLUTION 2012-3261

WHEREAS, the Heritage College of Osteopathic Medicine has indicated that the creation of a Department of Osteopathic Manipulative Medicine will serve a critical function for the college's future, and

WHEREAS, the proposed department has the support of the Faculty and Dean of the Heritage College of Osteopathic Medicine, the Executive Vice President and Provost, and has been deemed by representatives of the University Curriculum Council and the Regent's Advisory Committee on Graduate Study to be feasible without further review or approval, and

WHEREAS, the establishment of the department involves no change in the graduate medical program name, curriculum, or delivery method but involves a change in the organizational structure within the college.

THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby approves the creation of a Department of Osteopathic Manipulative Medicine in the Ohio University Heritage College of Osteopathic Medicine.

**COLLEGE OF HEALTH SCIENCES AND PROFESSIONS
SCHOOL OF APPLIED HEALTH SCIENCES AND WELLNESS
DIABETES CERTIFICATE**

RESOLUTION 2012-3262

WHEREAS, the School of Applied Health Sciences and Wellness has proposed offering an undergraduate Diabetes Certificate, and

WHEREAS, the proposed certificate has the support of the Faculty and Dean of the College of Health Sciences and Professions, the University Curriculum Council, and the Executive Vice President and Provost, and

WHEREAS, the proposed certificate is unique for Ohio University because it focuses on a specific disease that is of intense local interest due to its high prevalence locally and nationwide, and

WHEREAS, this program reaches beyond the classroom, providing undergraduate students from various disciplines an opportunity to become more familiar with diabetes and its management, and

WHEREAS, the development of this certificate program will be partially funded by an 1804 grant.

THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby approves offering the Diabetes Certificate by the School of Applied Health Sciences and Wellness.

**RENAMING OF THE “OU-COM SOCIETY OF ALUMNI AND FRIENDS CAFÉ”
RESOLUTION 2012-3263**

WHEREAS, the Osteopathic Heritage Foundations and Charles R. and Marilyn Y. Stuckey’s Academic and Research Center welcomes students, faculty, staff, alumni and visitors to learning and discovery into the 21st Century, and

WHEREAS, the facility allows for the exploration and advancement of medicine and clinical treatments, science, engineering and technology, and

WHEREAS, partnerships between Ohio University’s Russ College of Engineering and Technology and College of Osteopathic Medicine allows researchers to meet and discuss projects, which, in turn, may inspire the creation of new knowledge, and

WHEREAS, the partnerships established by this facility will help advance the field of bioengineering and will create opportunities for Ohio University students, and

WHEREAS, the generous support of many donors for spaces and areas within the Osteopathic Heritage Foundations & Charles R. and Marilyn Y. Stuckey Academic and Research Center is providing this integrated learning experience.

THEREFORE, BE IT RESOLVED at the request of the OU-HCOM Society of Alumni & Friends that the space currently named “OU-COM Society of Alumni & Friends Café” be re-named “Jack’s Place” in honor of John A. Brose, D.O., Dean of the Heritage College of Osteopathic Medicine for his extraordinary contributions to Ohio University, the osteopathic profession and, to recognize him for the difference he has made in the lives of so many students, physicians, medical researchers and peers.

MEETING DATES FOR SUCCEEDING YEAR

**Designation of Stated Meeting Dates for Years Beginning
July 1, 2012 and Ending June 30, 2013**

RESOLUTION 2012-3264

RESOLVED that the following dates be designated the stated meeting dates for the year beginning July 1, 2012, and ending June 30, 2013.

September 6, 2012 (Meeting)
September 7, 2012 (Retreat)

November 15-16, 2012

February 7-8, 2013 (Eastern Campus)

April 18-19, 2013

June 20-21, 2013

COMMENCEMENT
May 11, 2013 - OUCOM
May 3, 2013 - Graduate
May 4, 2013 - Undergraduate

RESOLVED further that, if conditions dictate, the Executive Committee be authorized to change the date of the stated meetings.

**HONORARY DEGREE AWARD
RESOLUTION 2012-3265**

WHEREAS, the University Committee on Honorary Degrees has recommended that Ohio University honor the person listed below through the conferral of an honorary degree,

Andrew Alexander, Doctor of Communication

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University approves the degree recommended be conferred at an appropriate time in the future.

**HONORARY DEGREE AWARD
RESOLUTION 2012-3266**

WHEREAS, the University Committee on Honorary Degrees has recommended that Ohio University honor the person listed below through the conferral of an honorary degree,

Nancy Cartwright, Doctor of Communication

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University approves the degree recommended be conferred at an appropriate time in the future.

**HONORARY DEGREE AWARD
RESOLUTION 2012-3267**

WHEREAS, the University Committee on Honorary Degrees has recommended that Ohio University honor the person listed below through the conferral of an honorary degree,

Hwa-Wei Lee, Doctor of Letters

AND WHEREAS, it remains for the President to determine whether this person wishes to accept the award.

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University approves the degree recommended be conferred at an appropriate time in the future after the President has determined the person recommended wishes to be honored.

**HONORARY DEGREE AWARD
RESOLUTION 2012-3268**

WHEREAS, the University Committee on Honorary Degrees has recommended that Ohio University honor the person listed below through the conferral of an honorary degree,

Thomas J. Meyer, Doctor of Chemistry

AND WHEREAS, it remains for the President to determine whether this person wishes to accept the award.

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University approves the degree recommended be conferred at an appropriate time in the future after the President has determined the person recommended wishes to be honored.

**HONORARY DEGREE AWARD
RESOLUTION 2012-3269**

WHEREAS, the University Committee on Honorary Degrees has recommended that Ohio University honor the person listed below through the conferral of an honorary degree,

Paul Schullery, Doctor of Literature

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University approves the degree recommended be conferred at an appropriate time in the future.

Report from the Chair of the Board of Trustees

Chair Kidder deferred his comments, but thanked the University leadership for preparing such thorough reports regarding mineral rights and tuition and fees, which he hoped would assist in making responsible decisions during this meeting. Chair Kidder asked for the President's report.

Report of the President

President McDavis thanked Chair Kidder and gave an overview of his presentation, which included a focus on supporting innovation, intercollegiate athletics, points of pride, and a program spotlight with the Ohio University Forensics Team, the Speaking Bobcats. He emphasized and reviewed the need for a continued focus on the *Vision Ohio's* top strategic priorities, and to be the nation's best transformative learning community along with the four fundamentals and supporting practices.

President McDavis reviewed the recent Ohio University and Ohio State University partnership to create a new commercialization and funding model that will pave the way for high value start-ups, via early-stage seed and venture capital funding. The Ohio University foundation has pledged \$15 million and the Ohio State University has pledged \$20 million to fund this initiative. The goal of this partnership is to jumpstart entrepreneurial spirits among innovative and creative faculty and students. This will provide faculty and students with the resources to bring their research and products to the marketplace in order to cure disease, produce healthier food, and advance alternative energy solutions, which aligns closely with the Ohio Board of Regents Technology Transfer and Commercialization Task Force. He emphasized that these funds will be used in Ohio and stay in Ohio to enhance economic development, attract and keep intellectual capital, create and keep jobs, and provide collaborative opportunities.

President McDavis reviewed a spike in national attention brought to Ohio University due to the success of the men's basketball team, which had their first "Sweet 16" appearance since 1964. This success led to articles in a number of local and national newspapers and a spike in visits to Ohio University websites. Furthermore, the Ohio University men's basketball team was ranked 25th in the nation in the final ESPN/USA Today coaches' poll. President McDavis reviewed a graph illustrating a 61% increase in new visits to the ohio.edu website. The OU athletic web-site reached one million hits in March compared to

274,000 hits during the same time span in 2011. President McDavis announced that he hopes this attention will lead to both short- and long-term impacts on financial contributions, enrollment, and overall pride.

Points of Pride

President McDavis reviewed several points of pride.

The College of Fine Arts celebrated its 75th Anniversary with a year-long celebration that included collective performances of faculty, alumni, and students. President McDavis expressed his pride in the accomplishments of the department and Dean Charles McWeeny, who will step down at the end of the year.

The Osteopathic Heritage Foundation created the John J. Kopchick Endowed Eminent Research Chair, in honor of Dr. Kopchick. Dr. Kopchick is currently the Milton and Lawrence H. Goll Eminent Scholar and Professor in Molecular and Cellular Biology at the Heritage College of Osteopathic Medicine (HCOM), whose world renowned work and creation of the drug, *Somavert*, are underscored by his work with the HCOM students.

A team of Russ College of Engineering and Technology students won the Institute of Navigation's annual autonomous snowplow competition in St. Paul, Minnesota, which included teams from Miami University, the University of Michigan at Dearborn, the University of Minnesota, and Dunwoody College of Technology.

Former New York and Los Angeles police chief William J. Bratton served as the keynote speaker for the 2012 Baker Peace Conference, which was themed "Crime and Punishment: Security Domestic Tranquility in the 21st Century." President McDavis reported this annual spring conference is funded by the Baker family and brings national attention to Ohio University.

Ohio's swimming and diving team was recognized as the top mid-major program in the country by CollegeSwimming.com.

Ohio University alumna, Sonja Hebert, joined the White House photography staff and will cover the First Lady in addition to other assignments.

Program Spotlight

President McDavis announced his delight to have the Ohio University Forensics team, the Speaking Bobcats, at the meeting today. The Speaking Bobcats have sustained excellence for a number of years, which resulted in their victory at the Pi Kappa Delta national comprehensive tournament and recognition by the Ohio State House, among many other accomplishments. President McDavis introduced Interim Dean of the Scripps College of

Communication, Scott Titsworth, John A. Cassese Director of Forensics, Dan West, and Speaking Bobcats, Jamie Zipfel and Brett Martz, forward.

Interim Dean Titsworth thanked President McDavis for the introduction of the national champion Speaking Bobcats (applause). Dr. Titsworth began his comments by acknowledging the Speaking Bobcats are about the stories they represent. He acknowledged the benefits that participating on speech and debate teams have had on his own personal and professional achievements, as well as, many others in the room and among the Ohio University community. Speech and debate teams assist students to compete at the highest level, develop critical thinking skills, practice creativity, articulate ideas, and demonstrate tenacity in their work. A typical week for the Speaking Bobcats includes attending classes and numerous hours of practice in front of coaches to perfect every nuance of their presentations. Dr. Titsworth affirmed the world class leadership of and introduced the John A. Cassese Director of Forensics, Dan West.

Mr. West thanked the Board of Trustees and informed them that Ohio University is presently hosting the national championships and after their remarks, the team will return to practice in hopes of bringing home another national championship. He reported that over the past 7 years of his tenure with the team, they developed a long tradition of excellence. When he started, the team had four returning students, one new recruit, and finished an admirable 35th in the nation. By expanding their scope and joining Pi Kappa Delta, the team continues to attend and win many national tournaments. The Speaking Bobcats are five-time state champions, the highest ranked MAC team in the nation, and won 200 national awards, 35 individual national champions, and six national team championships, which makes them one of the most successful teams at Ohio University. Mr. West reviewed their trip to the Ohio State House where they were honored with a resolution and introduced two students who are members of the Speaking Bobcats.

The first student to speak was Jamie Zipfel, a senior English major, who discussed the benefits of her involvement with the Speaking Bobcats. Her participation on the team improved her articulation, writing, critical thinking, and expression of her ideas. She highlighted that the team continually challenges one another to set goals and work towards achieving them, which makes “testing yourself” a way of life for the Speaking Bobcats. She concluded that her decision to attend Ohio University three years ago because of the Forensics team is the single most important decision in her life and has helped her become the woman and student she is today. Finally, she noted that there is nothing more powerful than knowing your stance and having the skills to present it.

The second student to speak was Brett Martz, a sophomore communication studies major. He reviewed his plans in high school after being admitted to a competitive program at Ohio Northern University, but quickly changed these plans after watching the national championships that were hosted in Athens and decided to attend Ohio University. Being

on the team helped him be excited for class daily, find his voice, and become a better speaker, student, and person. He recalled a recent practice with his coaches that reminded him of the scope of their performances for not only themselves, but for everyone around them. Finally, he concluded with a quote from Ralph Waldo Emerson and stated that being a Speaking Bobcat is to be something bigger than yourself (applause).

Trustee Anderson connected with the students' experiences due to her personal experiences on her public school debate team. She noted that the scholarship she was given brought her to Ohio University and she wouldn't be where she is today without her experiences on the speech and debate team. She thanked the team and expressed her regret for not being able to be at the tournament with them. She also acknowledged her nephew, Tyler Rife, who is a part of the team.

Student Trustee Parker expressed her desire to be at the tournament as well. She expressed her first-hand knowledge of how much time and effort goes into the debate team because of her past membership on the team. She commended their dedication and passion.

Alumni Representative Greenfield thanked the team for what they are doing for OU and themselves. She encouraged their use of the alumni network and distributed her business cards.

Trustee Harris acknowledged that she was so inspired by their remarks, that she will ensure to never cut the debate team in her school district and hopes to recruit many future Bobcats.

Chair Kidder expressed that what these students have shared is what OU is trying to do for all its students and the debate team is an important ingredient of that success.

Trustee Brightbill thanked the team for representing the University and continuing to demonstrate personal development through their experiences on the debate team (applause).

President McDavis noted that he felt it important to bring these two groups, the OU men's basketball team and the Speaking Bobcats, to the meeting today to give the Board a glimpse into the excellence at Ohio University. President McDavis concluded his report.

Chair Kidder introduced the committee meeting reports.

Joint Academic and Resources Committee

Chair Kidder began by reviewing the topics from the joint academic and resources committee meeting from yesterday, which included discussions regarding the budget, tuition and fee increases, and mineral rights. Before beginning his remarks, Chair Kidder acknowledged a group of students with signs that were seated in the audience. He noted the appropriateness of their attendance given that they represent the benefactors of the university's investments that are being discussed.

The joint committee reviewed the proposal from Stephen Golding, Vice-President for Finance and Administration, and Pam Benoit, Executive Vice-President and Provost, regarding the budget. The proposed FY'13 tuition and fee increases included a 3.5% increase for the Athens campus undergraduate, no change to Athens graduate tuition or non-resident surcharge, a 5% increase in Ohio University Heritage College Osteopathic Medicine (OUHCOM) tuition, an increase of 1.57% on regional campuses, a room rate increase of 3.5%, and a dining rate increase of 1.5%, with the accompanying fee schedules.

Chair Kidder reviewed that the budget planning process included representatives from all major constituency groups, including students, who looked at a variety of options to balance the budget while looking at strategic investments. These difficult decisions come following significant cuts in state funding, the need for strategic investment to improve the physical presence of the university, fixing safety issues, a new heating plant, and providing faculty with competitive compensation packages. Chair Kidder was reminded that similar institutions of higher education in Ohio are making similar increases and although Ohio University is listed as the third highest total tuition in the state, it awards significantly more financial aid to students that offset this cost.

Chair Kidder reviewed the importance of implementing responsibility centered management (RCM), which is an important part of how Ohio University can fund strategic needs and generate sources of revenue without raising tuition. Chair Kidder applauded the work of OUHCOM as a model for how the RCM model can work to increase quality and revenue. Finally, he reviewed a variety of factors influencing this decision, such as, increased healthcare costs, a raise pool of 2.5%, investments in enrollment planning, scholarships, internet technology, recruitment and retention, bringing the facilities up to standards and fixing safety issues, and transitioning to semesters while maintaining exemplary student services. Chair Kidder acknowledged that any increase in tuition is concerning, but expressed his confidence that Ohio University is still in a competitive position compared to other Ohio institutions.

Chair Kidder also reviewed the joint committee's discussion regarding hydraulic fracturing and mineral rights. VP Golding reviewed the findings from a study group to the joint committee and developed a recommendation that Trustee Anderson will share during the resources committee report. Chair Kidder expressed that any decision regarding mineral

rights and hydraulic fracturing is difficult due to the general uncertainty regarding the long-term impact on the environment and society. Ohio University has a short-term opportunity to protect its interests, but more long-term questions exist. There is growing pressure from the State of Ohio through House Bill 133, which threatens that the State will have the ability to act for the University after July 1st, 2012. Chair Kidder concluded his remarks by reviewing the recommendation that will be brought forward during the resources committee report.

Chair Kidder introduced Trustee Anderson to give the University Resource Committee report.

University Resources Committee Report

Trustee Anderson reported on the work of the university resources committee, beginning with a number of updates on ongoing projects and followed by a number of resolutions.

The first update presented to the committee was from Vice President for Advancement, Bryan Benchoff, regarding the capital campaign. He reviewed a dashboard of campaign highlights and indicated the campaign is going well with room to grow. He reviewed an interactive tool that the campaign workers are using to track data and use information from alumni. Because of the limited avenues for resources, Mr. Benchoff and his team are aggressively looking to maximize revenue sources from alumni and donors. Mr. Benchoff reviewed active proposals, prospects, and leads along with definitions of this terminology. The next phase will focus on corporate and individual giving in the area of scholarships, which aligns with the university's strategic focus on affordability and accessibility. As of April 1st, the campaign had \$387 million in pledges, which is 86% of the total goal of \$450 million. The public phase of the campaign began last week and Mr. Benchoff reviewed a tool-kit developed by his staff to use during campaign visits. Finally, Mr. Benchoff reported the need to fill the Director of Alumni Relations position, which will be vacated by Graham Stewart, and hopes to fill this position quickly due to its importance.

Next, Trustee Anderson reviewed an update on the series 2012 debt issuance, which was given to the committee by Associate Vice President for Finance, Michael Angelini. Trustee Anderson acknowledged that another source of revenue is the issuance of debt and the series 2012 bonds were priced on Feb. 13th, 2012. This date was accelerated by one day to achieve better pricing. The total issue was for \$76.5 million with a true interest cost of 3.28% and an all in cost of 3.32%. The average life is estimated at slightly more than 13 years.

Two reports were given to the committee by Associate Vice President for Facilities, Harry Wyatt. The first update dealt with the housing development plan. Maps with the scheduling of phased timing of demolition and new construction were reviewed. The timeline for phase I was delayed in order to take advantage of favorable outcomes in the

construction reform legislation at the Ohio Statehouse, which allowed for the construction manager at-risk model to be used by universities, which is favorable. Interviews of the seven finalists for the construction manager position will begin next week. Mr. Wyatt reviewed other activities underway including the closing and relocation of one parking site, new residence halls, and an analysis of the Living/Learning goals, which is central to the planning and design of new residence halls. The targeted occupancy date was moved back from fall of 2014 to the fall of 2015.

Mr. Wyatt's second report was on the status of the performance contract. A vendor has been selected and contract details are being worked out with the June meeting targeted for a review of the full contract. A plan to improve grounds and high priority areas was reviewed. Safety projects are being addressed with \$1 million allocated in FY 2012 and \$2 million earmarked in FY 2013. Many of these projects were observed during the trustees' campus tour and from risk management and safety evaluation. The Series 2012 \$1 million Safety earmark will address the Galbreath Chapel and this project is approaching the design phase at this time.

Trustee Anderson reviewed good news from House Bill 482, which awarded the Athens campus with \$18.6 million and the regional campuses with \$3.6 million. State appropriations will be used to address deferred maintenance backlogs while the debt issuance will be used to fund new projects. The new collaborative approach to developing the capital bill resulted in equitable treatment to Ohio University since our desire to fund deferred maintenance was seen positively. President McDavis shared his pleasure with this process that was headed by Ohio State University President Gee.

Executive Dean of Regional Campuses, Jim Fonseca, reported to the committee on the status of the Zanesville Recreation Center. Community fundraising is at \$6.5 million of the \$10.5 million total, which will help lower the dependence upon loans. Future board actions will be required to approve a ground lease and a loan guaranty.

General Counsel, John Biancamano, provided an update regarding questions and challenges related to 'conflict free' purchasing of minerals from Africa. A committee formed by the President, is chaired by John Biancamano, and includes several motivated and helpful students, to study the issues and recommend actions to the Board for dealing with the current item regarding conflict minerals and future socially responsible practices. The recommendations may inform future purchasing and investing policies. This is a very complex issue and many institutions are dealing with similar matters.

Two reports were given by Dr. Jack Brose, Dean of the OUHCOM. He reviewed the recent signing and celebration of their affiliation with Ohio Health in Dublin, Ohio for the new campus. He reviewed the plan for the usage of the three existing buildings and the affiliation that will add nearly 2000 primary care physicians in the area. As a part of the

affiliation, Ohio Health will provide clinical training for medical students and guarantee the rotations needed, while the Athens campus will be active in didactic instruction and distance learning to connect the two campuses. This new affiliation will only help future affiliations with Mt. Carmel, Children's Hospital, and Ohio State University. Dr. Brose also reported on the healthcare integration project with UMA (practice plan of the OUHCOM doctors), and AMA (practice plan of the O'Bleness doctors) to make the local providers and the university partners, rather than competitors, for the benefit of the entire community. All doctors would serve as faculty for the OUHCOM. Details of the final arrangement, the financial business plan, and the governance structure are being worked through with an optimistic implementation date of July 1, 2012.

Ms. Goss shared that negotiations for the 15 acres and three buildings have been ongoing and a closing on this property is expected by the end of May.

The economic development agreement with the city of Dublin for the adjacent 77 acre site was endorsed by the Dublin City Council last Monday night. There are two separate sites within the 77 acres with planning requirements for each. One of the sites will likely be conveyed to the university at the closing for the 15 acre Columbus campus site.

Trustee Anderson reviewed the proposed resolutions regarding tuition and fee increases and mineral rights leasing. Trustee Anderson noted that the thorough and robust discussions by the full Board and the homework done by the university's leadership allowed for further discussions as a committee. She acknowledged the voices of Faculty Representative Dr. John Gilliom and Student Trustee Danielle Parker, who both serve on the budget planning council, were very helpful. She affirmed Chair Kidder's points about the priority to invest in faculty compensation, which is at the heart of academic quality, research, and teaching.

Trustee Anderson thanked the students for being at the meeting and acknowledged that many trustees have also sat in the very same seats as the students at this meeting. She noted that the trustees do not take this lightly and there is a need to separate their feelings from what they know as a result of the information provided. Trustee Anderson reported these are tough, but important choices for the future of Ohio University and that the votes are based on significant information from various constituencies. She indicated that OHIO has the 3rd highest tuition, room, and board rates in Ohio and the proposed changes will not alter this rating. Furthermore, 92% of our students that have a financial need, received funding of some sort, which is the highest in the state. Furthermore, Ohio University graduates' debt is the 3rd lowest in the state. Our administrators have made tough choices in the past to cut \$75 million in the budget over 10 years and with state shares falling to 20% or below, the planned investments are aligned with strategic efforts to build human capital, scholarships, and infrastructure.

Trustee Anderson introduced the first resolution (Tab 12) for FY 2012-2013 Athens Campus Instructional Fee, General Fee and Non-resident Surcharge, which she paraphrased and acknowledged, was unanimously created by the budget planning council. Trustee Anderson moved for its adoption. Trustee Harris seconded the motion and discussion followed.

**FISCAL YEAR 2012-2013
ATHENS CAMPUS
INSTRUCTIONAL FEE, GENERAL FEE AND NON-RESIDENT SURCHARGE
RESOLUTION 2012-3270**

WHEREAS, the Ohio University 2012-2013 Current Funds Budget contains fixed and mandated cost increases, and

WHEREAS, the Amended Substitute House Bill 153 allows the combined instructional and general fees for undergraduate students to increase by 3.5%, and

WHEREAS, the University is converting from quarters to semesters to support the *Strategic Plan for Higher Education* as part of the University System of Ohio, all fees have been neutrally converted and any requested increases have been applied after the conversion, and

WHEREAS, the appropriate planning and consultations within the University have been accomplished, resulting in recommendations of fee increases for purposes of investments in identified strategic priorities, and

WHEREAS, the planning and consultations within the University result in a recommendation of a combined 3.5% increase in instructional and general fees for undergraduate students on the Athens Campus, and

WHEREAS, the planning and consultations within the University result in a recommendation not to increase non-resident surcharge fees and the Athens campus graduate tuition and fees.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the proposed fee schedules (Attachments A and B), effective Fall Semester 2012, unless otherwise noted.

Trustee King thanked Trustee Anderson for her comments that provided the context for this decision. She again recognized the students in attendance at this meeting. She noted that it was important for her to hear the acknowledgement of Ohio University's inability to continue with its current budgeting practices. She noted the need to move forward by doing the work necessary to make it better so that the university no longer relies on dwindling state funds or cutting programs. She expressed her encouragement that this short term step is important to find long-term solutions that are consistent with the strategic priorities of quality, access, and affordability.

Chair Kidder recommended that everyone be continually mindful of the affordability issues and was hopeful that the implementation of RCM will help to break the cycle of cuts and tuitions raises. By investing and generating revenue, the university can avoid cuts and tuition raises.

Trustee Brightbill noted that state subsidy is declining and probably will continue to decline, but that doesn't make it right. He noted that Ohio University is still a "public institution" and has an obligation, as citizens, to provide the funding for a quality education

for students. Trustee Brightbill noted his understanding of the concerns with raising tuition as both a student and parent of a student. He also affirmed the obligation of the university to maintain the quality of instruction through strategic investments and compensation. He concluded that OU is doing the best it can with the available resources and expressed his apologies for his vote.

Student Trustee Parker noted that her experiences as a student, student trustee, and member of the budget planning council have given her a while to think about and develop a heart for this issue. She noted her confidence that, for all the reasons reviewed today, this decision will uphold the mission of the university and the quality of education for herself and those that will follow.

Trustee Harris agreed with the comments of her colleagues and again addressed the students in the audience. She reviewed the Board of Trustees' decisions to hold tuition stable in two of the previous four years while working hard to promote quality and keep the group I faculty and student/teacher ratio at reasonable rates. She concluded that the university has a responsibility to contain costs as best it can and underscored strategic moves to ensure that students who have need continue to get it.

Chair Kidder called the question, motion approved by unanimous vote.

Trustee Anderson brought the recommendation of the committee to move forward with the next resolution regarding the College of Medicine, Regional Campuses and eLearning Instructional Fee, General Fee and Non-resident Surcharge. Trustee Anderson moved for the adoption of this resolution. Trustee Lake seconded. There was no discussion and the motion carried by unanimous vote.

**FISCAL YEAR 2012-2013
COLLEGE OF MEDICINE, REGIONAL CAMPUSES AND eLEARNING
INSTRUCTIONAL FEE, GENERAL FEE AND NON-RESIDENT SURCHARGE**

RESOLUTION 2012-3271

WHEREAS, the Ohio University 2012-2013 Current Funds Budget contains fixed and mandated cost increases, and

WHEREAS, the Amended Substitute House Bill 153 allows the combined instructional and general fees for undergraduate students to increase by 3.5%, and

WHEREAS, the University is converting from quarters to semesters to support the *Strategic Plan for Higher Education* as part of the University System of Ohio, all fees have been neutrally converted and any requested increases have been applied after the conversion, and

WHEREAS, the appropriate planning and consultations within the University have been accomplished, resulting in recommendations of fee increases for purposes of investments in identified strategic priorities, and

WHEREAS, the planning within the Heritage College of Osteopathic Medicine results in a recommendation of a 5% increase to the instructional fee, general fee, and non-resident surcharge and a credit hour table has been created for students taking less than a full load, and

WHEREAS, the planning within the Regional Campuses consolidates the upper and lower division rates into one rate for all campuses and then recommends for an increase in instructional fees for undergraduate students of 1.57%, and

WHEREAS, the planning within eLearning results in recommendations for an increase in program fees of \$3 per hour for programs that will no longer receive the general fee as part of their revenue distribution and the Engineering Management program requests an additional increase in its program fee of \$20 to make it more consistent with other programs in the college as it moves its program to the online format, and

WHEREAS, the planning within eLearning results in recommendations for new cohorts in the Masters of Financial Economics, Professional MBA and Professional Masters of Sports Administration programs with associated new program fee rates and any Specialized Services / Materials fees associated with the graduate programs will now be charged on a credit hour basis.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the proposed fee schedules (Attachments E, F, G), effective Fall Semester 2012, unless otherwise noted.

Trustee Anderson brought the recommendation of the committee to move forward with the next resolution regarding Student Course, Technology and Miscellaneous Fees. Trustee Lake seconded. There was no discussion and the motion carried by unanimous vote.

**FISCAL YEAR 2012-2013
STUDENT COURSE, TECHNOLOGY AND
MISCELLANEOUS FEES**

RESOLUTION 2012-3272

WHEREAS, the Ohio University 2012-2013 Current Funds Budget will contain program enhancements as well as fixed and mandated cost increases, and

WHEREAS, the University is converting from quarters to semesters to support the *Strategic Plan for Higher Education* as part of the University System of Ohio, all fees have been neutrally converted and any requested increases have been applied after the conversion, and

WHEREAS, the planning and consultation within the University regarding student course and miscellaneous fees have been accomplished, resulting in recommendations of fee increases, and

WHEREAS, the planning and consultation within the University regarding technology fees have been accomplished, resulting in recommendations to increase the Heritage College of Osteopathic Medicine medical resources technology fee by 5% as well as establishing rates for students taking less than a full load, and

WHEREAS, the fee schedules for New or Increase Semester Broad Based Fees and Semester Student Course Fees are consistent with Amended Substitute House Bill 153.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the attached fee schedules (Attachments C, D, I, J), effective Fall Semester 2012.

BE IT FURTHER RESOLVED that the Board of Trustees authorizes the President or his designee to make non-substantive adjustments to the fee schedules, including but not limited to changes in course and fee identification numbers.

Trustee Anderson brought the recommendation of the committee to move forward with the next resolution regarding residence hall and dining rates. Trustee Anderson moved for the adoption of this resolution. Trustee Brightbill seconded. There was no discussion and the motion carried by unanimous vote.

**FISCAL YEAR 2012-2013
RESIDENCE HALL AND DINING RATES**

RESOLUTION 2012-3273

WHEREAS, sustained effort has been made to achieve financial stability for Ohio University's Residence Hall and Dining Auxiliaries while providing necessary services for students, and

WHEREAS, the University is converting from quarters to semesters to support the *Strategic Plan for Higher Education* as part of the University System of Ohio, all fees have been neutrally converted and any requested increases have been applied after the conversion, and

WHEREAS, the Residence Hall and Dining Auxiliaries have planned for all operating expenses and debt service obligations by means of fees which are collected from students who use the residence halls and dining facilities, and

WHEREAS, the planning within the Athens Campus results in a recommendation of a 1.5% increase in board rates and a 3.5% increase in standard double room rates. The proposed rates for other types of rooms will vary to create a more consolidated and simplified rate structure more consistent with our peers. These changes have been phased in over two years, this being the second year, in order to support a self-sustaining, auxiliary housing operation, and

WHEREAS, the proposed fee schedules are consistent with Amended Substitute House Bill 153.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the attached schedule of fees (Attachment H), effective Fall Semester 2012.

Trustee Anderson noted that two resolutions have been withdrawn regarding the OUHCOM update (Tab 10) and the City of Dublin (Tab 11).

Trustee Anderson brought the recommendation of the committee to move forward with the next resolution regarding mineral rights (Tab 13), but a final, amended resolution was distributed for review that added certain language suggested during the discussion at the joint committee meeting yesterday. She reviewed the committee's discussion and noted the importance to ensure that whatever decisions are made are based on fact and science. Trustee Anderson read the amended resolution aloud and moved for its adoption. Trustee Lake seconded the motion and discussion followed.

Trustee Brightbill noted his appreciation for the amount of information and research, albeit inconclusive, that was provided during this meeting.

Trustee King expressed her appreciation for the amendments to the resolution. She also noted her frustration that the general assembly may take away the authority from the Board to make this important decision. She noted her support of the resolution, but also expressed the need to weigh in at the state level to clarify and maintain the Board's decision making authority. She wanted to ensure the record reflected that this Board of Trustees acknowledges the concerns related to fracturing and, with the amendment, acknowledges the need for the Board to maintain its decision making authority to investigate in responsible decisions regarding this issue. With the amendment, the Board retains decision making authority before any action related to fracturing is commenced. She concluded by

highlighting the opportunity that Ohio University has to engage in research and emerge as global thought leaders on this issue.

Chair Kidder noted the biggest difficulty is the absence of scientific information that comforts us regarding the environmental, social, and financial consequences. Regardless of whether Ohio University approves a lease or not, Chair Kidder charged the institution to partner with experts, and gather information to become the global thought leaders that Trustee King mentioned.

Trustee Goodman reiterated his stance that the Board is not adopting the committee's report, which was presented to the joint committee yesterday, but only the amended resolution.

Chair Kidder called for a vote and the motion carried by unanimous decision.

OHIO UNIVERSITY OIL AND GAS RIGHTS

RESOLUTION 2012-3274

WHEREAS, the General Assembly of the State of Ohio passed H.B. No. 133, effective September 30, 2011, which was codified in Ohio Revised Code Section 1509.70 et.seq., defining "State Universities", for the purposes of such law as state agencies; and

WHEREAS, Ohio Revised Code Section 1509.71 creates an Oil and Gas Leasing Commission which is mandated to adopt rules which will govern the negotiation and approval of leases for shale oil upon lands owned by the State and held by State Agencies, including Ohio University; and

WHEREAS, pursuant to Section 1509.73 (A) (1), prior to the adoption of the rules by the Commission, the University may lease its property "in consultation with the Oil and Gas Leasing Commission" and establish bid fees, signing fees, and royalties; and

WHEREAS, officials of Ohio University have been approached by oil and gas companies interested in entering into negotiations for oil and gas leases; and

WHEREAS, The Ohio University Board of Trustees has been duly advised with respect to the legal, business, economic, scientific and environmental impact of such transactions and the consideration of the advantages and disadvantages of such transactions, both short term and long term;

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does hereby authorize the President or his designee to proceed with the further negotiation, investigation and analysis of oil and gas leases for shale oil on appropriate Ohio University lands.

BE IT FURTHER RESOLVED that by this resolution the Ohio University Board of Trustees reserves its authority under the law, and hereby authorizes the President or his designee to execute a suitable and appropriate oil and gas lease for the shale oil on University land, subject to legal review, in compliance with the law and upon the final approval of the Ohio University Board of Trustees.

Trustee Anderson amended her report and noted the resolution on Tab 11 regarding the City of Dublin requires action. Trustee Anderson moved for the adoption of this resolution. Trustee Lake seconded the motion. There was no discussion and the motion carried by unanimous vote.

**DUBLIN ECONOMIC DEVELOPMENT AGREEMENT
RESOLUTION 2012 -3275**

WHEREAS, pursuant to Ohio Revised Code Sections 3337.10, 3337.13, 3345.11 and other relevant provisions the Ohio University Board of Trustees is authorized to do all things necessary for the continuous and successful operation of the Heritage College of Osteopathic Medicine; and

WHEREAS, the University has received a \$105,000,000 grant from the Osteopathic Heritage Foundation that will be used in part to fund the development of a Central Ohio regional extension campus for the Ohio University Heritage College of Osteopathic Medicine, ("OU-HCOM"); and

WHEREAS, on November 18, 2011, in Resolution No. 2011-3246, this Board authorized the President or his designee to proceed with the negotiation and acquisition of property located at 7001-7003 Post Road in Dublin, Ohio for a purchase price not to exceed \$11,000,000 as the preferred site for the OU-HCOM Central Ohio regional campus; and

WHEREAS, university leaders and staff, assisted by real estate consultants and legal counsel duly appointed by the Ohio Attorney General have entered into discussions with the City of Dublin with respect to the creation of an Economic Development Agreement that contemplates the conveyance to the University of parcels of real estate contiguous to the property located at 7001-7003 Post Road in Dublin, Ohio for the purpose of constructing additional University facilities and engaging in other appropriate commercial development projects; and

WHEREAS, the Economic Development Agreement is currently under final review by the City of Dublin and the University with an anticipated execution date in May, 2012; and

WHEREAS, the university leaders and staff have recommended the approval of the Economic Development Agreement with the City of Dublin;

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does hereby authorize the President or his designee to proceed with the further negotiation and execution of an Economic Development Agreement with the City of Dublin subject to legal review and upon his determination that this Agreement advances the teaching, research and service mission of Ohio University.

BE IT FURTHER RESOLVED that the Ohio University Board of Trustees does hereby authorize the President or his designee to negotiate and execute any documents necessary to effect the purposes of the Economic Development Agreement, including conveyances of real estate, as may be required by Ohio Law.

BE IT FURTHER RESOLVED that the foregoing authorization shall not be limited in time or scope, unless otherwise directed or revoked by resolution of this Board.

Trustee Anderson concluded her report.

University Academics Committee Report

Trustee Harris served as acting Chair of the academics committee and gave a report on the work of the committee. She reviewed the continued focus on academic quality that was met with a presentation by Dean Middleton, Patton College of Education.

Dean Middleton's presentation included a review of their recent accreditation process, which was successfully completed. She reviewed learning outcomes using dashboard indicators that focused on degrees granted, ACT scores, student/faculty interaction, group 1 faculty rates, and *US World and News*' national rankings. Dean Middleton acknowledged her surprise that their student/faculty interaction scores remained constant throughout the program even though students are engaged in field placements later in the program. Furthermore, the Patton College's goal was to be ranked within the top 100 of the *US World and News*' national rankings and they moved from 112 to 92 more quickly than anticipated. Thus, their new goal is to be within the top 50.

Dr. Elizabeth Sayers, Chair of the University Curriculum Council, reviewed the progress made by a working group assigned to assess the current program review process. Dr. Sayers informed the committee that the goal of this group is to determine what the purpose of program reviews are and how they can be more useful to programs. This group noted a shift from focusing on inputs to outputs while using data that makes sense for each program. They also reviewed a streamlined process that would include leadership earlier in the process. No suggestions to the process were suggested at this time, but alterations to the self-study are being discussed. Currently, this group is in the process of getting feedback from the University Curriculum Council, Graduate Council, chairs, directors, and deans.

Mr. Brice Bible updated the committee regarding information technology advances. Phase I of the Rufus Initiative is now complete, which gives students the ability to access and share information, including financial aid, bills, and class schedules, to name a few, more easily. The *NextGen* infrastructure project to modernize both wired and wireless networks is moving forward, faster than expected. Academic technology modernization is also underway, including the use of “flip classrooms” which combines taped lectures for viewing outside of class so that face-to -face interactions in classroom can be used for research, discussion, etc.

EVPP Benoit updated the committee on the Q2S transition and is pleased with the progress. About 4400 students have completed the transition degree completion plans and the deadline of May 1st was extended to ensure that every student completes their degree and is not penalized during the transition.

EVPP Benoit noted that several searches are currently being conducted including: Vice President for Student Affairs, Dean of the Heritage College of Osteopathic Medicine, Vice Provost for Diversity and Inclusion, and Vice Provost for e-Learning and Strategic Partnerships. The Scripps College of Communication dean search will begin again fall 2012 along with the College of Fine Arts dean search.

Finally, a consent agenda item was removed to allow for minor corrections, addition of two faculty members to the Emeriti Faculty list. Trustee Harris moved that the amended resolution forward for adoption and Trustee Anderson seconded the motion. There was no discussion and the motion carried by unanimous vote.

FACULTY AND ADMINISTRATIVE
EMERITUS/EMERITA AWARDS
RESOLUTION 2012-3276

WHEREAS, the following individuals have rendered dedicated and outstanding service to Ohio University, and

WHEREAS, their colleagues and supervisors have recommended action to recognize their service,

THEREFORE, BE IT RESOLVED that emeritus/emerita status be awarded the individuals on the attached page upon their retirement.

Trustee Harris concluded her report.

University Governance Committee Report

Trustee Brightbill reported on the work of the university governance committee. He reviewed the consent agenda item regarding the 2012-2013 Board of Trustees' meeting dates that were approved. Dr. Davis reported that five candidates to fill the Student Trustee position that will be vacated by Student Trustee Parker have been sent to the Governor's office and interviews will be completed in the coming weeks. Trustee Brightbill announced his excitement that two of these candidates are studying abroad and will interview via Skype.

The national trustee selection process is also moving forward.

Mr. Biancamano distributed a draft amendment to the committee regarding the bylaws of the Board of Trustees, which included a number of non-substantive editorial changes. The committee will review this draft and share their comments with Dr. Davis or Mr. Biancamano by May 4. Dr. Davis will then send the amendment to the full Board for their review and a final proposed amendment will be presented at the June meeting of the Board of Trustees.

Mr. Biancamano distributed a draft revision of the Statement of Expectations for Board Members. The committee will review this draft and share their comments with Dr. Davis or Mr. Biancamano by May 4. Dr. Davis will then send the revision to the full Board. A final proposed revision will be presented at the June meeting of the Board of Trustees.

Trustee Brightbill introduced two resolutions. First, Trustee Brightbill moved forward the nomination of Trustee Harris as Chairperson of the Board for 2012-2013. Chair Kidder seconded the motion. There were no comments and the motion carried by unanimous vote (applause).

ELECTION OF CHAIR RESOLUTION 2012-3277

RESOLVED that Gene T. Harris be elected Chair of the Board of Trustees for the year beginning May 14, 2012, and ending May13, 2013.

Chair Kidder expressed his endorsement of Trustee Harris.

Second, Trustee Brightbill moved forward the nomination of Trustee Anderson as Vice-Chairperson for 2012-2013. Chair Kidder seconded the motion. There were no comments and the motion carried by unanimous vote (applause).

**ELECTION OF VICE CHAIR
RESOLUTION 2012-3278**

RESOLVED that Sandra J. Anderson be elected as Vice Chair of the Board of Trustees for the year beginning May 14, 2012, and ending May 13, 2013.

Chair Kidder expressed his endorsement of Trustee Anderson.

University Audit Committee Report

Trustee King served as Chairperson for this committee due to the absence of Trustee Wolfort. She reported this was the first meeting for Jeff Davis, Chief Audit Executive, who presented the Internal Audit Update, and they are confident in his leadership moving forward.

Trustee King first reported on an update from Plante Moran. Plante Moran, the external auditor for Ohio University, gave a presentation to the committee on the upcoming FY12 Audit. Robert Shenton and Danny Sklenicka of Plante Moran discussed material related to the engagement team, reports/letters to be issued and the responsibilities of both Plante Moran and the University. Timing and key dates for the FY12 audit were also presented to the committee.

Joe Adams, Associate Vice President, Risk Management and Safety, and Jeffrey Davis, Chief Audit Executive, presented an update of the university risk management initiative. Mr. Adams' presentation included a description of enterprise risk management and the progress on the implementation plan since his previous presentation to the Audit Committee in April 2011. Mr. Davis presented on the role of the Internal Audit Office in the risk management process. They also updated the committee on staffing issues, special projects, the audit process, and the audit ratings.

There was no action or resolutions proposed during this committee meeting and Trustee King concluded her remarks.

Chair Kidder asked for questions and none were noted.

Executive Committee

Chair Kidder indicated that discussion took place around the selection of the proposed chair and vice chair. The then moved into executive session to discuss personnel matters.

UNFINISHED BUSINESS

None

NEW BUSINESS

None

COMMUNICATIONS, PETITIONS, AND MEMORIALS

President McDavis read aloud and presented a certificate of appreciation to Chair Kidder for the completion of his service to the Ohio University Board of Trustees (applause).

Chair Kidder shared his final comments regarding his nine-year tenure with the Board of Trustees. He noted his strong belief in the *Vision Ohio* to be the leader for transformative learning communities and announced his five-year commitment to the learning community initiative. He thanked the Board of Trustees for their comradeship and shared his pride in being an adopted Bobcat!

ANNOUNCEMENT OF NEXT STATED MEETING DATE

Board Secretary Davis announced that the next Board of Trustees meeting would be held on June 21-22, 2012 on the Athens campus.

ADJOURNMENT

Chairperson Kidder adjourned the meeting at 12:04pm

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.

C. Robert Kidder
Chairperson

Thomas E. Davis
Secretary

President's Report

presented to
Ohio University Board of Trustees
June 22, 2012

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Overview

- **Vision Ohio: Top Strategic Priorities**

- **Strategic Partnerships ::**

- Heritage Osteopathic College
of Osteopathic Medicine and
Cleveland Clinic**

- **The Promise Lives Campaign ::
OU-HCOM Update**

- **Pilot Parental Leave Program**

- **Leadership Change**

- **Points of Pride**

- **Program Spotlight**

- **Kids on Campus**



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Vision Ohio: Top Strategic Priorities

Nation's Best Transformative Learning Community

1. Inspired teaching and research
2. Innovative academic programs
3. Exemplary student support services
4. Integrative co-curricular activities

FOUR FUNDAMENTALS

1. Inspired teaching and research dedicated to students' academic success and focused on the connections between student learning and the advancement of knowledge and creative activity.
2. Innovative academic programs that draw on the best traditions and practices in liberal arts, professional, and interdisciplinary education.
3. Exemplary student support services committed to helping students fulfill their academic promise.
4. Integrative co-curricular activities that foster a diverse environment of respect and inclusivity and facilitate students' development as citizens and leaders.

Effective Total Compensation

Short- & Long-Term Enrollment Goals

Improve Financial Strength

Complete Capital Campaign

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Strategic Partnerships:: OU-HCOM and Cleveland Clinic

- **Signed an affiliation agreement to develop a Northeast Ohio Regional Extension Campus**
- **Goal is to address the growing shortage of primary care physicians in Ohio**
- **Agreement builds on a long-standing 35-year partnership**

Strategic Partnerships:: OU-HCOM and Cleveland Clinic

- Cleveland Clinic committing \$7M in philanthropic support
- Commitment includes \$5M grant to Cleveland Clinic South Pointe Hospital from the Brentwood Foundation to support new campus and \$2M commitment from South Pointe Hospital



The Promise Lives Capital Campaign :: OU-HCOM

The Promise Lives Campaign::
Heritage College of Osteopathic Medicine

- **\$105M from Osteopathic Heritage Foundations (OHF)**
- **\$10M from OHF:: Academic and Research Center**
- **\$2.3M from OHF :: Clinical Training and Assessment Center**
- **\$7M from Cleveland Clinic and Brentwood Foundation :: OU-HCOM Cleveland Clinic Initiative**
- **\$3.7M in other gifts and commitments**

**OU-HCOM
To Date Total
\$128M**

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Recruiting and Retaining :: Parental Leave Pilot Program

- **During 2012 Fall Semester, benefits-eligible employees will have the opportunity to enroll parental leave pilot program with leaves to begin in January 2013.**
- **Pilot program is the result of the work of a Parental Leave Task Force**

Recruiting and Retaining :: Parental Leave Pilot Program

- **During the pilot phase, the Health Benefits Surplus to be the source of funding for the program**
 - **Funding Source identified in consultation with Faculty Senate leadership**
- **Dr. Pam Benoit and Mr. Stephen Golding to appoint a university-wide implementation team to get the program ready for enrolment in the 2012 Fall Semester**

Leadership Change :: Student Affairs VP Named

- **Ryan Lombardi named Interim Vice President for Student Affairs**
- **A staunch advocate for Ohio University's students, he is a person of great integrity who inspires and motivates students, administrators, and staff throughout the Division**
- **Ryan has developed strong working relationships with the City of Athens and plans to strengthen working relationships with deans and faculty on campus**

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Learning
Community

Points of Pride

- **Ohio University** recognized as a 2012 Top University for Professional Sales Education by the Sales Education Foundation



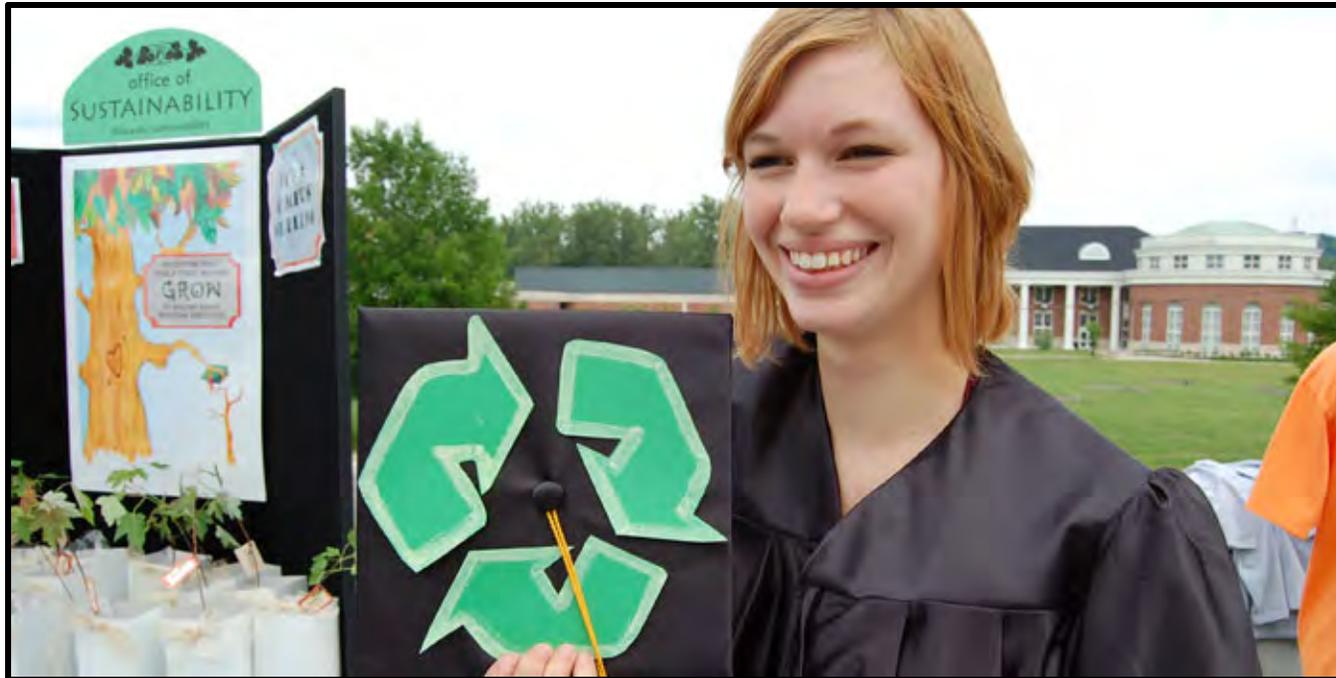
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Points of Pride



**Our sustainability efforts earned Ohio University a spot on
Princeton Review's *Guide to 322 Green Colleges***

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Points of Pride



At the 29th annual Leadership Awards Gala hosted by the Division of Student Affairs, more than 40 students, faculty, staff members and student organizations received awards

Photographer: Wayne Thomas

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Points of Pride

- **Ohio University's International Street Fair celebrates 30th anniversary**



Photographer: Sonya Paclob

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Points of Pride



Dr. John Kopchick named 2012 Ohio University Distinguished Professor

Photographer: Ben Siegel

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Points of Pride

- **Ohio University's Class of 2012 includes approximately 5,940 graduates**



Photographer: Ben Siegel

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University Spotlight :: Kids on Campus

Randy Leite, Dean, College of Health Sciences and Professions

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THANK YOU!

***Ohio University's Faculty and Staff for
your work to transition the academic
calendar from Quarters to Semesters***

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President's Report

presented to
Ohio University Board of Trustees
June 22, 2012

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**FISCAL YEAR 2012-2013
OPERATING BUDGET**

RESOLUTION 2012 --

WHEREAS, the appropriate planning and consultation has been completed within the University, resulting in recommendations for budget priorities, and

WHEREAS, the University has developed a balanced budget consistent with the provisions of the state budget;

NOW THEREFORE, BE IT RESOLVED that the Fiscal Year 2012-2013 budgets of the expected resources and expenditures for the Athens Campus, Auxiliary Operations, Regional Campuses, and the Heritage College of Osteopathic Medicine as presented are hereby approved subject to the following conditions:

1. The Vice President of Finance and Administration, in conjunction with the Executive Vice President and Provost and with approval of the President, is authorized to make adjustments in instructional and general operating expense allocations during the fiscal year to ensure the total does not exceed available unrestricted resources;
2. Expenditures for restricted and designated funds shall be limited to the resources generated.

BE IT FURTHER RESOLVED, that the Board of Trustees authorizes the President, with the approval of the Chair of the Board, to make adjustments to the budget as presented to reflect any changes in state appropriations.

FISCAL YEAR 2012-2013
eLEARNING / OFF-CAMPUS GRADUATE PROGRAMS
INSTRUCTIONAL FEE, GENERAL FEE AND NON-RESIDENT
SURCHARGE

RESOLUTION 2012 --

WHEREAS, the Ohio University Fiscal Year 2012-2013 Operating Budget contains fixed and mandated cost increases, and

WHEREAS, the Amended Substitute House Bill 153 allows the combined instructional and general fees for undergraduate students to increase by 3.5%, and

WHEREAS, the planning within eLearning results in recommendations to collapse the rates for the Bachelor Completion program and the RN to BSN into a single rate for eCampus Undergraduate Programs to reflect the way these are billed in Peoplesoft under semesters and the quarterly rate was converted to a neutral semester rate to reflect the changes in the number of hours in the RN to BSN program, and

WHEREAS, the planning within eLearning results in a recommendation to increase the program fees by \$3 per hour for the Masters of Health Administration that will no longer receive the general fee as part of their revenue distribution, and

WHEREAS, the planning within eLearning results in a recommendation to create a new online version of the Masters in Information and Telecommunication Systems with a program fee of \$117 per hour, and

WHEREAS, the off-campus graduate programs using the current table for regional graduate programs are now run through Athens and need to be converted to an hourly rate like the other off-campus graduate programs run under eLearning resulting in the addition of lines for the Master of Communication Studies, Master of Social Science, and Public Administration programs with rates set to maintain neutrality after adjusting for the shift in the \$3 general fee, and

WHEREAS, the off-campus graduate programs in the College of Education similarly need to move off the old regional graduate program table but the college wishes to synchronize the rates for these programs with the Athens graduate rate since these degrees are offered in both formats and having two rates for the same program causes confusion resulting in a recommendation to set the rate for new cohorts entering these programs at the same instructional fee as Athens graduate programs with the exception of the Masters in Educational Administration which is kept at a lower rate since it is offered only off-campus.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the proposed fee schedule (Attachment H), effective Fall Semester 2012, unless otherwise noted.

**FISCAL YEAR 2012-2013
STUDENT COURSE, TECHNOLOGY, AND
MISCELLANEOUS FEES**

RESOLUTION 2012 --

WHEREAS, the Ohio University 2012-2013 Operating Budget contains fixed and mandated cost increases, and

WHEREAS, the University is converting from quarters to semesters to support the *Strategic Plan for Higher Education* as part of the University System of Ohio, all fees have been neutrally converted and any requested increases have been applied after the conversion, and

WHEREAS, the planning and consultation within the University regarding student course and miscellaneous fees have been accomplished, resulting in recommendations of fee increases, and

WHEREAS, the fee schedules for New or Increase Semester Broad Based Fees and Semester Student Course Fees are consistent with Amended Substitute House Bill 153, and

WHEREAS, several additional fees are recommended for approval, in addition to those approved by the Board at the April, 2012 meeting, including an increase the Patton College of Education Technology fee to \$80 per semester for undergraduate and graduate students and several Student Course Fees for the Art program.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the attached additional fees included on Attachment H, effective Fall Semester 2012.

BE IT FURTHER RESOLVED that the Board of Trustees authorizes the President or his designee to make non-substantive adjustments to the fee schedules, including but not limited to changes in course and fee identification numbers.



Date: June 8, 2012

To: The President and Board of Trustees

From: Steve Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: FY 2013 Operating Budget & Other Fee Adjustments

A report will be given at the June 21, 2012 meeting of the Resources Committee to present the FY 2013 operating budget for approval. Based upon the work of the Budget Planning Council (BPC) and University leadership, the FY 2013 operating budget has been finalized for your review and approval. We are pleased to present a balanced operating budget that prioritizes the core academic mission of the University and maintains support for the University's strategic priorities.

The presentation of the University's FY 2013 operating budget will include:

- Athens Campus General Fund
- Heritage College of Osteopathic Medicine
- Regional Campuses
- Auxiliary Programs

Included in these materials are three board resolutions:

1. FY 2013 Operating Budget – resolution to approve the budget
2. FY 2013 eLearning/Off-Campus Graduate Programs – resolution to approve several additional program rates, increases, and adjustments to simplify specific regional and graduate rate structures (see Attachment H)
3. FY 2013 Student Course, Technology and Miscellaneous Fees – resolution to approve several additional fees recommended since the April board meeting - 1 technology fee increase and 9 course fees (see Attachment H)

Attachments providing narrative highlights and budget details are listed below:

Attachment A: Operating Budget Highlights

Attachment B: Total University Summary of Budgeted Revenue & Expenditures

Attachment C: Athens Campus Budgeted Revenue and Expenditures
including Overhead & Transfers Summary

Attachment D: Heritage College of Osteopathic Medicine

Attachment E: Regional Campuses

Attachment F: Auxiliary Operations Budgeted Revenue & Expenditures

Attachment G: Summary of State Support

Attachment H: Student Fees

I will be happy to answer any questions you have prior to the June meeting.

Ohio University FY 2013 Operating Budget

As a result of University-wide planning efforts, the leadership of Ohio University presents a balanced budget to the Board of Trustees that focuses on making key strategic investments as a result of a modest tuition increase, increased state appropriations, and the reallocation of funding created by operating budget savings. The recommendations below strike a balance between investing in University strategic priorities while maintaining a level of conservatism in our revenue targets to buffer against enrollment uncertainties.

Below is a summary of key highlights of the Ohio University FY 2013 Operating Budget, including:

- Enrollment Projections
- Summary of Revenues and Expenditures
 - Athens Campus
 - Heritage College of Osteopathic Medicine (HCOM)
 - Regional Campuses
 - Auxiliaries

Enrollment Projections

The table below compares the Athens Campus undergraduate enrollment projected for FY 2013 based on current enrollments, freshman class and transfer projection, continuing enrollments, and retention based on the Strategic Enrollment Management Plan.

Athens Campus Enrollment (Headcount)			
	Resident	Non-Resident	Total
Fall 2011 Final	15,023	2,279	17,302
Fall 2012 Projected	14,809	2,500	17,309
Change	(214)	221	7
Change %	-1.42%	9.70%	0.04%

While overall enrollment is relatively flat, the freshman class projection continues the shift from resident to non-resident students and a continued improvement in overall student quality. The Fall 2012 projections include a slight negative adjustment because of faster graduation rates during the Quarters-to-Semesters transition, although the University views this as positive sign that the multi-year planning efforts were successful in leading students through the Q2S transition.

The Regional campuses are anticipating average enrollment decline of 1%-2%, with variations across each campus. HCOM's enrollment reflects the College's plan to enroll 140 students in each future cohort.

Athens Campus Budget

Revenue Recommendations

Incremental Resources	General Fund	General Fee	Total
Undergraduate Tuition	\$5,780,533	\$779,523	\$6,560,056
SSI	\$4,716,759	\$0	\$4,716,759
Fees and Other Revenue	\$650,000	\$0	\$650,000
Subtotal Incremental Revenue	\$11,147,292	\$779,523	\$11,926,815
Reallocation of Base Budget	\$300,000	\$570,000	\$870,000
Total Incremental Resources	\$11,447,292	\$1,349,523	\$12,796,815
Other Revenue Adjustments			
Graduate Tuition (waived)	\$2,007,368	\$0	\$2,007,368
SSI - eLearning	\$927,050	\$0	\$927,050

Revenue Recommendation Notes:

- **State Share of Instruction**
 - Our SSI Budget is proposed at 98% of the April OBR projection
 - By budgeting at 98% of the OBR projection, we leave a buffer of approximately \$2M
- **Tuition**
 - Our FY 2012 tuition over-attainment is projected at 4% for the General Fee, as compared to 1% for the General Fund
 - While our goals project a 1% enrollment increase for FY 2013, uncertainty around the Quarters-to-Semesters transition led BPC to recommend no enrollment-related revenue increase to the General Fund
 - By budgeting the FY 2013 General Fee revenue at 98% of our projection, we will add \$780K to the General Fee, providing funding for compensation increases and strategic investments
 - By allocating the revenue from the tuition increase to the General Fund, this will allow the University to make many necessary investments, as highlighted below.
- **Fees and Other Revenue**
 - Over-attainment in our broad-based fees and other revenues allows an increase of \$650,000 to the revenue budget
- **Reallocation of Base Budget**
 - The Provost has offered the reallocation of \$300,000 from central Instructional Capacity funds to hire faculty for the 4th year implementation of the Nursing program. One-time funds will help support FY 2013 Instructional Capacity needs, and this funding will be reassessed as we transition into RCM.
 - BPC recommends the reallocation of \$570,000 of funding for Student Health in consideration of the reduced subsidy required under the new Campus Care model.

- **Other Revenue Adjustments**

- By realigning eLearning with Athens Campus, we will utilize the additional SSI to merge operational staff within Enrollment Management, Registrar, and Bursar
- Graduate Tuition (\$2M) revenue is projected to increase due to the Semesters transition, but it will be 100% offset by an increase to Fee Waivers

Expense Recommendations

Inspired Teaching & Research		Exemplary Student Support Services	
Voinovich School (Prior Year Subsidy Cut)	\$ 405,000	Student Activities	\$ 983,500
OU Press	\$ 167,000	Student Services	\$ 140,000
Nursing (fourth year of implementation)	\$ 300,000	Subtotal	\$ 1,123,500
	\$ 872,000	Improved Financial Strength	
Effective Total Compensation		Safety Initiative Capital Projects	\$ 500,000
Prior Year Adjustment	\$ 483,161	Central Items	
Raise Pool	\$ 4,475,201	Utility Increases	\$ 1,500,000
Healthcare Increases	\$ 1,361,339		
Subtotal	\$ 6,319,701	Total - Expenditures	\$ 12,783,366
Effective Enrollment Planning			
Financial Aid	\$ 1,113,242		
Academic and Admin. Info. Technology	\$ 736,720		
Student Recruitment and Retention	\$ 618,203		
Subtotal	\$ 2,468,165		

Expense Recommendation Notes:

- Investments in **Teaching & Research** provides the following benefits to the University
 - The **Voinovich School** will be held harmless for the subsidy line removed from the State of Ohio Biennium Budget
 - The **OU Press** will receive a base subsidy of \$167K in recognition of a multi-year effort to increase self-sufficiency
 - Faculty will be hired to fill the 4th year implementation of the **Nursing** program
- Investments in **Total Compensation** will address rising costs of healthcare, cost of living increases to employees, and the strategic goal of effective total compensation for employees
 - **Prior Year Adjustments** to compensation reflect agreements made with our bargaining units to increase wages as a tradeoff for healthcare and parking increases
 - Break-out by Fund Source:

	<u>General Fund</u>	<u>General Fee</u>	<u>Total</u>
Raise Pool	\$ 4,244,738	\$ 230,463	\$ 4,475,201
Healthcare	\$ 1,283,123	\$ 78,216	\$ 1,361,339
	\$ 5,527,861	\$ 308,679	\$ 5,836,540

- **Effective Enrollment Planning** encompasses the following investments:
 - University-funded **Financial Aid** will increase to proportionally offset increases to Tuition, Room and Board rates.
 - Undergraduate Financial Aid: \$973,923 (3.9% increase)
 - Student-Athlete Financial Aid: \$139,319 (3.2% increase)
 - **Academic and Administrative Information Technology** investments will provide the following benefits:
 - PeopleSoft staffing (\$636,720) to deliver maintenance and system enhancements to a strategic information system
 - Internet Bandwidth enhancements (\$100,000) to meet growing demands of students, faculty, and staff
 - **Student Recruitment and Retention** investments will help the University achieve its Strategic Enrollment Plan, while also providing tools to help retain and graduate students. Items include:
 - 3rd Party Enrollment Service (\$433,203) and Marketing funds (\$150,000) to target new populations of students
 - Information System for Retention (\$35,000)

- **Student Support Services Activity** investments will fund the recommendations from the Student General Fee Committee report, as well as other key services
 - **Student Activity** investments
 - Minimum Wage increases to Campus Recreation (\$43,500)
 - Bobcat Readership (\$60,000), which provides free newspapers to students
 - Homecoming (\$40,000) programming funds
 - Marching 110 Road Trip (\$40,000)
 - Multipurpose Facility utility and maintenance expenses (\$250,000)
 - Multipurpose Facility debt service financing (\$550,000)
 - Project enhancements to provide student request of 4-lane track
 - Bridge funding as pledge gifts are received
 - **Student Service** investments
 - Career Services position funding (\$85,000) will provide better external development of employers
 - Additional advising capacity within the Office of International Student and Faculty Services (\$55,000) will allow the University to meet the demands of a growing international student population

- **Safety Initiative Capital Funding** investments:
 - The 2nd base budget investment of \$500,000 towards safety-related facility and infrastructure projects
 - Operating funding, in conjunction with State Capital funding and debt funding, will help address the deferred maintenance plan outlined in the University's 20-year Capital Improvement Plan

- The investment in **Utilities** is a multi-year funding strategy to address increased capital and operating costs associated with the future Heating Plant replacement

HCOM

The proposed operating budget for HCOM is \$28.2 million in Unrestricted Funds and \$10.3 million in Restricted Funds. A deficit is projected in FY 2013 due to a cash flow issue caused by the quarter to semester tuition conversion; however HCOM is able to mitigate this issue through the use of reserve funds. The budget has increased due to the 5% increase in tuition and two cohorts of 120 students and two cohorts of the increased 140 student class size. The proposed expenditures have increased due to the increase in class size and the addition of the 'Osteopathic Manipulative Medicine (OMM)' area. In addition to the State Share of Instruction, the College of Osteopathic Medicine (COM) restricted budget includes five state subsidies which totaled \$4.2 million to support clinical teaching, AHEC and specializations in high-need areas of medical practice (family medicine, geriatric and primary care). Additional details of the FY 2013 College of Osteopathic Medicine Operating Budget can be found in Attachment D, "College of Osteopathic Medicine Budgeted Revenue & Expenditures."

Regional Campuses

The proposed unrestricted operating budget for Regional Campuses totals \$68.3 million, a decrease of \$36.2 million or 34.6%. The realignment of eLearning from the Regional Campuses to the Athens Campus created an adjustment of \$35 million of budget authority. Excluding the adjustment for eLearning, the proposed unrestricted operating budget for Regional Campuses reflects a decrease of \$1 million. This decrease results from lower student tuition and fee revenues as a result of declining enrollments at the Chillicothe and Southern Campuses, with a slight increase in State Support. The proposed expenditure decreases reflect reduced instructional needs resulting from decreased enrollments and resultant decreases in overhead support to the Athens Campus. The Restricted Funds budget is \$17.2 million, reflecting a decrease in federal restricted support. Additional details regarding the FY 2013 Regional Campuses Operating Budget can be found in Attachment E, "Regional Campuses Detail of Budgeted Revenue & Expenditures."

Auxiliaries

Details regarding the operating budgets for each of the University's ten (10) Auxiliary Operations can be found in Attachment F, "Auxiliary Operations Budgeted Revenue & Expenditures." The narrative below focuses on the Residential Housing and Culinary Services Auxiliaries.

Residential Housing

The 3.5% approved increase in room rates will be used to support housing's 10-year capital plan, a multi-phased plan funded with auxiliary cash and debt. The new residence hall project, funded by debt, will begin in FY 2013 with site preparation, the demolition of Wolfe Street apartments, and building design. Cash-funded building renovations and maintenance scheduled for FY 2013 include: \$3M for Jefferson Hall; \$6M for Bromley Hall; \$12M for Bush Hall; and \$1.1M for chilled water infrastructure. Minor maintenance fluctuates each year based on the projects scheduled, with approximately \$4M budgeted in FY 2013.

Culinary Services

Culinary Services anticipates a slight reduction in revenue due to lower projected board plan enrollments. While food costs are continuing to rise at an estimated 4% inflation rate, Culinary Services plans to mitigate rising costs through efficiencies within the new Culinary Support Center. The facility will provide greater efficiencies in food and preparation costs. Culinary Services will also be re-opening Nelson Dining Hall in the fall after Phase I construction is complete, providing new and improved offerings to meet the demands of students.

OHIO UNIVERSITY
TOTAL UNIVERSITY
SUMMARY OF BUDGETED REVENUE AND EXPENDITURES
(IN THOUSANDS)

<u>REVENUE</u>	<u>FY 2012 Budget</u>	<u>FY 2013 Budget</u>	<u>Dollar Change</u>	<u>Percent Change</u>
Government Support				
State	144,673	149,541	4,868	3.36%
Federal	82,392	81,954	(438)	-0.53%
Local	433	436	3	0.69%
Subtotal Government Support	227,498	231,931	4,433	1.95%
Student Tuition and Fees				
Instructional Fees	267,878	267,844	(34)	-0.01%
General Fees	27,444	27,933	489	1.78%
Non-Resident Surcharges	30,718	32,806	2,088	6.80%
Other Fees	7,936	14,264	6,328	79.74%
Subtotal Student Tuition and Fees	333,976	342,847	8,871	2.66%
Other Income				
Auxiliaries	95,702	95,601	(102)	-0.11%
Departmental Sales & Services	6,312	6,829	517	8.19%
Private Grants & Contracts	10,500	10,466	(34)	-0.32%
Other	11,610	19,929	8,319	71.65%
Subtotal Other Income	124,124	132,825	8,701	7.01%
Total Revenues	685,598	707,603	22,005	3.21%
 <u>EXPENDITURES</u>				
Athens Campus				
General Programs	313,586	327,650	14,064	4.48%
General Fee	7,498	8,025	527	7.03%
Departmental Income	44,013	87,222	43,209	98.17%
Restricted Funds	76,452	78,632	2,180	2.85%
Auxiliaries	67,529	69,844	2,315	3.43%
Subtotal Athens Campus	509,078	571,373	62,295	12.24%
Heritage College of Osteopathic Medicine				
General Funds	21,880	23,288	1,408	6.44%
Restricted Funds	9,890	10,283	393	3.97%
Subtotal Heritage College of Osteopathic Medicine	31,770	33,571	1,801	5.67%
Regional Campuses				
General Funds	96,372	62,398	(33,974)	-35.25%
Restricted Funds	20,866	17,229	(3,637)	-17.43%
Subtotal Regional Campuses	117,238	79,627	(37,611)	-32.08%
Total Expenditures	658,086	684,571	26,485	4.02%
 <u>INTERNAL TRANSFERS</u>				
Internal Transfers	7,393	7,464	71	0.96%
 <u>OPERATING INCOME OVER EXPENDITURE</u>	34,905	30,495	(4,410)	-12.63%
 <u>TRANSFERS IN</u>				
Mandatory Transfers	0	0	0	0.00%
Non Mandatory Transfers	13,735	12,238	(1,497)	-10.90%
Overhead Received	19,883	20,926	1,043	5.25%
General Fund Support of Auxiliaries	24,614	25,021	407	1.65%
Total Transfers In	58,232	58,185	(47)	-0.08%
 <u>TRANSFERS OUT</u>				
Mandatory Transfers	(12,045)	(10,165)	1,880	-15.61%
Non Mandatory Transfers (Includes Renewal & Replacement)	(46,296)	(47,452)	(1,156)	2.50%
Overhead Paid	(19,883)	(19,119)	764	-3.84%
General Fund Support of Auxiliaries	(24,614)	(25,021)	(407)	1.65%
Total Transfers Out	(102,838)	(101,757)	1,081	-1.05%
 NET INCREASE/(DECREASE) TO FUND BALANCE	(9,701)	(13,077)	(3,376)	34.80%

OHIO UNIVERSITY
ATHENS CAMPUS
DETAIL OF BUDGETED REVENUE AND EXPENDITURES - SPENDING AUTHORITY
(IN THOUSANDS)

	Unrestricted Funds Budget					Restricted Funds Budget			Total Budget			
	FY 2012	FY 2013			Percent Change	FY 2012	FY 2013	Percent Change	FY 2012	FY 2013	Percent Change	
	Total Unrestricted	Athens Campus	Auxiliaries	Total Unrestricted		Total Restricted	Total Restricted		Total Budget	Total Budget		
REVENUE												
Government Support												
State	94,536	100,180	-	100,180	5.97%				106,403	111,880	5.15%	
Federal	-	-	-	-	0.00%				58,392	61,232	4.86%	
Local	-	-	-	-	0.00%				400	400	0.00%	
Subtotal Government Support	94,536	100,180	-	100,180	5.97%	70,659	73,332	3.78%	165,195	173,512	5.03%	
Student Tuition and Fees												
Instructional Fees	175,895	209,465	-	209,465	19.09%	-	-	0.00%	175,895	209,465	19.09%	
General Fees	25,299	26,618	-	26,618	5.21%	-	-	0.00%	25,299	26,618	5.21%	
Non-Resident Surcharges	29,732	32,170	-	32,170	8.20%	-	-	0.00%	29,732	32,170	8.20%	
Other Fees	7,425	13,685	-	13,685	84.31%	-	-	0.00%	7,425	13,685	84.31%	
Subtotal Student Fees	238,351	281,938	-	281,938	18.29%	-	-	0.00%	238,351	281,938	18.29%	
Other Income												
Auxiliaries	95,702	-	95,601	95,601	-0.11%	-	-	0.00%	95,702	95,601	-0.11%	
Departmental Sales & Services	6,312	6,829	-	6,829	8.19%	-	-	0.00%	6,312	6,829	8.19%	
Private Grants & Contracts	-	-	-	-	0.00%	8,200	8,000	-2.44%	8,200	8,000	-2.44%	
Other	9,876	18,504	-	18,504	87.36%	-	-	0.00%	9,876	18,504	87.36%	
Subtotal Other Income	111,890	25,333	95,601	120,934	8.08%	8,200	8,000	-2.44%	120,090	128,934	7.36%	
Total Revenues	444,777	407,451	95,601	503,052	13.10%	78,859	81,332	3.14%	523,636	584,384	11.60%	
EXPENDITURES												
Academic Programs	183,305	224,779	-	224,779	22.63%	-	-	0.00%	183,305	224,779	22.63%	
Administration and Support Services	115,959	129,007	-	129,007	11.25%	-	-	0.00%	115,959	129,007	11.25%	
Auxiliaries	67,529	-	69,844	69,844	3.43%	-	-	0.00%	67,529	69,844	3.43%	
Centrally Budgeted Items												
Funds to Be Distributed	5,747	5,535	-	5,535	-3.69%	-	-	0.00%	5,747	5,535	-3.69%	
Centrally Paid Items	60,086	63,576	-	63,576	5.81%	-	-	0.00%	60,086	63,576	5.81%	
Grants, Contracts, & Work Study	-	-	-	-	0.00%	76,452	78,632	2.85%	76,452	78,632	2.85%	
Subtotal Centrally Budgeted Items	65,833	69,111	-	69,111	4.98%	76,452	78,632	2.85%	142,285	147,743	3.84%	
Total Expenditures	432,626	422,897	69,844	492,741	13.90%	76,452	78,632	2.85%	509,078	571,373	12.24%	
INTERNAL TRANSFERS												
Internal Transfers	7,393	7,464	-	7,464	0.96%	-	-	0.00%	7,393	7,464	0.96%	
OPERATING INCOME OVER EXPENDITURE	19,544	(7,982)	25,756	17,774	-9.06%	2,407	2,700	12.17%	21,951	20,474	-6.73%	
TRANSFERS IN												
Mandatory Transfers	-	-	-	-	0.00%	-	-	0.00%	-	-	0.00%	
Non Mandatory Transfers	13,735	12,262	(233)	12,029	-12.42%	-	-	0.00%	13,735	12,029	-12.42%	
Overhead Received	19,883	20,926	-	20,926	5.25%	-	-	0.00%	19,883	20,926	5.25%	
General Fund & Fee Support of Auxiliaries	24,614	-	25,021	25,021	1.65%	-	-	0.00%	24,614	25,021	1.65%	
Total Transfers In	58,232	33,188	24,788	57,976	-0.44%	-	-	0.00%	58,232	57,976	-0.44%	
TRANSFERS OUT												
Mandatory Transfers	(9,638)	-	(7,465)	(7,465)	-22.55%	(2,407)	(2,700)	12.17%	(12,045)	(10,165)	-15.61%	
Non Mandatory Transfers	(44,704)	-	(46,969)	(46,969)	5.07%	-	-	0.00%	(44,704)	(46,969)	5.07%	
Overhead Paid	(8,521)	(185)	(8,598)	(8,783)	3.07%	-	-	0.00%	(8,521)	(8,783)	3.07%	
General Fund & Fee Support of Auxiliaries	(24,614)	(25,021)	-	(25,021)	1.65%	-	-	0.00%	(24,614)	(25,021)	1.65%	
Total Transfers Out	(87,477)	(25,206)	(63,032)	(88,238)	0.87%	(2,407)	(2,700)	12.17%	(89,884)	(90,938)	1.17%	
NET INCREASE/(DECREASE) TO FUND BALANCE	(9,701)	-	(12,488)	(12,488)	28.73%	-	-	0.00%	(9,701)	(12,488)	28.73%	

OHIO UNIVERSITY
Overhead & Transfers Summary
 (IN THOUSANDS)

Overhead reflects payments to the Athens Campus from Regional Campuses, the Heritage College of Osteopathic Medicine and certain auxiliary/departmental operations to support centrally provided services and infrastructure. **Overhead** is recognized as a **Transfer In** to the Athens Campus and a **Transfer Out from** the units making payments.

Transfers In represent resources transferred TO a fund of the University FROM another fund within the University. For example, the Athens campus budget reflects funding from Regional Campuses to support specific Vision OHIO initiatives led by the Athens Campus. At the time such initiatives cease, so will the transfer payment.

Overhead Summary	FY2012	FY2013
Regional Campuses	\$ 6,900	\$ 5,800
eLearning (Previously Part of RC)	\$ -	\$ 1,807
Heritage College of Osteopathic Med (w/ Ridges)	\$ 4,462	\$ 4,536
Residential Housing Auxiliary	\$ 3,561	\$ 3,590
Dining Services Auxiliary	\$ 3,290	\$ 3,288
Campus Recreation Auxiliary	\$ 957	\$ 957
Parking Auxiliary	\$ 102	\$ 113
Real Estate Auxiliary	\$ 650	\$ 650
Designated Activity Overhead (OPIE)	\$ 185	\$ 185
Total Budgeted	\$ 20,107	\$ 20,926

Overhead is calculated differently for each unit, typically by using a percentage of revenue. The University is conducting an internal overhead study to assist with the analysis and proper setting of overhead assessments .

Transfers In Summary	FY2012	FY2013
RC - TO support OTO Vision Ohio	\$ 330	\$ 330
RC - TO support Campus Community	\$ 250	\$ 250
Housing - TO support Telephone Auxiliary	\$ 650	\$ 650
Housing - TO support Resources in Facilities	\$ 8,630	\$ 8,500
Dining - TO support Resources in Facilities	\$ 380	\$ 380
University Endowment - TO Foundation Fin Ops	\$ 581	\$ 581
OIT/OUF - TO Support HDL Debt Service	\$ 508	\$ 508
ICA - TO Support Budget Unit Manager Duties	\$ 84	\$ 84
Graduate Tuition Scholarships	\$ 679	\$ 679
Departmental Revenue moved Central	\$ -	\$ 300
27th Payroll for Classified - OTO	\$ 1,229	\$ -
Total Budgeted	\$ 13,321	\$ 12,262

Transfers In, as reflected on the provided schedules, present resources received by the Athens Campus for allocation to specific units for activities or services performed. The University is conducting an ongoing review of such transfers to determine which activities should be decreased, supported by other funding, or discontinued.

OHIO UNIVERSITY
HERITAGE COLLEGE OF OSTEOPATHIC MEDICINE
DETAIL OF BUDGETED REVENUE AND EXPENDITURES
(IN THOUSANDS)

	Unrestricted Funds Budget			Restricted Funds Budget			Total Budget		
	FY 2012	FY 2013	Percent Change	FY 2012	FY 2013	Percent Change	FY 2012	FY 2013	Percent Change
	Total Unrestricted	Heritage College of Medicine		Total Restricted	Total Restricted		Total Budget	Total Budget	
REVENUE ⁽¹⁾									
Government Support									
State	9,839	10,367	5.37%	3,957	4,225	6.77%	13,796	14,592	5.77%
Federal	-	-	0.00%	3,600	3,556	-1.22%	3,600	3,556	-1.22%
Local	-	-	0.00%	33	36	9.09%	33	36	9.09%
Subtotal Government Support	9,839	10,367	5.37%	7,590	7,817	2.99%	17,429	18,184	4.33%
Student Tuition and Fees									
Instructional Fees	15,756	16,256	3.17%	-	-	0.00%	15,756	16,256	3.17%
General Fees	55	-	-100.00%	-	-	0.00%	55	-	-100.00%
Non-Resident Surcharges	215	198	-7.91%	-	-	0.00%	215	198	-7.91%
Other Fees	511	579	13.31%	-	-	0.00%	511	579	13.31%
Subtotal Student Fees	16,537	17,033	3.00%	-	-	0.00%	16,537	17,033	3.00%
Other Income									
Private Grants & Contracts	-	-	0.00%	2,300	2,466	7.22%	2,300	2,466	7.22%
Other	358	225	-37.15%	-	-	0.00%	358	225	-37.15%
Subtotal Other Income	358	225	-37.15%	2,300	2,466	7.22%	2,658	2,691	1.24%
Total Revenues	26,734	27,625	3.33%	9,890	10,283	3.97%	36,624	37,908	3.51%
EXPENDITURES ⁽²⁾									
Academic Programs									
Biomedical Sciences	4,655	5,258	12.95%	-	-	0.00%	4,655	5,258	12.95%
Social Medicine	727	834	14.72%	156	156	0.00%	883	990	12.12%
Family Medicine	3,286	3,144	-4.32%	1,651	1,329	-19.50%	4,937	4,473	-9.40%
Geriatrics	751	815	8.52%	167	87	-47.90%	918	902	-1.74%
Obstetrics and Gynecology	455	469	3.08%	-	-	0.00%	455	469	3.08%
Osteopathic Manipulative Medicine (OMM)	-	435	0.00%	-	-	0.00%	-	435	0.00%
Pediatrics	490	536	9.39%	165	-	-100.00%	655	536	-18.17%
Specialty Medicine	1,530	1,693	10.65%	175	256	46.29%	1,705	1,949	14.31%
Academic and Curriculum Support	1,991	1,464	-26.47%	65	112	72.31%	2,056	1,576	-23.35%
Health Sciences Library / Learning Res. Ctr.	487	460	-5.54%	-	-	0.00%	487	460	-5.54%
Research	727	641	-11.83%	1,504	1,749	16.29%	2,231	2,390	7.13%
Centers for Osteopathic Res. & Education (CORE)	-	-	0.00%	4,125	3,948	-4.29%	4,125	3,948	-4.29%
Subtotal Academic Programs	15,099	15,749	4.30%	8,008	7,637	-4.63%	23,107	23,386	1.21%
Administration and Support Services									
HCOM Administration	3,948	4,343	10.01%	-	-	0.00%	3,948	4,343	10.01%
Student & Professional Support & Relations	2,038	2,066	1.37%	167	335	100.60%	2,205	2,401	8.89%
Community Service Programs	795	1,130	42.14%	1,715	2,311	34.75%	2,510	3,441	37.09%
Subtotal Administration and Support	6,781	7,539	11.18%	1,882	2,646	40.60%	8,663	10,185	17.57%
Total Expenditures	21,880	23,288	6.44%	9,890	10,283	3.97%	31,770	33,571	5.67%
OPERATING INCOME OVER EXPENDITURE	4,854	4,337	-10.65%	-	-	0.00%	4,854	4,337	-10.65%
TRANSFERS IN									
Mandatory Transfers	-	-	0.00%	-	-	0.00%	-	-	0.00%
Non Mandatory Transfers	-	-	0.00%	-	-	0.00%	-	-	0.00%
Overhead Received	-	-	0.00%	-	-	0.00%	-	-	0.00%
Total Transfers In	-	-	0.00%	-	-	0.00%	-	-	0.00%
TRANSFERS OUT									
Mandatory Transfers	-	-	0.00%	-	-	0.00%	-	-	0.00%
Non Mandatory Transfers ⁽³⁾	(392)	(390)	-0.51%	-	-	0.00%	(392)	(390)	-0.51%
Overhead Paid	(4,462)	(4,536)	1.66%	-	-	0.00%	(4,462)	(4,536)	1.66%
Total Transfers Out	(4,854)	(4,926)	1.48%	-	-	0.00%	(4,854)	(4,926)	1.48%
NET INCREASE/(DECREASE) TO FUND BALANCE ⁽⁴⁾	-	(589)	0.00%	-	-	0.00%	-	(589)	0.00%

NOTES:

- (1) Heritage College of Osteopathic Medicine revenue estimates reflect FY 2013 tuition increases of 5% and with two cohorts of 120 students and two cohorts with 140 students. The entering class in FY 2010 represented the first cohort of 120 students and FY 2012 is the first of 140 students.
- (2) Fluctuations in expenditures partially reflect changes in the restricted state subsidy lines. These funding levels have direct impact on support of faculty in each of the fields of practice.
- (3) In FY 2012, a Non Mandatory Transfer of \$392,000 will be made to the OU-HCOM Reserve Quasi-Endowment account.
- (4) The deficit is due to a cash flow issue caused by the quarter to semester conversion. HCOM plans to cover this through vacant positions and possibly carryover funds.

OHIO UNIVERSITY
REGIONAL CAMPUSES
DETAIL OF BUDGETED REVENUE AND EXPENDITURES
(IN THOUSANDS)

	Unrestricted Funds Budget			Restricted Funds Budget			Total Budget		
	FY 2012	FY 2013	Percent Change	FY 2012	FY 2013	Percent Change	FY 2012	FY 2013	Percent Change
	Total Unrestricted	Regional Campuses		Total Restricted	Total Restricted		Total Budget	Total Budget	
REVENUE									
Government Support									
State	24,008	23,006	-4.17%	466	63	-86.48%	24,474	23,069	-5.74%
Federal	-	-	0.00%	20,400	17,166	-15.85%	20,400	17,166	-15.85%
Local	-	-	0.00%	-	-	0.00%	-	-	0.00%
Subtotal Government Support	24,008	23,006	-4.17%	20,866	17,229	-17.43%	44,874	40,235	-10.34%
Student Tuition and Fees ⁽¹⁾									
Instructional Fees	76,227	42,123	-44.74%	-	-	0.00%	76,227	42,123	-44.74%
General Fees	2,090	1,315	-37.08%	-	-	0.00%	2,090	1,315	-37.08%
Non-Resident Surcharges	771	438	-43.19%	-	-	0.00%	771	438	-43.19%
Other Fees	-	-	0.00%	-	-	0.00%	-	-	0.00%
Subtotal Student Tuition and Fees	79,088	43,876	-44.52%	-	-	0.00%	79,088	43,876	-44.52%
Other Income									
Private Grants & Contracts	-	-	0.00%	-	-	0.00%	-	-	0.00%
Other	1,376	1,200	-12.79%	-	-	0.00%	1,376	1,200	-12.79%
Subtotal Other Income	1,376	1,200	-12.79%	-	-	0.00%	1,376	1,200	-12.79%
Total Revenues	104,472	68,082	-34.83%	20,866	17,229	-17.43%	125,338	85,311	-31.94%
EXPENDITURES									
Regional Campuses and Centers ⁽²⁾									
Eastern Campus	5,985	5,702	-4.73%	-	-	0.00%	5,985	5,702	-4.73%
Chillicothe Campus	15,318	15,105	-1.39%	-	-	0.00%	15,318	15,105	-1.39%
Lancaster Campus	12,308	12,960	5.30%	-	-	0.00%	12,308	12,960	5.30%
Pickerington Center	1,624	1,603	-1.29%	-	-	0.00%	1,624	1,603	-1.29%
Southern Campus	12,805	11,619	-9.26%	-	-	0.00%	12,805	11,619	-9.26%
Proctorville Center	810	810	0.00%	-	-	0.00%	810	810	0.00%
Zanesville Campus	12,725	12,896	1.34%	-	-	0.00%	12,725	12,896	1.34%
eLearning	30,844	-	-100.00%	-	-	0.00%	30,844	-	-100.00%
School of Nursing	1,420	-	-100.00%	-	-	0.00%	1,420	-	-100.00%
Subtotal Regional Campuses & Centers	93,839	60,695	-35.32%	-	-	0.00%	93,839	60,695	-35.32%
Administration and Support Services									
Executive Dean Regional Campuses	831	831	0.00%	-	-	0.00%	831	831	0.00%
Vice Provost eLearning	200	-	-100.00%	-	-	0.00%	200	-	-100.00%
Subtotal Admin and Support Services	1,031	831	-19.40%	-	-	0.00%	1,031	831	-19.40%
Centrally Budgeted Items									
Centrally Paid Items ⁽³⁾	1,502	872	-41.94%	-	-	0.00%	1,502	872	-41.94%
Grants, Contracts, & Work Study	-	-	0.00%	20,866	17,229	-17.43%	20,866	17,229	-17.43%
Subtotal Centrally Budgeted Items	1,502	872	-41.94%	20,866	17,229	-17.43%	22,368	18,101	-19.08%
Total Expenditures	96,372	62,398	-35.25%	20,866	17,229	-17.43%	117,238	79,627	-32.08%
OPERATING INCOME OVER EXPENDITURE	8,100	5,684	-29.83%	-	-	0.00%	8,100	5,684	-29.83%
TRANSFERS IN									
Mandatory transfers in (debt)	-	-	0.00%	-	-	0.00%	-	-	0.00%
Other non-mandatory transfers in	-	209	0.00%	-	-	0.00%	-	209	0.00%
Overhead received	-	-	0.00%	-	-	0.00%	-	-	0.00%
Total Transfers In	-	209	0.00%	-	-	0.00%	-	209	0.00%
TRANSFERS OUT									
Mandatory transfers out (debt)	-	-	0.00%	-	-	0.00%	-	-	0.00%
Other non-mandatory transfers	(1,200)	(93)	-92.25%	-	-	0.00%	(1,200)	(93)	-92.25%
Overhead paid	(6,900)	(5,800)	-15.94%	-	-	0.00%	(6,900)	(5,800)	-15.94%
Total Transfers Out	(8,100)	(5,893)	-27.25%	-	-	0.00%	(8,100)	(5,893)	-27.25%
NET INCREASE/(DECREASE) TO FUND BALANCE	-	-	0.00%	-	-	0.00%	-	-	0.00%

NOTES:

- (1) Total FY 2012 actual Student Tuition & Fee revenues are projected to fall slightly below budgeted levels; FY2013 revenues are projected to steady at existing levels.
- (2) Planned expenditure changes largely correspond to changes in enrollment.
- (3) Centrally Paid Items consists of service payments to the Athens General Fund for joint educational activities and communication services.

OHIO UNIVERSITY
SUMMARY OF AUXILIARY OPERATIONS
 (IN THOUSANDS)

	FY 2012	FY 2013										Percent Change	
	Total	Residential Housing	Culinary Services	Intercollegiate Athletics	Campus Recreation	Telephone & Tech Stores Operations	Student Union	Airport	Parking	Athena Theater	Real Estate		Total
BUDGETED BEGINNING FUND BALANCE ⁽¹⁾	25,441	19,016	2,652	-	866	4,691	674	38	1,229	(184)	-	28,982	13.9%
REVENUE	95,702	43,511	39,075	4,078	1,204	2,865	143	996	2,302	124	1,303	95,601	-0.1%
EXPENDITURES	76,325	12,164	30,050	19,252	3,131	6,394	1,753	2,171	2,618	159	653	78,345	2.6%
Internal Transfers	(8,796)	(179)	(779)	-	(84)	(4,800)	(686)	(598)	(1,375)	-	-	(8,501)	-3.4%
Total Expenditures	67,529	11,985	29,271	19,252	3,047	1,594	1,067	1,573	1,243	159	653	69,844	3.4%
OPERATING INCOME OVER EXPENDITURE	28,173	31,526	9,804	(15,174)	(1,843)	1,271	(924)	(577)	1,058	(35)	650	25,756	-8.6%
TRANSFERS IN													
Mandatory Transfers	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Non Mandatory Transfers	190	130	-	32	-	(426)	-	-	31	-	-	(233)	-222.6%
General Fee Support of Auxiliaries	17,434	150	-	8,793	4,723	-	4,021	-	-	-	-	17,687	1.4%
General Fund Support of Auxiliaries	7,180	-	-	6,598	-	-	-	736	-	-	-	7,334	2.1%
Total Transfers In	24,804	280	-	15,423	4,723	(426)	4,021	736	31	-	-	24,788	-0.1%
TRANSFERS OUT													
Mandatory Transfers	(9,638)	(2,216)	-	(249)	(1,893)	-	(3,037)	(70)	-	-	-	(7,465)	-22.5%
Non Mandatory Transfers	(11,990)	(9,316)	(801)	-	-	(45)	-	(21)	(434)	-	-	(10,617)	-11.5%
Maintenance Minor & Major	(30,488)	(28,184)	(6,470)	-	-	-	-	(68)	(305)	-	-	(35,027)	14.9%
Renewal and Replacement Reserve	(2,226)	(500)	-	-	-	(800)	(25)	-	-	-	-	(1,325)	-40.5%
Overhead paid	(8,336)	(3,590)	(3,288)	-	(957)	-	-	-	(113)	-	(650)	(8,598)	3.1%
Total Transfers Out	(62,678)	(43,806)	(10,559)	(249)	(2,850)	(845)	(3,062)	(159)	(852)	-	(650)	(63,032)	0.6%
BUDGETED NET INCREASE/(DECREASE) TO FUND BALANCE	(9,701)	(12,000)	(755)	-	30	-	35	-	237	(35)	-	(12,488)	28.7%
PROJECTED ENDING FUND BALANCE ⁽²⁾	15,740	7,016	1,897	-	896	4,691	709	38	1,466	(219)	-	16,493	4.8%

(1) **Budgeted Beginning Fund Balance:** Balance is anticipated beginning fund balance for FY 13.

(2) **Budgeted Ending Fund Balance:** Residential Housing and Dining Services are projecting decreases to their fund balances due to capital projects. Athena Theater continues to review possible ways to generate additional revenue while focusing on the cultural arts.

OHIO UNIVERSITY
SUMMARY OF STATE SUPPORT
 (IN THOUSANDS)

	Unrestricted Funds Budget						Restricted Funds Budget						Total Budget		
	FY 2012	FY 2013				Percent Change	FY 2012	FY 2013				Percent Change	FY 2012	FY 2013	Percent Change
	Total Unrestricted	Athens General Funds	Heritage College of Osteopathic Medicine	Regional Campuses	Total Unrestricted		Total Restricted	Athens General Funds	Heritage College of Osteopathic Medicine	Regional Campuses	Total Restricted		Total Budget	Total Budget	
STATE SUPPORT															
CORE FUNDING															
State Share of Instruction (SSI)	128,303	100,100	10,367	23,006	133,473	4.03%	-	-	-	-	-	0.00%	128,303	133,473	4.03%
SSI - Federal Stimulus	-	-	-	-	-	0.00%	-	-	-	-	-	0.00%	-	-	0.00%
Economic Growth/Research Challenge	-	-	-	-	-	0.00%	12	-	12	-	12	0.00%	12	12	0.00%
Other	80	80	-	-	80	0.00%	-	-	-	-	-	0.00%	80	80	0.00%
Subtotal Core Funding	128,383	100,180	10,367	23,006	133,553	4.03%	12	-	12	-	12	0.00%	128,395	133,565	4.03%
APPROPRIATIONS															
OU-Specific Line Items															
OU Clinical Teaching	-	-	-	-	-	0.00%	2,891	-	2,891	-	2,891	0.00%	2,891	2,891	0.00%
General Line Items															
AHEC Program Support	-	-	-	-	-	0.00%	125	-	125	-	125	0.00%	125	125	0.00%
Family Practice	-	-	-	-	-	0.00%	517	-	517	-	517	0.00%	517	517	0.00%
Geriatric Medicine	-	-	-	-	-	0.00%	74	-	74	-	74	0.00%	74	74	0.00%
Primary Care Residencies	-	-	-	-	-	0.00%	238	-	238	-	238	0.00%	238	238	0.00%
Appalachian New Economy	-	-	-	-	-	0.00%	737	737	-	-	737	0.00%	737	737	0.00%
Library Depositories	-	-	-	-	-	0.00%	244	244	-	-	244	0.00%	244	244	0.00%
Capital Component	-	-	-	-	-	0.00%	2,709	2,407	-	302	2,709	0.00%	2,709	2,709	0.00%
Other	-	-	-	-	-	0.00%	80	80	-	-	80	0.00%	80	80	0.00%
Subtotal Appropriations	-	-	-	-	-	0.00%	7,615	3,468	3,845	302	7,615	0.00%	7,615	7,615	0.00%
STATE GRANTS AND CONTRACTS	-	-	-	-	-	0.00%	5,963	5,532	368	63	5,963	0.00%	5,963	5,963	0.00%
STATE STUDENT FINANCIAL AID	-	-	-	-	-	0.00%	2,700	2,700	-	-	2,700	0.00%	2,700	2,700	0.00%
TOTAL STATE SUPPORT	128,383	100,180	10,367	23,006	133,553	4.03%	16,290	11,700	4,225	365	16,290	0.00%	144,673	149,843	3.57%

OHIO UNIVERSITY
ELEARNING AND OFF-CAMPUS GRADUATE PROGRAMS
FY 2013 STUDENT TUITION AND FEE SCHEDULE
(PER HOUR)

eCampus Undergraduate Programs
Early Child Generalist Endorsement Certificate

Instructional Fees	General Fees	Program Fee	Resident Total	Non-Resident Surcharge	Non-Resident Total
237	3	0	240	3	243
229	3	107	339	3	342

Masters in Health Administration
Masters of Information and Telecommunication Systems
Master of Communication Studies
Master of Social Science
Master of Public Administration
Master of Counselor Education
Masters in Special Education
Higher Education PhD
Masters in Higher Education
Instructional Design Certificate
Masters in Educational Administration

505	3	146	654	19	673
505	3	117	625	19	644
505	3	17	525	19	544
505	3	63	571	19	590
505	3	69	577	19	596
505	3	0	508	19	527
505	3	0	508	19	527
505	3	0	508	19	527
505	3	0	508	19	527
505	3	0	508	19	527
390	3	0	393	19	412

Other Student Fees

(Per Semester)

Technology Fee
Patton College of Education

Undergraduate	Graduate
80	80

Student Course Fees

- ART 1111 Introduction to Digital Art - \$180.00
- ART 1121 Introduction to Drawing - \$105.00
- ART 1131 Introduction to Film Photography - \$68.00
- ART 1141 Introduction to Digital Photography - \$68.00
- ART 1151 Introduction to Painting - \$60.00
- ART 1161 Introduction to Ceramics - \$225.00
- ART 1171 Introduction to Printmaking - \$135.00
- ART 1181 Introduction to Graphic Design - \$75.00
- ART 1191 Introduction to Sculpture - \$105.00

Budget Update Agenda

- Budget Process Goals
- Final Budget Assumptions
- FY 2013 Budget Approval
 - Athens Campus Budget
 - Regional Campuses
 - Heritage College of Osteopathic Medicine
 - Auxiliary Operations



FY 2013 Budget Budget Process Goals

- Alignment with & Progress on Strategic Plan
- Avoiding Disruption of Programs following Years of Budget Cuts
- Tuition Increase Tied to Strategic Investments
- Managing Institutional Risk
- Campus Engagement
- Balanced Budget



FY 2013 Budget Final Budget Assumptions

- **Revenue Budget**
 - Small Enrollment Increase
 - Subsidy Budgeted at 98% of the Regents Projection
 - Tuition & Fees – Tuition Increase to General Fund
 - Applied 98% Conservatism to General Fee – Additional \$780K Budgeted
- **Expenditure Budget**
 - Alignment of Investments with Strategic Priorities
 - No Planning Unit Budget Reductions
 - 2.5% Raise Pool
 - Healthcare and Utilities Inflationary Increases
 - Financial Aid Increases to Offset 3.5% Tuition Increase



FY 2013 Budget Total University

- The University Seeks Approval of \$786.3M in Total Budget Authority as Follows:

Total Proposed Budget Authority Restricted & Unrestricted (Expense + Transfers Out)	FY 2012 Original	FY 2013 Proposed	%
	(in thousands)		Change
Total Athens Campus	468.8	529.4	12.9%
Total Auxiliary Operations	120.5	132.9	10.3%
Total Heritage College of Osteopathic Medicine	36.6	38.5	5.1%
Total Regional Campuses	125.0	85.5	-31.6%
Total University	750.9	786.3	4.7%

eLearning has been Realigned with Athens Campus from Regional Campuses, an Adjustment of \$35M of Budget Authority.



FY 2013 Budget Athens Campus Budget

- The University Proposes Budget Authority of \$529.4M on the Athens Campus

	FY 2012 Original	FY 2013 Proposed	% Change
Athens Campus			
Expense	\$ 321.1	\$ 335.7	4.6%
Transfers Out	\$ 24.6	\$ 25.0	1.6%
Total Athens Campus Budget Authority	\$ 345.7	\$ 360.7	4.3%
Designated Fund (Unrestricted)			
Expense	\$ 44.0	\$ 87.2	98.2%
Transfers Out	\$ 0.2	\$ 0.2	8.1%
Total Designated Fund Budget Authority	\$ 44.2	\$ 87.4	97.8%
Restricted General Fund & General Fee			
Expense	\$ 76.5	\$ 78.6	2.8%
Transfers Out	\$ 2.4	\$ 2.7	12.2%
Total Restricted Budget Authority	\$ 78.9	\$ 81.3	3.1%
Total Athens Campus Budget Authority	\$ 468.8	\$ 529.4	12.9%



FY 2013 Budget Athens Campus Resources

- Athens Unrestricted Resources Increase of \$15.0M

General Fund & General Fee Resources	FY 2012 Original	FY 2013 Proposed	\$ Change	% Change
Student Tuition & Fees	\$ 213.5	\$ 222.0	\$ 8.5	4.0%
State Share of Instruction	\$ 94.5	\$ 100.1	\$ 5.6	6.0%
Other Fees & Transfers	\$ 37.7	\$ 38.6	\$ 0.9	2.4%
Total General Fund & General Fee Resources	\$ 345.7	\$ 360.7	\$ 15.0	4.3%

- Graduate Tuition Revenue Increase (\$2M) 100% Offset by Waiver Increase



FY 2013 Budget Athens Budget – Summary of Strategic Investments

Investments and Reallocations	Amount
Inspired Teaching and Research	\$ 872,000
Effective Total Compensation	\$ 6,319,701
Effective Enrollment Planning	\$ 2,468,165
Exemplary Student Support Services	\$ 1,123,500
Improved Financial Strength	\$ 500,000
Central University	\$ 1,500,000
	\$ 12,783,366

- See Budget Memo included with the Board Materials for Complete Breakdown.



FY 2013 Budget Athens Campus

Summary of Athens Campus Revenues & Expenses

Athens Campus (Unrestricted)	FY 2012 Original	FY 2013 Proposed
Revenue	\$ 312.3	\$ 327.5
Expense	\$ 321.1	\$ 335.7
Revenue over Expense	\$ (8.8)	\$ (8.2)
Transfers In & Overhead	\$ 33.4	\$ 33.2
Transfers Out	\$ 24.6	\$ 25.0
Transfers In & Overhead over Transfers Out	\$ 8.8	\$ 8.2
Net Increase (Decrease)	\$ -	\$ -



FY 2013 Budget Regional Campuses

- The Regional Campuses Unrestricted Budget Totals \$68.3 Million, a Decrease of \$36.2 Million or 34.6%; Adjusting for eLearning Realignment of \$35M, a Decrease of \$1M

Regional Campuses	FY 2012	FY 2013	%
	Original	Proposed	Change
Expense	\$ 96.4	\$ 62.4	-35.3%
Transfers Out	\$ 8.1	\$ 5.9	-27.2%
Total Unrestricted Budget Authority	\$ 104.5	\$ 68.3	-34.6%
Total Restricted Budget Authority	\$ 20.6	\$ 17.2	-16.4%
TOTAL RC Budget Authority	\$ 125.0	\$ 85.5	-31.6%



FY 2013 Budget Heritage College of Osteopathic Medicine

- The Heritage College of Osteopathic Medicine Budget Proposal is Increased 5.5% to \$28.2 Million in Unrestricted Funds to Continue Support of Strategic Initiatives, CORE, and Accreditation Activities.
- FY 2013 Unrestricted Expenditures will be Supported by a 5% Tuition Increase and \$0.5 Million Increase in State Support.

Heritage College of Osteopathic Medicine	FY 2012	FY 2013	%
	Original	Proposed	Change
Expense	\$ 21.9	\$ 23.3	6.5%
Transfers Out	\$ 4.9	\$ 4.9	0.9%
Total Unrestricted Budget Authority	\$ 26.7	\$ 28.2	5.5%
Total Restricted Budget Authority	\$ 9.9	\$ 10.3	4.1%
TOTAL HCOM BUDGET	\$ 36.6	\$ 38.5	5.1%



FY 2013 Budget Auxiliary Operations

Auxiliary Operations Highlights

- **Support from General Fee and General Fund**
 - Reflected as Transfers In within Auxiliary Budgets
- **Reflects Actions to Resolve Cumulative Deficits**
- **Residential Housing and Dining Services Project Fund Balance Decreases due to Capital Projects**
- **Intercollegiate Athletics Budget Remains Balanced**



FY 2013 Budget Other Fee Adjustments

Fee Updates from April Meeting

- **Athens Undergraduate Tuition increase of 3.5% will all be applied to the instructional fee**
- **Student Fees**
 - **Technology Fee for the Patton College of Education was recommended to increase to \$80 per semester for Undergraduate and Graduate Students**
 - **Nine introductory Art courses were omitted from the listing in April, the fees range from \$60-\$225**
 - **eLearning / Off Campus Graduate Programs**



FY 2013 Budget Total University

- The University Seeks Approval of Total Budget Authority of \$786.3M

Total Proposed Budget Authority Restricted & Unrestricted (Expense + Transfers Out)	FY 2012 Original (in thousands)	FY 2013 Proposed	%
			Change
Total Athens Campus	468.8	529.4	12.9%
Total Auxiliary Operations	120.5	132.9	10.3%
Total Heritage College of Osteopathic Medicine	36.6	38.5	5.1%
Total Regional Campuses	125.0	85.5	-31.6%
Total University	750.9	786.3	4.7%





OHIO
UNIVERSITY

Interoffice Communication

Date: June 8, 2012

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: SOURCES & USES REPORT AND FY 2012 FINANCIAL PROJECTION

Please find attached for your review a copy of the Sources & Uses Report and FY 2012 Financial Projection for the period ending April 30, 2012.

The reports and the processes surrounding the production of this information remains a work in progress. While this comprehensive reporting tool will ultimately include all sources of funding to the university, Foundation funds have not yet been incorporated into the model. However, it remains the goal of Finance to consolidate all financial reporting into one concise reporting vehicle that provides transparency as to

- the resources available to the University for its operations as well as opportunities for investment in the pursuit of strategic objectives,
- the use of resources that draws a clear linkage to the resource allocation process and financial results, and
- the impact of financial results on ratios

The following reports are included in the materials:

- Consolidated Sources & Uses Report – Total, Unrestricted, and Restricted
 - Most recent 3 years audited financial results
 - Current year-to-date actual as of April 30, 2012

I look forward to reviewing the projected results for Sources & Uses at the June meeting. Should you have questions prior to the meeting please do not hesitate to contact me.

Financial highlights include:

SOURCES

Tuition & Fees:

FY 2012 results project an increase of \$26 million in tuition and fees over FY 2011. The growth has resulted from the following strategic activities:

- \$10 million is attributed to the growth in e-learning programs
- Approximately \$3 million in additional tuition and fees as a result of fee increases and increased enrollment through programs in the College of Medicine.
- The remaining increase is the result of enrollment growth strategies directed at increasing nonresident enrollments, specialized graduate programs, favorable retention rates and the growth of on-line programs within the Colleges.

Investment Income:

- Investment income is earned from returns on investments related to the University's endowments and its working capital.
 - Investment performance within the diversified pool, which is comprised of all of the University's endowments and approximately 25% of its working capital, has lagged significantly behind last year's performance at 2.1% FYTD through March 31, 2012.
 - The University's liquidity pool, which is approximately 50% of its working capital, has experienced a 5.1% FYTD return through March 31, 2012.
 - Investment performance for both components remains relatively strong through May 2012. However, market volatility continues to be a concern when forecasting for the near term.

Private Gifts, Grants and Contracts:

- Results for FY 2012 remain consistent with the prior two years of performance in this category.

State, Local, Other Government Grants & Contracts:

- The decrease of \$1.6 million in this category year over year is attributed to the following:
 - The Ohio College Opportunity Grants were down by \$800,000 in FY 2012. This is not a trend that is expected to continue. It is estimated that funding for this grant will return to relatively stable levels of historic funding in FY 2013.
 - The residual balance is attributed to the spending down of funds from the current Third Frontier grants.

Sponsored Programs (Federal):

There are two primary components to this line item:

- Federal Grants & Contracts (primarily research related)
 - FY 2012 Federal Grants & Contracts are projected to end the fiscal year at a total of \$28 million (as compared to FY 2011 total of \$34 million). This decrease was anticipated as government stimulus funds received by the University through the American Recovery & Reinvestment Act (ARRA) were spent down.
- PELL
 - PELL proceeds for FY 2012 are anticipated to be \$47.5 million. This remains comparable to prior year receipts of \$47.4 million.

Sponsored Programs (F&A):

- FY 2012 results are projected to be approximately \$1 million less than the prior fiscal year. There were just simply less funds to recover F&A from in FY 2012. The decrease in this line item was anticipated and is attributed to the expiration of government stimulus funds received from the ARRA.

State Appropriations:

- There is an estimated increase of \$2 million over the prior fiscal year as a result enrollment growth in e-learning programs and the College of Medicine.

Federal Appropriations:

- During FY 2010 & 2011, the University was a recipient of State Fiscal Stabilization Funds which were appropriated under the ARRA to the U.S. Department of Education. Funding was only available through this program through fiscal year 2011.

Auxiliary Enterprise Sales & Services:

- The increase of \$4.4 million over the prior year is driven by two factors. The first is an additional \$2 million resulting from a room rate increase of 2.5%. The remaining is a result of favorable retention rates for room and increased participation in the expanded board programs.

Ohio University Foundation:

- The additional funds of \$1.3 million over prior fiscal year amounts represent funds from the Ohio University Foundation that are directed towards wages and benefits of University faculty and staff. It has been a focus of the Colleges as well as the University Foundation to ensure that funds available for the support of faculty and staff are being fully utilized. As a result, the level of funding from the Foundation continues to grow each year as these funds are being used to increase the level of investment in strategic academic efforts.

Other Sources:

- The decrease of \$18 million is primarily attributed to the one time only recognition in FY 2011 of the income from the monetization of royalty rights from SOMAVERT.

USES

Salaries & Wages (including benefits):

- \$15 million of the reduction in the salaries and benefits category can be attributed to the recent early retirement incentive programs. As a result, most units on campus have had higher position vacancy rates during FY 2012 that has resulted in savings.
- Restricted (grants) salaries are down over prior year by approximately \$2 million. This was expected to decrease with the expiration of the ARRA dollars over the course of FY 2012.

Undergraduate & Graduate Financial Aid:

- Undergraduate aid is down slightly because of the reduction in the Ohio College Opportunity Grant from the State of Ohio. (Please see explanation under Sources section entitled State, Local, Other Government Grants & Contracts).
- Graduate financial aid levels remained relatively unchanged from the prior fiscal year.

General Expense:

- Results for FY 2012 remain consistent with the prior two years of performance in this category.

Professional Services:

- The additional \$3 million in the professional services expense category in FY 2012 is attributable to the additional fees associated with the increased demand for e-learning classes.

Utilities:

- Utility costs are down slightly due to favorable weather resulting in reduced usage and competitive pricing for natural gas.

Depreciation:

- Depreciation expense is expected to remain comparable to prior year.

Results of Net from Operations

Category	Unrestricted Net from Operations FY 2012 (in millions)	Restricted Net from Operations FY 2012 (in millions)
Auxiliaries	\$6.0	
General Fund	\$25.0	
College of Medicine	\$3.3	
Regional Campuses	\$3.0	
E-Learning	\$15.0	
Grants & Contracts		\$17.5
Plant Funds		\$26.7
Total	\$52.3	\$44.2

The results of operations are expected to contribute almost \$96 million to net assets for FY 2012. The University embarked on a multi-year strategy in FY 2010 to increase the financial health of the institution and create resources so that the University can pursue strategic investments. This strategy encompassed prudent resource planning and utilization including:

- Conservative revenue forecasting
- Creating reserves for protection from revenue shortfalls and improvement in the financial strength of the University
- Revenue generation through the creation of new programs and strategic growth that leverages existing programs
- Implementation of spending controls and practices to reduce expenses, including the continuation of the hiring freeze
- Employment of planning unit savings targets to address a structural deficit
- Elimination of the reliance on investment income in support of unrestricted operations
- Management of debt in a conservative and strategic manner

Ohio University

Consolidated Sources Uses

For the Years Ending June 30, 2009, 2010, 2011 and April 2012 (Forecast)

	2009 Actual	2010 Actual	2011 Actual	2011-12	
				April YTD Actual	Forecast
Resources					
1 Tuition & Fees	277,553,921	303,352,545	331,064,132	337,576,242	357,384,651
2 Investment Income	(15,432,314)	12,244,258	16,751,364	3,346,613	3,346,614
3 Private Gifts, Grants and Contracts	20,940,001	16,007,904	16,014,639	12,130,929	16,353,256
4 State/Local/Other Government Grants & Contracts	15,440,536	10,392,481	11,519,837	9,658,622	9,825,176
5 Sponsored Programs (Federal)	47,388,317	65,715,628	81,783,020	65,371,273	75,570,438
6 Sponsored Programs (F&A)	6,701,706	7,431,286	8,912,143	6,657,200	7,701,741
7 State Appropriations	179,984,564	150,724,662	141,257,564	117,466,322	143,801,830
8 Federal Appropriations	-	20,539,400	21,321,876	-	-
9 Auxiliary Enterprise Sales & Services	84,626,324	93,492,054	93,852,450	78,650,178	98,287,188
10 Sales & Services	10,331,376	9,715,185	10,620,941	6,591,454	10,161,361
11 Ohio University Foundation	540,735	3,194,318	4,555,277	5,259,096	5,858,603
12 Other Sources	31,100,516	30,583,626	42,716,733	24,579,667	24,579,667
13 Subtotal In-Year Revenues	659,175,684	723,393,347	780,369,976	667,287,595	752,870,526
14					
Uses of Resources					
16 Salaries & Wages (including benefits)	364,723,701	362,847,970	371,271,218	300,096,103	353,869,848
17 Undergraduate Financial Aid	68,368,706	83,531,465	92,796,807	84,010,083	90,920,723
18 Graduate Financial Aid	30,723,063	31,808,174	32,211,085	27,357,591	32,108,438
19 General Expense	52,408,649	52,949,396	52,060,719	42,800,386	53,468,535
20 Professional Services	16,930,313	19,567,689	31,483,151	27,369,711	34,767,909
21 Travel and Entertainment	14,340,000	14,917,458	13,984,898	11,135,462	14,665,058
22 Operations and Maintenance	21,871,004	23,368,763	23,066,255	18,165,261	23,219,248
23 Utilities	16,259,662	15,866,417	15,586,460	11,099,037	14,057,710
24 Interest Expense	8,578,028	7,797,543	7,275,033	2,785,112	7,406,334
25 Depreciation	33,075,444	34,502,716	34,197,262	28,218,407	34,000,000
26 Other Expenses	47,336,856	48,210,093	36,392,955	47,491,653	34,742,381
27 Transfers	-	-	-	(17,918,731)	-
28 Internal Fees for Goods/Services	(36,211,583)	(38,100,441)	(37,350,385)	(29,718,566)	(35,955,542)
29 Budget Adjustments	-	-	-	-	-
30 Subtotal Expenditures	638,403,843	657,267,243	672,975,457	552,891,509	657,270,641
31					
32 Net from Operations	20,771,841	66,126,104	107,394,520	114,396,087	95,599,885

Ohio University
Consolidated Unrestricted Sources Uses
For the Years Ending June 30, 2009, 2010, 2011 and April 2012 (Forecast)

	2009 Actual	2010 Actual	2011 Actual	2011-12	
				April YTD Actual	Forecast
Resources					
1 Tuition & Fees	277,553,921	303,352,545	331,064,132	337,576,242	357,384,651
2 Investment Income	(16,012,110)	12,198,038	16,693,520	3,346,608	3,346,614
3 Private Gifts, Grants and Contracts	60,860	104,995	53,348	61,292	-
4 State/Local/Other Government Grants & Contracts	1,070,378	872,491	756,524	11,607	625,000
5 Sponsored Programs (Federal)	81,817	106,967	93,122	(7,928)	-
6 Sponsored Programs (F&A)	-	-	-	-	-
7 State Appropriations	146,426,953	124,883,377	126,841,614	109,993,936	131,851,580
8 Federal Appropriations	-	20,539,400	21,321,876	-	-
9 Auxiliary Enterprise Sales & Services	84,626,324	93,492,054	93,852,450	78,650,178	98,287,188
10 Sales & Services	10,106,722	9,692,398	10,598,154	6,591,454	10,161,361
11 Ohio University Foundation	540,735	3,194,318	4,555,277	5,259,096	5,858,603
12 Other Sources	13,732,363	16,366,349	42,713,379	8,671,997	12,299,667
13 Subtotal In-Year Revenues	518,187,963	584,802,933	648,543,397	550,154,482	619,814,664
14					
Uses of Resources					
16 Salaries & Wages (including benefits)	333,433,474	333,302,069	339,552,927	275,796,606	324,446,031
17 Undergraduate Financial Aid	34,092,968	38,191,600	37,466,476	35,818,021	38,868,367
18 Graduate Financial Aid	29,439,672	30,575,340	30,673,961	26,116,940	30,798,084
19 General Expense	47,926,452	48,088,159	47,618,647	39,482,076	49,380,207
20 Professional Services	14,243,668	17,026,605	28,878,549	25,541,826	32,451,867
21 Travel and Entertainment	12,172,603	12,496,999	11,508,147	9,568,923	12,611,728
22 Operations and Maintenance	16,799,007	15,416,833	16,486,091	13,698,991	17,695,417
23 Utilities	16,141,676	15,772,437	15,468,035	10,995,492	13,934,056
24 Interest Expense	-	-	-	-	-
25 Depreciation	-	-	-	-	-
26 Other Expenses	25,764,072	29,873,230	29,357,201	23,109,672	28,729,176
27 Transfers	46,488,664	57,909,093	54,264,449	20,600,543	55,410,354
28 Internal Fees for Goods/Services	(36,207,183)	(38,096,265)	(37,345,923)	(29,715,766)	(35,951,542)
29 Budget Adjustments	-	-	-	-	-
30 Subtotal Expenditures	540,295,073	560,556,099	573,928,562	451,013,326	568,373,744
31					
32 Net from Operations	(22,107,110)	24,246,834	74,614,834	99,141,156	51,440,919

Ohio University
Consolidated Restricted Sources Uses
For the Years Ending June 30, 2009, 2010, 2011 and April 2012 (Forecast)

	2009 Actual	2010 Actual	2011 Actual	2011-12	
				April YTD Actual	Forecast
Resources					
1 Tuition & Fees	-	-	-	-	-
2 Investment Income	579,797	46,219	57,845	4	-
3 Private Gifts, Grants and Contracts	20,879,142	15,902,909	15,961,291	12,069,637	16,353,256
4 State/Local/Other Government Grants & Contracts	14,370,159	9,519,989	10,763,312	9,647,015	9,200,176
5 Sponsored Programs (Federal)	47,306,500	65,608,661	81,689,898	65,379,202	75,570,438
6 Sponsored Programs (F&A)	6,701,706	7,431,286	8,912,143	6,657,200	7,701,741
7 State Appropriations	33,557,611	25,841,285	14,415,950	7,472,385	11,950,250
8 Federal Appropriations	-	-	-	-	-
9 Auxiliary Enterprise Sales & Services	-	-	-	-	-
10 Sales & Services	224,654	22,787	22,787	-	-
11 Ohio University Foundation	-	-	-	-	-
12 Other Sources	17,368,153	14,217,277	3,354	15,907,670	12,280,000
13 Subtotal In-Year Revenues	140,987,721	138,590,414	131,826,580	117,133,114	133,055,862
14					
Uses of Resources					
16 Salaries & Wages (including benefits)	31,290,227	29,545,901	31,718,291	24,299,497	29,423,817
17 Undergraduate Financial Aid	34,275,739	45,339,866	55,330,331	48,192,062	52,052,356
18 Graduate Financial Aid	1,283,391	1,232,834	1,537,124	1,240,651	1,310,354
19 General Expense	4,482,197	4,861,237	4,442,071	3,318,310	4,088,328
20 Professional Services	2,686,645	2,541,084	2,604,601	1,827,884	2,316,042
21 Travel and Entertainment	2,167,397	2,420,459	2,476,751	1,566,539	2,053,330
22 Operations and Maintenance	5,071,997	7,951,930	6,580,164	4,466,270	5,523,831
23 Utilities	117,986	93,980	118,425	103,545	123,654
24 Interest Expense	8,578,028	7,797,543	7,275,033	2,785,112	7,406,334
25 Depreciation	33,075,444	34,502,716	34,197,262	28,218,407	34,000,000
26 Other Expenses	21,572,785	18,336,864	7,035,754	24,381,981	6,013,205
27 Transfers	(46,488,665)	(57,909,093)	(54,264,449)	(38,519,275)	(55,410,354)
28 Internal Fees for Goods/Services	(4,400)	(4,176)	(4,463)	(2,800)	(4,000)
29 Budget Adjustments	-	-	-	-	-
30 Subtotal Expenditures	98,108,769	96,711,145	99,046,895	101,878,183	88,896,897
31					
32 Net from Operations	42,878,952	41,879,269	32,779,685	15,254,930	44,158,966

Sources & Uses Report

FY 2012 Projections

Ohio University
Consolidated Sources Uses
 For the Years Ending June 30, 2009, 2010, 2011 and April 2012 (Forecast)

	2009 Actual	2010 Actual	2011 Actual	2011-12	
				April YTD Actual	Forecast
Resources					
1 Tuition & Fees	277,553,921	303,352,545	331,064,132	337,576,242	357,384,651
2 Investment Income	(15,432,314)	12,244,258	16,751,364	3,346,613	3,346,614
3 Private Gifts, Grants and Contracts	20,940,001	16,007,904	16,014,639	12,130,929	16,353,256
4 State/Local/Other Government Grants & Contracts	15,440,536	10,392,481	11,519,837	9,658,622	9,825,176
5 Sponsored Programs (Federal)	47,388,317	65,715,628	81,783,020	65,371,273	75,570,438
6 Sponsored Programs (F&A)	6,701,706	7,431,286	8,912,143	6,657,200	7,701,741
7 State Appropriations	179,984,564	150,724,662	141,257,564	117,466,322	143,801,830
8 Federal Appropriations	-	20,539,400	21,321,876	-	-
9 Auxiliary Enterprise Sales & Services	84,626,324	93,492,054	93,852,450	78,650,178	98,287,188
10 Sales & Services	10,331,376	9,715,185	10,620,941	6,591,454	10,161,361
11 Ohio University Foundation	540,735	3,194,318	4,555,277	5,259,096	5,858,603
12 Other Sources	31,100,516	30,583,626	42,716,733	24,579,667	24,579,667
13 Subtotal In-Year Revenues	659,175,684	723,393,347	780,369,976	667,287,595	752,870,526
Uses of Resources					
16 Salaries & Wages (including benefits)	364,723,701	362,847,970	371,271,218	300,096,103	353,869,848
17 Undergraduate Financial Aid	68,368,706	83,531,465	92,796,807	84,010,083	90,920,723
18 Graduate Financial Aid	30,723,063	31,808,174	32,211,085	27,357,591	32,108,438
19 General Expense	52,408,649	52,949,396	52,060,719	42,800,386	53,468,535
20 Professional Services	16,930,313	19,567,689	31,483,151	27,369,711	34,767,909
21 Travel and Entertainment	14,340,000	14,917,458	13,984,898	11,135,462	14,665,058
22 Operations and Maintenance	21,871,004	23,368,763	23,066,255	18,165,261	23,219,248
23 Utilities	16,259,662	15,866,417	15,586,460	11,099,037	14,057,710
24 Interest Expense	8,578,028	7,797,543	7,275,033	2,785,112	7,406,334
25 Depreciation	33,075,444	34,502,716	34,197,262	28,218,407	34,000,000
26 Other Expenses	47,336,856	48,210,093	36,392,955	47,491,653	34,742,381
27 Transfers	-	-	-	(17,918,731)	-
28 Internal Fees for Goods/Services	(36,211,583)	(38,100,441)	(37,350,385)	(29,718,566)	(35,955,542)
29 Budget Adjustments	-	-	-	-	-
30 Subtotal Expenditures	638,403,843	657,267,243	672,975,457	552,891,509	657,270,641
31 Net from Operations	20,771,841	66,126,104	107,394,520	114,396,087	95,599,885



OHIO
UNIVERSITY

Sources & Uses Report

FY 2012 Projections

Category	Unrestricted Net from Operations FY 2012 (in millions)	Restricted Net from Operations FY 2012 (in millions)
Auxiliaries	\$6.0	
Athens Campus	\$25.0	
College of Medicine	\$3.3	
Regional Campuses	\$3.0	
E-Learning	\$15.0	
Grants & Contracts		\$17.5
Plant Funds		\$26.7
Total	\$52.3	\$44.2



**APPROVAL OF THE OHIO UNIVERSITY
FY 2013 CAPITAL IMPROVEMENT PLAN**

RESOLUTION 2012 --

WHEREAS, the University has undertaken the development of a FY 2013 Capital Improvement Plan, and

WHEREAS, this FY 2013 Capital Improvement Plan has been developed in the context of the Board of Trustees approved FY 2013 - FY 2018 Six Year Capital Improvement Plan and embodies the concepts incorporated within it, and

WHEREAS, the priorities of the Deans and Vice Presidents have been considered, and their endorsement of the plan given, and

WHEREAS, the Facilities Planning Advisory Council made up of faculty, staff and student representatives has reviewed and provided their endorsement of the plan, and

WHEREAS, the Capital Funding and Priorities Committee has approved and made recommendation to the President, and

WHEREAS, the FY 2013 Capital Improvement Plan has been approved by the President;

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does hereby approve the FY 2013 Capital Improvement Plan.



OHIO
UNIVERSITY

Interoffice Communication

Date: June 8, 2012

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: **FY 2013 Capital Improvement Plan**

CONTEXT OF FY 2013 – FY 2018 SIX YEAR CAPITAL PLAN:

In November of 2011, the Board of Trustees approved the FY 2013 – FY 2018 Six Year Capital Plan. The plan was presented in the format of three biennia with specific projects noted in each biennium. The total cost of this aggressive six year capital plan is \$977.5 million; \$567.5 million to be funded from University debt issuance.

Each year a specific, one year plan within the context of the six year plan is to be presented for board approval. These materials detail and include a resolution for the FY 2013 Capital Improvement Plan.

FY 2012 WORK IN PROGRESS:

Three projects identified in the six year plan were launched early and were funded by the FY 2012 Series Bond Issuance. The following projects are considered works in progress and are not relisted in the FY 2013 Capital Improvement Plan: 1) Scripps College of Communication, Phase 1 for which construction is now underway, 2) Chilled Water Expansion project for which bid documents are being prepared, and 3) rehabilitation of Galbreath Chapel which is in schematic design. In addition, \$3 million of local reserves was identified for urgent safety related projects. Approximately half of those safety projects have been completed and most others are being designed and bid for implementation this summer.

STRONG ACADEMIC PROGRAM NEEDS:

As has been shared with the Board of Trustees over the past few months, the University faces difficult challenges with regard to its facilities. Growth of academic programs continues to generate need for additional space and some existing space has become programmatically outdated. The number and size of academic programs is expanding. There is an increase in demand for research and collaboration spaces. Today's academic teaching models require more space than the standard classroom model that has been used in the past. There is a lack of move-in ready space for immediate program expansion. The University has nearly 450,000 gross square feet of inactive and poorly organized storage space that would take significant capital investment to meet academic program needs.

There are many examples of strong academic program needs and they continue to be analyzed and incorporated into long term space and capital planning.

- The College of Business has an estimated additional need of 45,000 gross square feet. The college serves 2400 students in a building designed for 1600. There is an increase particularly in graduate and entrepreneurial centers and programs.

- The College of Education has an estimated additional need of 50,000 gross square feet as projected from the program being developed for the McCracken Hall Rehabilitation and Addition. Programs have been shifted from another college, and other programs have been added to the curriculum.
- The College of Health Sciences and Professions has an estimated additional space need of 40,000 gross square feet. The Athens campus enrollment in the College has grown by 28% over the last two years. Enrollment in all programs in Grover Center has more than doubled over the last decade. Online enrollments have grown from slightly over 300 to nearly 4,000 in three years. Several programs face accreditation problems due to faculty teaching resources.
- The Ohio University Heritage College of Osteopathic Medicine has a 200,000 gross square foot need as illustrated in the extension campus initiatives in Columbus and Cleveland, and planned expansion at the Athens campus. The college's extension campus plans respond to the increased demand for family practitioners in metropolitan areas. Research and outreach programs are expanding with focuses on Diabetes and Musculoskeletal and Neurological programs. The unprecedented Osteopathic Heritage Foundation grant helps facilitate the creation of new space.
- The College of Arts and Sciences has a need for quality research and teaching space for the physical sciences of about 80,000 gross square feet. Other colleges depend on chemistry and biology for degree requirements. The Clippinger Lab Building is over 40 years old and is difficult to improve without disruption to teaching and research. A new research building is needed.
- Ohio University's international enrollment is increasing which feeds the need for expansion of the Ohio Program of Intensive English (OPIE.) OPIE is currently located in seven different facilities. Approximately 16,000 gross square feet is needed to accommodate growth, and the program would be more efficient to deliver in consolidated facilities.

DIFFICULT CHALLENGES:

A cycle of state appropriations was essentially skipped, and the last capital bill was 75% of the previous one. Important planned projects were delayed. The University is challenged to keep up its buildings and deferred maintenance continues to grow. Our housing stock is deteriorating faster than it can be rehabilitated and does not offer all the options students want. The University's coal fired heating plant is near the end of its useful life and meeting future regulatory restrictions will be difficult. The disrepair and disruption is noticed by our faculty, staff, and students, as well as prospective students and their parents.

Even as resources are identified, the challenge of developing swing space is complex and can be disruptive to teaching and research. Building failures occur before planned project solutions can be completed.

FY2013 CAPITAL IMPROVEMENT PLAN:

Capital planning of new structures, renovations, and basic renovations for deferred maintenance in the past was largely determined by the amount of state appropriation funding available in a given time period. Strategic utilization of University debt is the key resource in the Six Year Capital Improvement Plan as well as the \$329.1 million FY 2013 Capital Improvement Plan.

This specific FY 2013 Capital Improvement Plan embodies all of the elements of the Six Year plan:

- **Addresses top programmatic needs:** This is a robust plan with academic program expansion and improvement of academic facilities at the heart of it. Planning and design is proposed for the Second Phase of the Scripps College of Communication project, the McCracken Rehabilitation and Addition; and the OUHCOM Cleveland project. Remaining design and construction is proposed for a Multi-Purpose Center, the second phase of classroom renovation in the Athena Theatre, and another phase of mechanical and electrical renovations within Clippinger Hall.
- **Utilizes debt issuance for major rehabilitation of general fund buildings that will include programmatic reconfiguration:** Debt funding is a major resource in the funding of almost all projects noted above. \$152.6 million of debt is illustrated in the FY 2013 Capital Improvement Plan.
- **Utilizes anticipated state appropriations to provide projects to adequately keep up our newer general fund buildings and tackle deferred maintenance projects in our older general fund buildings.** \$18.6 million has been appropriated for deferred maintenance projects on the Athens campus and \$3.8 million for projects on the regional campuses. An additional \$3 million has been identified locally to supplement the state appropriations on the regional campuses. \$1 million has been identified locally for urgent safety projects on the Athens campus. \$1,050,000 has been identified locally to replace the turf at Peden Stadium and to add lighting to the softball field.
- **Utilizes swing space so we can vacate buildings and do a better job of upgrading systems.** An unanticipated component of the swing space need has developed from deteriorating steam lines in Lindley Hall. Occupants need to be relocated before next heating season in order to repair systems. Modifications to space in Bromley Hall and West Union St. Office Center and possible leased space on Court Street are now key components of the swing space plan in order to vacate Lindley. There are also emerging issues in Ridges Building #20 which will require relocation of occupants.
- **Leverages gift and grant funding:** The Patton Arts and Education Center is expected to be fully funded by a generous gift. Gift funding is significant for the Multi-Purpose Facility and the McCracken Rehabilitation and Addition.
- **Utilizes Residential Housing auxiliary debt to upgrade housing stock and offer more options:** The first phase of construction moves forward in FY 2013 utilizing debt as the fund source. Other housing initiatives continue through the use of auxiliary reserves including demolition of Wolfe/Ullom Apartments and replacement of displaced parking to prepare for the first phase of housing construction, renovation of Bush Hall on East Green, and design for the renovation of Jefferson Hall on East Green. In addition, the Culinary Services auxiliary will continue improvement with the second and final phase of Nelson Commons through auxiliary reserve funding.
- **Utilizes performance contracting to implement energy conservation measures with payment from central utility account over a 15 year payback period:** The project has carried a \$33 million maximum in the FY 2013 – FY 2018 Six Year Capital Plan and the FY 2013 Capital Improvement Plan. The engineering audits have been completed and the financing identified. A specific energy conservation performance contract is proposed for approval at the June Board meeting. The capital cost of the project as identified by the selected performance contracting

company is \$28,321,170. Financing at 2.7% is anticipated through a combination of University and Ohio Air Quality Commission Bonds.

- **Utilizes public/private partnership to fund a Heating Plant Replacement:** A preferred approach to location, fuel, and engineering design has been developed and previewed to the Board of Trustees. Eight firms have expressed interest in investing as a partner in the Heating Plant Replacement through a Request for Information process. Various models will continue to be investigated over the next several months, and a Request for Proposal process will be conducted to identify the best partner and implementation structure.

A HIGH VISIBILITY GROUNDS PROJECT:

An element that has been mentioned at previous Board of Trustees meetings, but was not specifically called out in the Six Year Capital Plan, has been added to the FY 2013 Capital Improvement Plan. \$2 million has been identified locally to improve the condition and look of high profile grounds on campus. The High Visibility Grounds Project will focus on 1) the College Green and the areas surrounding it, 2) the area connecting Baker University Center and Emeriti Par, and 3) the main vehicular entry to campus including Richland Avenue sidewalks, Bicentennial Park, and the entries to Peden Stadium and the Convocation Center.

Capital project work includes tree canopy trimming, restoration of campus gates, sidewalk replacement, pond dredging, and additional lighting. The capital project elements will be accompanied by specific operational funding for a team of dedicated workers.

DEFERRED MAINTENANCE PROGRESS:

The FY 2013 capital project listing included with the materials details each project or groups of projects, the breakdown of their proposed fund sources, and an estimated reduction in deferred maintenance backlog for each project. It is important to note that the deferred maintenance backlog is continuously growing, and investment is needed just to “keep up” and reduce the rate of growth. For this reason, many deferred maintenance projects on this list are referred to as “Keep Up” projects and show no reduction in the deferred maintenance backlog. Only significant rehabilitation projects produce significant reduction in deferred maintenance backlog. The FY2013 Capital Improvement Plan, when fully implemented, is expected to reduce the deferred maintenance backlog by \$43.6 million.

FUTURE APPROVALS:

Requests for approval of individual projects within the capital plan over a threshold of \$500,000 total project cost will be presented to the Board of Trustees at the appropriate time and the specific amount of funding and sources will be verified at that time as well. Request for approval of necessary bond issuances to accomplish the plan will also be presented to the Board of Trustees for approval at future meetings.

A resolution for approval of the FY2013 Capital Improvement Plan is included. Please let me know if you have questions.

DRAFT: FY 2013 Annual Capital Improvement Plan

June 5th, 2012 (Dollars in millions)



Capital Projects		Estimated Budget	Debt	State Capital	O & M	Public Private	Gifts Grants	Deferred Maintenance Reduction
1	Lausche Heating Plant Replacement	100.0	-	-	-	100.0	-	2.1
2	Performance Contract	33.0	33.0	-	-	-	-	10.0
3	Indoor Multi-Purpose Facility	12.5	10.5	-	-	-	2.0	0.0
4	Violet L. Patton Center For Arts Education	8.0	-	-	-	-	8.0	0.0
5	Athena Classroom Renovation-Phase 2	0.5	0.5	-	-	-	-	0.0
6	Clippinger Hall-Mechanical Renovation	5.5	5.5	-	-	-	-	5.5
7	Swing Space Implementation	\$16.9M	See Below:					
7a	Bromley Hall Academic Relocations	2.5	2.5	-	-	-	-	0.5
7b	Lease Space Up fits for Academic Relocations	5.5	5.5	-	-	-	-	0.0
7c	West Union Street Office Center Relocations	0.18	0.18	-	-	-	-	0.1
7d	Tupper Hall Up fit	7.0	7.0	-	-	-	-	3.5
7e	Lindley Hall Up fit (also see 9e below)	1.75	1.75	-	-	-	-	0.3
8	Planning Funds for FY2014	\$4.8M	See Below:					
8a	OU-HCOM Cleveland design	1.0	-	-	1.0	-	-	0.0
8b	Scripps College of Communication Phase 2, design	1.0	1.0	-	-	-	-	0.0
8c	McCracken Rehabilitation, design	2.6	2.6	-	-	-	-	0.0
8d	Ridges Master plan	0.2	0.2	-	-	-	-	0.0
9	Deferred Maintenance "Keep-Up" Projects: Athens	\$18.6M	See Below:					
9a	West Green Roof Replacements	1.1	-	1.1	-	-	-	Keep-Up
9b	Alden Library Repairs	2.7	-	2.7	-	-	-	Keep-Up
9c	Clippinger/Accelerator Bldg. Roof Repairs	0.55	-	0.55	-	-	-	Keep-Up
9d	Convocation Center Roof/Ramp Repairs	1.3	-	1.3	-	-	-	Keep-Up
9e	Lindley Steam Piping Replacement	1.5	-	1.5	-	-	-	Keep-Up
9f	Memorial Auditorium Repairs	1.5	-	1.5	-	-	-	Keep-Up
9g	Exterior Painting/Woodwork Repair	0.75	-	0.75	-	-	-	Keep-Up
9h	Peden Concrete Restoration	0.75	-	0.75	-	-	-	Keep-Up
9i	Pruitt Field Turf Replacement	1.1	-	1.1	-	-	-	Keep-Up
9j	Campus Lighting Improvements	0.5	-	0.5	-	-	-	Keep-Up
9k	Cutler & Wilson Halls Waterproofing	0.52	-	0.52	-	-	-	Keep-Up
9l	Campus Roadway Improvements	0.75	-	0.75	-	-	-	Keep-Up
9m	Stocker Air Handling Unit Replacements	0.5	-	0.5	-	-	-	Keep-Up
9n	Other Deferred Maintenance Projects under \$500,000	5.1	-	5.1	-	-	-	Keep-Up
10	Softball Lighting	0.25	-	-	0.25	-	-	Keep-Up
11	Peden Turf Replacement	0.80	-	-	0.80	-	-	Keep-Up
12	General Fund Athens: Safety Projects	\$1M	See Below:					
12a	Elimination 15 Passenger Vans	0.275	-	-	0.275	-	-	0.0
12b	Other Safety Projects	0.725	-	-	0.725	-	-	0.5
13	Deferred Maintenance Projects: Regionals	6.8	-	3.8	3.0	-	-	
13a	Shoemaker Center Repairs, Chillicothe							Keep-Up
13b	Shannon Hall Renovations, Eastern							Keep-Up
13c	Herrold Hall Renovations, Lancaster							Keep-Up
13d	Deferred Maintenance "Keep-Up" projects							Keep-Up
14	High Visibility Grounds Project, Athens Campus	2.0	-	-	2.0	-	-	
14a	College Green Gateways, Sidewalks, Amphitheater Rehab							0.0
14b	Emeriti Park Lighting, Pond Dredging, and Irrigation							0.0
14c	Richland Avenue Sidewalks and Landscape							0.0
14d	Lindley Park Rehabilitation							0.0
15	Housing Development Plan	\$110.9M	See Below:					
15a	Residence Hall Construction, Phase 1	82.4	82.4	-	-	-	-	6.6
15b	Wolfe Street Demolition	1.1	-	-	1.1	-	-	2.3
15c	South Green Parking Replacements	0.75	-	-	0.75	-	-	0.0
15d	South Green Utility Infrastructure	1.1	-	-	1.1	-	-	0.0
15e	Bush Hall Rehabilitation	12.0	-	-	12.0	-	-	6.0
15f	Minor Capital Deferred Maintenance Projects	4.50	-	-	4.50	-	-	Keep-Up
15g	Jefferson Hall Renovation Planning	3.00	-	-	3.00	-	-	0.0
15h	Bromley Hall Renovations	6.0	-	-	6.0	-	-	3.0
16	Culinary Services Improvement Plan	\$7.5M	See Below:					
16a	Nelson Commons, Phase 2	6.5	-	-	6.5	-	-	3.25
16b	Minor Capital Deferred Maintenance Projects	1.0	-	-	1.0	-	-	Keep-Up
17	IDP Classroom Equipment: Athens and Regional	0.54	-	0.54	-	-	-	0.0
Total FY 2013 Capital Activity		\$ 329.1	\$ 152.6	\$ 23.0	\$ 44.0	\$ 100.0	\$ 10.0	43.6

FY 2013 Capital Improvement Plan

Tab



FY 2013 Capital Improvement Plan

- Context of FY 2013 - FY 2018 Six Year Capital Plan
- Board Approved November 2011
- Academic program driven
- Deferred Maintenance strategy
- \$977.5 M total cost
- \$567.5 M of University Debt proposed



FY 2013 Capital Improvement Plan

- FY 2012 Jumpstart – work in progress
 - Scripps College Consolidation Project, Phase I
 - Chilled Water Expansion
 - Galbreath Chapel Rehab
 - Safety Projects



FY 2013 Capital Improvement Plan

Academic Program Challenges:

- Number and size of Academic Programs have expanded over the past several years.
- Increase in demand for research and collaboration spaces.
- Today's academic teaching models require more space than the standard classroom model.
- Lack of move-in ready space for immediate program expansion needs.
- 450,000 gsf of inactive and poorly organized storage space that would take significant investment to meet academic program needs.



FY 2013 Capital Improvement Plan

Examples of College space needs:

- College of Business- Estimated 45,000 GSF additional need
 - College serves 2400 students in a building designed for 1600
 - Increase in graduate and entrepreneurial centers/programs
- College of Education- 50,000 GSF identified in McCracken Project Programming
 - Programs shifted to College from another college
 - Programs added to the college curriculum
 - Needs to meet existing space shortfalls



FY 2013 Capital Improvement Plan

Examples of College space needs:

- College of Health Sciences and Professions-Estimated 40,000+ GSF
 - Athens campus enrollment has grown by 28% over the last two years
 - Enrollment in all programs in Grover Center has doubled over the last decade
 - Online enrollments have grown from over 300 to 4,000 in three years
 - Several programs face accreditation problems due to a lack of faculty teaching resources
- Ohio University Heritage College of Osteopathic Medicine
 - 200,000 gsf need for Athens and extension campuses.
 - Increased demand for family practitioners especially in metropolitan areas
 - Outreach and research programs expanding—Diabetes/Muscularskeletal & Neurological
 - Osteopathic Heritage Foundation grants facilitate creation of new space.



FY 2013 Capital Improvement Plan

Examples of College space needs:

- College of Arts and Sciences
 - Lack of quality research space for the physical sciences.
 - Approximate need of 80,000 GSF of modern laboratory/research space.
 - Other colleges depend on Chemistry, Biology, etc.

- Ohio Program of Intensive English (OPIE)
 - Currently located in 7 different facilities.
 - Consolidation needed for efficiency.
 - Significant/Continued growth in International Enrollment
 - 16,000 GSF of additional space to accommodate growth



FY 2013 Capital Improvement Plan

- Difficult challenges
 - State appropriation skipped; last Capital Bill was 75% of previous.
 - Deferred maintenance continues to grow.
 - Housing stock does not offer amenities and configurations students want.
 - Coal fired heating plant is at the end of its useful life and future regulations will be stringent.



FY 2013 Capital Improvement Plan

■ Difficult challenges

- Disrepair is noticed by our students, faculty and staff.
- Even as resources are identified, challenge of developing swing space is complex and can be disruptive to teaching and research.
- Building failures occur before planned solutions can be implemented.



DRAFT: FY 2013 Annual Capital Improvement Plan

June 5th, 2012 (Dollars in millions)

Capital Projects	Estimated Budget	Debt	State Capital	O & M	Public Private	Gifts Grants	Deferred Maintenance Reduction
1 Lausche Heating Plant Replacement	100.0	-	-	-	100.0	-	2.1
2 Performance Contract	33.0	33.0	-	-	-	-	10.0
3 Indoor Multi-Purpose Facility	12.5	10.5	-	-	-	2.0	0.0
4 Violet L. Patton Center For Arts Education	8.0	-	-	-	-	8.0	0.0
5 Athena Classroom Renovation-Phase 2	0.5	0.5	-	-	-	-	0.0
6 Clippinger Hall-Mechanical Renovation	5.5	5.5	-	-	-	-	5.5
7 Swing Space Implementation	\$16.9M	See Below:					
7a Bromley Hall Academic Relocations	2.5	2.5	-	-	-	-	0.5
7b Lease Space Up fits for Academic Relocations	5.5	5.5	-	-	-	-	0.0
7c West Union Street Office Center Relocations	0.18	0.18	-	-	-	-	0.1
7d Tupper Hall Up fit	7.0	7.0	-	-	-	-	3.5
7e Lindley Hall Up fit (also see 9e below)	1.75	1.75	-	-	-	-	0.3
8 Planning Funds for FY2014	\$4.8M	See Below:					
8a OU-HOOM Cleveland design	1.0	-	-	1.0	-	-	0.0
8b Scripps College of Communication Phase 2, design	1.0	1.0	-	-	-	-	0.0
8c McCracken Rehabilitation, design	2.6	2.6	-	-	-	-	0.0
8d Ridges Master plan	0.2	0.2	-	-	-	-	0.0

Additional FY13 Projects on next slide...



DRAFT: FY 2013 Annual Capital Improvement Plan

June 5th, 2012 (Dollars in millions)

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9d	Convocation Center Roof/Ramp Repairs	1.3	-	1.3	-	-	-	Keep-Up
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9f	Memorial Auditorium Repairs	1.5	-	1.5	-	-	-	Keep-Up
9g	Exterior Painting/Woodwork Repair	0.75	-	0.75	-	-	-	Keep-Up
9h	Peden Concrete Restoration	0.75	-	0.75	-	-	-	Keep-Up
9i	Pruitt Field Turf Replacement	1.1	-	1.1	-	-	-	Keep-Up
9j	Campus Lighting Improvements	0.5	-	0.5	-	-	-	Keep-Up
9k	Cutler & Wilson Halls Waterproofing	0.52	-	0.52	-	-	-	Keep-Up
9l	Campus Roadway Improvements	0.75	-	0.75	-	-	-	Keep-Up
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Additional FY13 Projects on next slide...



DRAFT: FY 2013 Annual Capital Improvement Plan

June 5th, 2012 (Dollars in millions)

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14	High Visibility Grounds Project, Athens Campus	2.0	-	-	2.0	-	-	
14a	College Green Gateways, Sidewalks, Amphitheater Rehab							0.0
14b	Emeriti Park Lighting, Pond Dredging, and Irrigation							0.0
14c	Richland Avenue Sidewalks and Landscape							0.0
14d	Lindley Park Rehabilitation							0.0

Additional FY13 Projects on next slide...



DRAFT: FY 2013 Annual Capital Improvement Plan

June 5th, 2012 (Dollars in millions)

Capital Projects		Estimated Budget	Debt	State Capital	O & M	Public Private	Gifts Grants	Deferred Maintenance Reduction
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15e	Bush Hall Rehabilitation	12.0	-	-	12.0	-	-	6.0
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15g	Jefferson Hall Renovation Planning	3.00	-	-	3.00	-	-	0.0
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Total FY 2013 Capital Activity		\$ 329.1	\$ 152.6	\$ 23.0	\$ 44.0	\$ 100.0	\$ 10.0	43.6



FY 2013 Capital Improvement Plan

- Projects over \$500,000 will come back to the board for specific project approval.
- Future debt issuances will come back to the board for specific approval.
- FY 2014 Capital Improvement Plan next year.
- Six Year Capital Plan Update as needed.



**APPROVAL OF PROJECT AND AUTHORIZATION TO AWARD
CONTRACT FOR
FY 2013 ENERGY SAVINGS PERFORMANCE CONTRACT**

RESOLUTION 2012 --

WHEREAS, Ohio University developed a House Bill 251 Implementation Plan that incorporated an energy savings performance contract initiative, and

WHEREAS, Ohio University incorporated an energy savings performance contract initiative in its FY 2013 – FY 2018 Six Year Capital Plan, and

WHEREAS, the Board of Trustees approved the FY 2013 – FY 2018 Six Year Capital Plan in November, 2011, and

WHEREAS, the University conducted a competitive energy savings performance contractor selection process as prescribed by House Bill 7, and

WHEREAS, Constellation NewEnergy was selected via this process as contractor for the FY2012 Energy Savings Performance Contract, and

WHEREAS, Constellation NewEnergy has conducted an extensive analysis of cost and savings and has identified a total project cost of \$28,321,170 with a payback less than 15 years, and

WHEREAS, Constellation NewEnergy has identified energy and operational savings for each energy conservation measure which they will guarantee, and

WHEREAS, the University in conjunction with The Ohio Air Quality Commission is prepared to fund the capital cost of the project through bond issuance.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees authorizes the President or his designee to award a contract to Constellation NewEnergy within the total project budget identified.



OHIO
UNIVERSITY

Interoffice Communication

Date: January 8, 2011

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

**Re: **FY 2013 ENERGY SAVINGS PERFORMANCE CONTRACT PROJECT
APPROVAL TO AWARD CONTRACT****

Included in the comprehensive six year capital plan approved by the Board in November 2011 was a \$33 million energy savings performance contract initiative. Ohio University has a long history of identifying energy conservation project packages with good payback opportunities, funding those projects through debt, and implementing them. Energy conservation projects totaling approximately \$7 million were accomplished in the period from 1998 to 2007.

The FY2013 Energy Savings Performance Contract Project will move the University toward stated goals and priorities including:

- addressing Vision Ohio, the Campus Sustainability Plan, and the College and University President's Climate Commitment goals,
- moving the university toward meeting its State of Ohio House Bill 251 energy reduction targets,
- supporting the University System of Ohio recognized Center of Excellence for Energy and the Environment, and
- addressing campus deferred maintenance through the replacement of equipment past its useful life with energy saving equipment with life spans beyond the 15 year required payback period.

The implementation of a performance contract in the State of Ohio is prescribed in House Bill 7 legislation. The concept of performance contracting involves energy conservation projects accomplished through a contractor at risk relationship supported by monitored and audited savings guarantee. House Bill 7 legislation also requires that the package of contracted energy conservation measures must have a 15 year payback and the performance contract must be approved by the Board of Trustees of the University.

The contractor selection process was guided by House Bill 7 and involved a two-step process. First, potential contractors were solicited through a request for qualifications (RFQ) process. From the RFQ responses, a university team aided by an engineering consultant reviewed submitted information against a set of criteria. Firms meeting the set of criteria were requested to make a specific proposal for energy conservation measures and anticipated cost/benefit through a Request for Proposal (RFP) process. Each prospective team spent four months on campus studying each general fund building and analyzing its systems for energy savings opportunities. Proposals from each firm were presented to a University team in two successive sets of interviews.

From the results of those interviews, in January 2012 Constellation NewEnergy, was selected to implement the performance contracting initiative. Constellation NewEnergy's team of engineers and managers have been working with Ohio University Facilities Management to fine tune each proposed conservation measure and its value. Attached is their executive summary dated June 4, 2012 describing each energy conservation measure and its calculated savings and payback. Incorporated into the analysis is cost oversight of the initiative by both Constellation NewEnergy and Ohio University. The total project cost is budgeted at \$28,321,170 plus financing cost.

The specific energy conservation measures include:

- Campus Wide Lighting Improvements
- Air System and Tower Condition Upgrades
- Direct Digital Control (DDC) Systems-expansion, upgrade, and integration
- Variable Frequency Drives Installation including DDC and performance feedback
- Kitchen Hood Improvements in Baker Center
- Steam System Upgrades
- Pipe and Blanket Insulation
- Chilled Water Distribution Upgrades
- Water Conservation Measures
- Educational Activities and Programs
- Retro-commissioning Equipment and Systems
- Central Domestic Hot Water System Upgrades

Anticipated financing costs are 2.7%. The University is proposing to fund the project through a combination of University bonds and Ohio Air Quality Bonds issued through the Ohio Air Quality Commission.

A resolution authorizing award of the contract is included for Board approval.



Ohio University



Guaranteed Energy Savings Project

Investment Grade Audit Executive Summary

Date:
June 8, 2012

Prepared by:
Constellation NewEnergy
2090 Greentree Road
Suite 200
Pittsburgh, PA 15220



PROJECT UPDATE SUMMARY

On behalf of Ohio University, Constellation NewEnergy (Constellation) is pleased to present this Executive Summary Document identifying opportunities for utility and operational savings at the University. With our selection as the Energy Services Company of choice for Ohio University on February 1, 2012 and pursuant to Ohio House Bill 7, Constellation has been in the process of conducting a detailed energy analysis of the facilities in order to quantify savings and costs for each of the Energy Conservation Measures (ECMs) presented.

Constellation has spent over 2,000 hours to date auditing the facilities and system operations. Over the past four months, we have refined scopes and savings; developed bid documents, obtained competitive pricing; developed the measurement and verification (M&V) plan; negotiated the contracts and assisted Ohio University in providing information to help secure financing through Public Financial Management (PFM) and Ohio Air Quality Development Authority (OAQDA).

Investment Grade Audit Process

Constellation has quantified both end-use consumption and energy-usage patterns for the University and has identified a variety of ECMs that will conserve energy and reduce utility-related expenses once the project is implemented. The customized grouping of ECMs presented through this report will generate energy and operational savings that exceed the annual debt service and other on-going costs associated with the proposed project.

Constellation has worked diligently to develop a solution that will correct many comfort and facility operation related issues, all funded by the guaranteed energy savings and operational savings. This final set of proposed ECMs is the foundation of a worthwhile project that has been built upon a logical balance of sound economics and realistic expectations.

The Investment Grade Audit (IGA) development process involved site visits, interaction with the facilities staff, and ongoing meetings with the University Facilities Management administration, as well as detailed analysis of the existing equipment and systems, utility consumption and available profiles. Observations of actual equipment operating conditions, interrogation of the existing control systems and development of specific trends, as well as extensive discussions with Ohio University personnel were among the most valuable sources of information that contributed greatly to this effort.

Constellation has taken into consideration the valuable input that facility personnel provided and tried to meet the various infrastructure needs of Ohio University through the proposed ECMs.

With Constellation's selection by Ohio University to engineer and implement this project, the various ECMs and their construction will fall under Constellation's umbrella for procurement in a turn-key fashion. Constellation is responsible for all bidding of labor and material for this project. The need for separate bids for each part of the work will not be needed to be administered by Ohio University, but rather all of the requirements will be adhered to by Constellation with the procurement and Ohio University oversight.

As part of this IGA process, Constellation developed the necessary documentation required to solicit competitive bids on material and labor for construction of the ECMs at Ohio University facilities. Local contractors and suppliers were contacted and included in the overall bid process to develop the overall scope of work for Ohio University. Prior to construction, Constellation will prepare and submit engineering design and specification plans for approval.

Project Conclusions

Constellation's direction for the Investment Grade Audit was two-fold:

1. to focus on energy savings opportunities at the University buildings which centered around traditional ECMs like comprehensive lighting retrofits, water conservation, comprehensive DDC Controls Upgrades integrating various systems now present on campus and typical HVAC improvements and
2. then to investigate ways to implement more capital intensive ECMs to address deferred maintenance items like Steam System upgrades, air system condition upgrades, VFD upgrades and Retro-Commissioning of existing building HVAC systems which could produce additional savings not yet identified.

Under Ohio House Bill 7 Legislation, documented energy and operational savings would be used to fund the cost of the improvements over the term of the project – 15 years. Our goal was to present a project that included energy-savings related items, combined with previously identified deferred maintenance items, in a cost-effective manner.

To this end, Constellation is presenting a comprehensive energy improvement project that maximizes energy savings at the buildings identified in the RFP and includes the projects that address the University's deferred maintenance needs at the buildings included in the IGA. Echoing the goals of the Administration, this project will improve the educational environment at each of the buildings, improve the energy efficiency of the University and reduce the costs for ongoing maintenance for the systems in place.

Ohio University has been working with Public Financial Management (PFM) and the Ohio Air Quality Development Authority (OAQDA) to determine the best finance options for the overall energy project. Low cost OAQDA funds through bond financing have been discussed as the option to finance this project with the inclusion of guaranteed energy and operational savings. A cash-flow analysis of the project will be provided by PFM and OAQDA under separate cover. A sample analysis using 2.50% interest rate is provided for discussion purposes. Constellation commits to working with PFM and OAQDA to provide them any and all information needed to secure this type of financing for the project.

Project Snapshot

By implementing Constellation's proposed scope in the form of this project (detailed in the Investment Grade Audit report), Ohio University will start achieving energy savings and realize facility improvements immediately in many of the buildings. **The overall project will achieve a savings of \$1,931,419 every year in guaranteed energy savings and operational savings after the two-year construction period is completed**, while significantly improving the University's infrastructure and replacing aging mechanical, electrical and communications equipment that have reached beyond the end of their service lives. An added benefit to the project upgrades will be the reduced maintenance and repair requirements that come with newer equipment plus the additional comfort improvements that comes with the improved HVAC and BAS systems. **With the use of Ohio House Bill 7 Legislation, the guaranteed annual savings will be used to "fund" the costs of the proposed improvements over the term of the contract – 15 years. No upfront capital dollars will be needed to pay for this project.**

Constellation's complete project cost to OU is \$28,321,170 + Project Issuance Finance Fees to the Lender of approximately \$850,256 for a total of \$29,171,426. The project incorporates many facility

improvements that will increase the lifespan of the buildings. Energy and operational savings total \$1,931,419 annually for the comprehensive project.

The proposed project is due to be implemented over the next 24 months as per the requirements of Ohio House Bill 7. Project spreadsheet breaking down the costs and savings for each ECM is enclosed below.

This report is the summary of the comprehensive strategy, developed by Constellation through this project, to reduce energy consumption and to make facility improvements for Ohio University through the proposed ECMs.

Proposed Energy Conservation Measures

Implementation of the following energy conservation measures (ECMs) is projected to reduce Ohio University's utility and operating expenses while providing valuable improvements to the University's buildings and systems.

ECM Listing	ECM Description
Campus-wide Lighting Improvements	Interior Lighting Retrofit - global upgrade of T12 fluorescent lamps and magnetic ballasts and first generation T8 lamps to second generation T8 fluorescent lamps and electronic ballasts. CFL lamps and new LED Exit lights will be installed where incandescent and older style Exits lights are present. Metal Halide lamps will also be replaced. Occupancy sensors will be installed in certain areas. All 70+ buildings have been audited in regards to room by room lighting analysis and included in the project.
Air System and Tower Condition Upgrades	This work will clean coils, pans, casings and so forth for a number of systems. Coatings will be applied to exposed metal to seal against oxidation and retard future corrosion. In some cases, non-structural repairs will be performed where casings or connections have failed. We also propose to clean the ducts of a number of systems by certified technicians.
Direct Digital Control Systems - expansion, upgrade & integration	This is a fairly extensive controls improvement which will replace much of the existing Direct Digital Control (DDC) equipment in seven buildings, along with the addition of a few miscellaneous points each in several dozen more. A tandem effort will integrate data from the three DDC manufacturers on campus through a single new data server

	and report to several new central monitoring consoles.
Variable Frequency Drives (VFDs) Installations including DDC and Additional Feedback	The installation of new Variable Frequency Drives (VFDs) is proposed for less than four dozen fan motors of various sizes. A portion of the motors will be replaced to ensure compatibility with the new VFDs. The control sequences will mimic those governing most fan VFDs already operating on campus. All new VFDs will be controlled and monitored by the local DDC system. Interlocks and safeties will be maintained and flow will not be permitted to fall below an adjustable minimum setpoint.
Kitchen Hood Improvements	Several kitchen hoods which exhaust cooking vapors in the food preparation areas will be fitted with new specialized controls to sense opacity and temperature as indicators of load. The work also includes the installation of VFDs for a make-up air unit and the associated exhaust fans. The new controls will modulate make-up and exhaust air flow in tandem in response to the sensing of load indicators. Interlocks and safeties will be maintained and flow will not be permitted to fall below an adjustable minimum setpoint. The new controllers will communicate directly with the existing DDC system to ensure proper air balance.
Steam System Upgrades	This ECM replaces manual radiator steam control valves and failed self-contained thermostatic radiator steam control valves in non-dorm sections of several buildings. Inserts for specific radiator traps will also be replaced.
Pipe and Blanket Insulation	This ECM replaces missing or damaged insulation for steam and heating water piping in tunnels, penthouses, and mechanical spaces. Custom blankets will be fitted to specific valves and equipment.
Chiller Water Distribution Upgrades	This project de-commissions tertiary CHW pumps in a number of buildings and may install new valves or modify the existing. Modification to the existing primary and or secondary pumps / VFDs at the West Green Chiller Plant may be required in consideration of the pending Central Plant Improvements. (Central Plant Improvements scope to be accomplished by others under a separate contract.)
Water Conservation	Low flow commodes, flush valves and / or aerators will be installed in a number of non-dormitory buildings on campus.
Sustainability in Action (SIA) Program	The Sustainability in Action Program scope involves activities and education programs to promote energy awareness on campus and in the community. Our direction will come from the University in regards to how we are involved in the process.
Retro-Commission Equipment and Systems	This scope identifies and performs repairs / adjustments to systems not currently operating as intended in several

	buildings across campus.
Central Domestic Hot Water (DHW) System Upgrades	The existing steam-to-DHW heat exchangers are prone to failure and pose reliability problems. This scope may replace an exchanger and / or improve the manner in which the DHW system is controlled.
Constellation Energy Manager	This ECM includes the position of energy manager to track the project over the two-year construction period and establish baseline and Measurement and Verification procedures.
OU Project Manager	This ECM includes the position of Project Manager to assist the University and track the project over the two-year construction period.
<p>PROJECT SUMMARY</p> <p>First Year Energy Savings after Construction \$1,931,419</p> <p>Term Savings over 15 years \$37,773,034 with agreed upon yearly escalation rates</p> <p>Total Project size - \$28,321,170(@ 2.50% financing—TBD determined thru OAQDA)</p>	

PROJECT ECM SUMMARY

ECM #	ECM DESCRIPTION	ECM COST TOTAL¹	ANNUAL ECM SAVINGS TOTAL	ECM SIMPLE PAYBACK
		\$	\$	
1	Lighting Upgrade	\$7,444,175	\$644,605	11.5 yrs
2	Ventilation Air System & Cooling Tower Condition Upgrades	\$1,922,071	\$135,408	14.2 yrs
3	Digital Direct Control Integration, Upgrade and Expansion	\$5,922,670	\$428,782	13.8 yrs
4	Variable Frequency Drive Installations including Digital Direct Control and Additional Feedback	\$2,663,234	\$289,290	9.2 yrs
5	Kitchen Fume Hood Improvements	\$112,167	\$7,910	14.2 yrs
6	Steam Distribution System Upgrades	\$869,811	\$64,880	13.4 yrs
7	Pipe and Blanket Insulation	\$2,211,528	\$227,405	9.7 yrs
8	Chilled Water Distribution Upgrades	\$2,122,333	\$53,223	39.9 yrs
9	Water Conservation	\$735,090	\$55,905	13.1 yrs
10	Sustainability Education and Action Outreach Program	\$70,682	-	Na
11	Retro-Commission Equipment and Systems	\$3,935,888	\$24,010	163.9 yrs
12	Central Domestic Hot Water System Upgrades	\$35,341	-	Na
13	Energy Manager	\$226,182	-	Na
14	Ohio University Project Manager	\$50,000	-	Na
	TOTAL	\$28,321,170	\$1,931,419	14.7 yrs

1. Project cost includes all installation labor, material, engineering designs, project management, overhead and profit.
2. Annual savings based on actual 2012 rates from utilities.

Sample CASH FLOW STATEMENT (for reference purposes only)

Final cashflow analysis will be provided by OAQDA with input from OU

Project Financing Interest Rate ¹	2.50%		Project Cost ²	\$28,321,170			
Project Financing Term	180 months		Project Finance Fees ³	\$850,256			
Base Construction Period	24 months		TOTAL Amount Financed	\$29,192,108			
Construction Period Energy Savings	\$1,931,419						
Year	SAVINGS			COST		EXCESS SAVINGS ⁸	
	Energy ⁴	Material ⁵	TOTAL	Debt Service ⁶	Measurement and Verification ⁷	Annual	Cumulative
2012-13	\$1,982,482	-	\$1,982,482	(\$1,982,482)		-	-
2014	\$1,888,078	\$83,513	\$1,971,591	(\$1,834,078)	(\$101,278)	\$36,235	\$36,235
2015	\$1,926,595	\$86,019	\$2,012,614	(\$1,872,062)	(\$104,316)	\$36,235	\$72,471
2016	\$1,965,905	\$88,599	\$2,054,505	(\$1,910,823)	(\$107,446)	\$36,235	\$108,706
2017	\$2,232,731	\$91,257	\$2,323,988	(\$2,177,084)	(\$110,669)	\$36,235	\$144,942
2018	\$2,278,211	\$93,995	\$2,372,206	(\$2,221,981)	(\$113,989)	\$36,235	\$181,177
2019	\$2,324,626	\$96,815	\$2,421,441	(\$2,267,796)	(\$117,409)	\$36,235	\$217,413
2020	\$2,371,994	\$99,719	\$2,471,713	(\$2,314,547)	(\$120,931)	\$36,235	\$253,648
2021	\$2,420,336	\$102,711	\$2,523,047	(\$2,362,252)	(\$124,559)	\$36,235	\$289,884
2022	\$2,469,672	\$102,711	\$2,572,383	(\$2,407,851)	(\$128,296)	\$36,235	\$326,119
2023	\$2,520,022	\$105,792	\$2,625,815	(\$2,457,434)	(\$132,145)	\$36,235	\$362,355
2024	\$2,571,408	\$108,966	\$2,680,374	(\$2,508,030)	(\$136,109)	\$36,235	\$398,590
2025	\$2,623,852	\$112,235	\$2,736,087	(\$2,559,659)	(\$140,192)	\$36,235	\$434,826
2026	\$2,677,375	\$115,602	\$2,792,977	(\$2,612,343)	(\$144,398)	\$36,235	\$471,061
2027	\$2,731,999	\$119,070	\$2,851,070	(\$2,666,104)	(\$148,730)	\$36,235	\$507,297
2028	\$2,787,749	\$122,642	\$2,910,391	(\$2,720,964)	(\$153,192)	\$36,235	\$543,532
	\$37,773,034					NPV @ 10.00%	\$275,610

1. Project financing rate is based off 2.5 %
2. Project cost includes all installation labor, material, engineering designs, project management, overhead and profit.
3. Project financing fee is based off 3% issuance cost
4. Energy savings is annual electrical, steam and water
5. Material savings includes lighting lamp and ballasts material cost
6. Debt service is the loan payment
7. Measurement and verification is cost associated with quantifying guaranteed savings
8. Excess savings is difference between savings less costs
9. Utility Escalation Rates

Electric

\$0.056 / kWh, 2% annual escalation after 5-2012

Gas

\$5 / Dth, 2% annual escalation

Steam

\$4 / Mlb

\$6 / Mlb (1/2016) 2% escalation

Water / Sewer

\$8.4 / Kgal, 3% annual escalation (water 40%, sewer 60%)

FY 2013 Energy Savings Performance Contract

Tab



FY 2013 Energy Savings Performance Contract

- Addresses Vision Ohio, Sustainability Plan, and College and University President's Climate Commitment goals
- Addresses House Bill 251 Energy Reduction Targets
- Supports University System of Ohio recognized Center of Excellence for Energy and the Environment
- Included in Board approved Six Year Capital Plan
- Addresses deferred maintenance through replacement of equipment with projected useful life greater than 15 years



FY 2013 Energy Savings Performance Contract

- Process and implementation prescribed by Ohio House Bill 7
- Energy conservation projects accomplished through a contractor at risk relationship
- 15 year payback requirement with monitored and audited savings guarantee.
- Constellation NewEnergy selected through two-step competitive process



FY 2013 Energy Savings Performance Contract

- **Projects included in proposed contract:**
 - Campus Wide Lighting Improvements
 - Air System and Tower Condition Upgrades
 - Direct Digital Control (DDC) Systems-expansion
 - Variable Frequency Drive Installation
 - Kitchen Hood Improvements in Baker Center
 - Steam System Upgrades
 - Pipe and Blanket Insulation
 - Chilled Water Distribution Upgrades
 - Water Conservation Measures
 - Educational Activities and Programs
 - Retro-commissioning Equipment and Systems
 - Central Domestic Hot Water System Upgrades



FY 2013 Energy Savings Performance Contract

- Total project cost
 - \$28,321,170 plus financing costs
- Fund Source:
 - Combination of Ohio University Bond Issuance and Ohio Air Quality Bond Issuance





Interoffice Communication

Date: June 8, 2012

To: The President and Board of Trustees

From: Jack Brose, DO
Dean, Heritage College of Osteopathic Medicine

Re: **OU-HCOM UPDATE**

This is an update on the Heritage College of Osteopathic Medicine initiatives that I discussed at the April meeting.

OU-HCOM / OhioHealth Affiliation Agreement

In April, I reported on the affiliation with OhioHealth that will provide educational support, clinical training, collaborative research opportunities, and the establishment of new graduate medical education programs at the Central Ohio Campus. The Affiliation Agreement with OhioHealth was signed on April 17th. I testified to COCA (our accrediting body) in Chicago on April 21st. At that meeting, they approved our proposal to move to the next step in the accreditation process. We anticipate that an accreditation team will visit campus in mid-October. Planning is underway to begin the hiring process for an Associate Dean in Central Ohio.

We anticipate that the 15 acre land and building purchase in Dublin will close in the end of June. Additionally, the Provost and Donna Goss have successfully negotiated an Economic Development Agreement with the Dublin City Council regarding donation of additional acreage at the site. An update will be provided at the June meeting.

OU-HCOM / Cleveland Clinic Affiliation Agreement

On June 11th we signed an affiliation agreement with the Cleveland Clinic that provides for the establishment of an OU-HCOM Northeastern Ohio Extension Campus. The terms of the academic affiliation are similar to those of the OhioHealth affiliation. We will lease approximately 60,000 square feet of space in a medical office building located on the campus of Cleveland Clinic's South Pointe Hospital in Warrensville Heights. A lease will be developed that will be presented to the Board of Trustees for approval. In addition, the Cleveland Clinic has agreed to make a substantial gift to OU-HCOM to support the extension campus, and has pledged additional funding towards the development of graduate primary care medical education programs.

A celebration of our expanded relationship with the Cleveland Clinic was held on June 11th in Cleveland at the Cleveland Clinic South Pointe Hospital. It was a significant occasion for Ohio University, and a number of Ohio University Board members and Ohio legislators were present for the event. Discussions regarding other health related programs are currently underway between the College of Health Sciences and Professions and the Cleveland Clinic.

University Medical Associates/Athens Medical Associates merger and restructuring

We continue to evaluate the feasibility of combining University Medical Associates, the OU-HCOM clinical practice, with Athens Medical Associates, the clinical practice controlled by O'Bleness Memorial Hospital. It is our expectation that combining the two practices will result in a financially stronger practice group, improve our ability to recruit and retain talented faculty, expand the range of medical services in the Athens community and eliminate duplication of services between the Heritage College and the hospital.

A memorandum of understanding and a preliminary term sheet has been drafted. John Biancamano is working with attorneys representing O'Bleness, University Medical Associates and Athens Medical Associates on the details of the proposed merger.

I look forward to further discussion at the June board meeting.



OHIO
UNIVERSITY

Interoffice Communication

Date: June 8, 2012
To: The President and Board of Trustees
From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer
Re: **OHIO SERVICE ALIGNMENT UPDATE / HURON**

At its April meeting, the board heard a presentation from Huron consultants regarding the implementation of responsibility center management (RCM) and a review of Ohio's core administrative services. The purpose of this review at the same time we are implementing RCM is to assess the effectiveness of our central administrative services, confirm they are the ones needed, and to assess our institutional capacity to support a decentralized operating environment.

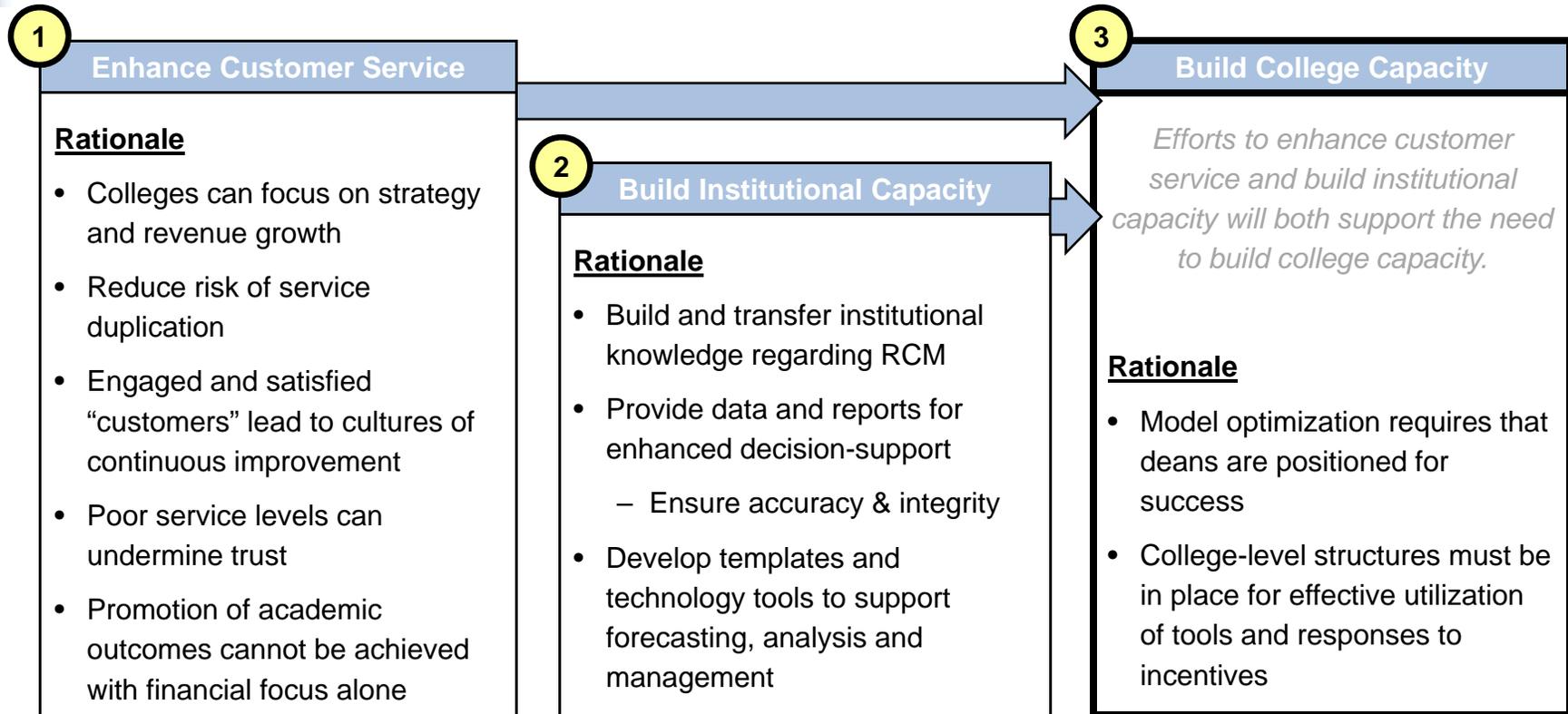
Earlier this month, Huron presented their findings and recommendations to University leadership. They specifically addressed findings in three areas – Human Resources, Finance, and Information Technology. Their recommendations focused on organizational structure, governance, business processes, functional capabilities and institutional capacity. In addition to their findings and recommendations, Huron also put forth a Phase III prioritized project schedule and timeline which has been helpful in thinking through how to proceed with implementation of their recommendations.

At the June Board meeting, we have asked Huron to provide a brief update of their Phase II findings and recommendations. They will also talk briefly about implementation and their assessment of next steps. To insure that this very important initiative moves forward in a timely manner, we have engaged Huron in a Phase III effort to help us develop a project management office, review our project management processes, and facilitate two or three selective business process redesign projects over the course of the next twelve months.

I look forward to reviewing the attached slides at June meeting.

Three Critical Success Factors

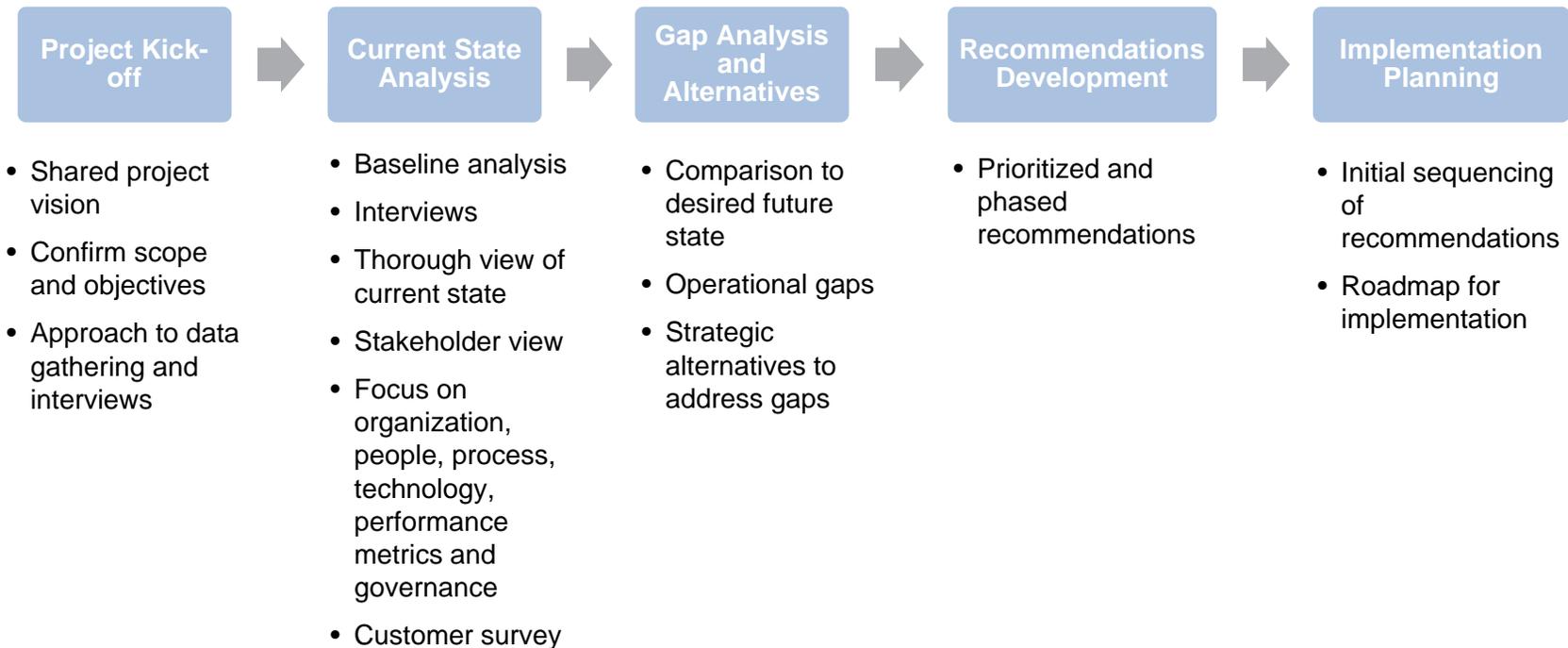
The success of RCM OHIO is likely to hinge three equally important success factors.



Opportunities to support each of these focus areas are present within the recommendations for HR, IT and Finance, and when implemented together, will maximize OU’s likelihood of optimizing their RCM model.

Project Approach

The Service Alignment Initiative (Phase II) was designed to evaluate University Human Resources, Finance and the Office of Information Technology.



Project Timeline

The Service Alignment Initiative (Phase II) lasted ~16 weeks and included four Advisory Committee meetings to review project progress and findings.

Project Timeline	Week Beginning															
	1/23	1/30	2/6	2/13	2/20	2/27	3/5	3/12	3/19	3/26	4/2	4/9	4/16	4/23	4/30	5/7
Advisory Committee Meetings			2/6	2/15			3/7				4/3				5/1	
Project Kick-Off <ul style="list-style-type: none"> Establish project governance Confirm objectives and timeline 	[Gantt bar: 1/23 to 2/13]															
Current State Assessment <ul style="list-style-type: none"> Conduct Interviews Review and analyze data Customer survey 	[Gantt bar: 1/23 to 3/19]															
Future State Vision <ul style="list-style-type: none"> Conduct interviews Conduct benchmarking and analyze data 	[Gantt bar: 2/20 to 4/9]															
Gap Analysis <ul style="list-style-type: none"> Compare current performance to future vision and benchmarking 	[Gantt bar: 3/19 to 4/23]															
Recommendation Development <ul style="list-style-type: none"> Develop recommendations Develop business cases Provide implementation guidance/roadmap 	[Gantt bar: 4/16 to 5/7]															

Recommendations Overview

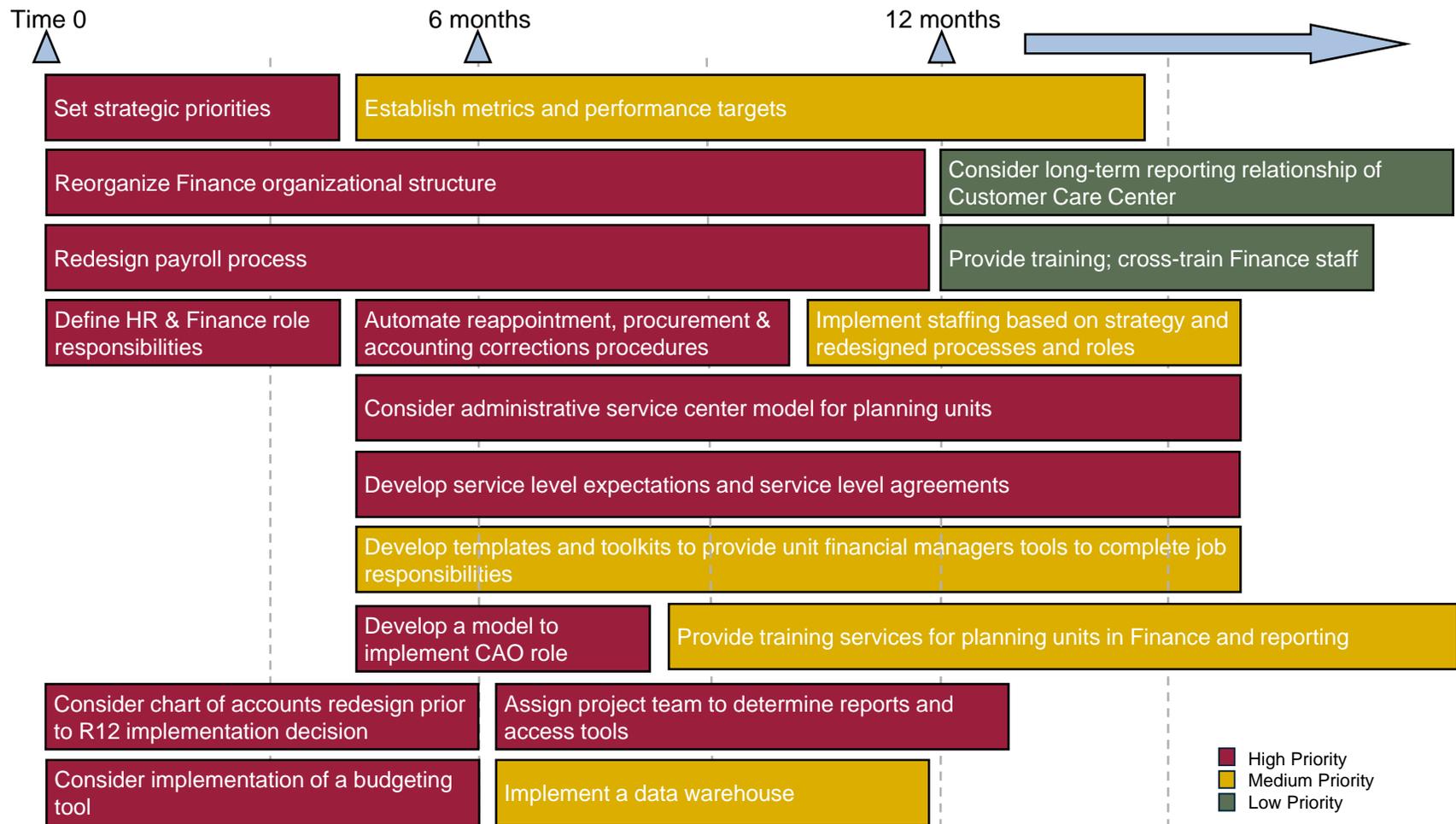
Huron identified ~ 51 recommendations across the three administrative areas under review.

Review Area	Recommendations (#)	Priority	Implementation Timeframe	Implementation Considerations
Finance	~18	High – 12 Medium – 5 Low – 2	Short-term – 4 Intermediate-term – 13 Long-term – 2	<ul style="list-style-type: none"> • Few recommendations with significant associated implementation risk • Relatively high implementation difficulty; primarily around service delivery models • Significant internal resources required; technology investment still to be determined
University Human Resources	~ 16	High – 7 Medium – 3 Low – 6	Short-term – 4 Intermediate-term – 8 Long-term - 4	<ul style="list-style-type: none"> • Low associated implementation risks • Low implementation difficulty • Resource allocation need is highly dependent on internal resources; technology investment still to be determined
Office of Information Technology	~17	High – 4 Medium – 3 Low – 1	Short-term – 4 Intermediate-term – 4	<ul style="list-style-type: none"> • Low – medium risk associated with implementation • Relatively high implementation difficulty • Resource allocation – TBD

Recommendations require a significant investment of internal resources and a supporting infrastructure will need to be developed to manage both the implementation steps and the associated change process.

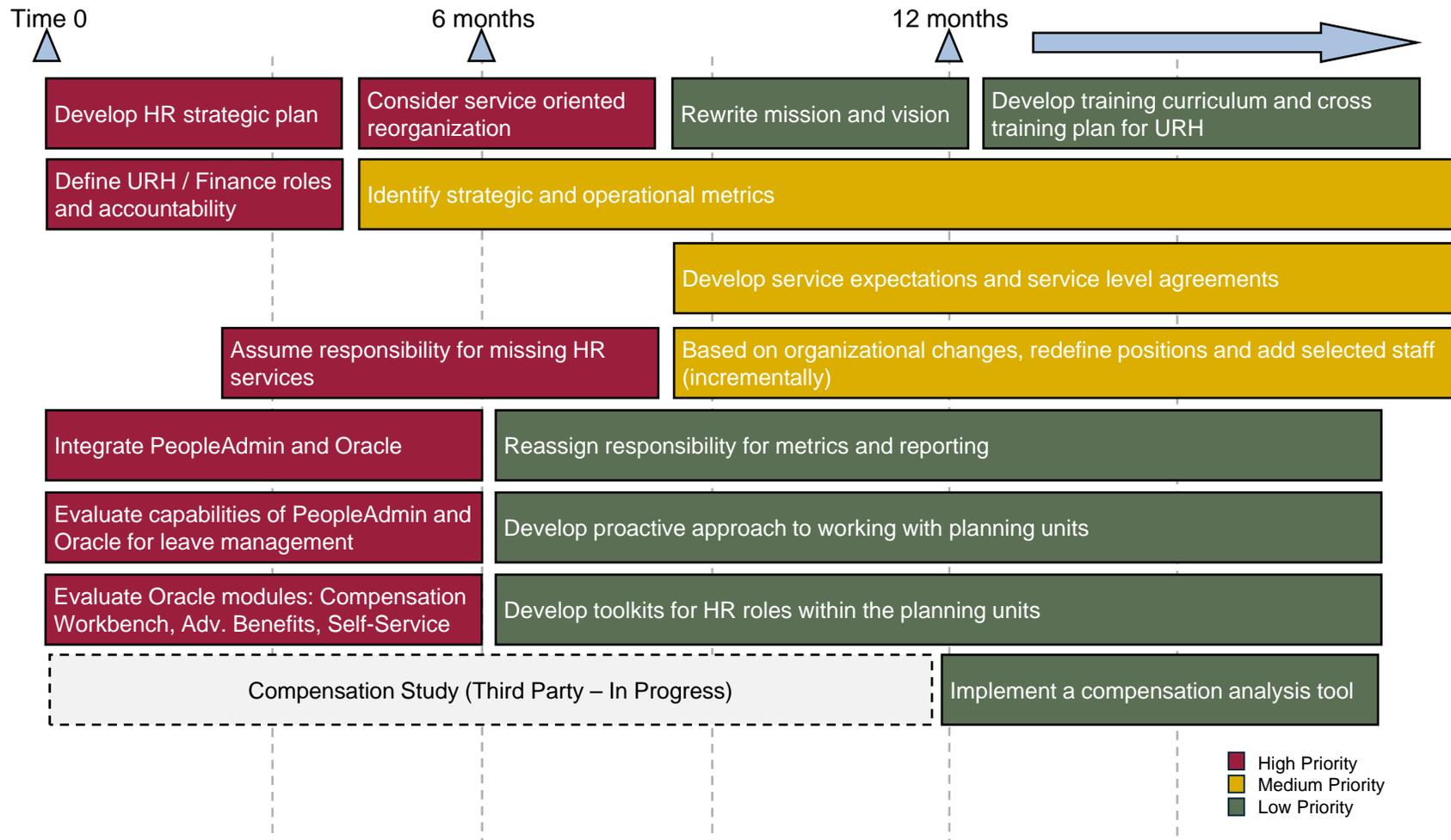
Implementation Timeline

The following implementation timeline depicts the sequencing and prioritization of Finance recommendations.



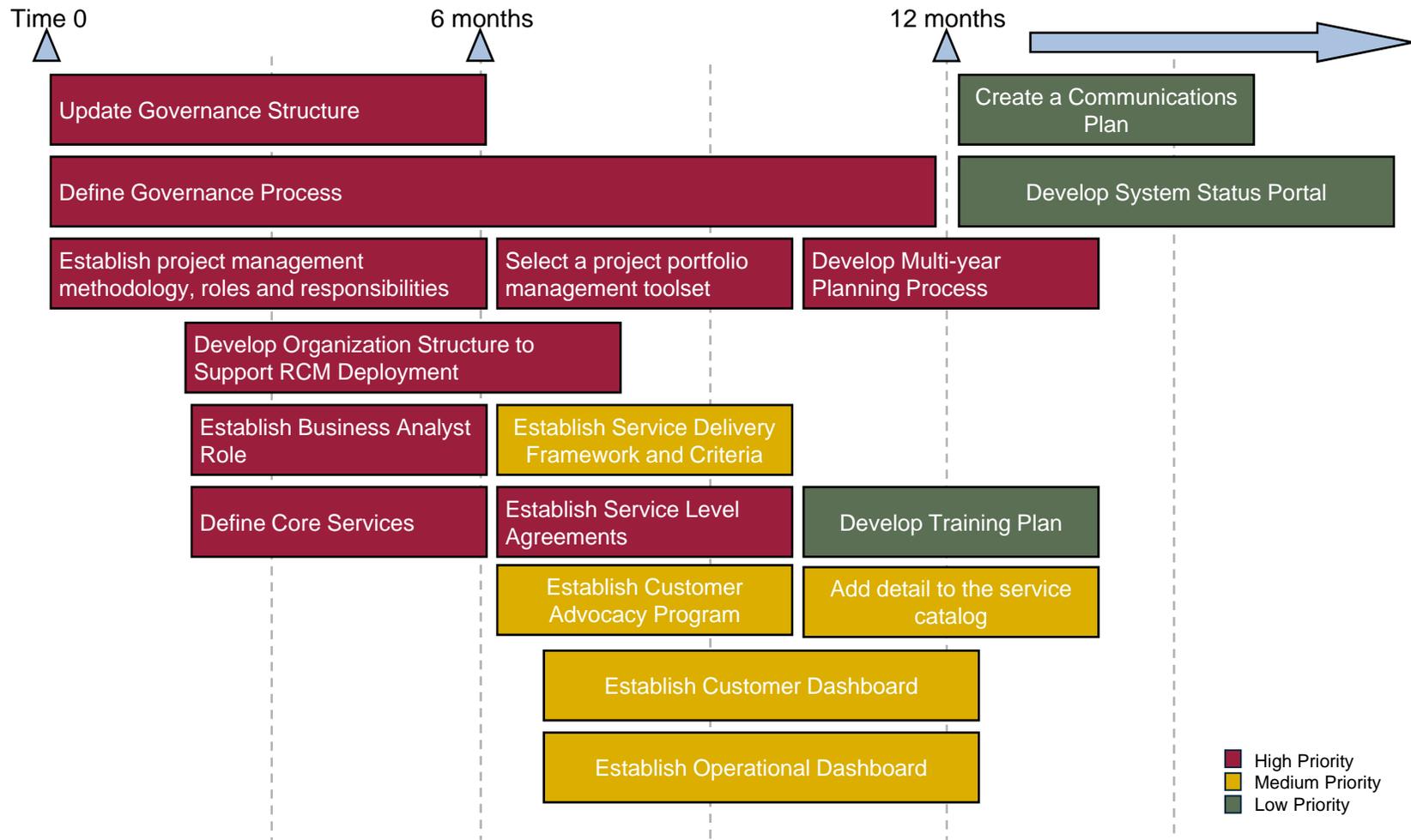
Implementation Timeline

The following implementation timeline depicts the sequencing and prioritization of Human Resources recommendations.



Implementation Timeline

The following implementation timeline depicts the sequencing and prioritization of Office of Information Technology recommendations.



OHIO UNIVERSITY PARCEL CLASSIFICATIONS FOR OIL AND GAS LEASES

RESOLUTION 2012 -

WHEREAS, the development of Marcellus and Utica shale offers the State of Ohio opportunities for oil and gas production, and economic development, and

WHEREAS, House Bill No. 133 creates the Oil and Gas Leasing Commission and mandates that within 270 days after its effective date, the Commission shall establish rules that will address the issues of leasing all publicly held lands in the State of Ohio, and

WHEREAS, the law allows that before the Commission is formed and operational, the Board of Trustees of a State University has the authority to enter into leases of property for oil and gas production under their jurisdiction, and

WHEREAS, House Bill No. 133 requires each university to take inventory of all lands it owns or controls and classify each parcel based on its suitability for oil and gas exploration and development (R.C. 1509.72 (A)), and

WHEREAS, Ohio University has established a committee charged with the inventory and classification of each parcel under the jurisdiction of Ohio University within the State of Ohio, and

WHEREAS, the Committee has thus far identified, with the assistance of outside counsel and expert title examiners, over 600 parcels of land to be classified according to the requirements of House Bill 133 and R.C. 1509.70 et.seq.

NOW THEREFORE BE IT RESOLVED, that the Board of Trustees of Ohio University does hereby authorize the President or his designee to accept, review and approve the classifications conducted by the committee on or before June 30, 2012, in accordance with the requirements of House Bill 133 and the Ohio Revised Code relevant sections.

BE IT FURTHER RESOLVED, that the Board of Trustees of Ohio University does hereby authorize the President or his designee to review, negotiate, modify, edit and recommend any lease/s he or his designee find appropriate and in the best interests of Ohio University, subject to the final approval of this Board and any other final approval as required by law.



OHIO
UNIVERSITY

Date: June 8, 2012
To: The President and Board of Trustees
From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer
Re: **MINERAL RIGHTS UPDATE**

Following is an update on activities and the status of items involving the Ad Hoc Mineral Rights Committee and their work since the April Board of Trustees meeting.

Since the April 2012 board meeting, the committee has been able to further investigate some of the remaining questions surrounding the university's process of addressing the potential lease of university owned mineral rights. The Ad Hoc Mineral Rights Committee is providing the following draft information in time for the June 2012 Board Meeting:

- **Land Inventory Update** *An update regarding the process and progress for land classification as dictated by HB 133.*
- **Proposed Baseline Data Collection Recommendations** *This document includes research and recommendations for pursuing baseline data collection and the costs associated with this process. OU Eastern is used as the case study in this recommendation.*
- **Proposed Campus-Based Mineral Rights Committee Charter** *This proposed charter template provides recommended next steps for any campus approached for leasing activity.*

The Committee looks forward to continued dialogue with the Trustees regarding this very important issue.

Ad Hoc Mineral Rights Committee

*Board of Trustees Report
June 2012*

DRAFT

Introduction

Dear Members of the Ohio University Board of Trustees,

We are greatly appreciative of your commitment to making informed decisions on the topic of mineral rights leasing on Ohio University owned lands. Since the April 2012 board meeting, we have been able to further investigate some remaining questions surrounding the conversation. If you'll recall, it was agreed that the Ad Hoc Mineral Rights Committee would provide you with the following information in time for the June 2012 Board Meeting:

Land Inventory Update

An update regarding the process and progress for land classification as dictated by HB 133.

Baseline Data Collection Recommendations

This document includes research and recommendations for pursuing baseline data collection and the costs associated with this process. OU Eastern is used as the case study in this recommendation.

Campus-Based Mineral Rights Committee Charter

This proposed charter template provides recommended next steps for any campus approached for leasing activity.

We formally submit this information for you in this written report. Though, we are certainly able to offer any additional insights should specific questions arise.

Sincerely,

Ad Hoc Mineral Rights Committee

Stephen Golding, Vice President of Finance and Administration
Rebecca Watts, Chief of Staff and Special Assistant to the President
James Fonseca, Interim Executive Dean of Regional Campuses
Harry Wyatt, Associate Vice President of Facilities
Donna Goss, Director of Engagement and Real Estate Management
Nicolette Dioguardi, Deputy General Counsel
Eric Burchard, Director of Government Relations
Ben Stuart, Associate Professor of Civil Engineering
Stephen Scanlan, Associate Professor of Sociology
Scott Miller, Director of Energy and Environmental Programs
Annie Laurie Cadmus, Director of Sustainability

A special thanks to the following individuals who assisted with this report:

Shane Gilkey, Associate Vice President of Research and Sponsored Programs (Land Inventory Sub-Committee)
Dick Planisek, Director of Facility Planning and Space Management (Land Inventory Sub-Committee)
Natalie Kruse, Assistant Professor of Environmental Studies (Baseline Data Sub-Committee)

Land Inventory Update

As a provision of House Bill 133, Ohio University is required to identify all university-owned parcels of land, enter them into an institutional database and classify them as Class 1, Class 2, Class 3 or Class 4¹. Upon proper classification, the university is then expected to submit this information to the Oil and Gas Leasing Commission. No formal deadline has been identified for this submission, though the Ad Hoc Mineral Rights Committee is working to complete such classification by June 30, 2012. This is a significant undertaking and a substantial amount of progress has already been made in the venture.

Currently, Frank Lavelle of Lavelle Law Offices in Athens, Ohio is working to provide Ohio University with a comprehensive compilation of all parcels of land currently under the ownership of the university. A break-down of the progress made for each campus is provided here:

Athens Campus: A full inventory of land is currently available. Over 600 parcels of land have been identified and are currently classified as Class 2 lands. A team of Ohio University staff is currently working to more appropriately classify each of these parcels*. Proper classification must take into account: educational and research barriers or opportunities; federal interest; protected lands; and deed restrictions.

Eastern Campus: The University's outside counsel has suggested that Exxon Mobil is no longer interested in Belmont County. Though, since our campus was considering entering a pooling option, it is reasonable to believe we must still have an inventory completed. The inventory has not yet been completed. Upon completion, a similar approach to the Athens campus classification process will occur*.

Chillicothe Campus: The inventory has not yet been completed. Upon completion, a similar approach to the Athens campus classification process will occur*.

Lancaster Campus: The inventory has not yet been completed. Upon completion, a similar approach to the Athens campus classification process will occur*.

Southern Campus: The inventory has not yet been completed. Upon completion, a similar approach to the Athens campus classification process will occur*.

Zanesville Campus: The inventory has not yet been completed. Upon completion, a similar approach to the Athens campus classification process will occur*.

**It is anticipated that all parcels of land on all campuses will be properly inventoried and classified by June 30, 2012.*

The Land Inventory Sub-Committee of the Ad Hoc Mineral Rights Committee has identified a number of barriers to classification as the Oil and Gas Leasing Commission has not yet been formed nor have the formal rules for compliance been established. The vague language currently being offered is requiring a great deal of interpretation to occur within the committee. As such, for the protection of the university, the Land Inventory Sub-Committee has chosen not to provide any classification details at this time. Though, one or more representatives would be happy to provide the Board of Trustees with additional information should specific questions on this topic arise during the June Board Meeting.

In an effort to offer timely compliance with rules and requirements that may occur between formal meetings of the Board, the Land Inventory Sub-Committee formally requests that the Board of Trustees vote to provide President McDavis with approval of and Land Inventory classifications submitted to the Oil and Gas Leasing Commission.

¹ According to [Brickler and Ecker Attorneys at Law](#): "**Class 1 property** is land for which there are no encumbrances or deed restrictions limiting the exploration or development of oil and gas. R.C. 1509.70(A). **Class 2 property** is: (i) land owned or controlled by a state college or university, or (ii) land owned or controlled by another state agency that is subject to a federal encumbrance or monetary interest limiting or prohibiting the exploration or development of oil and gas. R.C. 1509.70(B). **NOTE:** A state agency that has classified a parcel of land as Class 2 property must make reasonable and appropriate efforts to get the property re-classified as a Class 1 property. R.C. 1509.76. **Class 3 property** is land that constitutes Class 1 property, but is of insufficient size or shape to satisfy the minimum acreage for a drilling unit under Ohio law, and is necessary for pooling with other parcels for the creation of a drilling unit. R.C. 1509.70(C). **NOTE:** Class 3 property cannot be approved for leasing by the Oil and Gas Leasing Commission. R.C. 1509.73(B)(2). However, if a Class 3 property has been disapproved, the state agency that owns or controls the land can enter into a written unitization agreement that conforms to the lawful minimum acreage and distance requirements in order to re-classify the parcel of land. R.C. 1509.77. **Class 4 property** is land subject to a deed restriction limiting oil and gas exploration or drilling on the property. R.C. 1509.70(D)."

Baseline Data

Environmental Baseline Data Collection for Ohio University Eastern Campus

Proposal from the Voinovich School of Leadership and Public Affairs and the Russ College of Engineering and Technology—Dr. Ben Stuart, Scott Miller, Dr. Natalie Kruse, Dr. Deb McAvoy, Dr. Valerie Young, Dr. Kevin Crist

With the many and varied consequences of shale gas drilling, a life cycle assessment that examines these impacts with many different lenses would be useful and informative for a wide range of stakeholders. In order to detect and quantify impacts of shale gas exploration, baseline environmental conditions must be measured. The objective of this study is to establish multi-media baseline conditions (groundwater, surface water, air and traffic) in Belmont County on the campus of Ohio University Eastern. It is recommended that this be the first step of a larger effort that would continue monitoring multiple environmental media throughout the active stimulation and production phases of shale gas exploitation. Any equipment and re-useable supplies purchased during the baseline phase would be utilized for further monitoring during active development. The proposed work will be spread across multiple environmental media and multiple disciplines, including groundwater quality and yield, surface water quality and quantity, air quality, traffic quantities and vehicle types. The following project description details the recommended baseline data collection for each environmental media and the estimated cost for each portion of the project. A more detailed cost estimate is included at the end of the narrative.

Ground Water

Since there are no groundwater wells on campus and it would be prohibitively expensive to install new monitoring wells, it is recommended that OHIO measure the water quality and static water level at four locations surrounding the Eastern Campus. Either private landowners or the correctional facility will be approached for permission and the water quality analysis will be shared with the landowner. It is recommended that samples be taken three times during a 'water year' to reflect different flow conditions. Both OHIO researchers and a third party, OEPA certified lab will take samples during each sample occasion. It is recommended that the OEPA certified lab analyze all samples for Tier 1, 2 and 3 analytes (see table on page 3) plus total petroleum hydrocarbons (HEM), gasoline range organics (GRO) and diesel range organics (DRO). A secondary suggestion would be to assess the level of naturally occurring radioactive materials (NORM) in each sample. Duplicate samples will be analyzed at the Institute for Sustainable Energy and the Environment Laboratory at OHIO for a larger suite of organic chemicals.

Surface Water

There are two ponds on site; one is groundwater fed by a small spring on the west end of the campus and the other is surface water fed on the east end of the campus. OHIO has already sampled the spring three times, although it is recommended that one more sample be taken in a different flow regime. It is recommended that the stream be sampled three times for aqueous chemistry and flow rate throughout the 'water year.' Water samples will be collected by both Ohio researchers and a third party, OEPA certified laboratory and analyzed for the same constituents as the groundwater samples. In addition, it is recommended that a QHEI habitat assessment, a MAIS macroinvertebrate assessment and a fish survey be conducted during the summer to classify the habitat and biological health of the stream in order to estimate impacts of future withdrawals of water from the stream.

Air

It is recommended that the baseline air quality on site be assessed using two approaches. The first will be a comprehensive analysis of samples collected using canister samplers during each of three sampling trips. The samples will be analyzed in a chemical engineering laboratory for a full range of both greenhouse gases and air toxics including volatile organic chemicals (e.g. benzene). In addition to the grab samples, an instantaneous

GPS enabled methane detector mounted on the OHIO field vehicle will continuously monitor near surface methane concentrations and geo-reference each reading in order to detect methane ‘hot-spots’. The two analyses together ought to serve both as a baseline and a model for future air quality assessment.

Traffic

Traffic volume data, vehicle classification data, and speed data will be collected as available from the ODOT and through the use of pneumatic tube counters. The tube counters will be placed along the roadway to collect short-term counts (a duration between 24 and 48 hours per site), vehicle classification using the Federal Highway Administrations 13 vehicle categories, and vehicular speeds. The short-term counts will be collected along straight sections of roadways on average days of the week (Tuesday, Wednesday and Thursday) biannually for both Highway 40 (National Road West) and Interstate 70 at exit 213.

Two budgets have been compiled for the proposed work, one with the baselining that OHIO ‘needs’ and one that OHIO ‘wants’. The ‘wants’ scenario includes all of the work proposed above. The ‘needs’ does not include the following important elements: a reconnaissance trip to the Eastern campus to plan sampling, habitat and biological assessment, third party surface water analysis, time for faculty oversight of project management. Additionally, the ‘needs’ scenario includes fewer canister air quality samples, a less accurate methane detector and less support for students.

Table 1. Budget Estimates for Two Project Scenarios

	‘Need’	‘Want’
Groundwater	\$13,000	\$15,000
Surface Water	\$1,000	\$5,600
Air	\$12,000	\$14,000
Traffic	\$4,000	\$4,000
Student Support	\$10,600	\$16,000
Project Management	\$0	\$4,000
Total	\$40,600	\$58,600

Table 2. Tier 1, 2 and 3 Water Quality Analytes

Tier 1 Parameters	Tier 2 Parameters	Tier 3 Parameters
Barium	Calcium	BTEX (benzene, toluene, xylene, ethylbenzene)
Chloride	Hardness	Methane (dissolved)
Magnesium	Total Alkalinity	
Potassium	pH	
Sodium	Iron	
Strontium	Manganese	
Sulfate	Total Suspended Solids	
Total Dissolved Solids	Bromide	
Specific Conductivity		

Campus-Based Mineral Rights Committee Charter

Guidelines for the Ohio University _____ (insert campus name) Campus Mineral Rights Review Board

1.0 General

1.1 Name

The name of this board shall be the _____(insert campus name) Mineral Rights Review Board.

1.2 Formation

A campus-based Mineral Rights Review Board shall only be formed if campus administration is approached by a company seeking a mineral rights lease for the purpose of mineral extraction.

- Any entity seeking mineral extraction on Ohio University lands must formally submit such a request along with a draft lease and an appropriate “filing fee” to the Director of Engagement and Real Estate Management.
 - The Filing Fee is to be used as an offset for Mineral Rights Review Board expenditures (including, but not limited to, baseline data collection, meeting expenses, travel expenses, lease preparation and legal consult).
 - Requests submitted to any entity other than the Director of Engagement and Real Estate Management will not be considered.
- *No Ohio University entity may intentionally seek leasing rights for any university-owned lands.*

1.3 Purpose and Scope

The Campus Rights Mineral Review Board is charged with the development of a recommendation for any mineral rights leasing requests presented to the campus. The Board will submit its recommendations to the Vice President of Finance & Administration and the President who will take such further action on the recommendations as they deem appropriate.

1.4 Charge and Responsibility

Responsibilities of the Board include:

- Development of recommendations as to whether or not the campus should engage in leasing actions.
- Development of recommendations for any additional leasing stipulations to add to the OU-approved Mineral Rights Lease Agreement.
- Development of recommendations regarding financial safeguards in the form of surety bonds (through the provisions of the lease).
 - The Board must suggest that the Board of Trustees require a minimum of \$5 million in bonds that can be accessed should the lessor forfeit any repairs, maintenance, recovery or mitigation following the closure or abandonment of drilling operations and/or a well.
- Development of recommendations regarding proper use of income generated from drilling practices. These recommendations must be developed in accordance with House Bill 133 and the OU Board of Trustees’ objectives and requirements regarding revenues.
- Collection of baseline data for the campus and region, as established by the Ohio University Ad Hoc Mineral Rights Committee and Vice President for Finance and Administration.
- Establish a long-term maintenance policy for Board oversight of any leasing activity into which the Board engages.
 - At minimum, the Campus Mineral Rights Review Board must recommend that the Board of Trustees create a new Ohio University position or contract locally to ensure regular oversight of any drilling sites. This will assist in the maintenance of the health and safety of University lands through proper monitoring and regular reporting of drill sites during drilling and for at least 10 years following the termination of a lease. The University must ensure that that the lessee is in compliance with all environmental, health and safety regulations and that regular testing of all items referenced in Step 1 are honored. *Examples of best practices for ensuring such regulations may include the installation*

and monitoring of security cameras on a drilling site or ensuring regular data collection results are made publicly available. Additional examples can be found in the formal report submitted to the Board of Trustees for their May 2012 meeting.

- Ohio University requires lessor to provide proof that they have purchased a surety bond before lessor is allowed on University property.
- The lessor must provide:
 - regular (monthly/weekly) inspections of the site
 - documentation of lapses in compliance
 - preferred solutions for compliance to these rules – including a realistic and timely attention to fixing deficiencies
 - punitive sanctions ranging from small fines to lease termination and bond forfeiture depending on the severity of the offense

2.0 Membership

2.1 Composition and Appointment

The chair should be selected by the President in consultation with the Executive Vice President and Provost and the Vice President for Finance and Administration. Membership should include the Campus Dean, the University Associate Vice President and Treasurer, the Campus Director of Facilities, a minimum of two campus faculty representatives, and the University Director of Real Estate, representation from University Legal Affairs, and University Communications and Marketing. It is also recommended that a minimum of 2 non-voting student appointments are made to this committee.

2.2 Content Experts

It is within the right of the Campus Mineral Rights Review Board to select Content Experts to serve as occasional consultants to the Board should questions arise that cannot be answered by existing members. The Board may work with the Vice President of Finance and Administration and/or the Director of Sustainability to acquire recommended Content Experts for the purpose of the Board.

2.3 Alternates

If a member is unable to attend a meeting, that member may send an individual of equal interest to record notes and provide an oral reading of the member's report. Alternates will not be given voting rights. The Board may choose, at any time, to disallow Alternate attendance at one or more meetings.

3.0 Organization

3.1 Officers

The chair should be selected by the President in consultation with the Vice President for Finance and Administration. Additional officer positions may be determined, as needed, by the members of the Campus Mineral Rights Review Board.

4.0 Meetings

4.1 Pre-Lease Meetings

The council shall meet at least monthly upon due notice by the Chair or Co-Chair. However it may be necessary to meet more frequently to conduct the business of the council. The Chair shall advise the members of the time and place of the meeting.

4.2 Ongoing Meetings

If it is decided that mineral rights leasing will occur on the lands owned by the campus in question, the associated Review Board shall meet at least monthly to report on lease adherence and/or violations. It is the responsibility of the Review Board to make minutes of meetings public and communicate regularly with the Office of the President and Vice President of Finance and Administration regarding proceedings and actions.

4.3 Emergency Meetings

Should any member of the Review Board learn of an instance of a lease violation between regularly scheduled meetings, it is expected that said individual will report the violation to the Review Board Chairperson who is then responsible for calling an emergency meeting to examine resolution options. The Review Board will be in immediate and direct communications with the Office of the President and the Vice President of Finance and Administration regarding any violation.

4.4 Post-Drilling Meetings

It is the responsibility of the Review Board to continue to meet quarterly for 2 years following any drilling activity on the campus' lands to ensure the ongoing data collection and reporting of lease adherence to recovery and repairs.

5.0 Final Authority

5.1 The Ohio University Board of Trustees has the sole authority regarding institutional mineral rights leasing. Each campus' Mineral Rights Review Board shall be established by and provide formal recommendations to the Vice President of Finance and Administration for review upon recommendation by the Dean of the campus in question. Reinforcing this authority:

- 5.1.1 The Campus Mineral Rights Review Board shall be responsible for preparing a formal recommendation and submitting it to the Vice President of Finance and Administration and the President as expeditiously as possible.
- 5.1.2 The President is then responsible for reviewing the recommendation with his staff, responding to the Campus Mineral Rights Review Board, and making a final formal recommendation to the Board of Trustees.
- 5.1.3 The Board of Trustees maintains final power over approval/protest rights of any parcel of land nominated for leasing. Upon receiving the President's formal recommendation, the Board shall make a decision regarding leasing options and submit that decision to the state's Oil and Gas Leasing Commission.

6.0 Dissolution

This Review Board shall dissolve exactly 2 years following the successful resolution of the final report of any lease violations that occur after drilling practices desist on the campus' lands.

Mineral Rights Update

Tab



Land Inventory

- An inventory of all Ohio University owned parcels must be created before classifying each of these lands as directed by HB133
- Currently, we have over 600 parcels of land inventoried for the Athens campus
- Inventories for the remaining campuses are currently under development



Land Inventory

- A Land Inventory sub-committee has been formed to properly classify each of these parcels
 - **Class 1 property:** Acceptable for drilling
 - **Class 2 property:** The current classification for all OU land
 - **Class 3 property:** Insufficient size or shape to satisfy the minimum acreage for a drilling unit under Ohio law, and is necessary for pooling with other parcels for the creation of a drilling unit
 - **Class 4 property:** Insufficient for drilling due to a deed restriction
- It is anticipated that all land classification will be complete by June 30, 2012



Land Inventory

- It is recommended that the Board of Trustees provide the President with classification approval should submission of these classifications to the Oil and Gas Leasing Commission need to occur prior to the next Board Meeting



Baseline Data

- It is recommended that testing occur in the following areas to gather baseline data:
 - Ground water
 - Surface Water
 - Air Quality
 - Traffic
- The full report offered in your Board packet offers detailed information on testing recommendations



Baseline Data

Budget Estimates

	'Need'	'Want'
Groundwater	\$13,000	\$15,000
Surface Water	\$1,000	\$5,600
Air	\$12,000	\$14,000
Traffic	\$4,000	\$4,000
Student Support	\$10,600	\$16,000
Project Management	\$0	\$4,000
Total	\$40,600	\$58,600



Next Steps

- In an effort to streamline next steps for this process, a **Campus-Based Mineral Rights Committee Charter** has been proposed
- The charter establishes the conditions which would allow them to form a committee and examine leasing options
- Responsibilities and leasing stipulation requirements are established
- Membership, meeting frequency and oversight are determined





CAMPAIGN UPDATE

Board of Trustees Meeting
June 21-22, 2012



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Campaign Progress

as of June 5, 2012



	Fiscal 2012	Campaign
Total Attainment*	\$46,894	\$391,753
Active Proposals*	\$35,084	N/A
Visits	1,601	7,664
Planned Giving*	\$32,210	\$183,705
New Prospects	71	287
Planned Proposals*	\$11,790	\$56,238

* In thousands



Campaign Progress

as of June 5, 2012



College / Unit	Goal	Raised	% to Goal
College of Arts and Sciences	\$15 Million	\$10.61 Million	70.73%
College of Business	\$20 Million	\$9.61 Million	48.06%
Scripps College of Communication	\$40 Million	\$31.61 Million	79.04%
Patton College of Education	\$41 Million	\$37.02 Million	90.30%
Russ College of Engineering & Technology	\$130 Million	\$119.67 Million	92.05%
College of Fine Arts	\$12 Million	\$9.23 Million	76.88%
College of Health Sciences & Professions	\$10 Million	\$3.70 Million	36.97%
Honors Tutorial College	\$3.4 Million	\$0.76 Million	22.40%
Heritage College of Osteopathic Medicine	\$123 Million	\$120.76 Million	98.18%
University College	\$2.5 Million	\$0.97 Million	38.95%
Voinovich School	\$1 Million	\$0.31 Million	31.03%





Campaign Progress

as of June 5, 2012



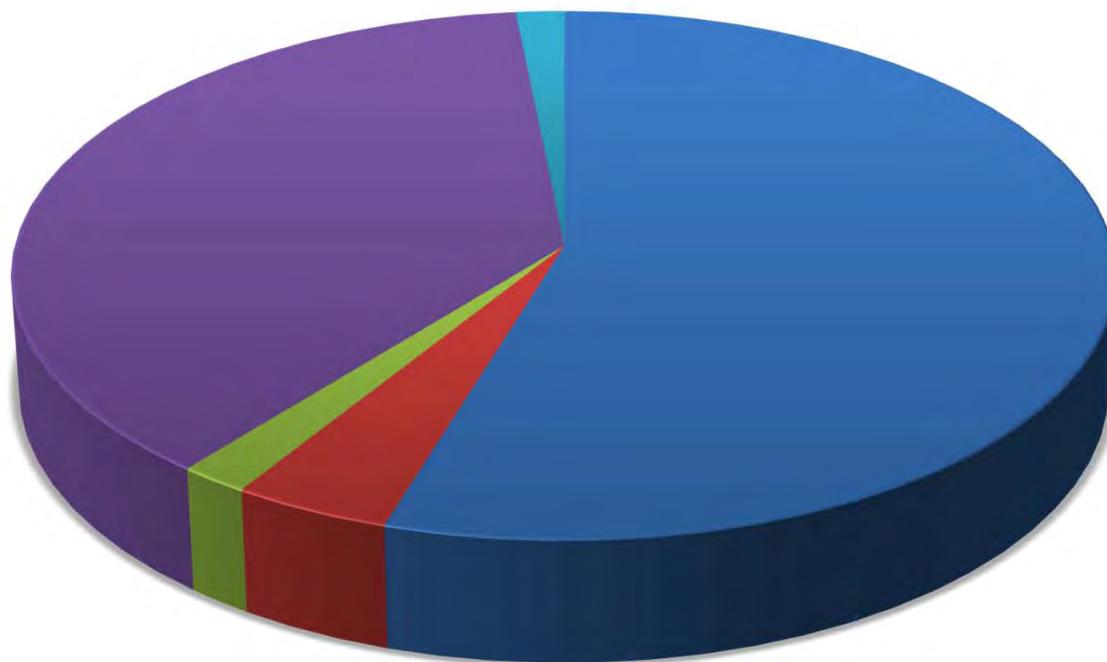
College / Unit	Goal	Raised	% to Goal
Cutler Scholars Program	\$5 Million	\$3.51 Million	70.22%
Intercollegiate Athletics	\$21.35 Million	\$16.50 Million	77.27%
Student Affairs	\$2 Million	\$1.18 Million	118.00%
University Libraries	\$6.85 Million	\$2.60 Million	37.93%
Chillicothe Campus	\$3 Million	\$0.57 Million	19.03%
Eastern Campus	\$2.5 Million	\$1.19 Million	47.64%
Lancaster Campus	\$5 Million	\$1.68 Million	33.52%
Southern Campus	\$3.5 Million	\$0.85 Million	24.19%
Zanesville Campus	\$1 Million	\$0.59 Million	58.59%
Total	\$450 Million	\$391.8	87.11%





Campaign Progress

as of June 5, 2012



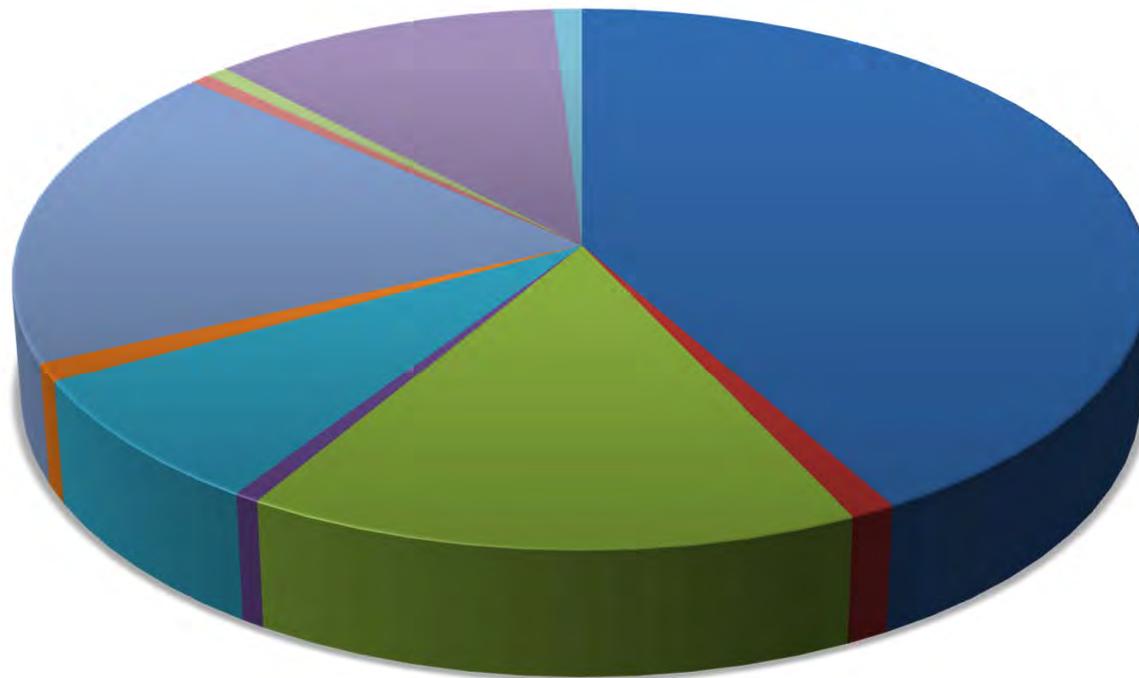
- Alumni: \$214,397
- Other Individuals: \$16,468
- Corporations: \$7,243
- Foundations: \$147,479
- Other Organizations: \$6,166





Campaign Progress

as of June 5, 2012



- Academic Divisions: \$163,971
- Athletics: \$4,523
- Faculty and Staff: \$60,986
- Library: \$2,534
- Other Restricted: \$30,529
- Physical Plant: \$4,309
- Property: \$72,284
- Public Service: \$2,503





Campaign Progress

as of June 5, 2012



Gift Amount	Commitments	Amount Committed
\$100 Million or More*	2	\$215.5 Million
\$20 Million - \$99 Million	1	\$28 Million
\$10 Million - \$19 Million	2	\$23.3 Million
\$5 Million - \$9 Million	6	\$37.5 Million
\$2.5 Million - \$4.9 Million	1	\$4.0 Million
\$1 Million - \$2.49 Million	17	\$22.9 Million
\$500 Thousand - \$999 Thousand	11	\$6.8 Million
\$250 Thousand - \$499 Thousand	27	\$8.1 Million
\$100 Thousand - \$249 Thousand	56	\$8.0 Million
\$50 Thousand - \$99 Thousand	75	\$4.4 Million
\$25 Thousand - \$49 Thousand	143	\$4.4 Million
\$15 Thousand - \$24 Thousand	203	\$3.6 Million
\$10 Thousand - \$14 Thousand	284	\$3.1 Million
Under \$10 Thousand	Many	\$22.2 Million
Total	828 +	\$391.8 Million

* Represents transformative gifts from the Osteopathic Heritage Foundation and the Estate of Fritz & Dolores Russ



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Thank You Video



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Recent Campaign Events



- Spring Alumni Weekend
 - College of Fine Arts 75th Anniversary Celebration
 - Honors Tutorial College 40th Anniversary and Alumni Reunion
 - Scripps College Annual Hall of Fame Induction Ceremony
- Edison & Ford Winter Estates event
- Voinovich School Campaign luncheon
- Patton College Campaign Steering Committee meeting



Recent Campaign Events



- Alden Libraries 50th Anniversary Celebration
- College of Business World of Whirlpool event in Chicago
- Muirfield Village Women in Philanthropy event
- Lancaster Campus Campaign kick-off
- College of Arts and Sciences Campaign Steering Committee meeting



Upcoming Campaign Events



- OUAA Board meeting in Atlanta
- Monomoy Weekend
- Foundation Board Summer meeting and alumni reception in Charlotte
- Golden Alumni and University College Reunions
- OHIO home and away football games
- Marching 110 Performance in Columbus
- Regional alumni events in Ohio
- Schoonover Center Ribbon Cutting /
Groundbreaking



Social Media Explained



Twitter	I'm eating a #Donut.
Facebook	I like donuts.
Foursquare	This is where I eat my donuts.
Instagram	Here's a vintage photo of my donut.
YouTube	Here I am eating a donut.
Linkedin	My skills include donut eating.
Pinterest	Here's a donut recipe.
LastFM	Now listening to "Donuts."
Google+	I'm a Google employee who eats donuts.



OUAA on Facebook



- 25,240 Page Likes
 - Ohio State University Alumni Association: 14,425
 - Miami University Alumni Association: 13,687
- 1,308 Talking About This
 - OSUAA: 287
 - MUAA: 488
- 109,000 alumni on Facebook
 - Live in the US, age 22 and older, graduated from Ohio
 - 39K: live in US, ages 40-48, graduated from Ohio
 - 20K: live in US, ages 60 and older, graduated from Ohio



OUAA on Twitter



- 4,405 Followers
 - OSUAA: 8,677
 - MUAA: 3,043
- 2, 412 Tweets
 - OSUAA: 6,285
 - MUAA: 1,414



OUAA on LinkedIn



- 17,628 Group Members
 - OSUAA: 2,875 (or 21,390 in 'Buckeye Network' Group)
 - MUAA: 20,147



Mobile



- By 2014, more people will be surfing the web via mobile than desktop
- By 2015, social and mobile marketing will influence at least 80% of consumers discretionary spending
- 63% Smartphone penetration in North America
- What do people use their mobile phones for?
 - 61% Games, 50% Maps, 49% Social, 36% News, 33% Entertainment, 21% Video

**APPROVAL OF PROJECT AND AUTHORIZATION TO DEVELOP
CONSTRUCTION DOCUMENTS, RECEIVE BIDS AND
AWARD CONSTRUCTION CONTRACTS FOR
FY 2013 NELSON DINING HALL RENOVATION,
SOUTH GREEN PARKING REPLACEMENTS,
WOLFE/ULLOM DEMOLITION,
BROMLEY HALL ACADEMIC RELOCATIONS,
LINDLEY RELOCATIONS**

RESOLUTION 2012-

WHEREAS, five capital projects have been planned, developed and funded as follows:

- FY 2013 Nelson Dining Hall Renovation with a total project budget of \$6.5 million to be funded from Culinary Services reserves, and
- South Green Parking Replacements with a total project budget of \$1.1 million to be funded from Residential Housing reserves, and
- Wolfe/Ullom Demolition with a total project budget of \$800,000 to be funded from Residential Housing reserves, and
- Bromley Hall Academic Relocations with a total project budget of \$2.5 million to be funded from the issuance of University debt and, possibly, the creation of a University internal loan to be utilized as bridge financing, and
- Lindley Relocations with a total project budget up to \$4.4 million to be funded from the issuance of University debt and, possibly, the creation of a University internal loan to be utilized as bridge financing.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees authorizes the receipt of bids and the President or his designee to accept and award construction contracts within the total project budgets identified.



OHIO
UNIVERSITY

Date: June 8, 2012

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: **CONSTRUCTION PROJECT APPROVAL REQUEST:**

- **FY 2013 Nelson Dining Hall Renovation**
- **South Green Parking Replacements**
- **Wolfe/Ullom Demolition**
- **Swing Space Needs**
 - **Bromley Hall Academic Relocations**
 - **Lindley Relocations**

The following construction projects in excess of \$500,000 in total project cost are presented to the Board for project or budget revision approval. A resolution is provided that addresses these projects.

FY 2013 Nelson Dining Hall Renovation:

This project is the second and final phase of a multiphase plan to renovate the main dining hall on South Green: Nelson Commons. The Board of Trustees approved the first phase in April 2011 at a cost of \$12.25 million. That work which includes the main dining area, concept-based stations, and kitchen is currently under construction. This next phase will provide a 350 seat banquet area with adjacent space for service and storage. Also included in this phase are final improvements to the building envelope to include roof replacement and concrete, wood soffit, and column restoration. An accessible ramp will be added at the entry and exterior lighting will be replaced. The project budget is \$6.5 million and will be fully funded by the Culinary Services reserves.

South Green Parking Replacements:

One of the first necessary steps to implementing the Housing Development plan is clearing the site and identifying a construction staging area. As outlined in the Housing Master Plan, the first phase of construction will displace a 294 space commuter student parking area. Providing a staging area for construction will displace another 37 spaces. The loss of spaces will be mitigated by constructing 330 additional parking spaces elsewhere near the South Green recreation fields. Some of the parking will remain permanent, and some is planned to be temporary and converted back to recreation at the conclusion of the Housing Development Plan. The parking construction is budgeted at \$1.1 million and will be fully funded by Residential Housing reserves.

Wolfe/Ullom Demolition:

Another necessary step to implementing the Housing Development Plan is the development of a staging area for material and equipment for the first new construction. This project will demolish the Wolfe/Ullom apartments and set up the site as a staging area for the adjacent new construction. The demolition and associated work is estimated at \$800,000 and will be fully funded by Residential Housing reserves.

Swing Space Needs:

The FY 2013-FY 2018 Six Year Capital Improvement Plan identified the need for swing space to relocate occupants from buildings in order to renovate them. The six year plan identified two vacant buildings for swing space—Tupper Hall and the President’s Street Academic Center (PSAC). Since the approval of that plan, urgency to vacate another building due to impending systems failure has led the University to rethink the swing space plan. Suitable swing space is needed by fall of 2012 as the heating system in Lindley Hall is compromised. The plan now is to relocate all Lindley occupants to the first floor of Bromley Hall - the high rise residence hall on Congress Street, the West Union St. Office Center (formerly HDL), and potentially to leased space on Court Street for those units that need to be adjacent to the core of campus for academic and programmatic reasons. Once repairs are made to Lindley, Tupper and Lindley will be utilized as swing space for other major rehabilitations projects; specifically McCracken Hall and Seigfred Hall renovations.

• **Bromley Hall Academic Relocations:**

Approximately 13,000 gross square feet of vacant former kitchen and dining space in Bromley Hall is planned to be renovated to house the Military Sciences and Aerospace Studies programs now in Lindley. A separate entrance will be created to keep these academic functions separate from the residence hall access for security reasons. Necessary renovations include asbestos abatement, wall construction, restroom modification, heating and air conditioning, fire sprinkler system, finishes, and site work. The renovation is budgeted at \$2.5 million which will be funded from the issuance of University debt and, possibly, the creation of a University internal loan to be utilized as bridge financing.

• **Lindley Relocations:**

The remaining academic programs requiring relocation from Lindley Hall include the Film and Interdisciplinary Arts Schools of the College of Fine Arts, the McClure School of Information and Telecommunication Systems of the Scripps College of Communication, and the Department of African American Studies and the Women and Gender Studies program of the College of Arts and Sciences. In order to similarly situate these programs adjacent to the center of campus, leased space on Court Street is being investigated. An estimated budget of up to \$4.4 million has been projected for renovations and relocation with funding to come from the issuance of University debt and, possibly, the creation of a University internal loan to be utilized as bridge financing.

A resolution is included to facilitate approval. Please let me know if you have questions.

Construction Projects

Tab



Construction Projects Agenda

- FY 2013 Nelson Dining Hall Renovation
- South Green Parking Replacements
- Wolfe/Ullom Demolition
- Swing Space Needs / Relocations
 - Bromley Hall Academic Relocations
 - Lindley Relocations



Construction Projects

FY 2013 Nelson Dining Hall Renovation

- Second and final phase of multiphase plan to renovate main dining hall on South Green - Nelson Commons
- This phase will provide 350 seat banquet area and adjacent space for service and storage areas
- Budget: \$6.5 million
- Fund source: Culinary Services reserves



Construction Projects

South Green Parking Replacements

- Necessary step to implementing Housing Development Plan
- First phase of construction will displace 294 space commuter student parking area
- Creation of a construction staging area will displace another 37 spaces
- 330 replacement parking spaces will be added on South Green near the recreation fields
- Budget: \$1.1 million
- Fund source: Residential Housing reserves



Construction Projects Wolfe/Ullom Demolition

- Necessary step to implementing Housing Development Plan
- Demolition of the Wolfe/Ullom apartments in order to create staging area for first new construction
- Set up site as construction staging area for material and equipment
- Budget: \$800,000
- Fund source: Residential Housing reserve



Construction Projects Swing Space Needs / Relocations

- FY 2013 – FY 2018 Six Year Capital Improvement Plan identified need for swing space to relocate occupants from buildings in order to renovate them
- Tupper Hall and President's Street Academic Center (PSAC) were identified in that plan
- Swing space is needed by Fall of 2012 as the heating system in Lindley is compromised
- Urgency to vacate Lindley Hall due to impending systems failure has led the University to rethink swing space plan



Construction Projects Bromley Hall Academic Relocations

- Former kitchen and dining space on main floor of high rise residence hall
- Reconfigure to house Military Sciences and Aerospace Studies from Lindley Hall
- Budget: \$2.5 million
- Fund source: University debt and, possibly, the creation of a University internal loan to be utilized as bridge financing



Construction Projects Lindley Relocations

- Several remaining Lindley Hall academic programs require relocation
 - Academic Programs of Fine Arts, Communications, and Arts & Sciences Colleges
- Optimal relocation space needs to be close to the core of campus
- Investigating leased space uptown on Court Street
- Budget: Up to \$4.4 million
- Fund source: University debt and, possibly, the creation of a University internal loan to be utilized as bridge financing



MUSKINGUM RECREATION CENTER LEASE

RESOLUTION 2012 -

WHEREAS, Ohio University owns a 1.69 acre site located on the Ohio University Zanesville campus titled in the name of the Board of Trustees of Ohio University and recorded in Muskingum County Deed Record 538-799; and

WHEREAS, this site is adjacent to land owned by Zane State College, a technical college and political subdivision of the State of Ohio; and

WHEREAS, the 1.69 acre site has been identified as an optimal location for a Community Recreational Center which will house an Indoor Aquatic/Recreation Center built entirely without University funds; and

WHEREAS, the construction of the facility will be undertaken by and managed by the Muskingum Recreation Center, (MRC), a non-profit corporation that has been created by Muskingum County community leaders, the Muskingum County Community Foundation (MCCF), and donors to the project; and

WHEREAS, the MRC has hired consultants and arranged for funding and financing of the entire project without any direct financial contribution from Ohio University, making it a separate community project and program which requires Ohio University to enter into a long term ground lease of the 1.69 acre site, which shall contain certain guarantees, the particulars of such a lease to be determined; and

WHEREAS, the Ohio University Board of Trustees has endorsed the planning and promise of this project in the past and continues to find that the development of the MRC will be a significant benefit to the Muskingum community and region; and

WHEREAS, as a demonstration of support and endorsement of this community project, Ohio University has agreed to share in 50% of a \$3,000,000 loan guaranty or not more than \$1,500,000 which would be drawn upon should the MCCF default on its obligations to its lender.

NOW THEREFORE BE IT RESOLVED, that the Ohio University Board of Trustees hereby declares the 1.69 acre site to be surplus property in accordance with Section 123.77 of the Ohio Revised Code.

BE IT FURTHER RESOLVED, that in accordance with Ohio law, this Board hereby authorizes the leasing of this property, for up to 40 years of an initial term and a renewal term of not more than 40 years to the MRC under the terms and conditions of an appropriate lease to be negotiated by the President or his designee subject to the approval of the Department of Administrative Services and other State of Ohio regulatory agencies.

BE IT FURTHER RESOLVED, that the lease shall include terms and conditions that allow for not more than a \$1,500,000 guaranty of an MCCF loan and any other terms and conditions appropriate for a development lease under Ohio Revised Code Section 123.77.

BE IT FURTHER RESOLVED, that the President or his designee is hereby authorized to negotiate a provision in the lease requiring that, should the \$1,500,000 loan guaranty be drawn upon the university will be afforded with an ownership stake in the facility commensurate with its contribution.



OHIO
UNIVERSITY

Date: June 8, 2012

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: **ZANESVILLE RECREATION CENTER**

The Board approved a resolution at their November 2011 meeting supporting further investigation regarding the development of a recreation center on the University's Zanesville campus. This development, to be led by the Muskingum Recreation Center (MRC), will include structuring a ground lease for land situated on the campus and a loan guaranty in support of the MRC's financing for a portion of the improvements. The recreation center project development effort involves several organizations from the Zanesville and Muskingum County communities in addition to the Muskingum County Community Foundation (MCCF).

We are now ready to proceed with the ground lease for the project and included in the materials is a resolution for Board approval. The resolution requests that the Board declare the designated 1.69 acre site for the recreation center as surplus property and authorizes the president or his designee to negotiate and execute a long term ground lease with the MRC once all approvals required by the state are in place.

Though details related to the loan guaranty have yet to be finalized, the university will pledge \$1.5 million in the event that the MCCF defaults on an approximately \$4 million loan for the construction of the improvements. The project, at an estimated total cost of \$10.8 million, will be funded by approximately \$5 million in charitable pledges made to the MCCF, new market tax credits, and funds from MRC's operation of the facility.

**SUPPLEMENTAL QUALIFIED RETIREMENT PLAN
SUPPLEMENTAL 415(M) RETIREMENT PLAN**

RESOLUTION 2012 –

WHEREAS, the Internal Revenue Code of 1986, as amended (the “Code”), imposes certain limits on contributions that may be made to various qualified retirement plans, including the State Teachers Retirement System (“STRS”), the Ohio Public Employees Retirement System (“OPERS”), the Alternative Retirement Plan, and 403(b) plans (collectively the “Retirement Plans”); and

WHEREAS, the Code also permits Ohio University (the “University”), as a governmental employer, to adopt a Supplemental Qualified Retirement Plan (the “SQRP”) that will permit the University’s Board of Trustees (the “Board”) or any person delegated by the Board to make discretionary retirement contributions on behalf of designated University employees; and

WHEREAS, the Code also permits the University, as a governmental employer, to adopt a Supplemental 415(m) Retirement Plan (the "415(m) Plan") that will provide for contributions that otherwise would have been made to the ARP or SQRP had the applicable limits under the Code not been in effect; and

WHEREAS, the Board believes it is in the best interest of the University to adopt an SQRP and a 415(m) Plan;

NOW, THEREFORE, the Board of Trustees does resolve as follows:

1. That the University hereby adopts the Ohio University Supplemental Qualified Retirement Plan in substantially the form attached hereto and as may be amended with the advice of counsel;
2. That the University hereby adopts the Ohio University Supplemental 415(m) Retirement Plan in substantially the form attached hereto and as may be amended with the advice of counsel;
3. That in accordance with Resolution No. 2011-3245 and the subsequent Presidential Directive on Signature Delegation, the appropriate officers of the University are hereby authorized and empowered to make any changes to the SQRP and 415(m) Plan as may be required to ensure compliance with the provisions of the Code, the Ohio Revised Code, and any related rules and regulations now in effect or as hereafter amended;
4. That the appropriate officers of the University are directed to take such action as may be necessary, appropriate, or advisable to implement this Resolution and administer the SQRP and 415(m) Plan without further ratification or action by this Board.



OHIO
UNIVERSITY

Date: January 8, 2012

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: **RETIREMENT PLANS**

Included for board consideration is a resolution adopting a Supplemental Qualified Retirement Plan (“SQRP”) and a Supplemental 415(m) Retirement Plan (“415(m) Plan”).

The Internal Revenue Code imposes limitations on the amounts of contributions that may be made to the State Teachers Retirement System, the Ohio Public Employee Retirement System, the Alternative Retirement Plan and 403(b) Plans on behalf of certain senior administrators. The Code permits the University to adopt an SQRP and a 415(m) Plan to receive contributions required by their employment agreements that would have been made to the other retirement plans if the IRS limits had not been in effect.

The attached resolution adopts the SQRP and 415(m) Plan and authorizes the appropriate officers of the university to implement and modify the plans as needed without further ratification or action by the Board. Copies of the plan documents are also attached.

OHIO UNIVERSITY
SUPPLEMENTAL QUALIFIED RETIREMENT PLAN

PLAN DOCUMENT

Effective Date: January 1, 2012

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OHIO UNIVERSITY
SUPPLEMENTAL QUALIFIED RETIREMENT PLAN

Ohio University hereby adopts a tax-qualified discretionary plan, to be known as the Ohio University Supplemental Qualified Retirement Plan. The Plan shall be effective January 1, 2012.

The purpose of the Plan is to provide additional retirement benefits to employees not available under the STRS, PERS, or ARP.

ARTICLE I
DEFINITIONS

The following words or phrases whenever used in this Plan shall have the following meanings unless the context clearly demands otherwise:

1.01 Account. Shall mean the sum of all the Participant's individual sub-accounts, including earnings and losses thereon.

1.02 Annuity Contract(s). Shall mean any type of annuity contract(s) issued by a Funding Company(ies) to effect the purposes of the Plan.

1.03 Appropriate Request. Shall mean a request by a Participant in the form and manner provided by the Plan Administrator that is appropriate for the intended purpose. If the Plan Administrator and the Plan's recordkeeper so agree, an Appropriate Request may be executed over the telephone or internet. To constitute an Appropriate Request, such request must be completed correctly and if required to be in writing, duly executed and delivered to the Plan Administrator or its designated representative.

1.04 Beneficiary. Shall mean the Beneficiary or Beneficiaries entitled to any benefits under a Participant's Account upon the death of a Participant.

1.05 Board. Shall mean the Board of Trustees of the Employer.

1.06 Code. Shall mean the Internal Revenue Code of 1986, as amended from time to time.

1.07 Compensation. Shall mean the compensation paid to an Employee by the Employer for a Plan Year, as reported on Internal Revenue Form W-2, Box 1 or such successor box which describes "wage, tips, other compensation", plus any amount which is contributed by the Employer pursuant to a salary reduction agreement and which is not includable in the gross income of the Employee under Sections 125, 132(f), 402(a)(8), 403(b), 414(h)(2) and 457(b) of the Code. Notwithstanding the above, the following shall be excluded from Compensation:

- (a) Reimbursements, expense allowances and taxable fringe benefits;
- (b) Section 911 of the Code earned income;
- (c) Moving expenses;
- (d) Non-qualified stock options taxable at time of grant or exercise;
- (e) Vesting in Section 83 of the Code property;
- (f) Disqualifying dispositions of qualified stock options;

- (g) Imputed income, including taxable group term life insurance;
- (h) Receipt of deferred compensation; and
- (i) Bonuses paid under long-term compensation plans which are subject to vesting.

In determining the amount or allocation of any contribution that is based on Compensation, only Compensation paid to a Participant for services rendered to the Employer while employed as an Employee of the Employer shall be taken into account. Further, notwithstanding anything to the contrary herein, severance amounts paid after severance from employment shall be excluded from Compensation. For purposes of this Section 1.07, “severance amounts” are any amounts paid after severance from employment, except a payment of regular compensation for services during the Employee’s regular working hours, or compensation for services outside the Employee’s regular working hours (such as overtime or shift differential), commissions, bonuses, or other similar payments provided such payment would have been made prior to a severance from employment if the Employee had continued in employment with the Employer, provided such amounts are paid by the later of two and one-half (2½) months after, or the end of the year that includes the date of the Employee’s severance from employment with the Employer (as defined in applicable guidance).

For purposes of this Section 1.07, an Employee has a “severance from employment” when the Employee ceases to be an employee of the Employer maintaining the Plan, and an Employee does not have a “severance from employment” if, in connection with a change of employment, the individual’s new employer maintains such Plan with respect to the individual. The determination of whether an Employee ceases to be an employee of the Employer maintaining the Plan is based on all of the relevant facts and circumstances.

For purposes of applying the limitation in Article V, Compensation under this Section 1.07 also shall include the following exceptions:

- (i) Compensation shall be based on the amount actually paid or made available to the Participant (or, if earlier, includible in the gross income of the Participant) during the Limitation Year, regardless of the date of participation; and
- (ii) Compensation shall not include amounts paid as compensation to a non-resident alien, as defined in Code Section 7701(b)(1)(B), who is not a Participant in the Plan to the extent the compensation is excludable from gross income and is not effectively connected with the conduct of a trade or business within the United States.

This Plan shall not consider a Participant’s Compensation for any Plan Year in excess of the Section 401(a)(17) Limitation.

Notwithstanding any provision of this Plan to the contrary, an individual receiving a differential wage payment, as defined by Code Section 3401(h)(2), shall be treated as an Employee of the Employer making the payment (rather than an Employee who has incurred a

Severance from Employment); and the differential wage payment shall be treated as compensation for Plan purposes, including Code Section 415 and any other Code section that references the definition of compensation under Code Section 415.

If all Employees of the Employer performing service in the uniformed services described in Code Section 3401(h)(2)(A) are entitled to receive differential wage payments (as defined in Code Section 3401(h)(2)) on reasonably equivalent terms and, if eligible to participate in a retirement plan maintained by the Employer, to make contributions based on the payments on reasonably equivalent terms (taking into account Code Sections 410(b)(3), (4), and (5)), then the Plan shall not be treated as failing to meet the requirements of any provision described in Code Section 414(u)(1)(C) by reason of any contribution or benefit which is based on the differential wage payment.

1.08 Custodial Account. Shall mean the group or individual account or accounts established for each Participant by the Employer pursuant to a written contract between the Employer and a Funding Company, in a manner consistent with Section 401(f) of the Code.

1.09 Date of Employment. Shall mean the first date on which an Employee performs services as an Employee for the Employer.

1.10 Disability. Shall mean a physical or mental condition of a Participant which would qualify him for benefits under his Employer's long-term disability plan.

1.11 Employee. Shall mean any person who is receiving compensation for personal services rendered in the employment of the Employer.

1.12 Employer. Shall mean Ohio University.

1.13 Employer Contributions. Shall mean contributions made in accordance with Section 3.03.

1.14 Entry Date. Shall mean the first day of each month.

1.15 Funding Company(ies). Shall mean the entity designated by the Employer to provide funding options under the Plan.

1.16 Hour of Service. Shall mean each hour for which an Employee is paid or entitled to payment for the performance of duties for the Employer.

1.17 Limitation Year. Shall mean the Plan Year.

1.18 Married Participant. Shall mean a Participant who is lawfully married on the date Plan benefits are payable.

1.19 Normal Retirement Date. Shall mean the first day of the calendar month coincident with or next following the Participant's 65th birthday.

1.20 One-Year Period of Severance. Shall mean a 12 consecutive month period beginning on a Severance From Service Date and ending on the first anniversary of such date, provided the Employee does not perform services as an Employee for an Employer during such period.

1.21 Participant. Shall mean any Employee who becomes a Participant pursuant to Article II and continues to be entitled to any benefits under the Plan.

1.22 Period of Service. A Period of Service shall commence on an Employee's Date of Employment or Reemployment Commencement Date, whichever is applicable, and end on his Severance From Service Date. All Periods of Service shall be aggregated on a uniform and consistent basis.

Notwithstanding the preceding paragraph of this section, if an Employee severs from service by reason of a quit, discharge, or retirement during an absence from service of 12 months or less, and if such Employee then performs services as an Employee within 12 months of the date on which the Employee was first absent from service, then such Period of Severance shall be taken into account for purposes of vesting.

1.23 Period of Severance. The period of time commencing on an Employee's Severance From Service Date and ending on the date on which the Employee again performs an Hour of Service for an Employer.

1.24 Pick-Up Contributions. Shall mean contributions made in accordance with Section 3.02. These contributions are intended to be contributions described in Code Section 414(h)(2). Therefore, although designated as Employee contributions, such Employee contributions are being paid by the Employer in lieu of contributions by the Employee.

1.25 Plan. Refers to this Plan; and for purposes of the Code this Plan shall be considered and administered as a "profit-sharing plan" that is maintained as a discretionary plan.

1.26 Plan Administrator. Shall mean the Employer.

1.27 Plan Year. Shall mean the 12 month period commencing January 1 and ending on December 31.

1.28 Reemployment Commencement Date. Shall mean the first day following a One-Year Period of Severance in which an Employee performs services for an Employer.

1.29 Severance From Service Date. Shall mean the earlier of:

- (a) The date on which an Employee quits, retires, is discharged, or dies; or
- (b) (1) The first anniversary of the first day of a period in which an Employee remains absent from service (with or without pay) with the Employer for any

reason other than quitting, retirement, discharge or death, such as vacation, holiday, sickness, disability, leave of absence or lay-off;

- (2) The second anniversary of the first day of a period in which an Employee remains absent from service (with or without pay) with an Employer by reason of pregnancy, the birth of the Employee's child, the placement of a child with the Employee in connection with the adoption of such child by such Employee, or the need to care for such Employee's child during the period immediately following such child's birth or placement.

For a Participant who is absent from service on account of pregnancy, the birth of the Employee's child, child placement or child care, the period between the first anniversary of the first day of the absence and the second anniversary of the first day of the absence is neither a Period of Service nor a Period of Severance.

1.30 Valuation Date. Shall mean the last day of each Plan Year and any other day determined by the Plan Administrator.

1.31 Year of Service for Vesting. An Employee shall be credited with a "Year of Service for Vesting" upon the earlier of: (a) the first anniversary of the 12 consecutive month period beginning on the date the Employee first performs an Hour of Service after the Employee has attained the age of 18 (employment commencement date) and each anniversary thereof; or (b) the completion of the Employee's first full contract year, if less, after the Employee has attained the age of 18.

ARTICLE II

ELIGIBILITY AND ENROLLMENT

2.01 Eligibility for Pick-Up Contributions. Eligibility to have a Pick-Up Contribution, if any, is limited to those Employees selected by the Plan Administrator and listed at Appendix A.

Notwithstanding the above paragraph, in order to have Pick-Up Contributions made on a Participant's behalf, the Participant must file an Appropriate Request with the Plan Administrator within 60 days after the time he is initially eligible for Pick-Up Contributions. The Appropriate Request must be in the form of a one-time irrevocable election. If the Participant fails to file an Appropriate Request in a timely manner, the Participant will be treated as having forever waived the right to have Pick-Up Contributions made on his behalf.

The Plan Administrator may, at its discretion, add employees to, or delete employees from, Appendix A. Eligibility for Pick-Up Contributions shall begin after all of the mandatory employee contributions to ARP, PERS, or STRS are made each year.

2.02 Eligibility for Employer Contributions. Eligibility for an allocation of the Employer Contribution, if any, is limited to those Employees selected by the Plan Administrator

and listed in Appendix A. Eligibility for an Employer Contribution may vary from year to year and the fact that an Employee receives such contribution one year does not mean that he is entitled to such contribution in any future year.

ARTICLE III

CONTRIBUTIONS AND ALLOCATIONS

3.01 Types of Contributions. Contributions to the Plan shall consist solely of the following:

- (a) Pick-Up Contributions; and
- (b) Employer Contributions.

3.02 Pick-Up Contributions. Each Employee, within 60 days after becoming eligible to receive an allocation of Pick-Up Contributions, must file a one-time irrevocable election in the form of an Appropriate Request with the Plan Administrator which shall direct that the Employer withhold a specific percentage of Compensation from the Employee's paycheck. The Participant's elections of such percentage of Compensation shall be subject to the approval of the Employer.

Pick-Up Contributions shall be allocated to the Pick-Up Contribution sub-account of each Participant's Account in an amount equal to the amount withheld by the Employer from the Participant's Compensation for the purpose of contributing such amount to this Plan.

3.03 Employer Contributions. The Employer may make an Employer Contribution to the Plan at the Employer's discretion. The Employer has discretion as to the amount of the contribution.

The Employer Contribution, if any, shall be allocated to the Employer Contribution sub-account of each Participant's Account in an amount equal to the amount determined annually by the Plan Administrator and stated in Appendix A.

The Employer shall designate the Plan Year for which each Employer Contribution is made and shall make such Employer Contribution not later than the time prescribed by Section 404 of the Code or any successor statute or guidance.

3.04 Prohibition Against Assets Returning to the Employer. The assets of the Plan shall never inure to the benefit of an Employer. Notwithstanding the prior sentence, Plan assets may revert to the Employer in the following situations:

In the case of an Employer Contribution which in the sole opinion of the Plan Administrator is made by virtue of a mistake of fact, the contribution may be returned to the Employer within one (1) year after the payment of the contribution;

If an Employer Contribution is conditioned upon initial qualification of the Plan under Section 401(a) of the Code, or any successor provision thereto, and if the Plan does not so qualify, then any contributions made to the Plan may be returned to the Employer within one (1) year after the date of denial of qualification of the Plan but only if such application is filed by the end of the applicable remedial amendment period under Section 401(b) of the Code.

ARTICLE IV

PARTICIPANT ACCOUNTS

4.01 Annuity Contracts and Custodial Accounts. Plan assets shall be held in an Annuity Contract(s) or Custodial Account(s), or both. The administration of the Annuity Contracts and Custodial Accounts shall be subject to an agreement between the Employer and the Funding Company(ies) that satisfies the requirements of Section 401(f) of the Code. Annuity Contracts and Custodial Accounts shall conform to all provisions of the Plan.

4.02 Separate Accounts. The recordkeeper shall maintain a separate Account for each Participant, which Account shall reflect the Participant's interest in the Annuity Contract(s) or Custodial Account(s), as applicable. Within each Participant's Account, sub-accounts shall be established to reflect the contributions made by the Employer under Article III.

4.03 Valuation of Separate Accounts. As of each Valuation Date, the Funding Company(ies) shall adjust the Accounts to reflect contributions, earnings, gains, losses and withdrawals.

4.04 Assumption of Risk by Participant. Each Participant (or his Beneficiary) assumes the risk in connection with any decrease in value of his Account, and such Account shall be the sole source of payments to be made to each Participant (or his Beneficiary) under the Plan.

4.05 Election of Investment Fund. Each Participant shall have the exclusive authority to direct the investment of his Account among the investment funds designated by the Employer. Such directions shall be made in accordance with procedures adopted by the Plan Administrator. If a Participant fails to designate an investment fund, all contributions allocable to his Account shall be placed in the investment fund selected by the Plan Administrator until Participant direction is received. A Participant shall be permitted to change his investment directions in accordance with procedures adopted by the Plan Administrator.

ARTICLE V

LIMITATIONS ON CONTRIBUTIONS

5.01 Annual Addition Limitation.

- (a) Notwithstanding any provisions of the Plan, the Annual Additions which a Participant is entitled to under the Plan, shall not, in any Limitation Year, exceed the applicable limitations of Section 415 of the Code. Such Section is hereby incorporated by reference.

- (b) If the Annual Addition allocable under this Plan (but for this Section) would exceed the limitations of Section 415(f) of the Code, the Annual Additions under this Plan shall be reduced prior to the reduction of any Annual Additions under any other defined contribution plan; provided, however, that such a reduction shall be made in a manner that is compliant with the Employee Plan Compliance Resolution System, or any successor thereto.
- (c) If the Annual Addition allocable under this Plan (but for this Section) would exceed the limitations of Section 415(c) of the Code, the excess Annual Addition under this Plan shall be allocated pursuant to Treasury Regulation Section 1.415-6(b)(6)(iii).

Notwithstanding the foregoing, in correcting an amount that exceeds the limitations of Section 415(c) of the Code, the Employer may use a correction method as set forth under the Employee Plans Compliance Resolution System, or any successor thereto, but may not use any other correction method.

- (d) For purposes of this Section, Annual Addition shall mean:
 - (1) Employer contributions;
 - (2) Employee contributions;
 - (3) Forfeitures;
 - (4) Amounts allocated to individual medical accounts as described in Sections 415(l)(1) of the Code which is part of a defined benefit plan maintained by the Employer; and
 - (5) Amounts derived from contributions paid or accrued, which are attributable to post-retirement medical benefits allocated to the separate account of a key employee under Section 419A(d)(2) of the Code in a welfare benefit plan maintained by the Employer.

Restorative payments allocated to a Participant's Account, which include payments made to restore losses to the Plan resulting from actions (or a failure to act) by a fiduciary for which there is a reasonable risk of liability under applicable federal or state law, where similarly situated participants are similarly treated do not give rise to an "Annual Addition" for any Limitation Year.

ARTICLE VI

VESTING

6.01 Pick-Up Contributions. A Participant shall at all times have a 100% non-forfeitable interest in the value of his Account attributable to Pick-Up Contributions.

6.02 Employer Contributions. A Participant shall have a one hundred percent (100%) non-forfeitable interest in the value of his Account attributable to Employer Contributions after he is credited with one Year of Service for Vesting. In addition, if a Participant terminates employment because of death or Disability, or upon attaining his Normal Retirement Date, he shall have a one hundred percent (100%) non-forfeitable interest in his Account attributable to Employer Contributions.

6.03 Forfeitures. If a Participant's employment is terminated and he receives a distribution of his vested Account, any nonvested portion of his Account shall be forfeited, and the amount forfeited shall be applied towards the Employer Contribution or to pay Plan expenses in the current Plan Year.

ARTICLE VII

DISTRIBUTIONS

7.01 Time of Distribution. Distribution of a Participant's vested Account may begin as soon as administratively possible after the date the Participant terminates employment, retires on or after his Normal Retirement Date, dies, or becomes Disabled.

7.02 Methods of Distribution. A Participant or Beneficiary may elect that his benefit be paid in the form of a lump sum or an annuity, subject to the terms of the Annuity Contract(s) or Custodial Account(s) issued by the Funding Company which is selected by the Plan Administrator.

7.03 Distributions After Death. If the distribution of a Participant's interest has begun in the form of an annuity and the Participant dies before his entire interest has been distributed to him, the remaining portion of such interest shall be distributed as provided in the Annuity Contract or Custodial Account.

If a Participant dies before he has begun to receive any distributions from his Account, his death benefit shall be distributed to his Beneficiary in the form of a lump sum no later than December 31 of the calendar year following the calendar year in which the Participant died, or, if the Beneficiary so elects, in the form of an annuity available from the annuity provider selected by the Plan Administrator, with the first payment being made no later than December 31 of the calendar year following the calendar year in which the Participant died. If the Beneficiary fails to make any election, he will be treated as if he elected a lump sum distribution.

In the case of a death or disability occurring on or after January 1, 2007, if a Participant dies while performing qualified military service (as defined in Code Section 414(u)), the survivors of the Participant are entitled to any additional benefits (other than benefit accruals relating to the period of qualified military service) provided under the Plan as if the Participant had resumed and then terminated employment on account of death.

7.04 Direct Rollovers of Eligible Distributions.

- (a) Notwithstanding any provision of the Plan to the contrary that would otherwise limit a Distributee's election under this Section, a Distributee may elect, at the time and in the manner prescribed by the Plan Administrator, to have any portion of an Eligible Rollover Distribution paid directly to an Eligible Retirement Plan specified by the Distributee in a Direct Rollover.
- (b) For purposes of this Section, the following definitions apply:
 - (1) Eligible Rollover Distribution - An Eligible Rollover Distribution is any distribution of all or any portion of the balance to the credit of the Distributee, except that an Eligible Rollover Distribution does not include: any distribution that is one of a series of substantially equal periodic payment (not less frequently than annually) made for the life (or life expectancy) of the Distributee or the joint lives (or joint life expectancies) of the Distributee and the Distributee's Beneficiary, or for a specified period of 10 years or more; any distribution to the extent such distribution is required under Section 401(a)(9) of the Code; the portion of any distribution that is not includable in gross income (determined without regard to the exclusion for net unrealized appreciation with respect to Employer securities); and any hardship distribution described in Section 401(k)(2)(B)(i)(IV) of the Code made after December 31, 1998.
 - (2) Eligible Retirement Plan – An Eligible Retirement Plan is an individual retirement account described in Section 408(a) of the Code, an individual retirement annuity described in Section 408(b) of the Code, an annuity plan described in Section 403(a) of the Code, a qualified trust described in Section 401(a) of the Code, an annuity contract described in Section 403(b) of the Code, and an eligible plan under Section 457(b) of the Code which is maintained by a state, political subdivision of a state or any agency or instrumentality of a state or political subdivision of a state and which agrees to separately account for amounts transferred into such plan from this Plan, that accepts the Distributee's Eligible Rollover Distribution. An Eligible Retirement Plan shall also apply in the case of a distribution to a surviving spouse, or to a spouse or former spouse who is an alternate payee under a Qualified Domestic Relations Order, as defined in Section 414(p) of the Code.

Notwithstanding any provision of this Plan to the contrary, a Participant or Beneficiary may elect to roll over directly an Eligible Rollover Distribution to

a Roth IRA described in Code Section 408A(b).

- (3) Distributee - A Distributee includes an Employee or former Employee. In addition, the Employee's or former Employee's surviving spouse and the Employee's or former Employee's spouse or former spouse who is the alternate payee under a Qualified Domestic Relations Order, as defined in Section 414(p) of the Code, are Distributees with regard to the interest of the spouse or former spouse.
- (4) Direct Rollover - A Direct Rollover is a payment by the Plan to the Eligible Retirement Plan specified by the Distributee.
- (5) Non-spouse Beneficiary Rollover – For distributions after December 31, 2009, a non-spouse Beneficiary who is a “designated beneficiary” under Code Section 401(a)(9)(E) and the regulations thereunder, may, by a direct trustee-to-trustee transfer (“direct rollover”), roll over all or any portion of his or her distribution to an individual retirement account or annuity described in Code Section 408(a) or 408(b) (“IRA”) that is established on behalf of the beneficiary and that will be treated as an inherited IRA pursuant to Code Section 402(c)(11).

In order to be able to roll over the distribution, the distribution must otherwise satisfy the definition of an Eligible Rollover Distribution. A non-spouse beneficiary may not roll over an amount which is a required minimum distribution ineligible for rollover, as determined under applicable Treasury Regulations and other Revenue Service guidance, including Q&A 17 and 18 of Notice 2007-7, 2007-5 Internal Revenue Bulletin 395. If a Participant dies before his or her required beginning date, then the non-spouse designated beneficiary may deposit into such IRA all or any portion of the distribution that is deemed to be an Eligible Rollover Distribution. In determining the portion of such distribution that is considered to be a required minimum distribution that must be made from the IRA, the beneficiary may elect to use either the 5-year rule or the life expectancy rule, pursuant to Treasury Regulation Section 1.401(a)(9)-3, Q&A-4(c).

Although a non-spouse beneficiary may roll over directly a distribution as provided above, the distribution is not subject to the direct rollover requirements of Code Section 401(a)(31), the notice requirements of Code Section 402(f), or the mandatory withholding requirements of Code Section 3405(c). If a non-spouse beneficiary receives a distribution from the Plan, the distribution is not eligible for a “60-day” rollover.

If the Participant's named beneficiary is a trust, the Plan may make a direct rollover to an individual retirement account on behalf of the trust, provided the trust satisfies the requirements to be a designated beneficiary within the meaning of Code Section 401(a)(9)(E).

7.05 Acceptance of Transfers or Rollovers. No transfers or rollovers (direct or otherwise) shall be permitted to this Plan from another plan or annuity.

7.06 Alternate Payees Under Qualified Domestic Relations Orders. Notwithstanding anything in the Plan to the contrary, if a domestic relations order directs the Plan to make a distribution prior to the Participant's earliest retirement age as defined in Section 414(p)(4) of the Code to an alternate payee and if the domestic relations order satisfies Section 414(p)(11) of the Code, the Plan shall comply with such Order. Notwithstanding the foregoing, a domestic relations order that otherwise satisfies the requirements of a Qualified Domestic Relations Order will not fail to be a Qualified Domestic Relations Order: (i) solely because the order is issued after, or revises, another domestic relations order or Qualified Domestic Relations Order; or (ii) solely because of the time at which the order is issued, including issuance after the annuity starting date or after the Participant's death. Such a domestic relations order is subject to the same requirements and protections that apply to Qualified Domestic Relations Orders.

ARTICLE VIII

MINIMUM DISTRIBUTION REQUIREMENTS

8.01 General Rules.

- (a) **Effective Date.** The provisions of this Article will apply for purposes of determining required minimum distributions.
- (b) **Precedence.** The requirement of this Article will take precedence over any inconsistent provisions of the Plan.
- (c) **Requirements of Treasury Regulations Incorporated.** All distributions required under this Article will be determined and made in accordance with the Treasury regulations under Section 401(a)(9) of the Code.

8.02 Time and Manner of Distribution.

- (a) **Required Beginning Date.** The Participant's entire interest will be distributed, or begin to be distributed, to the Participant no later than the Participant's required beginning date.
- (b) **Death of Participant Before Distributions Begin.** If the Participant dies before distributions begin, the Participant's entire interest will be distributed, or begin to be distributed, no later than as follows:
 - (1) If the Participant's surviving spouse is the Participant's sole Designated Beneficiary, then, distributions to the surviving spouse will begin by December 31 of the calendar year immediately following the calendar year in which the Participant died, or by December 31 of the calendar year in which

the Participant would have attained age 70½ , if later.

- (2) If the Participant's surviving spouse is not the Participant's sole Designated Beneficiary, then distribution to the Designated Beneficiary will begin by December 31 of the calendar year immediately following the calendar year in which the Participant died.
- (3) If there is no Designated Beneficiary as of September 30 of the year following the year of the Participant's death, the Participant's entire interest will be distributed by December 31 of the calendar year containing the fifth anniversary of the Participant's death.
- (4) If the Participant's surviving spouse is the Participant's sole Designated Beneficiary and the surviving spouse dies after the Participant but before distributions to the surviving spouse begin, this Section 8.02(b), other than Section 8.02(b)(1), will apply as if the surviving spouse were the Participant.

For purposes of this Section 8.02(b) and Section 8.04, unless Section 8.02(b)(4) applies, distributions are considered to begin on the Participant's required beginning date. If Section 8.02(b)(4) applies, distributions are considered to begin on the date distributions are required to begin to the surviving spouse under Section 8.02(b)(1). If distributions under an annuity purchased from an insurance company irrevocably commence to the Participant before the Participant's required beginning date (or to the Participant's surviving spouse before the date distributions are required to begin to the surviving spouse under Section 8.02(b)(1)), the date distributions are considered to begin is the date distributions actually commence.

- (c) **Forms of Distribution.** Unless the Participant's interest is distributed in the form of an annuity purchased from an insurance company or in a single sum on or before the required beginning date, as of the first distribution calendar year distributions will be made in accordance with Sections 8.03 and 8.04 of this Article. If the Participant's interest is distributed in the form of an annuity purchased from an insurance company, distributions thereunder will be made in accordance with the requirements of Section 401(a)(9) of the Code and the Treasury regulations.

8.03 Required Minimum Distributions During Participant's Lifetime.

- (a) **Amount of Required Minimum Distribution For Each Distribution Calendar Year.** During the Participant's lifetime, the minimum amount that will be distributed for each distribution calendar year is the lesser of:
 - (1) The quotient obtained by dividing the Participant's Account Balance by the distribution period in the Uniform Lifetime Table set forth in Section 1.401(a)(9)-9 of the Treasury regulations, using the Participant's age as of the Participant's birthday in the distribution calendar year; or
 - (2) If the Participant's sole Designated Beneficiary for the distribution calendar

year is the Participant's spouse, the quotient obtained by dividing the Participant's Account Balance by the number in the Joint and Last Survivor Table set forth in Section 1.401(a)(9)-9 of the Treasury regulations, using the Participant's and spouse's attained ages as of the Participant's and spouse's birthdays in the distribution calendar year.

- (3) Lifetime Required Minimum Distributions Continue Through Year of Participant's Death. Required minimum distributions will be determined under this Section 8.03 beginning with the first distribution calendar year and up to and including the distribution calendar year that includes the Participant's date of death.

8.04 Required Minimum Distributions After Participant's Death.

- (a) Death On or After Date Distributions Begin.

- (1) Participant Survived by Designated Beneficiary. If the Participant dies on or after the date distributions begin and there is a Designated Beneficiary, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account Balance by the longer of the remaining life expectancy of the Participant or the remaining life expectancy of the Participant's Designated Beneficiary, determined as follows:
 - (i) The Participant's remaining life expectancy is calculated using the age of the Participant in the year of death, reduced by one for each subsequent year.
 - (ii) If the Participant's surviving spouse is the Participant's sole Designated Beneficiary, the remaining life expectancy of the surviving spouse is calculated for each distribution calendar year after the year of the Participant's death using the surviving spouse's age as of the spouse's birthday in that year. For distribution calendar years after the year of the surviving spouse's death, the remaining life expectancy of the surviving spouse is calculated using the age of the surviving spouse as of the spouse's birthday in the calendar year of the spouse's death, reduced by one for each subsequent calendar year.
 - (iii) If the Participant's surviving spouse is not the Participant's sole Designated Beneficiary, the Designated Beneficiary's remaining life expectancy is calculated using the age of the Beneficiary in the year following the year of the Participant's death, reduced by one for each subsequent year.
- (2) No Designated Beneficiary. If the Participant dies on or after the date distributions begin and there is no Designated Beneficiary as of September 30

of the year after the year of the Participant's death, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account Balance by the Participant's remaining life expectancy calculated using the age of the Participant in the year of death, reduced by one for each subsequent year.

- (b) Death Before Date Distributions Begin.
 - (1) Participant Survived by Designated Beneficiary. If the Participant dies before the date distributions begin and there is a Designated Beneficiary, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account Balance by the remaining life expectancy of the Participant's Designated Beneficiary, determined as provided in Section 8.04(a).
 - (2) No Designated Beneficiary. If the Participant dies before the date distributions begin and there is no Designated Beneficiary as of September 30 of the year following the year of the Participant's death, distribution of the Participant's entire interest will be completed by December 31 of the calendar year containing the fifth anniversary of the Participant's death.
 - (3) Death of Surviving Spouse Before Distributions to Surviving Spouse Are Required to Begin. If the Participant dies before the date distributions begin, the Participant's surviving spouse is the Participant's sole Designated Beneficiary, and the surviving spouse dies before distributions are required to begin to the surviving spouse under Section 8.02(b)(1), this Section 8.04(b) will apply as if the surviving spouse were the Participant.

8.05 Definitions.

- (a) Designated Beneficiary. The individual who is designated as the Beneficiary under Section 1.04 of the Plan and is the Designated Beneficiary under Section 401(a)(9) of the Code and Section 1.401(a)(9)-1, Q&A-4, of the Treasury regulations.
- (b) Distribution calendar year. A calendar year for which a minimum distribution is required. For distributions beginning before the Participant's death, the first distribution calendar year is the calendar year immediately preceding the calendar year which contains the Participant's required beginning date. For distributions beginning after the Participant's death, the first distribution calendar year is the calendar year in which distributions are required to begin under Section 8.02(b). The required minimum distribution for the Participant's first distribution calendar year will be made on or before the Participant's required beginning date. The required minimum distribution for other distribution calendar years, including the required minimum distribution for the distribution calendar year in which the

Participant's required beginning date occurs, will be made on or before December 31 of that distribution calendar year.

- (c) Life expectancy. Life expectancy as computed by use of the Single Life Table in Section 1.401(a)(9)-9 of the Treasury regulations.
- (d) Participant's Account Balance. The Account Balance as of the last Valuation Date in the calendar year immediately preceding the distribution calendar year (valuation calendar year) increased by the amount of any contributions made and allocated or forfeitures allocated to the Account Balance as of dates in the valuation calendar year after the Valuation Date and decreased by distributions made in the valuation calendar year after the Valuation Date.
- (e) Required beginning date. The required beginning date is April 1 of the calendar year following the calendar year in which the Participant attains age 70½ or retires, whichever is later.

ARTICLE IX

BENEFICIARIES

9.01 Designation of Beneficiary. Each Participant may designate a Beneficiary to receive benefits under the Plan upon the Participant's death by filing with the Employer written notice identifying the Beneficiary. The spouse of a Married Participant shall automatically be his Beneficiary unless the Participant designates another Beneficiary pursuant to Section 9.02. The estate of a single Participant shall automatically be his Beneficiary unless the single Participant has designated a Beneficiary. A Participant may revoke or change such Beneficiary designation by written notice filed with the Employer without the consent of the Beneficiary. However, a Married Participant shall only change his Beneficiary designation in accordance with Section 9.02

If there is any doubt as to the right of any Beneficiary to receive any amount, the Employer may retain such amount until the rights to the amount are determined, or it may pay such amount into any court of appropriate jurisdiction, in either of which events neither the Employer nor the Funding Company(ies) shall be liable for any interest on such amount, or shall be under any liability to any person in respect of such amount. In the event that such amount is retained by the Employer, the entire amount shall be invested in an investment selected by the Plan Administrator.

9.02 Change in Designation: Married Participant. In the case of a Married Participant, any designation of a Beneficiary or any revocation or change in Beneficiary which has the effect of designating a person as Beneficiary who is not such Married Participant's spouse will not be valid unless the spouse consents in writing to such designation, revocation, or change.

The terms of such consent must acknowledge the effect of the consent and the consent must be witnessed by a notary public or plan representative. The designation of a non-spouse Beneficiary must specify whether the spouse consents to a designation of a Beneficiary that can be changed without further consent on the part of the spouse or the spouse is only consenting to a designation of a specific Beneficiary that cannot be changed without the spouse's consent. A consent that permits designations by the Participant without any requirements of further consent by the spouse must acknowledge that the spouse has the right to limit consent to a specific Beneficiary and the spouse voluntarily relinquishes said right. The provisions of this Section shall not be applicable if the Employer is satisfied that the required consent cannot be obtained because the Participant does not have a spouse, because the spouse cannot be located, or because of such other circumstances as the Secretary of the Treasury may prescribe by regulations.

Any consent by a spouse, or the establishment that the consent of a spouse cannot be obtained, shall only be effective with respect to such spouse.

ARTICLE X

AMENDMENT AND TERMINATION

10.01 Amendment of Plan. The Plan may be amended in accordance with the following rules.

(a) The Board shall have the right to amend this Plan in any and all respects at any time and from time to time; provided, however, that no such amendment shall:

(1) Increase the duties or liabilities of the Funding Company(ies) without their written consent;

(2) Deprive any Participant of any of the accrued vested benefits to which he is entitled under this Plan; or

(3) Provide for the use of funds or assets held by the Plan other than for the benefit of Participants and their Beneficiaries and no funds held by the Plan shall ever revert to or be used or enjoyed by the Employer prior to the satisfaction of all liabilities hereunder to its Participants and their beneficiaries.

(b) An appropriate officer of the Employer shall have the right to amend this Plan in any and all respects at any time and from time to time; provided, however, that no such amendment shall:

(1) Increase the duties or liabilities of the Funding Company(ies) without their written consent;

(2) Deprive any Participant of any of the accrued vested benefits to which he is entitled under this Plan;

(3) Provide for the use of funds or assets held by the Plan other than for the benefit of Participants and their Beneficiaries and no funds held by the Plan shall ever revert to or be used or enjoyed by the Employer prior to the satisfaction of all liabilities hereunder to its Participants and their beneficiaries; or

(4) Change by a material amount either the amount of accrued vested benefits to which Participants are entitled under the Plan or the cost of administration of the Plan.

10.02 Termination of Plan. The Employer reserves the right to terminate the Plan at any time. In the event of termination of the Plan or a partial termination of the Plan or a complete discontinuance of contributions, the Accounts of affected Participants shall become 100% vested and shall not thereafter be subject to forfeiture.

ARTICLE XI

ADMINISTRATION OF THE PLAN

11.01 Authority. The Employer shall be the Plan Administrator. Specific duties shall be delegated to fiduciaries including the Plan Administrator. The Employer shall maintain, or cause to be maintained, records on the employment and compensation history of each Participant in sufficient detail to permit an accurate determination of any benefits to which the Participant may be entitled under the Plan. The Plan Administrator and any delegates shall direct their duties with respect to the Plan (a) solely in the interest of the Plan's Participants and Beneficiaries and (b) for the exclusive purpose of providing benefits to the Plan's Participants and Beneficiaries and defraying reasonable expenses of administering the Plan.

11.02 Payment of Plan Expenses. The Employer may determine that certain expenses will be borne by Participants.

11.03 Plan Administrator's Right to Administer and Interpret the Plan. The Plan Administrator shall have the absolute power, authority and discretion to administer and interpret the Plan and to adopt such rules and regulations as in the opinion of the Plan Administrator are necessary or advisable to implement, administer, and interpret the Plan, or to transact its business. Such rules and regulations as are adopted by the Plan Administrator shall be binding upon any persons having an interest in or under the Plan.

11.04 Claims Procedure. A claim for benefits under the Plan must be made to the Plan Administrator in writing. The Plan Administrator shall provide adequate notice in writing to any Participant or Beneficiary whose claim for benefits under the Plan has been denied, setting forth the specific reasons for such denial, written in a manner calculated to be understood by the Participant or Beneficiary. If a claim is denied, in whole or in part, the Plan Administrator shall send the claimant a notice of denial explaining the reasons for denial of the claim. A claimant whose claim has been denied, or his authorized representative, may request a review of the denial, but such a request must be in writing, and must be submitted to the Plan Administrator within 60 days after the claimant's receipt of the notice of denial. The review of a claim which has been denied shall be made by the Plan Administrator within 90 days of the receipt of the

request for review, unless the Plan Administrator determines that special circumstances require additional time, in which case a decision shall be rendered not later than 120 days after receipt of the request for review. The decision on the review shall be in writing and shall include specific reasons for the decision, written in a manner calculated to be understood by the claimant, and specific reference to the pertinent Plan provisions on which the decision is based. The Plan Administrator shall have the absolute authority, power and discretion to adjudicate claims.

ARTICLE XII

MISCELLANEOUS PROVISIONS

12.01 Employees' Plan. This Plan is created for the exclusive benefit of the Employees of the Employer and shall be interpreted in a manner consistent with its being an Employees' plan as defined in Section 401(a) of the Code. Subject to Section 3.04, no funds contributed to this Plan nor any assets of this Plan shall ever revert to or be used or enjoyed by the Employer, nor shall any such funds or assets ever be used other than for the exclusive benefit of Employees of the Employer and their Beneficiaries and defraying reasonable Plan expenses.

12.02 Additional Limitations on Liability. Neither the Employer, its Employees, trustees, and officers, nor the Plan Administrator in any way guarantees this Plan against loss or depreciation, nor do they guarantee the payment of any benefit which may become due hereunder to any present or former Participant.

12.03 General Undertaking of All Parties. All parties to this Plan and all persons claiming any interest whatsoever hereunder agree to perform any and all acts and execute any and all documents and papers which may be necessary or desirable for the carrying out of this Plan or any of its provisions.

12.04 Agreement to Bind Heirs, Etc. This agreement shall be binding upon the heirs, executors, administrators, successors and assigns, as such terms shall apply, of any and all parties hereto present and future.

12.05 Invalidity of Certain Provisions. If any provision of this Plan shall be held invalid or unenforceable, such invalidity or unenforceability shall not affect any other provision hereof and this Plan shall be construed and enforced as if such provision had not been included.

12.06 Right to Employment. Nothing contained in the Plan or any modification hereof, or the creation of any fund or account for the payment of any benefit, shall be construed to give any Employee, Participant or Beneficiary any right to employment or continued employment with the Employer which he would not have had, had the Plan not been created.

12.07 Incapacity. In the event that any Participant is unable to care for his affairs because of illness or accident, any payment due may be paid to the Participant's spouse, parent, brother, sister or other person deemed by the Plan Administrator to have incurred expenses for the care of such Participant, unless a duly qualified guardian or other legal representative has been appointed.

12.08 Governing Law. The Plan shall be construed, administered and enforced in accordance with the laws of the State of Ohio other than such laws as are specifically preempted by federal law.

12.09 Tax Qualification. This Plan has been adopted, based upon the condition precedent that it be approved and qualified by the Internal Revenue Service as meeting the requirements of the Code and regulations issued thereunder with respect to qualified retirement plans. Notwithstanding any other provision in this Plan, if the Commissioner of the Internal Revenue Service or his delegate determines that the Plan, or the Plan as it may be amended by the Employer in an effort to receive such approval, does not qualify under the applicable provisions of the Code, the Employer will make such changes required to so qualify the Plan.

12.10 Number of Counterparts. This Plan may be executed in any number of counterparts, each of which when duly executed by the Employer shall be deemed to be an original, but all of which shall together constitute but one instrument, which may be evidenced by any counterpart.

12.11 Masculine, Feminine, Singular and Plural. The masculine shall include the feminine and the singular shall include the plural and the plural the singular wherever the person or entity or context shall plainly so require.

12.12 Withholding Taxes. The Plan Administrator may make any appropriate arrangements to deduct from all amounts paid under the Plan any taxes required to be withheld by any government or government agency. Each Participant and/or Beneficiary shall bear all taxes on amounts paid under the Plan to the extent that no taxes are withheld, irrespective of whether withholding is required.

12.13 Prevention of Escheat. If the Funding Company(ies) is unable to make payment to any Participant or other person to whom a payment is due under the Plan because it cannot ascertain the identity or whereabouts of such Participant or other person after reasonable efforts have been made to identify or locate such person (including a notice of the payment so due mailed to the last known address of such Participant or other person as shown on the records of the Employer), such payment and all subsequent payments otherwise due to such Participant or other person shall be treated as forfeited three (3) years after the date such payment first became due; provided, however, that such payment and any subsequent payments shall be reinstated retroactively no later than 60 days after the date on which the Participant or person is identified or located.

12.14 Uniformed Service Employment and Reemployment Rights Act of 1994. Notwithstanding any provision of this Plan to the contrary, service credits and contributions with respect to qualified military service will be provided in accordance with Section 414(u) of the Code.

OHIO UNIVERSITY

By: _____

Date: _____

APPENDIX A

Employer Contributions: The Participants listed below shall receive an allocation of the Employer Contribution to be made to the Plan for the Plan Years ending on the following dates and in the following amounts:

<u>Participant</u>	<u>Plan Year Ending</u>	<u>Amount Contributed</u>
Dr. Roderick J. McDavis, President	December 31, 2012	[insert amount]
	December 31, 2013	[insert amount]
	December 31, 2014	[insert amount]
	December 31, 2015	[insert amount]
	December 31, 2016	[insert amount]

Notwithstanding the foregoing, if Dr. McDavis's employment as President of the University terminates before any of the above-listed contributions have been made to the Plan, no amount shall be contributed after the date of such termination.

*In no event will the contributions made herein be in excess of the applicable Code Section 415(c) limit.

COLUMBUS/1628161v.2

OHIO UNIVERSITY
SUPPLEMENTAL 415(m) RETIREMENT PLAN

PLAN DOCUMENT

Effective Date: January 1, 2012

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**OHIO UNIVERSITY
SUPPLEMENTAL 415(m) RETIREMENT PLAN
INTRODUCTION**

WHEREAS, Ohio University (“OU”) is a governmental organization because it is a public education institution that is an instrumentality of the State of Ohio;

WHEREAS, Section 415(m) of the Internal Revenue Code of 1986, as amended, (“IRC”) authorizes a governmental organization to establish a qualified excess benefit plan as provided by IRC Section 415(m);

WHEREAS, the purpose of the Ohio University Supplemental 415(m) Retirement Plan (the “415(m) Plan”) is to provide selected participants in the Ohio University Alternative Retirement Plan (“ARP”) and the Ohio University Supplemental Qualified Retirement Plan (the “SQRP”) (both hereinafter referred to as the “Retirement Program”) that portion of a Participant’s benefits that would otherwise be payable under the terms of the Retirement Program except for the limitations on benefits imposed by IRC Section 415;

WHEREAS, this 415(m) Plan is intended to comply with IRC Section 415(m);

NOW, THEREFORE, OU hereby establishes this 415(m) Plan as set forth in this document effective January 1, 2012.

GENERAL PROVISIONS

Except as noted herein, this 415(m) Plan shall operate in accordance with the Retirement Program and the policies and procedures adopted hereunder.

**ARTICLE I
DEFINITIONS**

Where the following words and phrases appear in the 415(m) Plan, they shall have the meanings specified below unless a different meaning is clearly required by the context. Capitalized terms used but not defined in this 415(m) Plan shall have the meanings given to them in the Retirement Program.

1.1 ARP. The term “ARP” shall mean the Ohio University Alternative Retirement Plan, as amended from time to time.

1.2 Beneficiary. The term “Beneficiary” means any person designated by a Participant or otherwise entitled to receive benefits that may become payable hereunder after the death of such Participant.

1.3 Benefit Commencement Date. The term “Benefit Commencement Date” shall mean the date of commencement of benefits under the 415(m) Plan, as elected by the Participant

pursuant to Section 5.4; provided, however, that the Benefit Commencement Date cannot be earlier than the Participant's attainment of the Severance from Service Date. If the Participant has not made a valid election as to his Benefit Commencement Date, the Participant's Benefit Commencement Date shall be the date of the Participant's attainment of the Severance from Service Date.

1.4 Code. The terms “Code”, “Internal Revenue Code”, and “IRC” shall mean the Internal Revenue Code of 1986, as amended from time to time, subsequent to the date that this Plan is executed.

1.5 Compensation. The term “Compensation” shall mean an individual’s compensation as defined in Section 2.6 of the ARP when applicable, and Section 1.07 of the SQRP when applicable.

1.6 Employer. The term “Employer” shall mean Ohio University.

1.7 Participant. The term “Participant” shall have the meaning set forth in Section 2.2 of this 415(m) Plan.

1.8 Plan. The term “Plan” refers to the Ohio University Supplemental 415(m) Retirement Plan, which is referred to herein as the “Plan” or the “415(m) Plan.” The terms “Plan” and “415(m) Plan” may be used interchangeably herein.

1.9 Plan Administrator. The term “Plan Administrator” shall mean Ohio University.

1.10 Plan Year. The term “Plan Year” shall have the meaning given to it in the applicable Retirement Program.

1.11 Retirement Program. The term “Retirement Program” shall mean, collectively, the ARP and the SQRP.

1.12 Severance from Service Date. The term “Severance from Service Date” shall mean the date on which the Participant quits, retires, is discharged, or dies.

1.13 SQRP. The term “SQRP” shall mean the Ohio University Supplemental Qualified Retirement Plan.

ARTICLE II PARTICIPATION

2.1 Eligible Class. All employees of the Employer shall be eligible to participate in the 415(m) Plan if they are participants in the Retirement Program and the net amount determined in Sections 3.2, and 3.3 of the 415(m) Plan will exceed zero as of last day of the applicable Plan Year.

2.2 Participation. An employee shall be a “Participant” under the 415(m) Plan if (a) the employee is in the Eligible Class described in Section 2.1 above and (b) the employee is designated as a “Participant” by the Employer.

ARTICLE III CONTRIBUTIONS

3.1 Commencement of Contributions. Notwithstanding anything herein to the contrary, contributions made to this 415(m) Plan shall only commence when the contributions to the Retirement Program under Sections 3.2 and 3.3 hereunder, in the aggregate, exceed the contribution limits described in IRC Section 415(c).

3.2 Employer Contributions. Employer contributions to the 415(m) Plan shall be determined by subtracting the amount determined under subparagraph (b) from the amount determined under subparagraph (a) herein:

- (a) The employer contribution under Section 4.2 of the ARP and Section 3.03 of the SQRP determined for the Plan Year (as defined in the Retirement Program), in each case disregarding any limitations on employer contributions that would be applicable under the Retirement Program to limit annual additions to the amount defined in IRC Section 415(c).
- (b) The employer contribution under Section 4.2 of the ARP and Section 3.03 of the SQRP actually made for the Plan Year (as defined under the Retirement Program).
- (c) Contributions shall commence under this 415(m) Plan with the first payroll that occurs on or after the date upon which the Participant’s annual additions to the Retirement Program are limited by IRC Section 415(c).

3.3 Employee Pick-Up Contributions. Employee pick-up contributions to the 415(m) Plan shall be determined by subtracting the amount determined under subparagraph (b) from the amount determined under subparagraph (a) herein:

- (a) The employee pick-up contributions under Section 4.1 of the ARP and Section 3.02 of the SQRP determined for the Plan Year (as defined under the Retirement Program), in each case disregarding any limitations on employee pick-up contributions that would be applicable under the Retirement Program to limit annual additions to the amount defined in IRC Section 415(c).
- (b) The employee pick-up contribution under Section 4.1 of the ARP and Section 3.02 of the SQRP actually made for the Plan Year (as defined under the Retirement Program).
- (c) Contributions shall commence under this 415(m) Plan with the first payroll that occurs on or after the date upon which the Participant’s annual additions to the Retirement Program are limited by IRC Section 415(c).

3.4 Cessation of Contributions. No contributions to this 415(m) Plan shall be made by or for a Participant after the payment of benefits to those Participants has commenced under this 415(m) Plan.

ARTICLE IV INVESTMENTS

4.1 Amounts credited under the Plan may be invested as a Participant elects among the investment options provided under the Retirement Program. Notwithstanding any other provision of this Plan that may be interpreted to the contrary, such investments are to be used for measurement purposes only, and the Participant's election of any investment option and the calculation of additional amounts and the crediting or debiting of such amounts on behalf of a Participant shall not be considered or construed in any manner as an actual investment in any such investment option. The Employer retains the sole discretion to decide (a) whether to invest the amounts deferred, and (b) if such amounts are invested, the actual investment funds. In the event that the Employer decides to invest funds in any or all of the investments elected by a Participant, the Participant shall have no rights in or to such investments themselves.

4.2 The Employer, its employees, trustees, and officers shall have no responsibility or liability for any investments, investment directions, or investment results of the Participant or the Participant's agent or representative for such investments.

ARTICLE V PAYMENT OF BENEFITS

5.1 Benefit Amounts. The benefits payable to or on behalf of a Participant under this Plan shall be equal to the Participant's vested account balance (which shall be the sum of all vested employer and employee pick-up contributions made under this Plan for the Participant, reduced by plan expenses properly chargeable to the Participant) increased or decreased as appropriate by the Participant's investment factor.

A Participant's investment factor shall be equal to the return that would have been realized on the Participant's account balance had that balance been invested as described in Section 4.1 of this Plan.

5.2 Commencement of Benefits. Payment of benefits to a Participant will begin no earlier than the Participant's Benefit Commencement Date. Withdrawals from the 415(m) Plan prior to the Benefit Commencement Date are not permitted under any circumstances.

5.3 Form of Benefit Payment. Upon commencement, benefits shall be determined pursuant to those available under the SQRP, or if a Participant does not participate in the SQRP, the ARP.

5.4 Election of Benefit Payment Form. Each Participant shall, prior to the date benefits begin to accrue hereunder, make an affirmative written election on a form to be provided by the Plan Administrator as to the form and commencement of distribution applicable to benefits under the 415(m) Plan. However, the affirmative written election may be changed thereafter as to form and/or commencement of distribution, but must be made at least two years in advance of any benefit commencement of distributions chosen under the changed election form. In the event that no such election is made prior to the date benefits begin to accrue hereunder, distributions from this Plan shall be payable in a lump sum on the Participant's Benefit Commencement Date.

5.5 Beneficiary Designation. Upon commencing participation, each Participant shall designate a Beneficiary on forms furnished by the Plan Administrator or its delegate. Such forms shall be maintained in files held by the Plan Administrator or its delegate. From time to time, the Participant may change his Beneficiary by written notice on forms furnished by the Plan Administrator or its delegate given to the Plan Administrator or its delegate. Upon such change, the rights of all previously designated Beneficiaries to receive any benefits under this Plan shall cease.

Further, to the extent there is no beneficiary designation under the 415(m) Plan at the date of death of the Participant, or if the Beneficiary designated has died prior to the death of the Participant, or if the Participant has revoked a prior designation in writing filed with the Plan Administrator without having filed a new designation, then any death benefits which would have been payable to the Beneficiary hereunder shall be payable to the Participant's spouse, if living; if not living, equally to the Participant's children; or if none survive, then to the Participant's estate.

5.6 Vesting Provisions. For purposes of determining vested status in this Plan, years of participation as calculated under the Retirement Program shall constitute years of participation in the 415(m) Plan. Therefore, employer contributions and employee pickup contributions under the 415(m) Plan shall be vested to the same extent (as measured by the vesting percentage) as are the employer contributions and employee pick-up contributions in the Retirement Program.

5.7 Non-Alienation Provisions. A Participant's right to benefit payments under the Plan is not subject in any manner to anticipation, alienation, sale, transfer, assignment, pledge, encumbrance, attachment or garnishment by creditors of the Participant or the Participant's Beneficiary.

ARTICLE VI

LOANS

No loans shall be permitted under this 415(m) Plan.

ARTICLE VII
TRANSFERS OR ROLLOVERS

No transfers or rollovers shall be permitted to this 415(m) Plan from another plan or from this 415(m) Plan to another plan.

ARTICLE VIII
UNFUNDED STATUS

Participants and their Beneficiaries will have no right or property interest in any assets held to support the liabilities created hereunder. Participants have the status of general unsecured creditors of the Employer, and this Plan constitutes a mere promise by the Employer to make benefit payments in the future. If the Employer purchases annuity contracts or mutual funds to support the liabilities under this Plan, such annuity contracts and mutual funds will be registered in the name of the Employer and held as general assets of the Employer. Any and all payments made to or on behalf of a Participant pursuant to the 415(m) Plan shall be made from the general assets of the Employer.

ARTICLE IX
PLAN ADMINISTRATION

9.1 Powers and Duties. The Plan Administrator shall administer the 415(m) Plan. It shall have the authority to interpret, construe, and implement the 415(m) Plan, to adopt and review rules and regulations relating to the 415(m) Plan, and to make all other determinations relating to the administration of the 415(m) Plan. Any decision or interpretation of any provision of the 415(m) Plan adopted by the Plan Administrator shall be final and conclusive. The Plan Administrator may delegate any of the responsibilities to an appropriate employee or department, provided that no delegate of the Plan Administrator may take action with respect to matters exclusively affecting his or her own benefits under this Plan.

9.2 Consultants. The Plan Administrator may employ such counsel, accountants, actuaries, and other agents as it shall deem advisable. The Employer shall pay the compensation of such counsel, accountants, actuaries, and other agents and any other expenses incurred by the Plan Administrator in the administration of the 415(m) Plan not already built into all products purchased to offset the liabilities created by this 415(m) Plan.

ARTICLE X
AMENDMENT AND TERMINATION

10.1 Amendment. OU reserves the right to amend or to modify the 415(m) Plan at any time by formal action of its Board of Trustees or its delegate, including the right to amend or to modify the 415(m) Plan retroactively, as long as the amendment or modification does not reduce a Participant's benefits that accrued under this Plan prior to the earlier of the date on which such amendment is authorized or executed.

10.2 Termination. OU reserves the right to terminate the Plan at any time by formal action of its Board of Trustees, as long as the termination does not reduce a Participant's benefits that accrued under the Plan prior to the date of such termination.

10.3 Distributions Upon Termination. In the event of a complete or partial termination of the 415(m) Plan, the Participant or the Participant's Beneficiary shall be paid all of the benefits payable under this Plan in accordance with Article V.

ARTICLE XI GENERAL PROVISIONS

11.1 Governing Law. Except to the extent superseded by federal law, the laws of the State of Ohio shall be controlling in all matters relating to this Plan, including the construction and performance hereof, notwithstanding principles of conflicts of laws.

11.2 Captions. The captions of Articles and Sections of this Plan are for convenience of reference only and shall not control or affect the meaning or construction of any of its provisions.

11.3 Facility of Payment. Any amounts payable hereunder to any person who is under legal disability or who, in the judgment of the Plan Administrator, is unable to manage his financial affairs properly may be paid to the legal representative of such person or may be applied for the benefit of such person in any manner that the Plan Administrator may select, and any such payment shall be deemed to be payment for such person's account.

11.4 Withholding. To the extent required by the laws in effect at the time payments are made hereunder, OU shall withhold from such payments, any taxes required to be withheld for federal, state, or local government purposes.

11.5 Administrative Expenses. Except as provided in the products used to underwrite liabilities hereunder, all other expenses relating to the Plan and its administration shall be borne by the Employer.

11.6 Severability. Any provision of this Plan prohibited by the law of any jurisdiction, shall, as to such jurisdiction, be ineffective to the extent of such prohibition without invalidating the remaining provisions hereof.

11.7 Liability. Except as otherwise expressly provided herein, no member of the Board of Trustees of OU, no delegate of the Plan Administrator, and no officer, employee, or agent of the Employer (specifically including, but not limited to an employee of OU acting at the direction of the Plan Administrator) shall have any liability to any person, firm, or corporation based on or arising out of the Plan except in the case of gross negligence or fraud.

11.8 Release. Any payment to any Participant shall, to the extent thereof, be in full satisfaction of the claim of such Participant being paid thereby, and the Employer may condition

payment thereof on the delivery by the Participant of the duly executed receipt and release in such form as may be determined by the Employer.

11.9 Binding Effect. This Plan shall be binding upon and shall inure to the benefit of OU, its successors, and assigns and each Participant and his heirs, executors, administrators, and legal representatives.

11.10 Construction. Any words herein used in the masculine shall be read and construed in the feminine where they would so apply. Words in the singular shall be read and construed as though used in the plural in all cases where they would so apply.

ARTICLE XII
ADOPTION OF THE PLAN

As evidence of its adoption of the Plan, the Board of Trustees of Ohio University has caused this instrument to be signed by its chairman duly authorized this ____ day of _____, 2012.

THE BOARD OF TRUSTEES OF
OHIO UNIVERSITY

By: _____
Chair

**ACADEMIC QUALITY:
COLLEGE OF HEALTH
SCIENCES AND
PROFESSIONS**

**Dashboard
and
Accreditation**

ACADEMIC QUALITY: DASHBOARD REVIEW

Tuition
Discounting

Group I
Faculty

ACADEMIC QUALITY: THE DASHBOARD

Review of Completed Dashboard Indicators:



■ Graduation Rates	Four Fundamentals
■ Retention	Four Fundamentals
■ Degrees Granted	Four Fundamentals
■ ACT Composite	Four Fundamentals
■ Student-Faculty Interaction	Four Fundamentals
■ Student/Faculty Ratio	Four Fundamentals
■ Undergraduate Headcount	Enrollment

ACADEMIC QUALITY: THE DASHBOARD

Dashboard Indicators (April Board Meeting)

Topic	4X4 Strategic Plan
Tuition Discount	Enrollment
Group I Faculty [Definition & Distribution]	Four Fundamentals
Group I Faculty Retention	Total Compensation

TUITION DISCOUNT

Tuition Discount

18.9%

The extent to which the University provides scholarship allowances to defray the cost of tuition and fees

Past Performance

2005/06	2006/07	2007/08	2008/09	2009/10
16.4%	15.4%	17.6%	17.3%	18.9%

HOW IS THE TUITION DISCOUNT RATE CALCULATED?

Total Institutional Grant Aid

Total Discount Rate = Total Gross Tuition and Required Fee Revenue

http://www.collegeboard.com/prod_downloads/press/tuition-discounting.pdf

TUITION DISCOUNT RATE*

Year	Total Undergraduate Gross Tuition and Required Fee Revenue**	Total Institutional Scholarship and Grant Aid for Undergraduate Students***	Discount Rate for Undergraduate Athens Students	Discount Rates for 4 year public institutions, 2007-2008
2006-7	\$240,990,636	\$39,543,722	16.4%	Median 15.6%
2007-8	\$257,254,813	\$39,514,236	15.4%	
2008-9	\$262,264,797	\$46,280,584	17.6%	Mean 17.6%
2009-10	\$277,533,921	\$47,959,272	17.3%	
2010-11	\$303,352,545	\$57,466,229	18.9%	

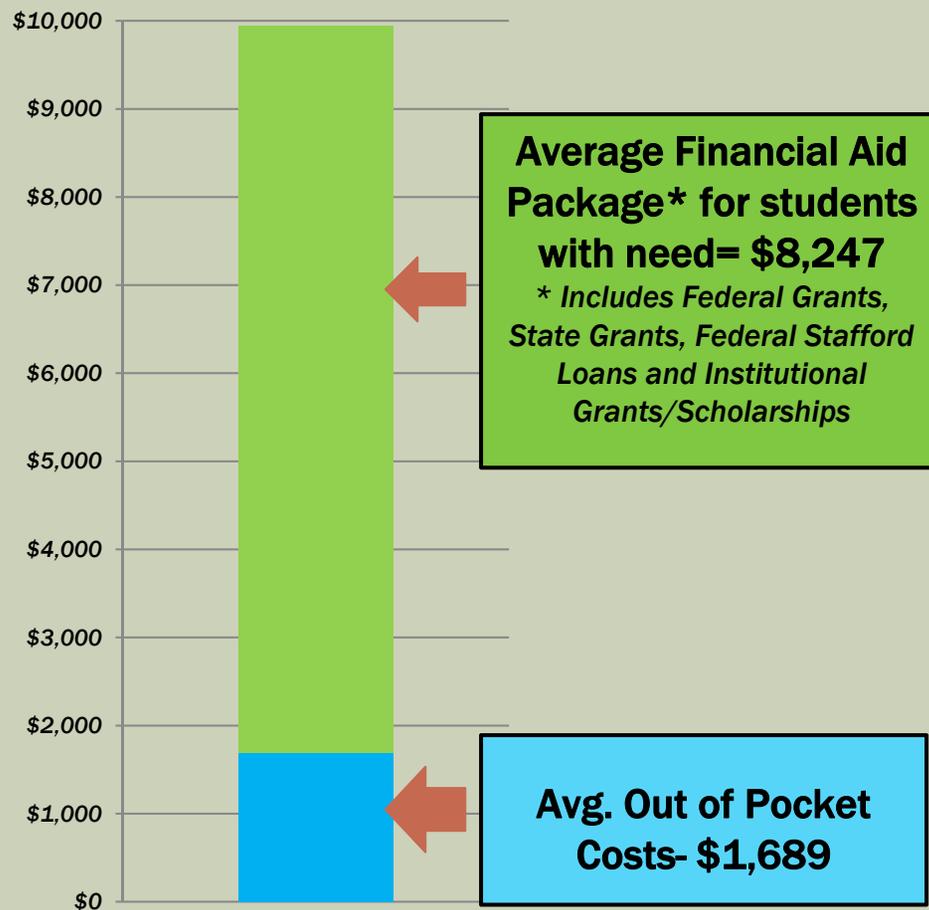
* Ohio University Consolidated Statement of Activities

** Per Budget Office and includes all tuition and fees and scholarship

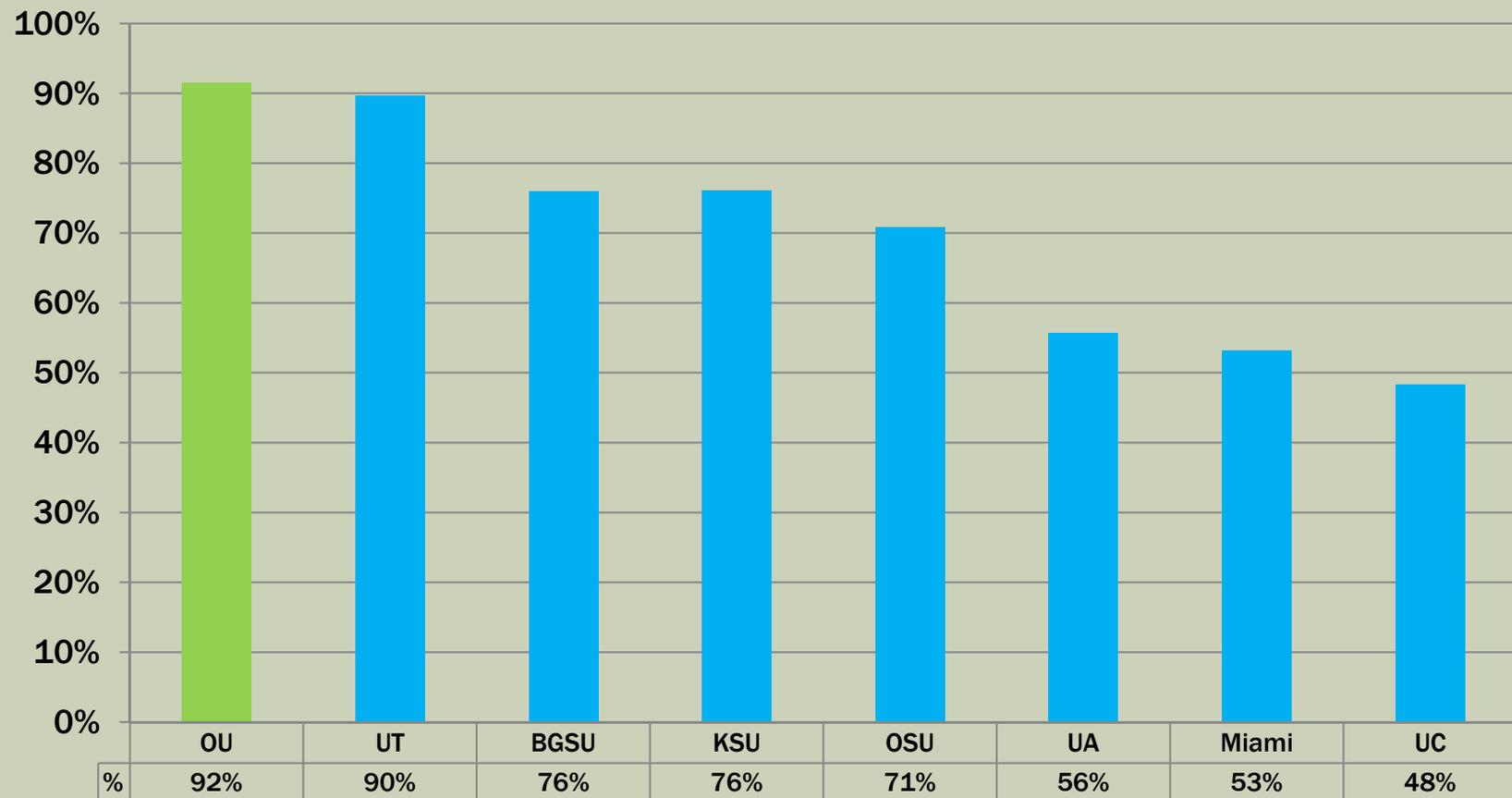
*** Per Student Financial Aid Office

OUT-OF-POCKET COSTS

**Published
Tuition and Fees-
"Sticker Price" \$9,936**



PERCENT OF UNDERGRADUATE STUDENTS DEMONSTRATING NEED WHO WERE AWARDED A NEED-BASED SCHOLARSHIP OR GRANT IN 2010-2011



WHY IS THE TUITION DISCOUNT RATE IN THE DASHBOARD?

- **Enrollment**
 - **Recruitment**
 - **Enrollment Plan**
- **Access Goals**
- **Net Tuition Revenue**

GROUP 1 FACULTY

Group I Faculty

80%

Percentage of full-time tenured and tenure-track faculty as a percentage of full time faculty

Past Performance

2007	2008	2009	2010	2011
85%	81%	81%	82%	80%
<i>Average for Ohio Four-year Public Institutions</i>				
n/a	79%	n/a	77%	n/a

FACULTY CLASSIFICATIONS AT OHIO UNIVERSITY

- **Group 1**
 - Individuals on tenure or tenure-track appointments who are employed in at least three quarters of a fiscal year
- **Group 2**
 - Individuals holding part-time appointments who are primarily considered instructional personnel
- **Group 3**
 - Individuals holding part-time appointments who are primarily considered instructional personnel but differ from Group 2 because of the more recent date of their initial employment or the irregularity of their employment
- **Group 4**
 - Individuals holding visiting professor or other full-time appointments, adjunct professor, special appointments

HOW IS GROUP 1 FACULTY CALCULATED?

- Full-time Group 1 Faculty
- Tenured and Tenure Track Faculty
- Athens Group 1 Faculty
- Counted at Fall quarter

COMPARATIVE DATA

Average for Ohio Four Year Publics

(available for 2007 and 2009)

2007	85% OHIO	79%	Four year publics in Ohio
2009	81% OHIO	77%	Four year publics in Ohio

National Data

27% are tenure track compared to non-tenure track, adjuncts, and graduate assistants

(NYT, Dec 30, 2009)

COMPARATIVE DATA

Job Type	1997	2007
ALL INSTITUTIONS		
-Full time, tenured or tenure track	33.1%	27.3%
-Full time, non-tenure track	14.2%	14.9%
-Part time	34.1%	36.9%
-Graduate assistants	18.6%	20.9%
PUBLIC DOCTORAL GRANTING INSTITUTIONS		
-Full time, tenured or tenure track	34.1%	28.9%
-Full time, non-tenure track	14.1%	14.4%
-Part time	14.3%	15.8%
-Graduate assistants	37.5%	41.0%

FACTORS INFLUENCING FACULTY DISTRIBUTION

- Need to replace faculty temporarily on leave
- Use of adjuncts who bring special knowledge and experience into the academy
- Employment of a partner in a dual career recruitment
- Resistance on the part of some tenured faculty to teach some courses and to fill certain roles such as advisor
- The use of lecturers in administrative roles
- Budgetary savings

Cross, J.G., & Goldenberg, E. N. (2002). Why hire non-tenure track faculty? *Contingent Faculty and Student Learning Peer Review*, 5 (1).

GROUP 1 FACULTY RETENTION

Group I Faculty Retention

92%

Percentage of Group I faculty continuing their employment

2007	2008	2009	2010	2011
91%	92%	96%	94%	92%

HOW IS GROUP 1 FACULTY RETENTION CALCULATED?

- Full-time Athens campus Group 1 faculty
- Cohorts are tracked from Fall quarter of one year to the next year's Fall quarter
- Reasons for faculty not returning are extracted from the HR system
- No comparative data exists for Ohio institutions

	Total	Continuing	%	N Retired	%	Asst Prof Resign/ Tenure Denied	%	Prof/Assoc Prof Resigned	%	Deceased	Status Change but still at OU
2009-10 to 2010- 11	727	683	93.9%	13	1.8%	12	1.7%	10	1.4%	1	8
2008-09 to 2009- 10	710	683	96.2%	8	1.1%	9	1.3%	8	1.1%	0	3
2007-08 to 2008- 09	726	665	91.6%	14	1.9%	26	3.6%	12	1.7%	2	7
2006-07 to 2007- 08	749	684	91.3%	23	3.1%	21	2.8%	15	2.0%	3	3
2005-06 to 2006- 07	744	691	92.9%	11	1.5%	19	2.6%	14	1.9%	0	9*

*6 Nursing Faculty moved from Athens to regional campuses

	Male	Female	African-American	Asian-American	Hawaiian-Pacific Islander	Hispanic	International	Nat American	Two or more races	Unknown	Caucasian	Total
Early Retired	4	4	1	0	-	0	0	0	-	0	7	8
Retired/Deceased	3	3	1	0	-	0	1	1	-	0	3	6
Resigned	8	11	1	1	-	0	2	1	-	1	13	19
Change in Status	6	2	1	0	-	0	0	1	-	1	5	8
Tenure Denied etc.	1	2	0	1	-	0	0	0	-	0	2	3
Total	22	22	4	2	-	0	3	3	-	2	30	44
%	4.6	8.9	10.3	3.8	-	0	5.7	50	-	33.3	5.4	6.1

WHY IS RETENTION OF GROUP 1 FACULTY ON THE DASHBOARD?

- **Total compensation Goals**
 - **Recruiting New faculty**
 - **Building Senior Faculty**
 - **Success in accomplishing Four Fundamentals**
 - **Inspired teaching and research**
 - **Innovative academic programs**
 - **Exemplary student support services**
 - **Integrative co-curricular activities**
 - **Enrollment demands**

ACADEMIC QUALITY

**RANKING
S**

UNDERSTANDING *U.S. NEWS AND WORLD REPORT* RANKINGS OF UNIVERSITIES

- Universities respond to surveys from *U.S. News*
- At least one year lag in data
 - 2011-12 rankings are based on 2010-11 & earlier
 - Multi-year averages often used

U.S. NEWS CRITERIA FOR RANKINGS

- Academic reputation (22.5%)
- Graduation and retention rates (20%)
- Faculty resources (20%)
- Student selectivity (15%)
- Financial resources (10%)
- Graduation rate performance (7.5%)
- Alumni giving (5%)

U.S. NEWS OVERALL RANK

- 273 National universities ranked in 2011-12
 - 172 public universities
 - 101 private universities
- Ohio University overall rank = 124
- Ohio University public rank = 59

UNDERGRADUATE ACADEMIC REPUTATION INDEX

- 22.5% of *U.S. News* weight
- Spring 2011 peer assessment survey
 - Presidents, provosts, admissions directors
 - 5 point scale, 1=marginal to 5=distinguished
 - 43% response rate
- Spring 2011 survey of high school counselors
 - 5 point scale, 1=marginal to 5=distinguished
 - 13% response rate

UNDERGRADUATE ACADEMIC REPUTATION INDEX

- Score = 3.0, presidents, provosts, admissions directors
- Score = 3.6, high school counselors
- Ohio University rank = 97 among presidents, provosts, admissions directors
- Ohio University rank = 100 among high school counselors

GRADUATION AND RETENTION RATES

- 20% of *U.S. News* weight
- Freshman retention rate (four year average, freshman cohorts entering 2006 - 2009)
- 6-year graduation rates (four year average, freshman cohorts entering 2001 - 2004)

GRADUATION AND RETENTION RATES

- Freshman retention rate = 80%
- 6-year graduation rate = 69%
- Ohio University rank = 110

FACULTY RESOURCES

- 20% of *U.S. News* weight
- 2010-11 academic year:
- Percent undergrad classes with fewer than 20
- Percent undergrad classes with 50 or more
- Faculty average compensation (two year average)
- Percent full-time faculty with terminal degrees
- Student/faculty ratio
- Percent full-time faculty of total

FACULTY RESOURCES

- Undergrad classes with fewer than 20 = 42%
- Undergrad classes with 50 or more = 11%
- Faculty average compensation (two year average) = \$103,156
- Faculty with terminal degrees = 85%
- Student/faculty ratio = 19/1
- Percent full-time faculty of total = 91%
- Ohio University rank = 169

STUDENT SELECTIVITY

- 15% of *U.S. News* weight
- 2010 entering class:
- SAT/ACT middle 50% (25 - 75 percentiles)
- Percent freshmen in top 10% of high school class
- Freshman acceptance rate

STUDENT SELECTIVITY

- ACT middle 50% = 21 - 26
- Freshmen in top 10% of H.S. class = 14%
- Freshman acceptance rate = 85%
- Ohio University rank = 169

FINANCIAL RESOURCES

- 10% of *U.S. News* weight
- Average educational and general expenditures per student
- Two-year average (2008-09 & 2009-10 FY)

FINANCIAL RESOURCES

- Average educational and general expenditures per student = \$18,739
- Ohio University rank = 189

GRADUATION RATE PERFORMANCE

- 7.5% of *U.S. News* weight
- Difference between predicted and actual 6-year graduation rate
- 2004 freshman cohort
- Predictors are SAT/ACT scores and institutional expenditures per student

GRADUATION RATE PERFORMANCE

- Difference between predicted and actual 6-year graduation rate = 11%
 - Actual graduation rate = 69%
 - Predicted graduation rate = 58%
- Ohio University rank = 16

ALUMNI GIVING

- 5% of *U.S. News* weight
- Percent of alumni solicited making a donation
- Two-year average (2008-09 & 2009-10)

ALUMNI GIVING

- Percent alumni making a gift of those solicited = 8%
- Ohio University rank = 167

INTERPRETING THE RANKINGS

- Data used in the 2012 (current) *U.S. News* rankings are from 2010-11 and earlier
- *U.S. News* changes their method each year
- Participation by colleges changes from year to year
- Analyses suggest that heavy weighting of peer evaluations skews the data and that rankings are largely “reputational”
- Ranking data is often misinterpreted

OTHER RANKINGS

- *U.S. News and World Report* Rankings of Graduate Programs
- Other Rankings of Universities

SEARCH UPDATES

- Vice President for Student Affairs
- Vice Provost for E-Learning and Strategic Partnerships
- Dean of the Heritage College of Osteopathic Medicine
- Dean of the Scripps College of Communication
- Dean of the College of Fine Arts



OHIO
UNIVERSITY

Date: June 11, 2012

To: President Roderick J. McDavis, Ph.D.
Members of the Board of Trustees

From: Interim Vice President for Student Affairs Ryan Lombardi

Re: Student-Athlete Code of Conduct and Discipline Policy

Attached you will find the recommended changes for the Student-Athlete Code of Conduct and Discipline Policy for inclusion in the materials being prepared for the Board of Trustee meeting.

I will be happy to answer any questions you may have about this document prior to or during the meeting.

xc: Secretary to the Board of Trustees Tom Davis, Ph.D.
Director of Intercollegiate Athletics, Jim Schaus

STUDENT-ATHLETE: CODE OF CONDUCT AND DISCIPLINE POLICY

As valued members of the Ohio Athletics Department, it is our goal to assist student-athletes in attaining a quality education and earning a degree. Student-athletes at Ohio University are expected to conduct themselves in a manner that best represents their team and the institution, while being productive members of both the campus and surrounding communities. It is their responsibility to exhibit behaviors that enable them to make the most of the academic and athletics opportunities afforded to them.

Participation in athletics is a privilege, not a right, and is subject to NCAA and MAC rules and regulations. To earn and maintain that privilege, all student-athletes must adhere to the Ohio Athletics Student-Athlete Code of Conduct, as well as the Ohio University Student Code of Conduct. The intent of this Code of Conduct and Discipline Policy is to define the department's standards and expectations of the student-athletes that represent Ohio University, not to supersede NCAA policy, nor is it to judge who is guilty or not guilty under the same standards as would apply in a court of law. It is meant to set high standards for the department's expectations of how student athletes represent Ohio University and to state the potential consequences for those student athletes who make poor choices, reflecting negatively on themselves and Ohio University.

As Ohio University's most visible ambassadors, student-athletes at Ohio University are expected to uphold, at all times, high standards of integrity and behavior, reflecting well upon themselves, their families, coaches, teammates, the Department of Athletics and Ohio University.

Encouraging Good Sportsmanlike Conduct

Good sportsmanlike conduct means more than the absence of negative actions in public. Each head coach is responsible for providing program and departmental student-athlete conduct expectations:

- Techniques for communicating with officials and opponents on routine matters during athletic contests.
- Techniques for maintaining control during emotionally charged situations, including assisting a teammate or colleague who appears to be losing control.
- Techniques for reacting in a positive manner to an aggressive action by an individual or a group.

Instruction should also define actions that constitute unacceptable conduct and include techniques for avoiding such behavior. Actions viewed as inappropriate include:

- Physical or verbal abuse of officials, coaches, opponents, or spectators.
- Throwing of objects.
- Unauthorized seizure of equipment from officials or the media.
- Inciting players or spectators to negative actions or to any behavior that insults or defiles an opponent's tradition.
- Use of obscene or otherwise inappropriate language or gestures.
- Making public statements which are negative, controversial, or outside ICA's media policy.

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- [Participating in any action that violates the generally recognized ethical standards of intercollegiate athletics or of the university.](#)

Community Expectations

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Student-athletes are expected to respect the rights of others, and to abide by all rules and regulations of Ohio University, the MAC, and the NCAA. Failure to do so may result in suspension from the team or from Ohio University through the ~~Ohio University~~ Office of ~~University Judiciaries~~ [Community Standards and Student Responsibility](#). Scholarship student-athletes risk having all or part of their financial aid revoked for violations of this code. A student-athlete may appeal disciplinary action [from the Athletic Department](#) if he/she believes his/her situation presents special circumstances by which [he/she believes](#) the assigned sanctions to be ~~imposed are~~ manifestly unfair or there is significant evidence that would justify a different outcome (see Appeal of Disciplinary Action).

Student-athletes, as citizens of Ohio University and the Athens community, are expected to abide by the laws of the United States, the state of Ohio, and the city of Athens. Because it is expected that the behavior of student-athletes shall at all times reflect the high standards of honor and dignity that characterize participation in competitive sports at Ohio University, student-athletes may be subjected to Athletic Department discipline for such acts that violate the Student-Athlete Code of Conduct, regardless of where and when the acts are committed and regardless if any other disciplinary, [criminal](#) or legal action is taken against the student-athlete. [The university does, in addition, reserve the right, for educational purposes, to review any action taken by civil authorities regarding student-athletes behavior.](#)

In addition to obeying all federal, state and local laws, student-athletes shall not participate in any gambling activities involving intercollegiate or professional athletics. They shall not solicit or accept any bet, wager any item of tangible value or provide information to individuals involved in athletic gambling activities.

Any behavior exhibiting racial, ethnic, religious or sexual harassment is prohibited. Physical or verbal abuse or offensive behavior will not be tolerated. "A just community committed to diversity acknowledges the uniqueness of the individual and her/his socio-cultural context, and provides systems and structures to support and promote the full, fair, and respected participation of all members. It holds as paramount the dignity of all people. It strives for acceptance, participation, and interdependence" (*Ohio University Statement on Hate Motivated Behavior*).

Hazing

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Any form of hazing related to participation on any intercollegiate athletics team or other campus related group will not be condoned nor tolerated. According to Ohio Revised Code 2903.31, Hazing is defined as "doing any act or coercing another, including the victim, to do any act of initiation into a student or other organization that causes or creates a substantial risk of causing mental or physical harm to any person." [For additional information, please see the Ohio University Statement on Hazing, http://www.ohio.edu/communitystandards/process/hazing.cfm.](#)

Social Media & Electronic Communications

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Student-Athletes are responsible for information contained in written or electronic transmissions (e.g., email) and any information posted in a public domain, (e.g., internet, chat room, [Twitter](#), Facebook, You Tube, MySpace). ~~(see Ohio Policy & Procedure 91.003: Computer and Network Use: <http://www.ohio.edu/policy/91-003.html>).~~

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Student-athletes are not precluded from participation in such online social networks or cyber communities. However, student-athletes should be reminded that they serve as representatives of Ohio University. As such, student-athletes' sites are reflective of themselves, their team, their coach, the Department of Athletics and Ohio University.

Inappropriate or embarrassing information or pictures ~~will should~~ not be posted to any public domain. Displaying indiscreet or hurtful comments about student-athletes, coaches, teams, administrators and/or the Department of Athletics will not be tolerated. Upon request, a student-athlete must grant access for coaches and/or department administrators to view his/her account.

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Prohibited Use or Possession of Alcohol and Other Drugs

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The possession or consumption of alcoholic beverages or illegal substances on a team trip or during any team-related function is prohibited. This includes, but is not limited to, travel to and from an athletics event, before or after an athletics contest, during team gatherings and any time the team is together in an official capacity.

The use or sale of illegal drugs is prohibited. The possession and consumption of alcohol by persons under the age of 21 is illegal and is prohibited.

Notification Requirements

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Student-athletes are expected to communicate to their Head Coach any ~~violation of law and/or university policy legal or campus related violation or charge~~ within twelve (12) hours of the incident. For violations that occur outside of the Athens community area, such as during a vacation period, student-athletes are expected to communicate with the Head Coach within 24 hours of the incident. The Head Coach will immediately notify the ~~Sport Supervisor and may also notify the Office of Community Standards and Student Responsibility. Athletics Director.~~ Failure of the student-athlete to communicate such an incident ~~will may~~ result in ~~an automatic additional disciplinary action from the Athletics Department, one game suspension.~~ ~~This one game suspension is in addition to possible game suspensions that are appropriate related to this code.~~

Ohio Athletics Disciplinary Policy

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Student-athletes shall conduct themselves with honesty and sportsmanship at all times so that intercollegiate athletics as a whole, Ohio University and they, as individuals, shall represent the honor and dignity of fair play and the generally recognized high standards associated with wholesome competitive sports (*NCAA Bylaw 10.01.1*).

Ohio Athletics Disciplinary Policy

Failure to meet any of the Student-Athlete Code of Responsibility, the Student-Athlete Code of Conduct and/or the Ohio University Student Code of Conduct may result in termination of your status and a student-athlete and cancellation or gradation of your financial aid (see NCAA Bylaws 15.3.4 and 15.3.5).

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Violations of the Ohio Athletics Student-Athlete Code of Conduct will result in immediate disciplinary action, above and beyond what action may be taken by the Office Community standards and Student Responsibility on of University Judiciaries behalf of the institution. Please see the Ohio University Student Code of Conduct for more information: www.ohio.edu/communitystandards/code/index.cfm

Violations are categorized into levels based on the severity of the offense, and the corresponding discipline action will reflect the circumstances and severity of the offense. The Executive Senior Associate Athletic Director, in consultation with the Director of Community Standards & Student Responsibility, will determine the appropriate level of offense.

A -student-athlete -may appeal disciplinary action if he/she believes his/her situation presents special circumstances by the assigned sanctions are inappropriate, and/or if the student-athlete presents new evidence which suggests that he/she did not violate the Student code of Conduct and/or this policy or if he/she believes a procedural defect occurred-to be imposed are manifestly unfair or there is significant evidence that would justify a different outcome (see Appeal of Disciplinary Action). Individual team policies may result in a greater, but not lesser, penalty than what is described herein.

The number of suspended competitions will be based upon the number of scheduled NCAA contests and will be served during the championship season. Suspension's will be appropriate and may carry over to the next competitive season.

All departmental disciplinary penalties will be enforced at a time that reflects appropriate due process considerations. This determination will be made in consultation between the Executive Senior Associate Athletic Director and Head Coach and will be approved by the Athletics Director.

Level 1- University-identified Code B Offenses

Campus and/or Residence Hall Violations (e.g., noise or trash citations in residence halls or citations for violating other campus rules or policies)

In addition to University determined sanctions:

- Violation will result in a verbal reprimand from the Head Coach.
- A subsequent level 1 violation may result in additional sanctions based upon the student-athlete's behavioral history and individual situation.
- Verbal and Written Reprimands. The minimum response for Code B offenses will be a verbal reprimand from the coach and/or a written reprimand from the Executive Senior Associate Athletic Director. A meeting between the student-athlete, the Head Coach, the Sport Supervisor and the Executive Senior Associate Athletic Director may be required.
- Suspension. Conduct which could result in suspension from participation in intercollegiate athletics will be determined based upon the severity of the offense, the student-athlete's behavioral history and the individual situation. Such a decision will be made in consultation between the Executive Senior Associate Athletic Director and the Head Coach. If the parties

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are unable to agree on an appropriate sanction, the decision of the Executive Senior Associate Athletic Director will prevail.

Violations may result in a suspension of up to 25% of the NCAA authorized athletics contests, depending upon the severity of the offense (standard rounding rules apply [e.g., 1.5 = 2 games]).

- Parental Notification. The Head Coach may require that the student-athletes parent(s) or legal guardian(s) are notified. This phone call must be made in accordance with FERPA and Ohio University Policy and Procedure.
- Appeals. Appeals may be directed to the Athletic Director. The decision of the Athletic Director is final.

Level 2-University-identified Code a Offenses

Campus Substance Violations (e.g., alcohol or substance violations on campus of a nature that does not result in an arrest or a required court appearance)

In addition to University determined sanctions:

- ~~Violation will result in a written reprimand from the Athletics Director. Depending upon the severity of the offense, a minimum of a 5% suspension of NCAA permissible contests and/or practice may be appropriate (Standard rounding rules apply [e.g., 1.5 = 2 games]). A possible suspension will be determined based upon the severity of the offense, the student athlete's behavioral history and the individual situation. Such a decision will be made in consultation between the Athletics Director and Head Coach. If the parties are unable to agree on an appropriate sanction, the decision of the Athletics Director will prevail.~~
- ~~A subsequent level 2 violation will result in a 10% suspension of NCAA permissible contests.~~
- ~~This penalty will be enforced at the time the student athlete is cited with the violation. If an athletics suspension is appropriate it may carry over to the next competitive season.~~
- ~~All student athletes are subject to Ohio University's expectations regarding alcohol which include:~~
 - ~~Depending upon the severity of the specific misbehavior, a first offense of the Ohio University Student Code of Conduct will result in reprimand, probation, suspension or expulsion.~~
 - ~~Sanctions for alcohol related violations will include a referral to an appropriate University intervention program as well as a \$100 fine.~~
 - ~~If a student has earned fewer than ninety (90) credit hours and is under the age of 21, parents or guardians will be notified if student is found responsible for an alcohol related violation of the Ohio University Student Code of Conduct.~~

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- ~~If a student is found responsible for an alcohol related offense while on probation for an alcohol related offense (even if either is minor), the student can expect to be suspended from the University.~~
 - Verbal and Written Reprimands. The minimum response for Code A offenses will be a written reprimand from the Executive Senior Associate Athletic Director and/or a meeting between the student-athlete, the Head Coach, the Sport Supervisor and the Executive Senior Associate Athletic Director.
 - Suspension. Conduct which could result in suspension from participation in intercollegiate athletics will be determined based upon the severity of the offense, the student-athlete's behavioral history and the individual situation. Such a decision will be made in consultation between the Executive Senior Associate Athletic Director and Head Coach. If the parties are unable to agree on an appropriate sanction, the decision of the Executive Senior Associate Athletic Director will prevail.
- Violations may result in a suspension of up to 100% of NCAA authorized athletics contests, depending upon the severity of the offense (standard rounding rules apply [e.g., 1.5 = 2 games]).
- Post-Suspension Probation. At the conclusion of the period of suspension, the student-athlete may be placed on athletic probation. A subsequent offense of the same nature at any time during the student-athlete's career may result in further suspension and/or loss of athletics aid, or dismissal from the team. The Executive Senior Associate Athletic Director and Head Coach will review each case based on the facts presented. If the parties are unable to agree on an appropriate sanction, the decision of the Executive Senior Associate Athletic Director will prevail.
 - Parental Notification. The Head Coach will ensure that the student-athletes parent(s) or legal guardian(s) are notified. This phone call must be made in accordance with FERPA and Ohio University Policy and Procedure.
 - Appeals. Appeals may be directed to Athletic Director. The decision of Athletic Director is final.

Level 3

Lower Level Misdemeanors (e.g., alcohol or substance violations resulting in an arrest and/or a required court appearance; those incidents where the student athlete has placed himself/herself in a position where he/she could do harm to himself/herself or others; attempting to purchase, purchasing or possessing alcohol while underage, disorderly conduct, minor misdemeanor drug possession or use, possession of drug paraphernalia, resisting arrest without physical harm to the law enforcement officer)

- ~~If arrested, the student athlete will be placed on immediate suspension until the facts of the incident are reviewed by the Athletics Director and Head Coach. During the period of review, the student athlete will not be permitted to participate in any athletically related activity, including but not limited to, team meetings, team travel, practice or competition. Each case will be reviewed within four business days of the incident.~~

- ~~The violation will result in a suspension from 10-25% of NCAA authorized athletics contests, depending upon the severity of the offense (Standard rounding rules apply [e.g., 1.5 = 2 games]). The percent of suspension will be based on the number of NCAA permissible contests and ultimately approved by the Athletics Director. Suspension's will be appropriate and may carry over to the next competitive season.~~
- ~~In addition to any court sanction, the student athlete will be required to complete an Ohio University approved counseling and evaluation session and may be required to participate in an educational program, consistent with sanctions imposed by University Judiciaries (e.g., BASICS course).~~
- ~~The Head Coach will have the student athlete call the student athletes parent(s) or legal guardian. This phone call must be made in the presence of the Head Coach.~~
- ~~The student athlete will be placed on probation for a period of one calendar year. A subsequent offense during the probationary period may result in loss of athletics privileges for the remainder of the academic year. The Athletics Director and head coach will review each case based on the facts presented. If the parties are unable to agree on an appropriate sanction, the decision of the Athletics Director will prevail. Additional sanctions for a second offense may be made following the resolution of the second charge.~~

Level 4

Serious Misdemeanors (e.g., OMVI, assault, drug possession or use classified above a minor misdemeanor, shoplifting, theft, sexual misconduct, resisting arrest with physical harm to the law enforcement officer.)

- ~~Violation will result in suspension from 50% of athletics contests.~~
- ~~If arrested, the student athlete will be placed on immediate suspension until the facts of the incident are reviewed by the Athletics Director and Head Coach. During the period of review, the student athlete will not be permitted to participate in any athletically related activity, including but not limited to, team meetings, team travel, practice or competition. Each case will be reviewed within four business days of the incident.~~
- ~~The student athlete will be required to complete an Ohio University approved counseling and evaluation program and may be required to participate in an educational program.~~
- ~~The Head Coach will have the student athlete call the student athletes parent(s) or legal guardian. This phone call must be made in the presence of the Head Coach in accordance with FERPA and Ohio University Policy and Procedure.~~
- ~~If misdemeanor charges result in a sentence which involves serving jail time, the student athlete will be suspended from all athletic activities until the time has been served.~~
- ~~The student athlete will be placed on probation for the remainder of his/her time at Ohio University. A subsequent offense of the same nature at any time during the student athlete's~~

career will result in dismissal from the team and loss of athletics aid. Loss of aid may initiate at time of conviction.

- A subsequent offense of a less severe nature within a one calendar year period may result in dismissal from the team and loss of athletics aid. The Athletics Director and Head Coach will review each case based on the facts presented. Additional sanctions for a second offense of a less severe nature may be made following the resolution of the second charge.

Level 5

Felonies (e.g., any felony regardless of the nature of the charge)

- A level 5 charge will result in immediate suspension from all athletic related events.
- A level 5 conviction will result in immediate dismissal from the team and loss of athletics aid.

Appeal of Disciplinary Action

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Appeals may be filed for the following reasons:

- inappropriate sanction;
- procedural defect in application of the sanction(s) under this policy; and/or
- new evidence

1) Inappropriate sanction. A student-athlete may appeal disciplinary action if he/she believes the assigned sanctions are inappropriate. A sanction will be deemed inappropriate only where there is demonstrated abuse of discretion by the sanctioning authority. Individual team policies may result in a greater, but not lesser, penalty than what is described herein.

2) Procedural defect. A student-athlete may appeal disciplinary action if the prescribed process for imposing disciplinary sanctions was not followed.

3) New evidence. A student-athlete may appeal disciplinary action if the new evidence is found to be substantial enough to indicate that the student-athlete did not violate the Ohio University Student Code of Conduct and/or this policy.

To appeal a disciplinary decision, the student-athlete must request a meeting with the Athletic Director, in writing, within two business days of notification of disciplinary action. Once the request for appeal is granted, a meeting between the Athletic Director, the Executive Senior Associate Athletic Director, the Head Coach and the student-athlete will be scheduled as soon as is practical.

The Athletic Director will examine the information provided by the Executive Senior Associate Athletic Director and the student-athlete, and will either uphold the recommendation of the Executive Senior Associate Athletic Director or take action that is deemed more appropriate. Such action could include implementing a more or less-restrictive disciplinary sanction or rescinding the disciplinary sanction altogether. The Athletic Director will have up to ten (10) days from the meeting to make a decision.

~~A student athlete may appeal disciplinary action if he/she believes his/her situation presents special circumstances by which the assigned sanctions to be imposed are manifestly unfair or there is significant evidence that would justify a different outcome.~~

~~To appeal a disciplinary decision, the student athlete must request a meeting with the Athletics Director, in writing, within ten business days of the incident. Once the request for appeal is~~

~~granted, a meeting between the Athletics Director, Head Coach and student athlete will be scheduled as soon as is practical.~~

~~If a satisfactory agreement is not reached between the Athletics Director and the student athlete, the student athlete may appeal the decision in writing to the Vice President for Student Affairs. The Vice President for Student Affairs will examine the information provided by the Athletics Director and the student athlete and will either uphold the recommendation of the Athletics Director or take action that is deemed more appropriate. Such action could include implementing a more or less restrictive disciplinary sanction or rescinding the disciplinary sanction altogether. The Vice President for Student Affairs will have thirty (30) days to make a decision, but may decide on a longer period if necessary, and the Vice President for Student Affairs may or may not request a meeting with the student athlete.~~

~~All sanctions originally levied shall remain in place during the appellate process, unless determined otherwise by the Athletics Director. The decision of the Athletic Director is final. the Vice President for Student Affairs is final. No further appeal of disciplinary athletics sanctions is available.~~

Policy Review

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~~This policy is subject to review by Ohio University Student Code of Conduct Review and Standards Committee an annual review by the Interscholastic Athletics Committee. The frequency of the review will be determined by the President or his/her designee. Failure to meet any of the Student Athlete Code of Responsibility, the Student Athlete Code of Conduct and/or the Ohio University Student Code of Conduct may result in termination of your status as a student athlete and cancellation or graduation of your financial aid (see NCAA Bylaws 15.3.4 and 15.3.5).~~

Encouraging Good Sportsmanlike Conduct

~~Good sportsmanlike conduct means more than the absence of negative actions in public. The Athletics Director, as well as each Head Coach, is responsible for providing conduct instruction to student athletes by disseminating information on the following positive approaches when on the playing field:~~

- ~~• Techniques for communicating with officials and opponents on routine matters during athletic contests.~~
- ~~• Techniques for maintaining control during emotionally charged situations, including assisting a teammate or colleague who appears to be losing control.~~
- ~~• Techniques for reacting in a positive manner to an aggressive action by an individual or a group.~~

~~Instruction should also define actions, which constitute inappropriate conduct and include techniques for avoiding such behavior. Actions viewed as inappropriate include:~~

- ~~• Physical or verbal abuse of officials, coaches, opponents, or spectators.~~
- ~~• Throwing of objects.~~

- ~~Unauthorized seizure of equipment from officials or the media.~~
 - ~~Inciting players or spectators to negative actions or to any behavior that insults or defiles an opponent's tradition.~~
 - ~~Use of obscene or otherwise inappropriate language or gestures.~~
 - ~~Making public statements which are negative, controversial, or outside ICA's media policy.~~
- ~~Participating in any action that violates the generally recognized ethical standards of intercollegiate athletics or of the university.~~

Title	First Name	Middle Name	Last Name	Degree	Department	Campus	Promotion and Tenure Decisions
COLLEGE OF ARTS AND SCIENCES							
Dr.	Robin		Muhammad	Ph.D.	Department of African American Studies	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Willem	Martijn	Roosenburg	Ph.D.	Department of Biological Sciences	Athens	Promotion to the Rank of Full Professor
Dr.	Hao		Chen	Ph.D.	Department of Chemistry and Biochemistry	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Jennifer	V	Hines	Ph.D.	Department of Chemistry and Biochemistry	Athens	Promotion to the Rank of Full Professor
Dr.	Jeffrey	J	Rack	Ph.D.	Department of Chemistry and Biochemistry	Athens	Promotion to the Rank of Full Professor
Dr.	Loren	D	Lybarger	Ph.D.	Department of Classics and World Religions	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Bolong		Cao	Ph.D.	Department of Economics	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Jill	P	Ingram	Ph.D.	Department of English	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Paul	C	Jones	Ph.D.	Department of English	Athens	Promotion to the Rank of Full Professor
Dr.	Katarzyna	Joanna	Marciniak	Ph.D.	Department of English	Athens	Promotion to the Rank of Full Professor
Dr.	Ghirmai		Negash	Ph.D.	Department of English	Athens	Promotion to the Rank of Full Professor
Dr.	Jared		DeForest	Ph.D.	Department of Environmental and Plant Biology	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Geoffrey	L	Buckley	Ph.D.	Department of Geography	Athens	Promotion to the Rank of Full Professor
Dr.	Harold	A	Perkins	Ph.D.	Department of Geography	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Daniel	I	Hembree	Ph.D.	Department of Geological Sciences	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Keith	A	Milam	Ph.D.	Department of Geological Sciences	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Michele		Clouse	Ph.D.	Department of History	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Miriam		Shadis	Ph.D.	Department of History	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Gregory	K	Kessler	Ph.D.	Department of Linguistics	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Wei		Lin	Ph.D.	Department of Mathematics	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Tatiana		Savin	Ph.D.	Department of Mathematics	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Xiaoping		Shen	Ph.D.	Department of Mathematics	Athens	Promotion to the Rank of Full Professor
Dr.	Yolande	Aline	Helm	Ph.D.	Department of Modern Languages	Athens	Promotion to the Rank of Full Professor
Dr.	Robert		Briscoe	Ph.D.	Department of Philosophy	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Markus		Boettcher	Ph.D.	Department of Physics and Astronomy	Athens	Promotion to the Rank of Full Professor
Dr.	Julie		Roche	Ph.D.	Department of Physics and Astronomy	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Eric	A	Stinaff	Ph.D.	Department of Physics and Astronomy	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Sarah		Poggione	Ph.D.	Department of Political Science	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Myra	A	Waterbury	Ph.D.	Department of Political Science	Athens	Promotion to the Rank of Associate Professor with Tenure
COLLEGE OF BUSINESS							
Dr.	Vikram	Arjun	Matta	Ph.D.	Department of Management Information Systems	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Christopher	Reynold	Moberg	D.B.A.	Department of Marketing	Athens	Promotion to the Rank of Full Professor
Dr.	Yong		Wang	Ph.D.	Department of Marketing	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Bradley	David	Ridpath	Ed.D.	Department of Sports Administration	Athens	Promotion to the Rank of Associate Professor with Tenure
COLLEGE OF FINE ARTS							
Ms.	Julie		Dummermuth	M.F.A.	School of Art	Athens	Promotion to the Rank of Associate Professor with Tenure
Mr.	Travis	D	Gatling	M.F.A.	School of Dance	Athens	Promotion to the Rank of Full Professor
Dr.	Louis-Georges		Schwartz	Ph.D.	School of Film	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Andrea		Frohne	Ph.D.	School of Interdisciplinary Arts	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Vladimir	Leonidovich	Marchenkov	Ph.D.	School of Interdisciplinary Arts	Athens	Promotion to the Rank of Full Professor
Dr.	Marina	L	Peterson	Ph.D.	School of Interdisciplinary Arts	Athens	Promotion to the Rank of Associate Professor with Tenure

Title	First Name	Middle Name	Last Name	Degree	Department	Campus	Promotion and Tenure Decisions
COLLEGE OF HEALTH SCIENCES AND PROFESSIONS							
Dr.	Timothy	James	Ryan	Ph.D.	Department of Social and Public Health	Athens	Promotion to the Rank of Full Professor
Dr.	Alexander	V	Sergeev	M.D.	Department of Social and Public Health	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Fuh-Cherng		Jeng	M.D.	School of Rehabilitation and Communication Sciences	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	James	Scott	Thomas	Ph.D.	School of Rehabilitation and Communication Sciences	Athens	Promotion to the Rank of Full Professor
HERITAGE COLLEGE OF OSTEOPATHIC MEDICINE							
Dr.	Brian	C	Clark	Ph.D.	Department of Biomedical Sciences	Athens	Promotion to the Rank of Full Professor
Dr.	Mario	Javier	Grijalva	Ph.D.	Department of Biomedical Sciences	Athens	Promotion to the Rank of Full Professor
Dr.	Susan	H	Williams	Ph.D.	Department of Biomedical Sciences	Athens	Promotion to the Rank of Full Professor
PATTON COLLEGE OF EDUCATION							
Dr.	Christine	Suniti	Bhat	Ph.D.	Department of Counseling and Higher Education	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Valerie	M	Conley	Ph.D.	Department of Counseling and Higher Education	Athens	Promotion to the Rank of Full Professor
Dr.	Yagambaram		Pillay	Ph.D.	Department of Counseling and Higher Education	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	John		Hitchcock	Ph.D.	Department of Educational Studies	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Christopher	Bruce	Martin	Ph.D.	Department of Recreation and Sport Pedagogy	Athens	Promotion to the Rank of Associate Professor with Tenure
REGIONAL HIGHER EDUCATION							
Dr.	Mohannad	Ghazi	Al-Saghir	Ph.D.	Biological Sciences	Zanesville	Promotion to the Rank of Associate Professor with Tenure
Dr.	Tarig		Higazi	Ph.D.	Biological Sciences	Zanesville	Promotion to the Rank of Associate Professor with Tenure
Mr.	Brian	R	Hoyt	M.B.A.	Business Management Technology	Lancaster	Promotion to the Rank of Full Professor
Dr.	Mikiko	Lee	Crawford	Ph.D.	Communication Studies	Southern	Promotion to the Rank of Full Professor
Dr.	Lisa	Stein	Haven	Ph.D.	English	Zanesville	Promotion to the Rank of Associate Professor with Tenure
Mr.	Michael	D	Lafreniere	M.S.	Environmental Engineering Technology	Chillicothe	Promotion to the Rank of Associate Professor
Dr.	Viet	Dung	Nguyen	Ph.D.	Mathematics	Zanesville	Promotion to the Rank of Full Professor
Dr.	Beatrice		Giannandrea	Ph.D.	Modern Languages	Zanesville	Promotion to the Rank of Associate Professor with Tenure
Ms.	Nicole		Pennington	M.S.N	Nursing	Southern	Promotion to the Rank of Associate Professor with Tenure
RUSS COLLEGE OF ENGINEERING AND TECHNOLOGY							
Dr.	Deborah	S	McAvoy	Ph.D.	Department of Civil Engineering	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Eric	P	Steinberg	Ph.D.	Department of Civil Engineering	Athens	Promotion to the Rank of Full Professor
Dr.	Diana	J	Schwerha	Ph.D.	Department of Industrial and Systems Engineering	Athens	Promotion to the Rank of Associate Professor with Tenure
Dr.	Avinash	Karanth	Kodi	Ph.D.	School of Electrical Engineering and Computer Science	Athens	Promotion to the Rank of Associate Professor with Tenure
SCRIPPS COLLEGE OF COMMUNICATION							
Dr.	Lynn	M	Harter	Ph.D.	School of Communication Studies	Athens	Promotion to the Rank of Full Professor

**FACULTY AND ADMINISTRATIVE
EMERITUS/EMERITA AWARDS
ADDENDUM TO AWARDEES APPROVED APRIL 20, 2012
RESOLUTION 2012**

WHEREAS, the following individuals have rendered dedicated and outstanding service to Ohio University, and

WHEREAS, their colleagues and supervisors have recommended action to recognize their service,

THEREFORE, BE IT RESOLVED that emeritus/emerita status be awarded the individuals below upon their retirement from Ohio University.

First Name	Middle Name	Last Name	Campus	Yrs. Serv.	Emeritus/Emerita Title
Patrick	Scott	Washburn	Athens	28	Professor Emeritus of Journalism, Scripps College of Communication
Najee'	E.	Muhammad	Athens	14	Associate Professor Emeritus of Educational Studies, Patton College of Education

Appointment to Regional Coordinating Councils

RESOLUTION

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

Ohio University - Lancaster

Angela Krile

For a three-year term beginning July 1, 2012, and ending at the close of business June 30, 2015, vice Suellen Goldsberry, whose term expired.

Robert Walker

Reappointment of a second three-year term beginning July 1, 2012, and ending at the close of business June 30, 2015.

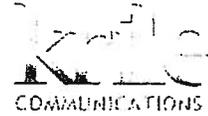
Ohio University - Zanesville

Tom Lyall

Reappointment of a second three-year term beginning July 1, 2012, and ending at the close of business June 30, 2015.

Judy Rebic

Reappointment of a second three-year term beginning July 1, 2012, and ending at the close of business June 30, 2015.



Angela Krile, President

Angela Krile, president of Krile Communications, has nearly 20 years of experience in helping to develop and implement strategic communications effort for organizations that range from small non-profit organizations to large, international corporations.

Her career has taken her backstage at the Victoria's Secret Fashion show; behind the scenes at Cirque du Soleil; to meetings with CEOs of Fortune 500 corporations; and inside the offices of local, state and national lawmakers. Angela has a keen understanding of effectively harnessing both the small-town grapevine and the power of big-city "PR," allowing her to help any size organization communicate to any size audience to meet their communications objectives. Specific examples of Angela's experience include the following:

- Leading the re-branding, message development and ongoing advocacy communications efforts for the Ohio Children's Hospital Association.
- Leading the development of award-winning marketing campaigns, community relations and public relations strategies for Central Ohio's largest credit union.
- Creating a systematic, proactive internal and external communications program for the nation's largest livestock marketing cooperative and overseeing ongoing implementation of the program.
- Directing and implementing internal and change communications in conjunction with senior management for national corporations such as The Longaberger Company and Tween Brands.
- Developing government affairs, media relations and corporate reputation strategies, plans and materials recognized as national best practices for Fortune 500 companies including The Coca-Cola Company, Miller Brewing Company, Kraft Foods, and Altria Group.
- Managing communications messaging and initiatives for winning state and local ballot initiatives, including the State Issue 1 - *Jobs for Ohio* 2005 Ohio ballot issue, Columbus Zoo 2004 Franklin County replacement levy and local school and library ballot issues.
- Managing the marketing and communications efforts for international arts programs including *Chihuly at the Conservatory* and *Cirque du Soleil*.

A native of Sugar Grove, Ohio, Angela received her degree at the prestigious E.W. Scripps School of Journalism at Ohio University, helped to form the school's alumni society as a founding officer, and has served on Ohio University's National Alumni Board. She is a member of the Lancaster Rotary, the Ohio University-Lancaster fundraising campaign committee, the Fairfield County 4-H Endowment Committee and volunteers with the Fairfield Center for disAbilities and Cerebral Palsy. She is an active member of the Lancaster-Fairfield County Chamber of Commerce and Destination Downtown Lancaster.

Ms. Krile was named to the 2006 class of *Business First's* "Forty Under 40," is a member of the Leadership Columbus class of 2006 and the Public Relations Society of America, and serves as a volunteer with numerous community organizations. She has been a featured speaker on communications issues at Iowa State University, Ohio University, Capital University and The Ohio State University.

Angela lives on a farm with her husband, Greg, who is a high school math teacher, and their two sons.



ABOUT KRILE COMMUNICATIONS

Services

Krile Communications is a consulting firm specializing in strategic communications, marketing and public relations. Our primary goal is to help clients get the right message, to the right audience, at the right time and in the right way. With Krile Communications, you're not just getting a consultant...you're getting a partner who is truly invested in your success.

Krile Communications offers a full range of consulting services from developing ongoing, comprehensive programs to executing project-based work. Services include the following:

- Strategy and Message Development
- Public Affairs Support
- Internal and Change Communications
- Public Relations and Public Engagement
- Media Relations and Media Coaching
- Social and Web Media
- Marketing and Marketing Materials Production
- Project Management
- Facilitation of Brainstorming and Strategic Planning Sessions
- Presentation/Speech Preparation and Coaching
- Copywriting and Editing

Additionally, we bring together the best professionals in the business to provide graphic design, video production, back-end web development and other support services based on client needs.

Clients

A sampling of Krile Communications clients includes the following:

- American Academy of Pediatrics, Ohio Chapter
- Buffalo Wild Wings (Lancaster Wings Inc. franchise locations)
- Decorative Arts Center of Ohio
- Fairfield County Foundation
- FairHoPe Hospice and Palliative Care
- Geneva Hills
- Hamburg Fireworks Display
- Honda Trading
- Integrated Ag Services
- Ohio Children's Hospital Association
- Ohio Dental Association
- Telhio Credit Union
- United Producers Inc.

Walter C. Clay and Christina Stevens Clay Conference Room

RESOLUTION 2012 –

WHEREAS, Mary Ellen Clay appreciated the role of education and health care in improving the quality of life, and

WHEREAS, Mary Ellen Clay desired to improve the quality of life in her home region by establishing a scholarship with Ohio University for nursing majors from Harrison, Tuscarawas, Guernsey, and Belmont Counties in Ohio, and

WHEREAS, Mary Ellen Clay desired to honor her parents through this generous gift.

NOW, THEREFORE, BE IT RESOLVED that the School of Nursing conference room, Grover Center E363, on the Ohio University Athens Campus shall be named the Walter C. Clay and Christina Stevens Clay Conference Room, in honor of Mary Ellen Clay's parents.

Patricia and Michael McTeague Reading Room

RESOLUTION 2012 –

WHEREAS, Michael McTeague, MA 1967, is deeply appreciative of the education received at Ohio University and his career as Associate Dean Eastern Campus, and

WHEREAS, Mr. McTeague desires to honor his late wife, Patricia McTeague, BSED 1965, MED 1982, who was employed for many years in the Ohio University Eastern Campus Library, and

WHEREAS, Mr. McTeague has generously funded the renovation of the Ohio University Eastern Campus reading room, which will provide quiet space for students to study, read, and work individually or on small group projects,

NOW, THEREFORE, BE IT RESOLVED that the reading room on the Ohio University Eastern Campus shall be named the Patricia and Michael McTeague Reading Room.

Cora E. Rogge Pavilion

RESOLUTION 2012 –

WHEREAS, Cora E. Rogge was a long-time, philanthropic resident of Zanesville, Ohio, who established a testamentary trust to improve the quality of life for area residents, and

WHEREAS, the Cora E. Rogge Trust and its advisory board has been very generous to Ohio University Zanesville Campus in funding its comprehensive master plan, landscaping, and pavilion construction, and

WHEREAS, the pavilion will serve as an outdoor classroom and gathering place for persons enjoying the walking trails and recreational areas on campus.

NOW, THEREFORE, BE IT RESOLVED that the pavilion on the Ohio University Zanesville Campus shall be named the Cora E. Rogge Pavilion.

Revisions to Faculty Senate Constitution

Resolution 2012 –

WHEREAS, on February 20, 2012, Faculty Senate passed a resolution that proposed changing the Faculty Senate schedule for monthly meetings and annual elections of senators and senate officers in order to adjust to the University's new semester calendar.

WHEREAS, the Senate has reviewed and voted approval of the proposed changes,

NOW BE IT THEREFORE RESOLVED, that the Ohio University Board of Trustees accepts and approves, as amended, the new constitution of the Faculty Senate.



OHIO
UNIVERSITY

Faculty Senate

Pilcher House 202
Athens OH 45701-2979

T: 740.593.2641
F: 740.597.1277
[www.ohio.edu/facsen/
welcome.htm](http://www.ohio.edu/facsen/welcome.htm)

May 23, 2012

TO: Thomas Davis, Secretary, Board of Trustees
FROM: Joseph McLaughlin, Chair, Faculty Senate

Re: Board Approval for Change to Faculty Senate Constitution

On February 20, 2012, Faculty Senate passed a resolution that proposes changing the Faculty Senate schedule for monthly meetings and annual elections of senators and senate officers. We did so in order to adjust to the University's new semester calendar.

Because this vote proposed a change to the Constitution of the Faculty Senate, it required approval of two-thirds of the membership of the Senate (See *Faculty Handbook* VI.A.Article 3.9). The resolution passed unanimously and was signed by the Provost on February 23, 2012

The Senate's Constitution then requires the amendment to be "submitted to the faculty for approval. A simple majority of those voting shall constitute an affirmative vote." In April 2012, ballots on the issue were distributed to approximately 900 Group I faculty and 300 Group II faculty on the Athens Campus, the College of Osteopathic Medicine, and the Regional Campuses.

We received 142 responses and all were in favor of the change.

The final stage in amending the Constitution is to obtain approval by the Board. I would request that the Board take action on this at its June 2012 meeting so that we can, with approval, incorporate this change and begin business on the new calendar in September.

**APPOINTMENT OF NATIONAL TRUSTEES
RESOLUTION 2012 -**

WHEREAS, the Ohio University Board of Trustees desires to invite one distinguished out-of-state University alumni to sit with Trustees and to participate in the deliberations of the Board and the life of the University, **for terms not to exceed three years respectively**

NOW, THEREFORE, BE IT RESOLVED that the following alumni be appointed as National Trustee to the Ohio University Board of Trustees.

To be named for a three year term:	John Patrick Campbell, BGS '71 Potomac, MD
------------------------------------	---

RESOLUTION 2012 –

STATEMENT OF EXPECTATIONS FOR BOARD MEMBERS

WHEREAS, on April 24, 2009, in Resolution No. 2009-3114, this Board adopted a Statement of Expectations intended to assist members of the Board of Trustees in fulfilling their roles and responsibilities in service to Ohio University and the citizens of the State of Ohio; and

WHEREAS, the Board has reviewed the Statement of Expectations and desires to amend it in order to ensure that it continues to address issues relevant to the responsibilities of the members of this Board;

NOW THEREFORE, BE IT RESOLVED, that the Ohio University Board of Trustees does hereby adopted the Statement of Expectations for Members of the Board of Trustees of Ohio University as amended and attached hereto.

Statement of Expectations for Members of the Board of Trustees of Ohio University

*Adopted by the Board of Trustees on April 24, 2009
Amended on June 22, 2012*

This Statement of Expectations is intended to provide guidelines and information to assist members of the Board of Trustees in fulfilling their roles and responsibilities in service to Ohio University and the citizens of the State of Ohio.

1. The Role of the Board

- a. The Board of Trustees is the governing body of Ohio University. It is a body politic and corporate under Ohio law and has the right to sue and be sued. The General Assembly has conferred upon the Board the authority to: adopt rules for the governance of the institution; hire and supervise the President, faculty and staff; oversee university finances; and control university property and facilities.
- b. The Board serves the citizens of the State of Ohio. It is responsible for ensuring that the university offers students an educational experience of the highest quality and produces research that provides economic and cultural benefits to the citizens of Ohio. It is also responsible for making efficient and effective use of state resources by working with the Governor, the Board of Regents and the other state universities through the University System of Ohio.
- c. The Board's primary concerns are strategic governance and accountability. It should adopt a strategic plan designed to ensure the long-term fulfillment of the university's teaching, research and service mission, monitor progress in achieving the plan's goals and update the plan as necessary. It should provide oversight to protect the university's fiscal integrity and make sure that the President, faculty and staff comply with all applicable laws and perform their responsibilities ethically and competently.
- d. The Board should adopt a procedure governing the creation and monitoring of corporate entities affiliated with the university.
- e. The Board should govern through the President and should refrain from becoming involved in day-to-day operations.
- f. The Board should recognize the important role that the principle of shared governance plays in institutions of higher education. It should seek input from faculty, staff and students and whenever possible incorporate their views into its decisions.

2. The Role of Individual Trustees

- a. Members of the Board of Trustees are stewards of the public trust. They have a fiduciary obligation to act in the best interests of the university and the State of Ohio. They must adhere to the highest ethical standards and perform their university duties without regard to any personal interests they may have. Trustees should understand and comply with state ethics laws and keep themselves informed of developments in these laws. They should avoid situations that may give rise to even the appearance of a conflict of interest and promptly disclose any conflicts of interest that may occur.
- b. Trustees should understand that they serve the institution as a whole and are not advocates for any particular unit or constituency of the university.
- c. Student Trustees have a unique responsibility to ensure that the views of students are heard in Board deliberations. They should also share with other students the Board's perspectives on University issues. In performing both of these functions, they should keep in mind the needs of all constituencies within the university.
- d. The Chair of the Ohio University Alumni Association Board of Directors is responsible for ensuring that the views of alumni are presented to the Board and for communicating to alumni the Board's perspectives on university issues.
- e. Service on the Board is a time consuming professional commitment. Trustees should attend all meetings of the Board and committees and should give notice to the Chair when they are unable to do so. Trustees should also make an effort to participate in conferences and other programs designed to educate and update Trustees and to attend commencements, convocations and other special events on campus.
- f. Trustees should be attentive during meetings and refrain from multitasking. They should treat the opinions of their colleagues on the Board as well as others participating in Board discussions with civility and respect and should be open to alternative points of view. They should respect and protect the confidentiality of matters discussed in executive sessions and should refrain from publicly or privately criticizing other Trustees or impugning their motives.
- g. Trustees should strive to make informed decisions based on an analysis of objective data. In their deliberations they should rely on the application of sound management principles and prudent business judgment. To ensure thorough consideration of Board decisions, they should review briefing materials and be prepared to actively participate in discussions.
- h. In order to make good decisions, Trustees need to engage in robust and thorough discussions of university issues in public meetings. Disagreements will occur and Trustees should seek productive ways to resolve them. Once a consensus is reached on an issue, all Trustees should respect the final decision of the Board.

- i. Trustees should keep themselves informed about issues and events at the local, state and national level that may affect the university and higher education in general.
- j. Trustees are encouraged to offer financial support to the university in accordance with their means.
- k. Trustees should understand and comply with the Ohio Public Records and Open Meetings Laws and should keep themselves informed of developments in these laws.

3. The Board's Relationship with the President

- a. The Board delegates responsibility for all aspects of institutional management to the President. The Board and individual Trustees should refrain from involvement in operational matters except as necessary to fulfill their fiduciary duties.
- b. The Board and the President should agree on clearly defined institutional goals and strategies for achieving them.
- c. The Board should hold the President accountable for achieving institutional goals. Evaluation of the President should be an ongoing process with the Board offering candid and constructive feedback as necessary. In accordance with Board policy, formal evaluations should be conducted on a regular basis.
- d. The President reports to the Board as a whole and not to individual Trustees. Trustees who have concerns about the President's performance should convey them to the Board Chair who will take appropriate action to address the concern. The Chair will report back to the Trustee who raised the concern in a timely manner.
- e. Individual Trustees should develop a comfortable working relationship with the President. They are encouraged to interact with the President one-on-one as needed to share information, concerns or advice but they should remember that when they do so they are not speaking for the entire Board.

4. The Board's Relationship with Internal Constituencies

- a. Trustees are encouraged to interact informally with administrators, faculty and students, bearing in mind that they do so as individual members of the Board. They should avoid any statements that would give rise to the perception that they speak for the entire Board.
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- d. Consistent with the principle of shared governance, the faculty, through the Faculty Senate, plays an active advisory role to the administration and the Board of Trustees on all academic matters, including but not limited to academic standards, research, admissions, curriculum and the granting of degrees. The Faculty Senate initiates policies relating to university-wide academic matters, the rights and responsibilities of faculty and faculty grievances. The Board should respect the role of the Senate in these areas and should also consider advice from the Senate on matters of general concern to the university community.
- e. The Board should encourage the President and administrators to involve individual faculty and students in the development of institutional goals and priorities. The active participation of faculty and students in these matters will give them a broader understanding of institutional governance and will enrich the Board's understanding of faculty and student views on university issues.

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Statement of Expectations for Members of the Board of Trustees of Ohio University

Adopted by the Board of Trustees on April 24, 2009

This Statement of Expectations is intended to provide guidelines and information to assist members of the Board of Trustees in fulfilling their roles and responsibilities in service to Ohio University and the citizens of the State of Ohio.

1. The Role of the Board

- a. The Board of Trustees is the governing body of Ohio University. It is a body politic and corporate under Ohio law and has the right to sue and be sued. The General Assembly has conferred upon the Board the authority to: adopt rules for the governance of the institution; hire and supervise the President, faculty and staff; oversee university finances; and control university property and facilities.
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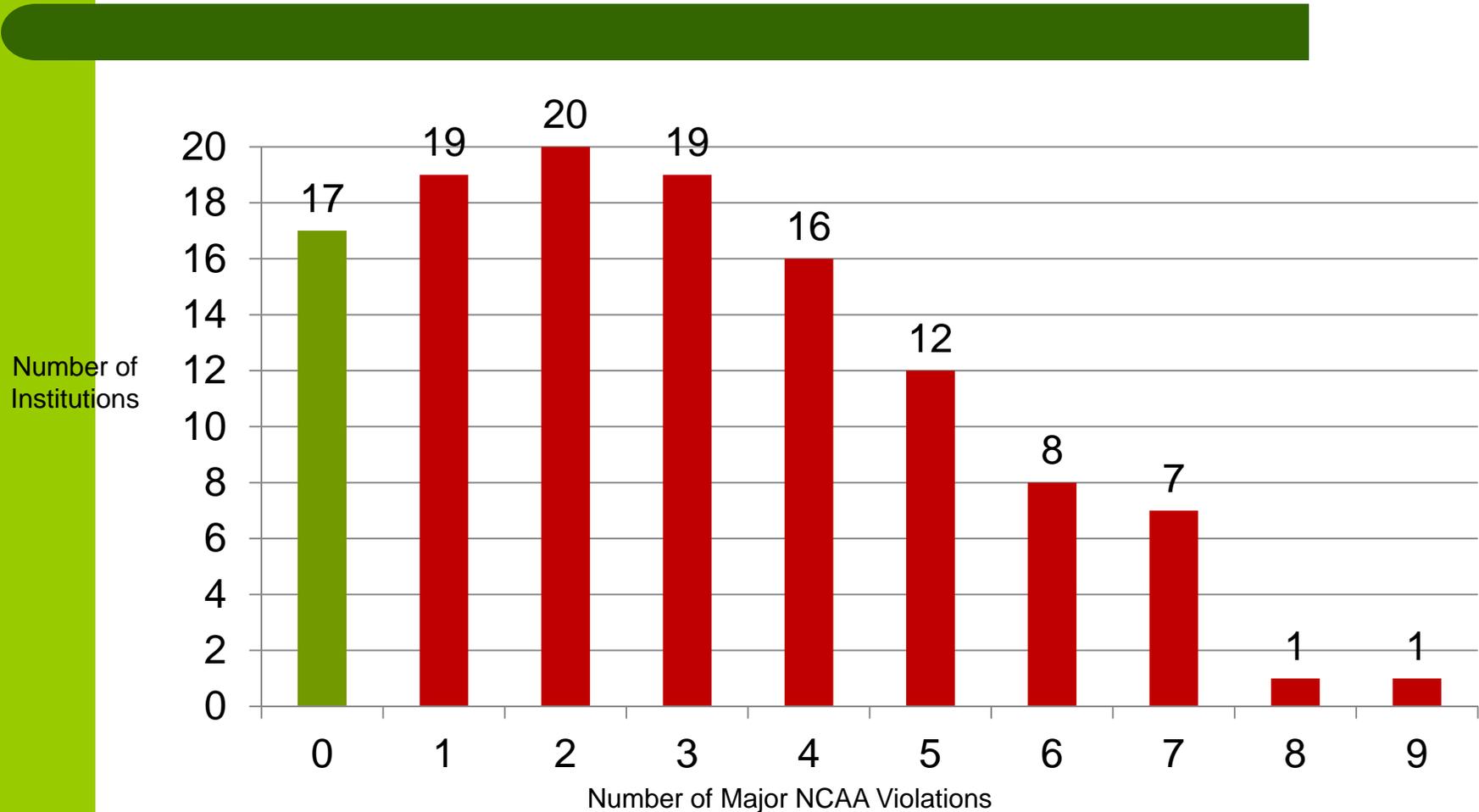
*OHIO UNIVERSITY
DEPARTMENT OF ATHLETICS*

INSTITUTIONAL CONTROL

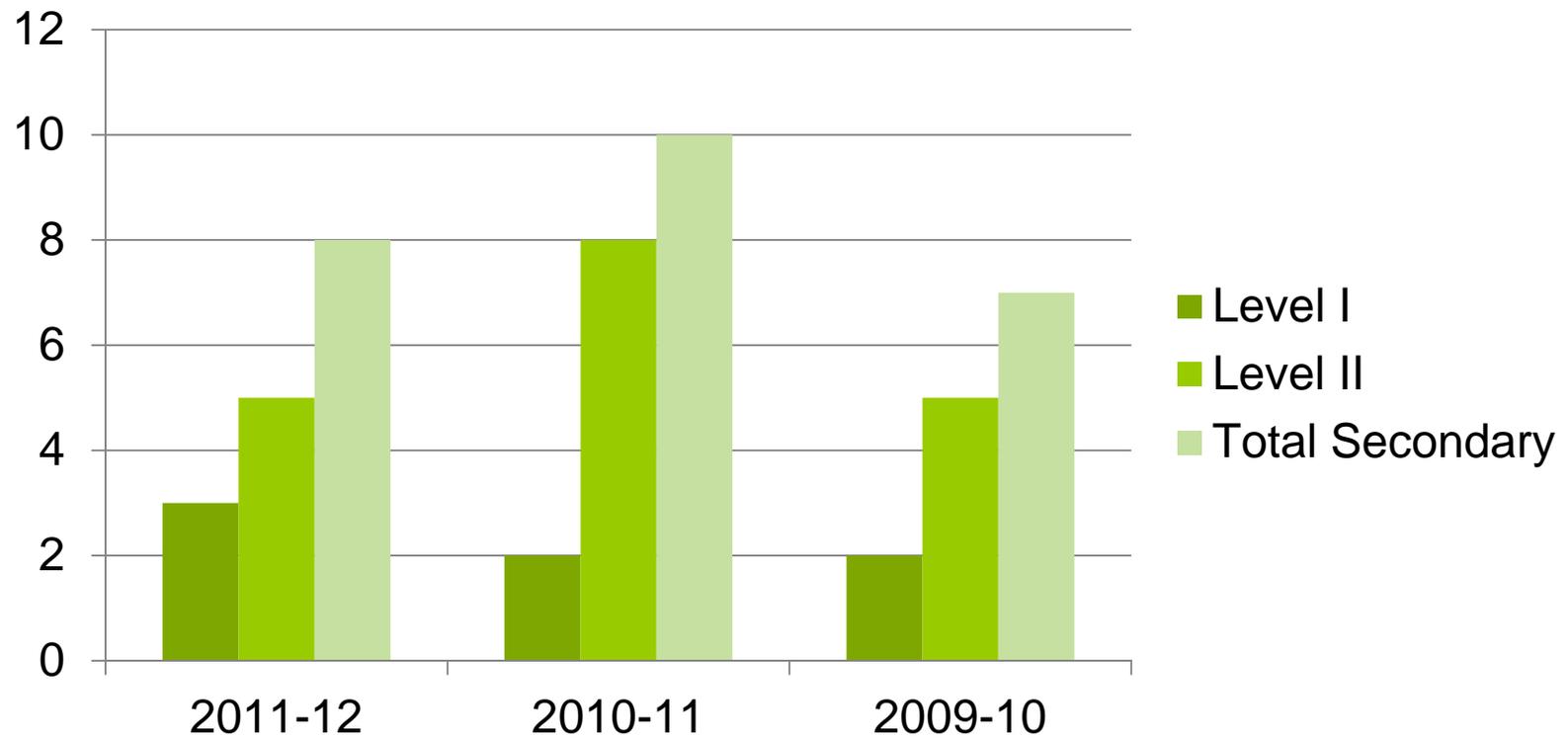
NCAA COMPLIANCE

No major NCAA violations

Ohio University is one of only 17 Division 1-A schools to have ZERO major violations. There are 120 Division 1-A schools.



Secondary Violations Per Year



THE BIG PICTURE

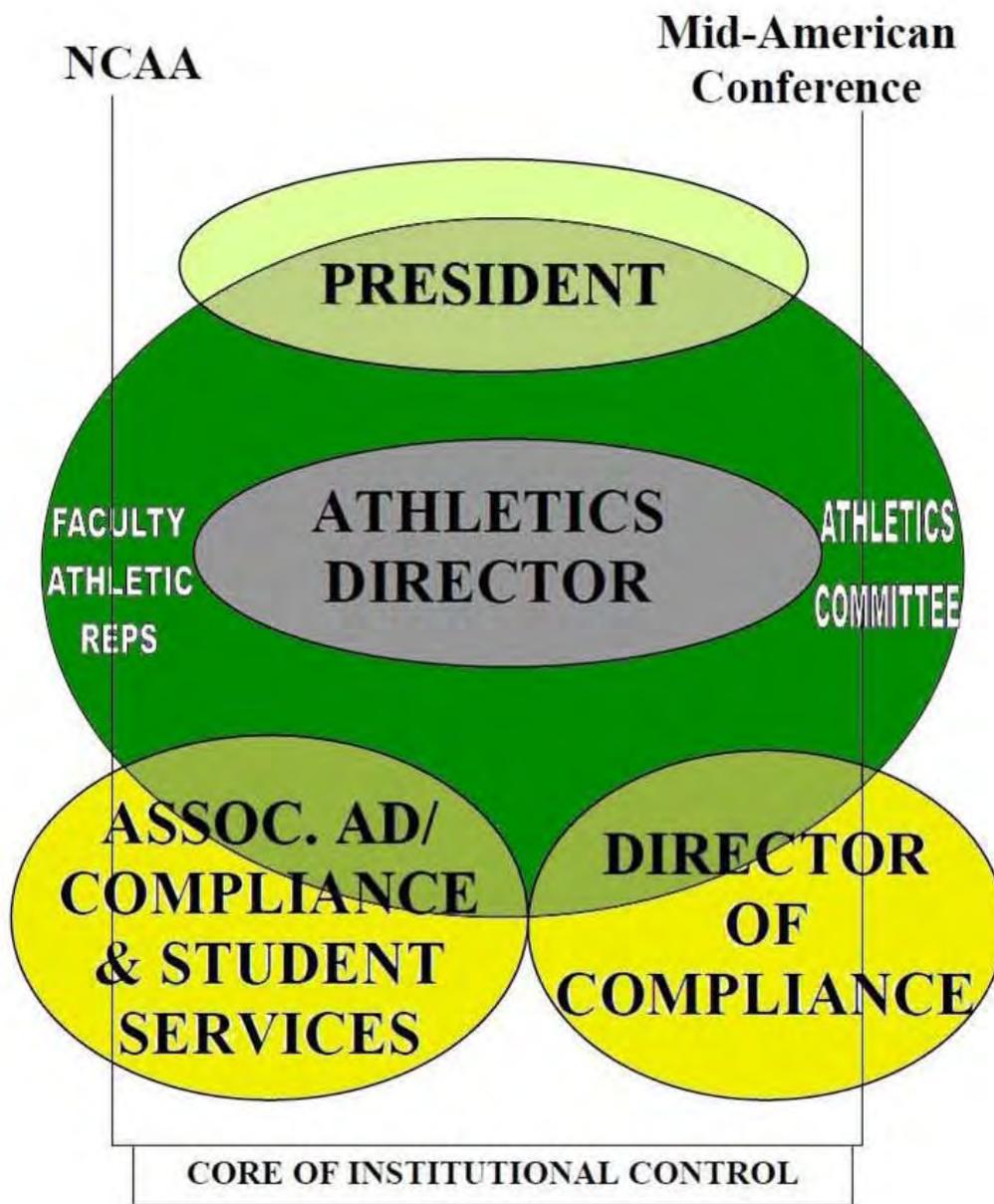


- NCAA Constitution, Article 2.1
 - Responsibility for Control. It is the responsibility of each member institution to control its intercollegiate athletics program in compliance with the rules and regulations of the Association. The institution's president or chancellor is responsible for the administration of all aspects of the athletics program, including approval of the budget and audit of all expenditures.
- NCAA Bylaw 6.01.1:
 - The control and responsibility for the conduct of intercollegiate athletics shall be exercised by the institution itself and by the conference(s), if any, of which it is a member. Administrative control or faculty control, or a combination of the two, shall constitute institutional control

BREAKING IT DOWN



- Institutional control is defined by:
 - the formal institutional policies and procedures in place at time of violation; and
 - whether those policies and procedures, if adequate, were being monitored and enforced.



MAINTAINING CONTROL



- An institution must:
 - **Develop and adhere** to adequate compliance measures;
 - **Convey** these measures to those who need to be aware;
 - **Monitor** to ensure measures are being followed; and
 - **Take swift action** upon learning of a violation.

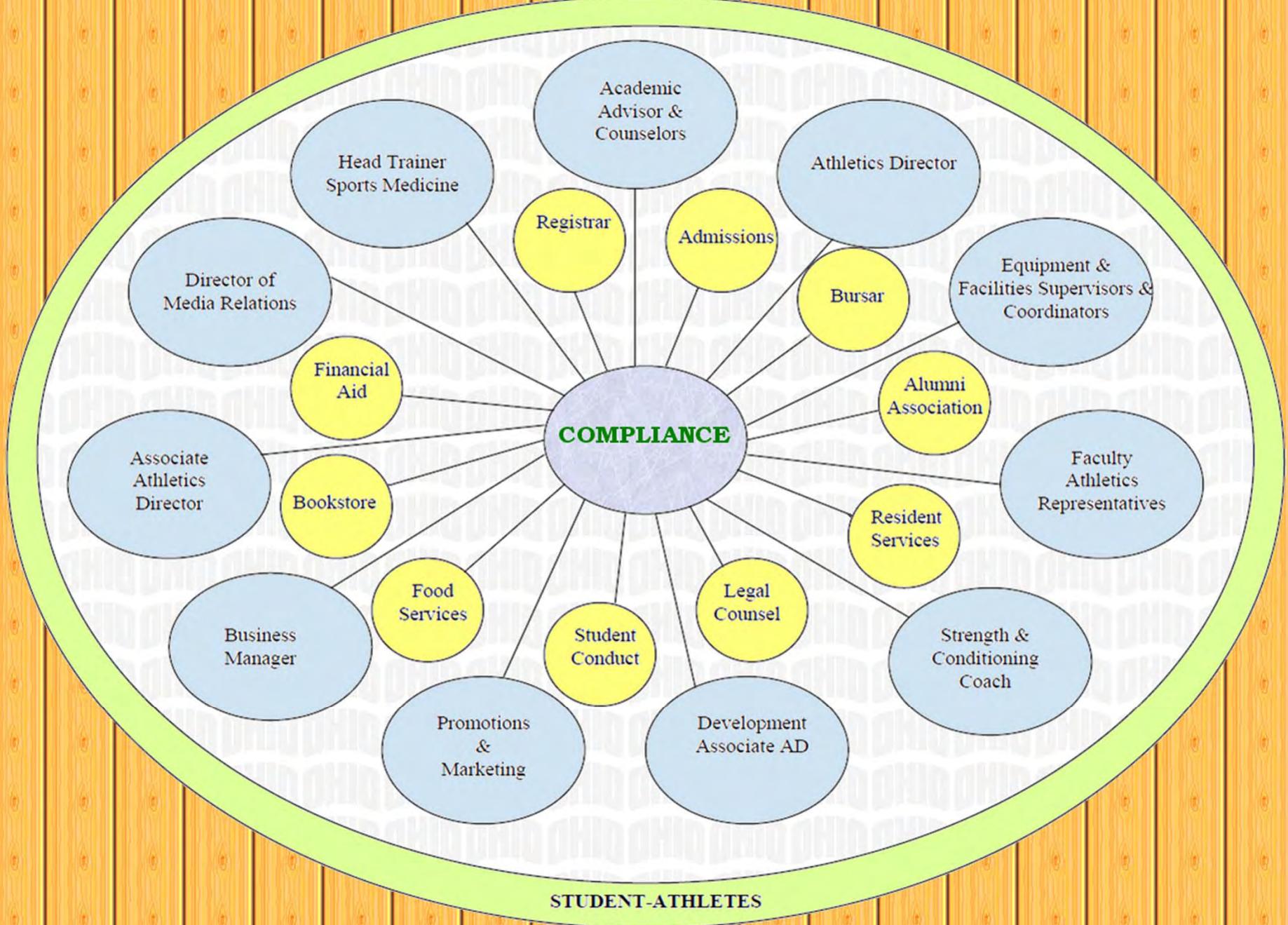


WHO IS RESPONSIBLE?

The failure of these individuals to control matters so as to prevent violations of NCAA rules will be considered the result of a lack of institutional control:

- Director of Athletics
- Athletics Officials
- Faculty Athletics Representatives
- Coaches
- Institutional Administrators
 - Inside/Outside of Athletics Department
- Any individual or organization engaged in activities promoting the athletics interests of the institution

COMPLIANCE CONTROLS



STUDENT-ATHLETES

CURRENT SYSTEMS



- Received NCAA Certification in 2009
- Compliance Manual maintained on OhioBobcats.com
- Athletics Policy Manual & Employee Code of Conduct for Athletics
- Every four years external review of compliance conducted (MAC, 2010) which is submitted to President McDavis
- Every four years external review of academics conducted (Campus Committee, 2010)
- Annual report to IAC
 - Individual issues may be addressed by Academics & Compliance Subcommittee
 - Senior Associate AD serves on Board of Directors for the National Association for Athletics Compliance
- Commitment to Compliance in every job description and posting
- Background checks prior to hiring
- MAC Committee on Infractions

CURRENT SYSTEMS



- Staff attends NCAA Regional Rules Seminar annually
- Coaches meetings held monthly for rules education
- All staff meetings held quarterly for rules education
- Team meetings at least twice per year
- President meets annually with all staff
- Institutional Equity meets annually with all staff
- Other campus offices meet with coaches/staff (e.g., Diversity)
- Athletic Department is under direct supervision of the President
 - Athletic Director meets with President bi-weekly
 - Athletic Director is on President's Executive Staff
- Athletic Department Executive Staff serves on numerous campus committees

INDIVIDUALS INVOLVED WITH COMPLIANCE



- Senior Associate AD & Director of Compliance
- Senior Associate AD has dotted line report to University Counsel
- Three full-time NCAA Eligibility Coordinators (Academic staff) monitor NCAA progress towards degree requirements
- FARs:
 - Eligibility Certification
 - Waiver Oversight
 - Violation Oversight
 - Involved with APR and other academic issues
 - Serve on MAC Infractions Committee
- Liaison with Registrar certifies eligibility
- Liaison with Financial Aid helps to monitor financial aid
- Liaison with Admissions monitors University admissions policy

COMPLIANCE & CAMPUS



- Senior Associate AD on Executive Team of University College
- Senior Associate AD is member of adjunct faculty
- NCAA Eligibility Coordinators attend Academic Advising Council
- Associate AD on University Academic Advancement Center Advisory Board
- Tutors hired through Academic Advancement Center to ensure proper training
- Brown Bag Lunch session for faculty on NCAA Progress Towards Degree Requirements
- NCAA Eligibility Coordinators attend Bobcat Student Orientation
- Student-Athlete Seminar Course (UC169V) taught to freshmen

Internal Audit Enhancement

- *Guide to Audits of NCAA Division I Athletics Compliance* developed by the Association of College & University Auditors (ACUA)
 - 4-year cycle to review various NCAA compliance areas
 - For example, Year 1:
 - Initial Eligibility
 - Continuing Eligibility
 - Transfer Eligibility
 - Academic Performance Program

Audit Committee

Trustee Kevin Lake
Audit Committee Chair
June 20, 2012

Chief Audit Executive Report

Jeffrey Davis, CPA, CIA, CFE, CISA

Agenda

- FY12 Audit Plan Completion
- IA Staffing
- FY13 Proposed Audit Plan
- ICA Compliance Review

Audit Plan Completion

Audit	Auditor	Status	Report Date
President's Office	Ries	Completed	1/30/12
Printing Resources	Ennis	Completed	1/27/12
Provost's Office	Davis	Completed	1/27/12
Airport	Ennis	Completed	Draft Issued 6/1/12
Legal Affairs	Ries	Completed	Draft Issued 6/7/12
OIT – Lifecycle Management	Ries/Ennis	In Process	
Graduate College	Ennis	Postponed	Included in FY13 Plan

Audit Plan Completion (cont'd)

Follow-Up Audit	Auditor	Status	Report Date
Baker University Center	Davis	Completed	2/27/12
Grant Contract Administration	Ries	Completed	2/27/12
General Accounting and Reporting	Ries	Completed	3/9/12
Residential Housing	Ennis	Completed	3/23/12
Scripps College of Communication	Ennis	Completed	3/23/12
Advancement/Foundation Accounting	Davis	Completed	6/8/12
Facilities Department	Ennis	Completed	6/8/12
Human Resources	Davis	Open	
Payroll and Tax Compliance	Ries	Open	
Procurement Services/Accounts Payable	Ennis	Open	

Staffing

- Bruce Tong hired as new senior auditor effective June 1st
 - Bachelors Degree – Management Information Systems
 - Masters Degree – Communications Technology and Policy
 - Over 20 years of experience as a software engineer
 - Extensive background in Information Technology

FY13 Audit Plan

FY13 Audits

Audit	Auditor
University Libraries	Ries
Graduate College	Ennis
Undergraduate Admissions	Ries
Communications and Marketing	Ennis
OIT Applications - On Base	Tong
OIT Applications - SIS	Tong
ICA Compliance	Ries/Ennis

FY13 Follow-Up Audits

Follow-Up Audit	Auditor
President's Office	Ries
Printing Resources	Ennis
Provost's Office	Davis
Airport	Ennis
Legal Affairs	Ries
OIT Lifecycle Management	Ries/Ennis
Human Resources	Ries
Payroll and Tax Compliance	Ries
Procurement Services/Accounts Payable	Ries/Ennis

Other Audit Time

- ◉ Investigations
- ◉ Special Projects
- ◉ Meetings/Committees
- ◉ Ohio Compliance Supplement Chapter 7 testing for Plante Moran
 - Related to establishment of policies, restrictions on use for cell phones, purchasing cards, vehicles and certain equipment (e.g., computers, internet and phone usage, etc.)

Auditable Units

Unit	Description	Number
Academic Units	Colleges, Regional Campuses	18
Administrative and Support Services	President, Provost, Enrollment Management, Facilities, Student Affairs, Accounts Payable, Procurement, Bursar, etc.	23
Information Technology	Business Operations, Network and Infrastructure, Security, Applications, Customer Service	5
Auxiliaries	ICA, Residential Housing, Airport, Culinary Services, Printing Services, Campus Recreation	6
	Total:	52

Remaining Audits

Unit	Description	Number
Academic Units	University College, Honors Tutorial	2
Administrative and Support Services	Registrar, Student Financial Aid, Budget Planning and Analysis, Risk Management and Safety	4
Information Technology	Network and Infrastructure, Security, Applications, Customer Service	4
	Total:	10

ICA Compliance Testing

- Internal Audit will begin compliance testing in July 2012
- Reviewed required every 4 years by an authority outside of ICA
- Association of College and University Auditors NCAA Division I Compliance Audit Guide

ICA Compliance Testing (cont'd)

● Year 1

- Academic Performance Program
- Eligibility Certification (Initial, Continuing, Transfer)

● Year 2

- Governance and Organization
- Commitment of Personnel to Rules-Compliance Activities
- Investigations and Self Reporting of Rules Violations
- Rules Education
- Recruiting

ICA Compliance Testing (cont'd)

• Year 3

- Camps and Clinics
- Extra Benefits
- Student-Athlete Employment

• Year 4

- Financial Aid Administration
- Playing and Practice Seasons
- Amateurism

Conclusion

- Questions?

**INTERNAL AUDIT
ANNUAL AUDIT PLAN**

RESOLUTION 2012

WHEREAS, the Board of Trustees of Ohio University has established an independent, objective assurance and appraisal activity to evaluate and improve effectiveness of risk management and internal management controls, and

WHEREAS, the Board of Trustees has approved an Ohio University Internal Office Charter requiring Board of Trustees authorization of an annual audit plan initiated to evaluate internal management controls, and

WHEREAS, the Chief Audit Executive charged with initiating audits pursuant to the plan proposes an annual audit plan for authorization by the University Trustees, and

WHEREAS, the proposed plan will be conducted during the period of July 2012 through June 2013, and

WHEREAS, time for unplanned investigations is separately allotted in the audit plan. Further revisions to the plan will be administratively reviewed and approved by the President and the Chair of the Audit Committee, and

NOW, THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does authorize the proposed audit plan.



OHIO UNIVERSITY

Internal Audit

1 Ohio University
WUSOC 275
Athens OH 45701.2979

DATE: June 8, 2012

TO: The President and Board of Trustees

FROM: Chief Audit Executive Jeff Davis, CPA, CIA, CFE, CISA

SUBJECT: Chief Audit Executive Report

Below is the Office of Internal Audit's FY 13 proposed audit plan. It is presented to the Ohio University Board of Trustees for authorization.

FY 13 Audit Plan

- ICA Compliance Audit
- Undergraduate Admissions
- Graduate College
- Communications and Marketing
- University Libraries
- OIT – Applications (On Base)
- OIT – Applications (SIS)
- President's Office Follow-up
- Printing Resources Follow-up
- Provost's Office Follow-up
- Airport Follow-up
- Legal Affairs Follow-up
- OIT Lifecycle Management Follow-up
- Payroll Follow-up
- Procurement Services/Accounts Payable Follow-up
- Human Resources Follow-up

Internal Audit will also present an update of progress in completing the FY 12 work plan. Audit plan completion, professional development, and special projects will be addressed.

I look forward to answering any questions, prior to or during, the Audit Committee meeting.

ELECTION OF PRESIDENT

RESOLUTION 2012-

RESOLVED that Roderick J. McDavis be elected President of Ohio University for the year beginning July 1, 2012, and ending June 30, 2013.

ELECTION OF TREASURER

RESOLUTION 2012-

RESOLVED that Stephen Golding be elected Treasurer of Ohio University for the period beginning July 1, 2012, and ending June 30, 2013.