Board of Trustees
Ohio University
Athens, Ohio

Agenda
October 16, 2015
BOARD ACTIVITIES FOR October 15-16, 2015
Ohio University Main Campus – Athens, Ohio
Activity & Committee Meeting Schedule

Thursday, October 15, 2015

7:45 a.m. Trustee Group and Individual Photos; Margaret M. Walter Hall Rotunda
8:00 a.m. Shuttle to pick up Trustees for tour of Park Place Corridor
9:15 a.m. Joint Committee Meeting: Academics and Resources, Margaret M. Walter Hall, Governance Room
11:15 a.m. Depart for College Tours
11:30 p.m. Trustee Luncheon and College Tour with Students, Faculty and Staff
1:15 p.m. Depart for Margaret M. Walter Hall
1:30 p.m. Resources Committee, Margaret M. Walter Hall, Governance Room 104
1:30 p.m. Academics Committee, Margaret M. Walter Hall, Room 125/127
3:30 p.m. Governance Committee, Margaret M. Walter Hall, Room 125/127
3:30 p.m. Audit Committee, Margaret M. Walter Hall, Governance Room 104
6:30 p.m. Reception – Trustees, President, Board Secretary, Executive Staff and Guests
7:00 p.m. Dinner – Trustees, President, Board Secretary, Executive Staff and Guests

Friday, October 16, 2015

7:30 a.m. Trustee Breakfast - Executive Committee; Ohio University Inn, Lindley Room
10 a.m. Board Meeting; Margaret M. Walter Hall, Governance Room 104
Noon Trustee Luncheon, Margaret M. Walter Hall 125
Noon Media Availability, Margaret M. Walter Hall 127
AGENDA
Board of Trustees Meeting
Friday, October 16, 2015 – 10:00 a.m.
Margaret M. Walter Hall, Governance Room 104
Athens Campus

OPEN SESSION

Roll Call

Approval of Agenda

1. Minutes of Board of Trustees’ Meeting of August 27, 2015.

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

- Joint Resources & Academics Committee
- 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 matter 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 9 -Resolution, Ridges Framework Plan
Tab 12 -Resolution, River Park Towers Easements
Tab 13 -Resolution, Construction Projects – Schematic Design
Tab 14 -Resolution, Construction Projects – Construction
Tab 20 -Resolution, Review of Centers and Institutes
Tab 25 -Resolution, Kennedy Museum Appointments

Unfinished Business

New Business

Communications, Petitions, and Memorials

Announcement of Next Stated Meeting Date

Adjournment
AGENDA
Joint Committee: Academics and Resources
Margaret M. Walter Hall, Governance Room 104
9:15 a.m. – Thursday, October 15, 2015

3. Governor’s Task Force Update
4. Senate Challenge – 5% Plan
5. AQIP Review & Update
6. Central Bank / Century Bond Update
7. Campus Climate Update
AGENDA
University Resources Committee
Margaret M. Walter Hall, Governance Room, 104
1:30 p.m. – Thursday, October 15, 2015

- Resolution, Senate Challenge – 5% Plan
8. Resolution, Non-endowment Investment Policy Statement
9. Consent Agenda, Ridges Framework Plan
10. Resolution, FY2017-18 State Capital Request and Century Bond Projects
11. Service Alignment Initiative (SAI) Update
12. Consent Agenda, River Park Towers Easements
13. Consent Agenda, Construction Projects – Schematic Design
14. Consent Agenda, Construction Projects – Construction
- Building Plaque Policy

Information Items

16. Annual Insurance Report
17. Annual Clery Report – Fire
18. Annual Clery Report – Police
AGENDA
University Academics Committee
Margaret M. Walter Hall, Room 125/127
1:30 p.m. – Thursday, October 15, 2015

Academic Quality - Dashboard
19. College of Business Dashboard

Standing Reports and Updates
20. Consent Agenda, Review of Centers and Institutes

Academic Quality – Initiatives
21. Methods of Assessment
22. Enrollment Update
23. Public Face – External Reporting
24. OHIO in the College Rankings

25. Consent Agenda, Kennedy Museum Appointments
AGENDA
Governance Committee Meeting
Margaret M. Walter Hall, Governance Room 104
3:30 p.m. – Thursday, October 15, 2015

- Minutes recommendation
- Minutes review process
- National Trustees
- 2016 Board meeting schedule
- 2016 Retreat location
AGENDA
Audit Committee
Margaret M. Walter Hall, Room 125/127
3:30 p.m. – Thursday, October 15, 2015

26. Chief Audit Executive Memo and Presentation
27. Resolution, Approval of June 30, 2015 Financial Statement Audit
AGENDA
Executive Committee
Lindley Room, Ohio University Inn
7:30 a.m. – Friday, October 16, 2015

EXECUTIVE SESSION
Bylaws of the Ohio University Board of Trustees

Revised August 27, 2015
Revised August 28, 2014
Revised April 19, 2013
Revised September 6, 2012
Revised April 24, 2011
Revised February 10, 2010
Revised January 23, 2009
Revised February 8, 2008
Revised December 17, 2004
Revised September 20, 2002
Revised June 23, 1990
Revised July 14, 1989

Article I. Corporate Authority and By-Laws

Section 1. The Board of Trustees of the Ohio University, a body corporate and politic, hereby adopts these Bylaws for the purpose of governing its activities in accordance with Chapter 3337 of the Ohio Revised Code.

Section 2. No Bylaws shall be enacted, amended, or repealed, except by a vote of a majority of the members (5 votes) of the Board authorized to vote, and then only after thirty (30) days notice of a proposed change has been given to all members.

Section 3. The Board shall comprise 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 4. The nine Trustees appointed by the Governor shall 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) Chair

(b) Vice-Chair

(c) Secretary

(d) Treasurer

Section 2. The Chair 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 Chair of the Executive Committee. Subject to these Bylaws, 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 Chair.

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

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 customary to the office or assigned by the Chair 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, management of investments, coordination of audits with auditors, including federal and state auditors, overseeing 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 Chair, Vice-Chair, Secretary, and Treasurer shall be elected annually by the Board.

Section 2. The Chair and Vice-Chair shall each serve for one year and shall be eligible for re-election to their respective offices. The Secretary and the Treasurer shall be eligible for annual election to these offices without a yearly limitation.

Section 3. In the event of a vacancy in an Officer position, the Board shall elect a successor from among its members to serve the remainder of the vacant term.

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 Chair 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. Public notice of all meetings shall be given in accordance with the requirements of Revised Code Section 121.22. Any person may determine the time and place of all regularly scheduled meetings and the time, place, and purpose of all special meetings by contacting University Communications and Marketing or on the internet at http://www.ohio.edu/trustees/.

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 Chair, for reporting such delinquency to the appropriate authority of the State of Ohio.

Section 5. Quorum and Voting. Five Trustees appointed by the Governor, (the “Voting Trustees”) shall constitute a quorum for the conduct of the ordinary business of the Board. An affirmative vote of six Voting Trustees shall be necessary to elect or remove a President and an affirmative vote of five Voting Trustees shall be necessary to adopt any other resolution or action of the Board.

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 Chair 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 Chair 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 University 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 ensure compliance with Revised Code Section 3345.05.

(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 receipt 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 Chair 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 Chair of the Board as the Board may deem necessary.

Section 4. The Chair of the Board and the President shall be ex-officio non-voting members of all Standing Committees and Special Committees.

**Article VII. Parliamentary Authority**

Section 1. When not in conflict with any of the provisions of these Bylaws, the Robert’s Rules of Order Newly Revised shall govern the proceedings of the Board.
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 January 23, 2015

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, concerns 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. Trustees who have concerns about operational matters, public controversies affecting the university or the performance of university employees should communicate their concerns to the Board Chair. The Board Chair will consult with the President, who will, address the issue and report back to the Trustees and Board.

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. The President, together with the Board Secretary, should keep the Board informed about university matters. 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 appreciate that direct requests for information from administrators, faculty or staff about institutional issues may be disruptive to efficient management of university operations. The Board Secretary works for the Board and, as such, may request information from faculty or staff on institutional issues that are not related to operational matters, public controversies affecting the University, or performance of employees. The Board Secretary will inform the President and the Board Chair of such requests and will obtain a response from the appropriate university official. The response will be channeled through the Board Secretary. The President may also respond to the inquiring Trustees as needed to ensure that issues raised are addressed in a timely, accurate and efficient manner.

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.
Board of Trustees
Ohio University
Athens, Ohio

Minutes

August 27, 2015
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ROLL CALL
Chair Sandra J. Anderson called the meeting to order at 3:37pm. Secretary David R. Moore called the roll. Present: Chair Sandra J. Anderson, Vice Chair David Wolfort, Trustee Janetta King, Trustee Kevin B. Lake, Trustee Victor Goodman, Trustee David Scholl, Trustee Janelle Simmons, Trustee Cary Cooper, and Trustee Peggy Viehweger.

Also Present: Alumni Representative Julie Mann Keppner; Student Trustees Sharmaine Wilcox and Patrick Roden; President Roderick J. McDavis; and Board Secretary David R. Moore

APPROVAL OF AGENDA
Chair Anderson asked for a motion to approve the agenda. Trustee Janetta King moved, Trustee David Scholl seconded, and the motion carried.

APPROVAL OF MINUTES
Chair Anderson asked for a motion to approve the minutes. Trustee David Wolfort moved, Trustee Peggy Viehweger seconded, and the motion carried.

REPORTS

Report from the Chair
Chair Anderson welcomed everyone to the Dublin campus. Chair Anderson welcomed Secretary Moore and Student Trustee Patrick Roden to their first official meeting and welcomed Trustee Viehweger to her first meeting after transitioning from a National Trustee to a Voting Trustee Member of the Board.

Report from the President
President Roderick J. McDavis provided an overview of Ohio University’s Vision Statement, Core Values, and Strategic Priorities, that guide the work of the Board and steer the University’s programs. President McDavis then introduced OHIO for Ohio, a designation that emphasizes Ohio University’s state-wide footprint. President McDavis then provided a legislative update which included the following information: Governor John Kasich signed a two-year budget for the state of Ohio into law on June 30, 2015 that includes a 4.5% increase in the State Share of Instruction in FY 2016 and a 4.0% increase in FY 2017, a mandate for college tuition and fees for the next two years for in-state undergraduate students (with an exception for students who are participating in a guaranteed tuition program),
requirements public universities to explore cost reductions, and, finally, the budget, enabled the implementation of The OHIO Guarantee this fall.

President McDavis welcomed the class of 2019. This year’s class is OHIO’s largest and the first to benefit from The OHIO Guarantee. President McDavis reported opening week highlights which included: OHIO’s first class photo, a formal induction into the OHIO family during First Year Student Convocation, and the Student Involvement Fair. President McDavis reported that total student enrollment had increased from 36,414 Fall, 2014 to 37,361 Fall, 2015. Further, he shared that applications had increased from 20,905 Fall, 2014 to 21,000 Fall, 2015, the most the University has received in its history.

President McDavis introduced the Cleveland Campus of Ohio University and its Heritage College of Osteopathic Medicine. The campus, located at South Pointe Hospital in Warrensville Heights, is a partnership with Cleveland Clinic, a long-time teaching affiliate of the Heritage College. The inaugural class of 51 medical students started classes on July 8, 2015.

President McDavis introduced the New Housing Complex. The new complex features a living learning center and four new residence halls, which will house more than 900 students. It also places the central office for the Department of Housing and Residence Life nearer to the core of the residential community. The grand opening ceremonies will feature tours and a dedication ceremony to honor new hall namesakes.

President McDavis reviewed the Promise Lives Capital Campaign which achieved $500,142,968.93. Dallas TX, Rockport MA, San Francisco CA, Los Angeles CA and Cleveland OF were mentioned as destinations for Advancement Travel related to the campaign. In particular, Hamilton MA, was mentioned which was the last home and grave site of Founder Manasah Cutler.

Finally, President McDavis introduced Points of Pride, these included: Ohio University joined with the City of Athens to celebrate our Bicycle Friendly Community Award and the reopening of the Hock-Hocking Adena Bikeway, the Heritage College “coated” its largest class of student doctors and the largest medical school class in the state during the annual White Coat Ceremony on July 25th, 2015, Ethan Ida, a senior engineering technology and management major, was selected to receive the Society of American Engineers (SAME) ROTC Award
of Merit, Dr. Kuangmin Li, a researcher at OHIO’s Avionics Engineering Center and recent Ph.D. graduate, won the 2015 William E. Jackson Award from the Radio Technical Commission for Aeronautics (RTCA), Nerissa Young, an instructor in the E.W. Scripps School of Journalism, won the David L. Eshelman Outstanding Campus Adviser Award from the Society of Professional Journalists, Marcy Keifer Kennedy, director of OHIO’s Professional Development School (PDS) Partnership Program, was named to the American Association of Colleges for Teacher Education (AACTE)’s new Clinical Practice Commission (CPC), The Ohio University Lancaster Athletic Department was awarded the 2014-15 Ohio Regional Campus Conference All Sports Award, Ohio University Press had five books place on Library Journal’s African Studies bestseller list, more than any other press, Ohio University received a $60,000 grant from the Ohio Attorney General's Office to support emancipated foster care students through the Ohio Reach Scholars Program, more than 300 employees attended Ohio Today magazine’s celebration of OHIO women.

President McDavis introduced Clinical Assistant Professor James Zedaker and Physician Assistant (PA) students Ryan McCune and Melissa Culver who spotlighted the College of Health Sciences and Professions’ Physicians Assistant Program.

Assistant Professor Zedekar shared that this program was new and had started May this past year. There are 39 current students in the program.

PA students McCune and Culver shared their experiences with the Physician Assistant program including their excitement in being in the first class and the opportunity to work in the excellent facilities the program provides. The PA students shared their future plans and favorite courses. Assistant Professor Zedaker explained the specialty rotations that the students are involved in.

President McDavis showed an inspirational video from the Faculty Convocation.
Committee Reports

Joint Academics and Resources Committee
Chair Anderson reviewed the Budget update provided to the committee by Vice President for Finance and Administration (VPFA) Stephen Golding and Executive Vice President and Provost Benoit (EVPP), which included a distribution of the Budget Book. VPFA Golding had reviewed the status of the biennial budget which was not passed until after the June BOT meeting, the FY16 budget was revised to conform to the Biennial Budget. The three major impacts of the Budget are that: it allowed the University to go forward with Ohio Guarantee, a Tuition Freeze was implemented, and that State Share of Instruction held the revenue budget harmless relative to the impact of the Guarantee tuition increase.

Chair Anderson reported that EVPP Benoit will move forward with implementing the raise pools included in the FY16 budget approved by the Board of Trustees.

Chair Anderson reported EVPP Benoit’s review of expense drivers on the academic side which included: a 2% Raise Pool, the Faculty Compensation Plan which is in year 2 of 3, a 1% Equity Pool with a planned implementation January 1, 2016, and a 5% Increase in University share of Healthcare costs partially offset by modifications to employee healthcare plan and employee contributions. She continued reporting on VPFA Golding’s review of the expense drivers on the resource side including Century Bond Debt Service, the Energy Infrastructure Project, Deferred Maintenance, CIP Major Project Debt Service, and Housing Phase 1.

Chair Anderson reported that there were a number of questions about the 2nd cohort of the Ohio Guarantee with particular focus on future tuition increases related to the Consumer Price Index. Future expense and revenue pressures were discussed.

Chair Anderson reported that there was a discussion of the Century Bond and the operation of the Central bank and that further updates were requested for future meetings.

Chair Anderson reported that Interim Vice President for Student Affairs and Dean of Students, Jenny Hall Jones and Director of Equity and Civil Rights Compliance & Title IX Coordinator, Inya Baiye reviewed the University’s Sexual Misconduct Policies and Procedures along with Director, Community Standards & Student
Responsibility at Ohio University, Martha Compton and Ohio University Police Chief Andrew Powers. The presenters updated the committee on activities on campus and the strong collaboration among the departments to ensure University compliance including Title IX and Cleary Act issues, as well as how allegations from both an administrative and criminal investigation side are handled. Chair Anderson reported that panelists stated that, as support and issue awareness increases, there have been more allegations of misconduct, which may indicate that there has been an underreporting of complaints, or incidents, in the past.

Chair Anderson reviewed a discussion among the trustees on how an issue is investigated if there is not a complaint. The panel shared that a formal complaint is not required to begin an investigation. The discussion continued regarding how interviews with the complainant and respondent are handled. The panel responded that the complainant and the respondent are interviewed separately, both having the same rights; that the interviewees are informed that the interviews are not confidential; that the parties are advised that they do not have to say anything; that their attorneys can be present; and that both sides have rights of appeal. Chair Anderson followed by reporting discussions on training strategies currently employed by the University with regard to Sexual Misconduct.

Chair Anderson then reported an update by Dean Hall-Jones on 2014-2015 accomplishments including: an updated sexual misconduct policy, the reorganization of Title IX Coordinator’s Office and hiring of additional staff, implementation of a revised joint investigation/hearing process, the Ohio University Survivor Advocacy Program funding, an Athens City memorandum of understanding, the creation of Presidential Advisory Council on Sexual Misconduct, and the implementation of a climate survey.

Chair Anderson reported that, over lunch, the committee heard from Dana McDaniel, City Manager of Dublin, who reported on Dublin’s West Innovation District, where OU’s Dublin Campus is now located. Mr. McDaniel shared slides, maps, and plans for the City of Dublin’s vision of the campus and surrounding area.

Finally, Chair Anderson reported on a discussion led by Bryan Benchoff, Vice President, University Advancement. A new campaign, called Advancement 2025, was introduced. Since 1990 the university has had a median capacity of $27.5 million. The new goal will be to achieve and annual capacity of $50 million. It is
the goal of the Division of University Advancement to achieve this capacity (1 billion plus) by Fiscal Year 2025.

Chair Anderson reported that there were not any action items.
Academics Committee
Trustee David Scholl reported that EVPP Benoit presented the Academic Quality Dashboard to the committee: a snapshot of the University’s current performance in light of its strategic priorities and goals. Topics that were highlighted were that undergraduate enrollment has increased steadily over the last five years, growing from 20,996 to 23,571, an increase of 12.3%, while other 4-year public institutions in Ohio have experienced a slight decrease during that time. The student-faculty ratio has also improved from 20:1 to 18:1 over the past four years. Along with this growth, OHIO has out-performed most Ohio public institutions in first-year retention rates, four-year and six-year graduation rates (OHIO is third in the state for both), bachelor degrees granted (OHIO is 2nd in the state behind OSU), all non-medical degrees (OHIO is 3rd behind OSU and UC), and student ACT composite scores.

According to National Survey of Student Engagement (NSSE) data, OHIO did best in comparison to our peers in “student faculty interaction” and “collaborative learning.” Scores equal or lower than peers were in the category of “discussion with diverse others” and, for seniors, in some of the academic challenge categories. It should be noted that, because of the NSSE’s redesign since the university’s last participation in 2012, trend data has to be rebuilt.

OHIO is addressing disparities between overall student retention rates and those of certain student populations. As is the case within other institutions, retention rates for African-American and first-generation students at OHIO are lower than the overall student body. The University has initiatives in place to support these students. The retention rate for African American students has increased by 5% from 75% to 80%. This is only slightly below the overall retention rate of 80.2% on the Athens campus (2013 cohort). The retention rate for first-generation students continues to trail non-first generation students by about 6%, but has improved from 73% to 76%.

Trustee Scholl reported that discussion around the topic of retention was robust with particular emphasis on how to serve those students who are high priorities for retention.

Trustee Scholl reported that the Dashboard indicated that, consistent with other state institutions, the percentage of full-time Group I Faculty has declined slightly from last year. Additionally, participation in the Research and Creative Activity
Expo, where students present their work, increased in 2015 and undergraduate research culture is continually improving.

Trustee Scholl then reviewed the Committee’s standing reports and updates. In regard to community standards, Dean Hall-Jones, informed the committee that a four-year comparison of conduct cases and offenses showed a decrease in the number of cases, the number of more serious offenses, and cases involving academic misconduct. The number of cases involving alcohol and other drugs, most notably marijuana violations, continues to rise.

Trustee Scholl reported on Associate Provost for Academic Budget & Planning, John Day’s update on faculty compensation. The final plan produced by the Faculty Compensation Task Force, shared with the Academics Committee in March of 2014 and endorsed by the Committee and the Board of Trustees, includes the following goals: moving average salaries for each tenure-track faculty rank to 3rd among four-year public universities in Ohio, investing the same percentage in compensation for regional tenure-track faculty, investing the same percentage for Group II faculty on the Athens and regional campuses, and evaluating employee health benefits and the impact of the Patient Protection and Affordable Care Act on total compensation. Investments related to this plan began in the FY2015 budget. The presentation included an overview of the Task Force’s charge, the methodology, original projection, results after one year, and projections. After one year, Ohio University ranked 7th, up from 8th, in compensation for professors; remained the same, at 7th for associate professors; and went from 7th to 5th in compensation for assistant professors. Ranking projections for year 2 are: 6th for Professor, 4th for Associate Professor, and 4th for Assistant Professor.

Trustee Scholl reported that the plan is beginning to have a positive effect. The original projection expected a $1.2 million investment each year for three years or $3.6 million total. The updated year two projection expects a $890 thousand investment each year for the remaining two years or $1.76 million total. Actuals may differ from projections based on the influence of retirements, promotions, and general salary inflation. Non-tenure track and regional faculty received the same percentage investment (2.19% in Year 1) as Athens Group I faculty. With results from Year 1 being better than expected, the investment will be 1.36% in Year 2. Trustee Scholl concluded by stating it looks like the University is on track to reach its goal with, perhaps, less of a capital requirement than originally anticipated.
Finally, Trustee Scholl reviewed a presentation on AQIP accreditation. The presentation, delivered by EVPP Benoit, included a review of the Higher Learning Commission (HLC) Criteria for Accreditation and how the HLC’s Academic Quality Improvement Program (AQIP) enables OHIO to frame how it meets these criteria. Trustee School reminded the committee that this is an eight-year process that has required and encouraged collaboration across the university and will culminate in a reaffirmation recommendation.

Trustee Scholl described the presentation as focused on one of the nine AQIP categories, number eight, Planning Continuous Improvement. In this regard Ohio University’s strengths include: 4 x 4 strategic priorities and fundamentals, the budget and resource allocation processes—RCM, Budget Planning Council (BPC), and the risk management process. Additionally, areas of additional focus include: the role of AQIP Task Force in strategic planning, setting strategic targets in Dashboard, including the Regional Higher Education (RHE) Dashboard, as well as continuing to gather evidence of effective continuous improvement.

Trustee Scholl reported that prior to this year’s Comprehensive Quality Review (CQR) site visits to the Athens, Chillicothe, Southern, and Zanesville campuses in November, the university will have a federal compliance review, generate a CQR highlights report, third-party comment process, and create a multi-campus visit report. Trustee Scholl reported that EVPP Benoit stated we are in a good position and that she hopes the report includes the extensive collaborative work that has gone into the process. The decision will be made in Spring of 2016 by the Institutional Actions Council.

Trustee School concluded by stating that the committee recommended that the naming of the Barbara Geralds Institute for Storytelling and Social Impact remain on the Consent Agenda and moved forward for consideration by the full Board.
Resources Committee
Trustee Janetta King reported that Senior Associate Vice President for Finance and Administration, Deborah Shaffer, shared preliminary results for the fiscal year ended June 30, 2015. Trustee King described the committee’s discussion as delving into the variances between net results and projections. The year-end performance of the Century Bond and Internal Bank were fully represented. Included in the projected net results is the impact of $6.1M in adjustments for the Governmental Accounting Standards Board (GASB) 68 pension liability. A Statement of Net Position was summarized that described the university’s position.

Trustee King reported that Candice Casto, Chief Finance and Investment Officer (CFIO), provided an update on the stewardship of the University’s and Foundation’s endowments, quasi-endowments and a portion of the working capital. The Foundation Investment Sub-committee has been empowered to provide oversight of the University’s long-term investment portfolio assets. CFIO Casto explained the fiduciary and diligence duties of the Investment Sub-committee and their managing fiduciary / investment advisor, Hirtle, Callaghan & Co..

The total portfolio value, comprised of both Foundation ($445M) and University ($180M) funds, was $625 million at June 30, 2015. The asset allocation is prescribed by the Investment Policy. The portfolio performance for the 1, 3, and 5 year periods ended June 30, 2015 are on par with or slightly lower than the diversified benchmarks – portfolio performance for FY15 was (-1.11%).

Trustee King reported that the spending policy and spending rate for the endowments are reviewed by the Foundation annually and currently provide an annual 4% spending allocation to university units and a 2% administrative fee. The administrative fee is assessed on above-water accounts to fund the operations of the Foundation and the current capital campaign operating needs and those needs are reviewed at least annually by the Foundation’s board.

Trustee King reported that Senior Associate Vice President of Technologies & Administrative (SAVP) Joseph Lalley provided an update on the positive usage and cost impacts so far of some of the projects being funded by the Energy Initiatives Project funding. He shared brief summaries of two projects presented for schematic design approval, the Permanent Campus Boiler project and the South Green Sweep Phase B project. SAVP Lalley provided a brief summary of the five projects included as part of the Construction request including utility metering, College of Communication fire system upgrades, and development of a
comprehensive deferred maintenance inventory for the Athens and the five regional campuses. SAVP Lalley discussed the requests for the AEP easements on the Eastern and Athens campuses and the benefits to each of the campuses.

Trustee King reported that the Committee recommended that the Schematic Design resolution be retained on the Consent Agenda.

Trustee King reported that the Committee recommended that the Construction resolution be retained on the Consent Agenda.

Trustee King reported that the Committee recommended that the Resolution to Approve Easements for Construction and Relocation of Electric Facilities be retained on the Consent Agenda.

Trustee King reviewed a discussion on the University’s Building Plaque Policy; in particular, Faculty Representative Joseph McLaughlin expressed concern that there might be misgivings of having faculty names on the plaques because, as non-voting members, they may or may not have supported the building. Trustee King noted that there was not a vote and that feedback will be garnered and the issue revisited in October.

Trustee King described a resolution that had been added to the agenda regarding the Student Investment Management Program. VPFA Golding reminded the committee of the discussions regarding funding for the College of Business Student Investment Management Program and provided an overview of the resolution brought to the board authorizing the Vice President for Finance and Administration to utilize university funds to support the program up to $5M. Trustee King reported that the committee had voted on the resolution. The resolution passed and Trustee King recommended a vote in the current meeting.

Chair Anderson asked Trustee King to read the resolution.

Following Trustee King’s reading of the resolution, Chair Anderson called for a motion to approve the resolution. Trustee Kevin B. Lake moved to recommend approval to the full board of the Student Investment Management Program resolution; Trustee King provided a second; and the motion was approved unanimously.
WHEREAS, the College of Business Student Investment Management Program provides students with an opportunity to gain knowledge and experience through the hands on management of equity and fixed income investment portfolios with guidance and supervision by faculty in the College of Business; and

WHEREAS, the University desires to provide for the ongoing funding of this Program;

NOW THEREFORE, BE IT RESOLVED, that the Vice President for Finance and Administration is authorized to utilize University funds to support this Program in an amount that he deems appropriate, up to $5,000,000.

BE IT FURTHER RESOLVED, that the Vice President is directed to prescribe guidelines and criteria to ensure that University funds are utilized in the Program in a prudent manner and that any appreciated gains and dividend income are used exclusively to benefit academic and research activities within the University.

BE IT FURTHER RESOLVED, that the Vice President is directed to report to this Board on the status of the College of Business Student Investment Management Program on an annual basis.
Audit Committee
Trustee Goodman reviewed the committee’s first presentation provided by Andrew Powers, Chief of Police for Ohio University who discussed the training of the police force, the police department’s mission, the department’s legal authority and jurisdiction, professional accountability, and how they interact with the University’s administrative procedures.

Trustee Goodman continued by describing that Danny Sklenicka of Plante Moran, Ohio University’s external auditors, provided the Audit Committee with an update on the status of the FY15 audit. Plante Moran indicated that the audit is on schedule and will meet the state reporting requirements.

Trustee Goodman reported that Jeffrey Davis, Chief Audit Executive, provided an update on the Internal Audit Office operations. Topics included an update on the FY16 audit plan, construction auditing, an update on current audits and other projects, and a revised report on the rating system and external assessment which, will be considered at the next meeting.

The committee adjourned to executive session. The executive session was to discuss details relative to the security arrangements and emergency response protocols for a public body or a public office.

Trustee Goodman reported that the committee adjourned with no action items.
Governance Committee
Trustee Janelle Simmons reported that the Governance Committee, without objection, agreed to recommend amended Bylaws for adoption by the full Board. Trustee Simmons moved that the outlined amendment be approved; Trustee Wolfert seconded the motion; Chair Anderson asked for a vote and the motion passed unanimously.

AMENDMENT TO BOARD BYLAWS

RESOLUTION 2015 -- 3502

WHEREAS, Article VI (d) of the Bylaws of the Ohio University Board of Trustees provides that the Governance Committee shall review the Bylaws to determine whether any changes are appropriate; and

WHEREAS, the Governance Committee has reviewed the Bylaws and has recommended that they be amended as indicated in Exhibit A;

NOW THEREFORE, BE IT RESOLVED that the Board hereby approves an amendment to its Bylaws in the form attached hereto as Exhibit A.
EXHIBIT A

By-Laws of the Ohio University Board of Trustees

Revised August 28, 2014
Revised April 19, 2013
Revised September 6, 2012
Revised April 24, 2011
Revised February 10, 2010
Revised January 23, 2009
Revised February 8, 2008
Revised December 17, 2004
Revised September 20, 2002
Revised June 23, 1990
Revised July 14, 1989

Article I. Corporate Authority and By-Laws

Section 1. The Board of Trustees of the Ohio University, a body corporate and politic, hereby adopts these Bylaws for the purpose of governing its activities in accordance with Chapter 3337 of the Ohio Revised Code.

Section 2. No By-Laws shall be enacted, amended, or repealed, except by a vote of a majority of the members (5 votes) of the Board authorized to vote, and then only after thirty (30) days notice of a proposed change has been given to all members.

Section 3. The Board shall be comprised 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 4. The nine Trustees appointed by the Governor shall 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 customary to the office or assigned 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, management of investments, coordination of audits with auditors, including federal and state auditors, overseeing 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.

Section 3. In the event of a vacancy in an Officer position, the Board shall elect a successor from among its members to serve the remainder of the vacant term.

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. Public notice of all meetings shall be given in accordance with the requirements of Revised Code Section 121.22. Any person may determine the time and place of all regularly scheduled meetings and the time, place, and purpose of all special meetings by contacting University Communications and Marketing or on the internet at http://www.ohio.edu/trustees/.

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 and Voting. Five Trustees appointed by the Governor, (the “Voting Trustees”) shall constitute a quorum for the conduct of the ordinary business of the Board. An affirmative vote of six Voting Trustees shall be necessary to elect or remove a President and an affirmative vote of five Voting Trustees shall be necessary to adopt any other resolution or action of the Board.

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 University 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 ensure compliance with Revised Code Section 3345.05.

(c) Audit. Responsibilities will include the oversight of the internal audit functions, annual and other periodic audits of financial operations, the recommendation of the appointment of an external audit firm to the Board of Trustees, the receipt 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 as the Board may deem necessary.

Section 4. The Chairperson of the Board and the President shall be ex-officio non-voting members of all Standing Committees and Special Committees.

Article VII. Parliamentary Authority

Section 1. When not in conflict with any of the provisions of these Bylaws, the Robert’s Rules of Order Newly Revised shall govern the proceedings of the Board.
Trustee Simmons reported that President McDavis’ shared that there are currently three candidates that have been identified for the two open National Trustee positions. Two candidates have said they would be willing to serve and President McDavis is waiting for a response from the third. President McDavis will make a recommendation to the Board prior to the October meeting.

Lastly, Trustee Simmons described a discussion on the format for minutes of Board meetings. It was noted that a DVD is made of the meetings of the full Board and is retained in Archives. There was general agreement that the format for minutes of the full Board need not be changed. General Counsel John Biancamano will consult with Secretary Moore and then make a recommendation for Committee minutes at the October meeting.
Executive Committee
Chair Anderson reported that the Committee had both open and executive sessions. The open session had an update from VPFA Golding on 29 Park Place. VPFA Golding had previously distributed to the Board a memorandum documenting how other universities are dealing with their presidential housing issues. VPFA Golding had shared what our Inter-University Council of Ohio (IUC) peers are doing regarding presidential housing and shared a review of costs related to different options. Chair Anderson reminded the committee that during the coming retreat, the Board will have a session on the Campus Comprehensive Master plan, which will include 29 Park Place and the surrounding area.

Chair Anderson reported that VPFA Golding indicated that the Board will, in the coming months, need to make decisions as to what to do with 29 Park Place and that the Board should continue the process of due diligence and inquiry in a larger campus-wide context. Chair Anderson emphasized that no decisions have been made. Chair Anderson noted that 29 Park Place had been toured by the Board in October, 2013.

Trustee Anderson reported on a brief update from General Counsel, John Biancamano and VPFA Golding on the UMA/AMA situation. Negotiations continue regarding a proposed merger of Ohio University practice groups and O’Bleness Hospital.

Chair Anderson reported that the committee went into closed Executive Session to hear a real estate report and to discuss compensation of a university employee. Chair Anderson reported that the committee had completed their evaluation of the President’s performance, including salary and bonus allocations according to Board policy. Chair Anderson distributed a Memorandum describing the Board’s Evaluation of the President’s performance. Chair Anderson highlighted portions of the document and stated that the Memorandum was available to the public through the department of University Communications and Marketing.

Chair Anderson read the compensation resolution and asked for a motion to approve. Trustee Wolfert motioned and Trustee Lake seconded. Chair Anderson called for a vote, and the motion carried.
COMPENSATION OF THE PRESIDENT

RESOLUTION 2015 -- 3503

WHEREAS, in accordance with the Board Policy for Annual and Comprehensive Presidential Performance Reviews, this Board has conducted an evaluation of the performance of President Roderick J. McDavis during Fiscal Year 2014-15; and

WHEREAS, the Board has determined that through his hard work and exemplary leadership President McDavis has made a significant contribution toward the achievement of the goals of the University and enhanced its reputation and visibility; and

WHEREAS, the Board has determined that the President’s many accomplishments during Fiscal Year 2014-15 include: continued success with the Strategic Enrollment Plan with record setting increases in applications and enrollment; implementation of The OHIO Guarantee for the 2015 Fall Semester; expansion of OU-HCOM to a statewide presence with campuses now in Dublin and Cleveland; successful completion of The Promise Lives Campaign, surpassing the goal of $450,000,000 and achieving the higher objective of $500,000,000; the $250,000,000 Century Bond issuance; and the completion of four new residence halls; and

WHEREAS, the Board wishes to recognize the President’s accomplishments during the previous fiscal year;

NOW THEREFORE, BE IT RESOLVED, that the Board approves an increase of $15,000 (3.2%) in the President’s Fiscal Year 2014-15 base compensation and an increase of $1,150, (3.2%) for Mrs. McDavis, effective July 1, 2015.

BE IT FURTHER RESOLVED that the Board approves a bonus of $90,000, (19.35%), to be computed on the basis of the President’s base compensation for Fiscal Year 2014-15.
CONSENT AGENDA
Chair Anderson moved to the Consent Agenda. Chair Anderson asked for a motion to approve the consent agenda. Trustee Wolford moved to accept the Consent Agenda, Trustee King seconded, Chair Anderson call for a vote and the motion carried.

VICE PRESIDENT FOR RESEARCH AND CREATIVE ACTIVITY
BARBARA GERALDS INSTITUTE FOR STORYTELLING
AND SOCIAL IMPACT

RESOLUTION 2015 - 3504

WHEREAS, by Resolution No. 2015 – 3492, this Board approved the establishment of the Barbara Geralds Schoonover Institute for Storytelling and Social Impact, (“the Institute”); and

WHEREAS, the Donor has signed a revised gift agreement expressing her desire to modify the name of the Institute.

NOW THEREFORE, BE IT RESOLVED that the Institute shall be designated the Barbara Geralds Institute for Storytelling and Social Impact.
APPROVAL TO PROCEED WITH DESIGN FOR THE PERMANENT CAMPUS BOILER PROJECT DESIGN PHASE AND BUDGET AMENDMENT AND THE SOUTH GREEN COMPREHENSIVE SITE DESIGN – SWEEP PHASE B – DESIGN THROUGH BIDDING PHASE

RESOLUTION 2015 -- 3505

WHEREAS, for the Permanent Campus Boiler project, the Board of Trustees previously approved a total project budget of $4,000,000 and authorized expenditures of $4,000,000 (2015-3468), and University administration seeks to amend the total project budget of $4,000,000 by an additional $11,000,000 for a new total project budget of $15,000,000 and seeks approval to increase the previously authorized expenditure amount of $4,000,000 by an additional $1,750,000 for total authorized expenditures of $5,750,000 to undertake design to be funded by the Energy Infrastructure Project Initiative;

WHEREAS, for the South Green Comprehensive Site Design – Sweep Phase B project, University administration requests approval for the total project budget of $1,061,000 and seeks authorization for expenditures of $150,000 to undertake design and bidding to be funded by Residential Housing Departmental Funds.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees approves the requests described above, authorizes the receipt of appropriate bids or proposals and authorizes the President or his designee to accept and award contracts within the total project budgets identified.
APPROVAL TO PROCEED WITH CONSTRUCTION FOR
THE ATHENS CAMPUS UTILITY METERING DESIGN
THROUGH CONSTRUCTION PHASES,
THE COLLEGE GREEN UPGRADE BUDGET AMENDMENT AND
SCOPE REVISION,
THE COLLEGE OF COMMUNICATION PHASE II
CONSTRUCTION AND BUDGET AMENDMENT II,
THE DEFERRED MAINTENANCE INVENTORY FACILITY
ASSESSMENT,
AND THE FUEL FARM REPLACEMENT DESIGN THROUGH
CONSTRUCTION PHASES

RESOLUTION 2015 -- 3506

WHEREAS, for the Athens Campus Utility Metering project, University
administration requests approval for the total project budget of $1,800,000 and
seeks authorization for expenditures of $1,800,000 to undertake design,
construction and complete the project to be funded by the Energy Infrastructure
Project Initiative ($800,000) and State Appropriations ($1,000,000);

WHEREAS, for the College Green Upgrade project, the Board of Trustees
previously approved a total project budget of $1,250,000 and authorized
expenditures of $1,250,000 (2015-3454), and University administration seeks to
amend the total project budget of $1,250,000 by an additional $450,000 for a new
total project budget of $1,700,000 and seeks approval to increase the previously
authorized expenditure amount of $1,250,000 by an additional $450,000 for total
authorized expenditures of $1,700,000 to undertake construction to repair the
tunnel top and complete the project to be funded by the Energy Infrastructure
Project Initiative ($450,000), State Appropriations ($425,000), and University
Reserves ($825,000);

WHEREAS, for the College of Communication Phase II project, the Board of
Trustees previously approved a total project budget of $17,800,000 and authorized
expenditures of $17,800,000 (2014-3415) and University administration seeks to
amend the total project budget of $17,800,000 by an additional $1,500,000 for a
new total project budget of $19,300,000 and seeks approval to increase the
authorized expenditure amount of $17,800,000 by an additional $1,500,000 for
total authorized expenditures of $19,300,000 to undertake construction and complete the project to be funded by FY2016 Deferred Maintenance Debt ($1,500,000), Gifts ($5,400,000), External Debt ($12,000,000) and State Appropriations ($400,000);

WHEREAS, for the Deferred Maintenance Inventory Facility Assessment project, University administration requests approval for the total project budget of $1,000,000 and seeks authorization for expenditures of $1,000,000 to undertake building assessments and complete the project to be funded by the Internal Reserves;

WHEREAS, for the Fuel Farm Replacement project, University administration requests approval for the total project budget of $1,300,000 and seeks authorized expenditures of $1,300,000 to undertake design, construction and complete the project to be funded by the Energy Infrastructure Project Initiative Debt.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees approves the requests described above, authorizes the receipt of appropriate bids or proposals and authorizes the President or his designee to accept and award contracts within the total project budgets identified.
RESOLUTION TO APPROVE EASEMENTS FOR CONSTRUCTION AND RELOCATION OF ELECTRIC FACILITIES

RESOLUTION 2015 -- 3507

WHEREAS, at the Ohio University-Eastern campus, AEP has requested an easement for proposed upgrades to electric lines, transformers and other facilities that will enhance service reliability to the campus and facilitate maintenance to the electric infrastructure that serves University buildings;

WHEREAS, AEP has requested an easement to relocate electric lines serving its substation near Dairy Lane in Athens, which will complement the City of Athens’ Richland Avenue improvement project and assist the City in completing construction; and

WHEREAS, the easements requested by AEP will facilitate work that is in the interest of the University and surrounding communities.

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees hereby approves the granting of the easements to AEP or its affiliate to allow for construction, relocation and maintenance of electric lines and related equipment in the areas depicted in the attached drawings, upon terms and conditions negotiated and approved by the President or his designee.

BE IT FURTHER RESOLVED, that the President or his designee is hereby authorized to execute the relevant easements and related documents in accordance with Ohio law.
UNFINISHED BUSINESS
There was no unfinished business.

NEW BUSINESS
There was no new business.

COMMUNICATIONS, PETITIONS, AND MEMORIALS
Secretary Moore described logistics for the coming retreat.

ANNOUNCEMENT OF NEXT STATED MEETING DATE
Secretary Moore announced that the next Board of Trustees meeting will be held on October 15th and 16th in Athens, Ohio.

ADJOURNMENT
Chair Anderson adjourned the meeting at 5:03 p.m.
APPENDIX

Ohio University Board of Trustees
Joint Committee Meeting Minutes
August 27, 2015

Present: Board Chair Sandra J. Anderson, Vice Chair David Wolfort, Trustees Janetta King, Kevin B. Lake, N. Victor Goodman, Dave Scholl, Janelle Simmons, Cary Cooper, Peggy Viehweger, Student Trustees Sharmaine Wilcox and Patrick Roden, Faculty Representatives David Thomas and Joe McLaughlin, Alumni Representative Julie Mann Keppner, President Roderick J. McDavis, and Board Secretary David R. Moore.

Chair Anderson convened the meeting at 11:06 am.

The Joint Committee Meeting discussion included three topics: 2016 Budget Update, Update on Sexual Misconduct Policies and Procedures, and post-Promise Lives Campaign Planning.

FY2016 Capital Budget
Vice President for Finance and Administration (VPFA) Stephen Golding reviewed the status of the State of Ohio’s biennial budget (House Bill 64), which was not passed until after the June 2015 Board of Trustees meeting (June 25-26, 2015). The FY16 Ohio University budget was revised to conform to the state biennial budget. VPFA Golding discussed in depth the issue of how much State Support of Instruction (SSI) funding would be available given Ohio University’s Ohio Guarantee program. VPFA Golding reported that the Biennial Budget added additional SSI to offset the tuition freeze for undergraduate students.

Executive Vice President and Provost (EVPP) Pam Benoit reviewed expense drivers on the academic side of the budget. EVPP Benoit indicated that the university has moved forward with implementing a 2% raise pool included in the FY16 budget approved by the Board of Trustees, the second year of the Faculty Compensation Plan, and the 1% Equity Pool. Regarding benefits, there has been a 5% increase in University share of healthcare costs and 7% healthcare cost growth, partially offset by modifications to employee healthcare plan and employee contributions. The cost are, in part, a function of increases in salary cost growth.
VPFA Golding reviewed expense drivers on the capital side of the budget. The University implemented the FY16 the Century Bond Program, which set up the central bank and debt service, and began to use those funds. Funds were allocated for: the Energy Infrastructure Project ($4.1M, project in year 2 of 3); deferred maintenance ($2.6M, project in year 2 of 10); McCracken Hall ($1.3M); and Housing Phase 1 ($5.9M).

EVPP Benoit described the rolling five year average of the Consumer Price Index (CPI). The University’s estimate of CPI for 2015 is 1.75%. The increases for the next cohort (cohort B) will be a maximum of 1.75% The University will be reporting auxiliary fees to the state, as well.

EVPP Benoit reminded the Board of current expense and revenue pressures. Expense pressures include compensation, the capital plan, and scholarships. Revenue pressures include student fee constraints, market returns, and state funding dependency.

Trustee Scholl asked for clarification on the subvention fund. VP Golding stated that within the Responsibility Centered Management (RCM) structure, Ohio University taxes approximately 12.5% of the revenues coming into the colleges, which are then redistributed by EVPP Benoit either to support programs that do not generate enough funds to meet program requirements, or to invest in new programs.

Trustee Wolfort asked how the University is applying the accumulation of non-cash expenses. VPFA Golding stated that the income the University is earning from the Central Bank does not cover debt service at this time, so Ohio University draws from other funds to meet the difference.

Trustee Cooper asked when the Board would receive an annual report on the Century Bond. VPFA Golding indicated it is likely to be reviewed at the October Board meeting, and will include expected use of proceeds and investment returns.

Sexual Misconduct Policies and Procedures
Dean of Students and Interim Vice-President for Student Affairs (Int. VPSA) Jenny Hall-Jones and Director of Equity and Civil Rights Compliance & Title IX Coordinator Inya Baiye reviewed and reported on the University’s definition of
sexual misconduct as a civil rights issue. Director Baiye provided examples of sexual misconduct, which include sexual harassment, non-consensual sexual contact or intercourse, relationship violence and stalking. Director Baiye reported that Title IX regulations enforced by the U.S. Department of Education require universities to identify, stop, remedy, and prevent sexual misconduct in educational and employment environments. Ohio University has a policy on these issues. Ohio University uses a hybrid investigation/hearing process to adjudicate complaints. Conduct that guidelines describe as “discriminatory” does not necessarily coincide with definitions of criminal conduct as described by state statute. The Ohio University Police Department (OUPD) is notified of student conduct that has the potential for criminal prosecution. Investigations of allegations occur simultaneously with law enforcement and are not exclusive.

Director Baiye described the Ohio University approach as being a multifaceted and collaborative approach utilizing the offices of Legal Affairs, the Executive Vice President and Provost, VP for Student Affairs, and VP for Finance and Administration.

Trustee Anderson asked for details regarding training efforts. Director Baiye reported that new faculty and staff orientations highlight the “duty to report” incidences. Director Baiye noted that she held a session at the Graduate Student Orientation. Dean Hall-Jones noted that Sexual Misconduct is outlined with students and their parents at Bobcat Student Orientation (BSO). In July, prior to their first semester at Ohio University, incoming students take online courses, “alcohol.edu”, and a module called “Not Anymore” that have significant sexual misconduct prevention training elements. Trustee Anderson stated that policies must be supported by training to make a difference.

Director Baiye shared 2015 University data on reports of sexual misconduct. The reports were divided into three subcategories: criminal offenses, handled by OUPD, faculty/staff offenses, and student offenses. For the purpose of the presentation, the term “report” refers to cases with investigations that were completed during the 2015 Academic Year (AC2015).

In AC2015, OUPD received 18 criminal sex offense complaints;

In AC2015, Faculty/Staff data included 5 reports of sexual harassment by hostile environment and 1 report of sexual harassment by quid pro quo;
In AC2015, student data included 1 report of sexual exploitation, 14 reports of sexual harassment by hostile environment, 2 non-consensual sexual contact reports, and 5 non-consensual sexual intercourse reports.

Director Baiye noted that next year’s data report will also record sexual misconduct data that involves dating violence, domestic violence and stalking violence.

Trustee Wolford asked if there is potential correlation between a more welcoming environment for reporting these incidences and report incidence. Director Baiye and Chief Powers responded that Ohio University has experienced an increase in reports of misconduct as support and issue awareness increase, and that these trends in data are seen nationally, as well.

Trustee Cooper asked for details on the hybrid investigation process. Chief Powers stated that the criminal process is separate from the administrative process. OUPD prefers to have first contact with alleged victims and perpetrators regarding criminal investigation, and coordinates with Director Baiye’s office to direct the investigation. Director Baiye noted that her office is supportive of possible criminal investigations. She stated that OUPD and the Office of Equity and Civil Rights Compliance (ECRC) coordinate closely to reduce disruption of one another’s activities. Martha Compton, Director of the Office of Community Standards and Student Responsibility, provided details on the investigation process and procedures for collaboration.

Trustee King asked how the University handles incidents, such as those reported by news agencies on many campuses, regarding the display of signs considered sexually suggestive or lewd. Director Baiye indicated that such incidences are an example of complaints that are addressed without formal reports. Int. VPSA Hall-Jones explained that, as much as possible, Student Affairs pursues an informal proactive effort to educate and inform. She stated that the apparent result is that it has become a community, self-policing process.

Trustee Goodman inquired about the administrative process and the role of confidentiality, or lack thereof, in administrative hearings. Director Baiye said that the due process rights of the respondent are taken very seriously. Director Compton stated that both the respondent and the complainant in the process are
informed of their right to remain silent, and can, if desired, have up three individuals (personal support, advisor, and/or legal counsel) present with them in any meeting to which the complainant/respondent is invited as part of the conduct process.

Trustee Scholl inquired about incidents on regional campuses. Director Baiye noted that the handling of sexual misconduct reports is handled by her office on the Athens Campus, and that regional campuses are required to report sexual misconduct to her office. Chief Powers reported that all of the incidents in the data report occurred on the Athens campus, and spoke about OUPD’s relationship with local law enforcement surrounding regional campuses.

Student Trustee Roden mentioned that these issues affect students of every gender.

Int. VPSA Hall-Jones reviewed 2014-15 accomplishments in this area, including an updated sexual misconduct policy, the reorganization of Title IX Coordinator’s Office and hiring of additional staff, implementation of a revised joint investigation/hearing process between ECRC and Community Standards, OU Survivor Advocacy Program funding, the development of an Athens/City Memorandum of Understanding regarding sexual misconduct, which is scheduled to be finalized and signed during the 2016 Academic Year (AC2016), and the creation of the Presidential Advisory Council on Sexual Misconduct (PACSM) climate survey (recommended by federal government).

*City of Dublin, OH’s West Innovation District*
Dana McDaniel, City Manager of Dublin, gave an update report on Dublin’s West Innovation District.

*Advancement 2025 Campaign*
Bryan Benchoff, Vice President for University Advancement (VPUA) reported that 8 years ago, the Promise Lives Campaign began with a $450 million goal; at the close of the campaign on June 30, 2015, over $500 million had been raised. The University has had a median annual fundraising capacity of $27.5 million since 1990, excluding the two gifts in excess of $100 million each. Our endowment distribution is currently providing a 3.2% contribution to the university’s annual budget. An endowment of $1.15 billion would provide an 8% contribution.
VP Benchoff introduced a new plan named “Advancement 2025.” This plan is geared toward two aspirational goals: increasing our annual fundraising capacity to $50 million, and growing our endowment to over $1 billion.

Chair Anderson adjourned the meeting of the Joint Committee at 1:45pm.
University Academics Committee  
Thursday, June 25, 2015

Present were Trustees Dave Scholl (chair), Cary Cooper, N. Victor Goodman, David Wolford, and Peggy Viehweger; Faculty Representative David Thomas; and Student Trustee Patrick Roden.

Trustee Scholl called the meeting to order at 1:45 PM.

Consent Agenda
Naming of the Barbara Geralds Institute for Storytelling and Social Impact

Academic Quality Dashboard

- University Dashboard
  Executive Vice President and Provost Pam Benoit, presented this snapshot of the University’s current performance in light of its strategic priorities and goals.

  The Dashboard is used to communicate information about achievement in the University’s 4X4 Strategic Plan. It contains data on key performance indicators that trustees need to fulfill the fiduciary responsibilities. The snapshot cannot contain information about every program, but captures indicators that, at a glance, allows tracking of growth and performance. Indicators are chosen with an interest in providing relevant and vital information.

  Undergraduate enrollment has increased steadily over the last five years, growing from 20,996 to 23,571, an increase of 12.3%, while other 4-year public institutions in Ohio have experienced a slight decrease during that time. The student-faculty ratio has also improved from 20:1 to 18:1 over the past four years.

  Along with this growth, OHIO has out-performed most Ohio public institutions in first-year retention rates, four-year and six-year graduation rates (OHIO is third in the state for both), bachelor degrees granted (OHIO is 2nd in the state behind OSU), all non-medical degrees (OHIO is 3rd behind OSU and UC), and student ACT composite scores.
OHIO is addressing disparities between overall student retention rates and those of certain student populations. As is the case within other institutions, retention rates for African-American and first-generation students at OHIO are lower. The university has initiatives in place to support these students. The retention rate for African American students has increased by 5% from 75% to 80%. This is only slightly below the overall retention rate of 80.2% on the Athens campus (2013 cohort). The retention rate for first-generation students continues to trail non-first generation students by about 6%, but has improved from 73% to 76%.

Consistent with other state institutions, the percentage of full-time Group I Faculty has declined slightly from last year.

Participation in the Research and Creative Activity Expo, where students present their work, increased in 2015.

Undergraduate research culture is continually improving

Trustee Scholl shared information about the Collegiate Learning Assessment.

Standing Reports and Updates

- Community Standards Update
  Jenny Hall-Jones, interim vice president for student affairs, informed the committee that a four-year comparison of conduct cases and conduct offenses showed a decrease in: the number of cases, the number of more serious (A-level) offenses, and cases involving academic misconduct. The number of cases involving alcohol and other drugs, most notably marijuana violations, continues to rise.

Some information provided included:

- Code A cases have decreased from 642 in 2011-12 to 263 in 2014-15.
- Code B cases have increased from 1,037 in 2011-12 to 1,505 in 2014-15
- Case Disposition resulting in probation decreased from 1,300 in 2011-12 to 1,101 in 2014-15
- Case Disposition resulting in expulsion decreased from 6 to 1
The number of charges dismissed increased from 441 to 857.
The largest number of Code A cases in 2014-15 fell into the categories of Mental or Bodily Harm to Self (327), Mental or Bodily Harm to Others (172), and Violation of Disciplinary Probation (231).
The largest number of Code B cases in 2014-15 fell into the categories of Unauthorized Use of Alcoholic Beverages, Possession (1,326) or Use of Marijuana (615), and Violations of Rules Regarding Residence Halls and Dining Facilities (470).
There were 22 cases related to sexual misconduct.

- Faculty Compensation Update
  The update was brought by Executive Vice President and Provost Benoit and Associate Provost John Day
  The final plan produced by the Faculty Compensation Task Force, shared with the Academics Committee in March of 2014 and endorsed by the committee and the Board of Trustees, includes goals which included:
  - Moving average salaries for each tenure-track faculty rank to 3rd among four-year public universities in Ohio
  - Investing the same percentage in compensation for regional tenure-track faculty
  - Investing the same percentage for Group II faculty on the Athens and regional campuses, and
  - Evaluating employee health benefits and the impact of the Patient Protection and Affordable care Act on total compensation

Investments related to this plan began in the FY2015 budget.

After one year, OHIO ranked 7th, up from 8th, in compensation for professors; remained the same, at 7th for associate professors; and went from 7th to 5th in compensation for assistant professors.

The plan is beginning to have a positive effect. The original projection expected a $1.2 million investment each year for three years or $3.6 million total. The updated year two projection expects a $890 thousand investment each year for the remaining two years or $1.76 million total. Actuals may differ from projections based on the influence of retirements, promotions, and general salary inflation.
Non-tenure track and regional faculty received the same percentage investment (2.19% in Year 1) as Athens Group I faculty. With results from Year 1 being better than expected, the investment will be 1.36% in Year 2.

**Academic Quality – Initiatives**

- **AQIP Update**
  Executive Vice President and Provost Pam Benoit presented an update of Ohio University’s progress towards reaccreditation and specifically, preparation for the upcoming site visit in November 2015. The presentation included a review of the Higher Learning Commission (HLC) Criteria for Accreditation and how the HLC’s Academic Quality Improvement Program (AQIP) enables OHIO to frame how it meets these criteria.

  One of the nine AQIP categories, number eight, Planning Continuous Improvement, was the focus of the presentation.

  **OHIO Strengths:**
  4 x 4 Strategic Priorities & Fundamentals
  Budget & Resource Allocation Processes—RCM, Budget Planning Council (BPC)
  Risk Management

  **OHIO Opportunities:**
  Role of AQIP Task Force in Strategic Planning
  Set Strategic Targets in Dashboard; include RHE in Dashboard
  Need Evidence of Effective Continuous Improvement

  Work prior to this year’s Comprehensive Quality Review (CQR) site visits to the Athens, Chillicothe, Southern, and Zanesville campuses in November include: federal compliance review, CQR highlights report, third-party comment process, and multi-campus visit report.

  The visit team will produce a reaffirmation recommendation. The decision will be made in spring of 2016 by the Institutional Actions Council.

Trustee Scholl adjourned the meeting at 3:10 PM
Committee Chair Janetta King called the meeting to order at 1:46 pm. Other board members present included Trustee Janelle Simmons, Trustee Sandy Anderson, Trustee KB Lake, Student Trustee Sharmaine Wilcox, Alumni Representative Julie Mann Keppner, Faculty Representative Joe McLaughlin, and President Roderick J. McDavis.

- Financial Update

Senior Associate Vice President for Finance and Administration, Deb Shaffer, shared with the committee that the year-end audit is still in progress and the most current preliminary results for the fiscal year ended June 30, 2015 are reflected in the handout and will be the basis for this presentation. This is the same all-funds presentation format the board has seen evolve throughout the year.

The current FY 2015 projection for net results is $47.4M compared with the $45.7M projection from the March 2015 interim forecast.

For University operations, FY14 actual, FY15 budget, and FY15 forecast are reflected in the statements. The university experienced less than budgeted undergraduate net tuition due to students graduating earlier and more than budgeted room and board revenue due to those auxiliaries budgeting conservatively. The tuition, room and board revenue budgets are now being aligned and using consistent enrollment statistics and projections. Net graduate tuitions are higher than budget due to stronger enrollments and the continued expansion across the state for medical and graduate programs. Salary and benefit costs are under budget mainly due to delays in hiring across the expansion and regional campuses. Higher than budgeted operating expenses relate to the costs for several initiatives related to RCM, Service Alignment Initiative, and COMP 2014.

Non-operating results included investment losses for FY15 and other endowment activity, capital construction project activity and depreciation, century bond
activity which includes $30M for energy projects and $10M for deferred maintenance for a total of $40M transferred to capital projects, and internal bank activity, primarily internal loans to university units and corresponding repayments. Included in the projected net results is the impact of a positive $6.1M in adjustments for the GASB 68 pension liability. The recording of the University’s share of the state’s pension liability at June 30, 2015 of $365M results in a reduction of unrestricted net assets.

State guidance recently released has indicated that the SB6 computation will be prepared using the previous calculations with and without the impacts of GASB 68. The rating agencies have yet to decide how to roll the GASB 68 impact into their analyses of higher education. GASB 68 was intended to highlight the impact of state obligations for unfunded pension liabilities to spur conversation about solvency of these funds and the impact on states.

The balance sheets as of June 30, 2014 and 2015 and the changes year-over-year were discussed. The impacts of the Century Bond proceeds, investments in capital assets and the new net pension liability resulting from GASB 68 were highlighted.

● Endowment Update

Ms. Candice Casto, Chief Finance and Investment Officer, provided an update on the stewardship of the University’s and Foundation’s endowments, quasi-endowments and a portion of the working capital. The Foundation Investment Sub-committee has been empowered to provide oversight of the University’s long-term investment portfolio assets. Ms. Casto explained the fiduciary and diligence duties of the Investment Sub-committee and their managing fiduciary / investment advisor, Hirtle, Callaghan & Co.

The total portfolio value, comprised of both Foundation ($445M) and University ($180M) funds, was $625 million at June 30, 2015, down slightly from the prior year due to portfolio performance for FY15 of -1.11%. The asset allocation is prescribed by the Investment Policy. The portfolio performance for the 1, 3, and 5 year periods ended June 30, 2015 are on par with or slightly lower than the diversified benchmarks. Year-to-date returns are approximately -6% through August due to the recent volatility in the market. The negative return in combination with the endowment distributions has resulted in a drop in endowment value from $507M at June 30 to approximately $450M today.
The spending policy and spending rate for the endowments are reviewed by the Foundation annually and currently provide an annual 4% spending allocation to university units and a 2% administrative fee. The administrative fee is assessed on above-water accounts to fund the operations of the Foundation and the current capital campaign operating needs and those needs are reviewed at least annually by the Foundation’s board.

- **Consent, Construction Projects Approval – Schematic Design**

Prior to discussing the construction projects, Senior Associate Vice President for Information Technology and Administrative Services, Joe Lalley, provided an update on the positive usage and cost impacts to date of Energy Initiatives Project (EIP) projects. Mr. Lalley stated that the EIP projects are cumulative and reported that projects approved to date and projects for which the University is seeking approval for today are within total $79M budgeted for the EIP, the funds for which were originally earmarked for the Lausche Plant.

The combination of the Chiller 2 replacement and the 2015 annual steam system maintenance projects appear to have resulted in large reductions in water usage and cost. The savings for June and July appear to be 3.5 M gallons of water saved at a cost of $20K. Also reported was a 20% reduction in energy costs for June and July equating to $113K for those two months. The EIP team believes the efficiency of new chillers and the repairs to the steam and condensate leaks discovered during the May steam shutdown are largely responsible for the savings. These trends will continue to be monitored. The next large project to be brought to the board is expected to be the remote chilled water plant.

SAVP Lalley shared brief summaries of two projects presented for schematic design approval - the Permanent Campus Boilers project and the South Green Sweep Phase B project.

The Committee recommended that the Schematic Design resolution be retained on the Consent Agenda for the August 27, 2015 Board of Trustee meeting.

- **Consent, Construction Projects Approval – Construction**
SAVP Lalley provided a brief summary of the five projects included as part of the Construction request including utility metering, College of Communication fire system upgrades, and development of a comprehensive deferred maintenance inventory database for the Athens and the five regional campuses. The fuel farm project replaces the aged fuel plant and the enlarged diesel fuel storage will supply backup fuel in the event natural gas is unavailable to power the heating plant.

The Committee recommended that the Construction resolution be retained on the Consent Agenda for the August 27, 2015 Board of Trustee meeting.

- Consent, AEP Easements on Eastern & Athens Campuses

Mr. Lalley discussed the requests for the AEP easements on the Eastern and Athens campuses and the benefits to each of the campuses.

The Committee recommended that the Resolution to Approve Easements for Construction and Relocation of Electric Facilities be retained on the Consent Agenda for the August 27, 2015 Board of Trustee meeting.

- Building Plaque Policy

VP Golding reminded the committee of the discussion regarding the Building Plaque materials he distributed at the June board meeting. No comments were received during the course of the summer. Representative McLaughlin questioned faculty representative inclusion on the building plaques since they are not voting members of the board. Mr. McLaughlin will confer with Faculty Senate and report back to the committee at the October meeting.

- Resolution, Student Investment Management Program

VP Golding reminded the committee of the discussions regarding funding for the College of Business Student Investment Management Program and discussed the resolution brought to the board authorizing the Vice President for Finance and Administration to utilize university funds rather than Foundation donor funds to support the program up to $5M.
Trustee Lake moved to recommend approval to the full board of the Student Investment Management Program resolution; Trustee Anderson provided a second, unanimous approval.

At 2:59 pm meeting was adjourned.
Trustee N. Victor Goodman, called the meeting to order at 10:00 a.m. Other committee members present were Trustee Janetta King, Trustee Dave Scholl, Trustee Julie Mann Keppner, and Student Trustee Patrick Roden. President Roderick McDavis and Trustee Sandra J. Anderson were also present.

Ohio University Police Department Presentation
Andrew Powers, Chief of Police presented on the police departments mission, legal authority and jurisdiction, professional accountability, and discussed recent accomplishments and future goals.

Plante Moran - FY15 Audit
Danny Sklenicka of Plante Moran provided the Audit Committee with an updated on the status of the FY15 audit. Plant Moran indicated that the audit is on schedule and will meet the state reporting requirements.

Internal Audit Update
Jeffrey Davis, Chief Audit Executive, provided an update on the Internal Audit Office operations. Topics included an update on the FY16 audit plan, construction auditing, an update on current audits and other projects, a revised report rating system and an external assessment.

At 10:30 a.m. Trustee Dave Scholl motioned to adjourn to executive sessions. Trustee Janetta King seconded. The executive session was to discuss details relative to the security arrangements and emergency response protocols for a public body or a public office, if disclosure of the matters discussed could reasonably be expected to jeopardize the security of the public body or public office. R.C. 121.22(G)(6).

Trustee N. Victor Goodman yes. Trustee Janetta King yes. Trustee Dave Scholl yes. Trustee Sandra J. Anderson yes. Vote was unanimous. There was no unfinished business. Meeting adjourned at 11:00 a.m.
Ohio University Board of Trustees
Governance Committee
Minutes

Thursday, August 27, 2015

Present were Chair Simmons, Trustees Cooper, Lake, Viehweger and Wolfort, Student Trustee Wilcox, Secretary to the Board David Moore and General Counsel John Biancamano.

The meeting was called to order at 10:00 AM.

1. Review of Board Bylaws

   Mr. Biancamano presented proposed amendments to the Board Bylaws that had been discussed at the March and June meetings. Without objection, the Committee agreed to recommend the amended Bylaws for adoption by the full Board.

2. National Trustee Selection Update

   President McDavis reported that three candidates have been identified for the two open National Trustee positions. Two have said they would be willing to serve and he is waiting for a response from the third. He will make a recommendation to the Board prior to the October meeting.

3. Minutes of Board meetings

   The Committee discussed the format for minutes of Board meetings. It was noted that a DVD is made of the meetings of the full Board and is retained in Archives. There was general agreement that the format for minutes of the full Board need not be changed.
   Mr. Biancamano will consult with Secretary Moore and then make a recommendation for Committee minutes at the October meeting.

The Committee adjourned at 10:15 AM.
PRESIDENT’S REPORT

presented to
Ohio University Board of Trustees
October 16, 2015
Overview

- Vision, Values & Priorities
- OHIO for Ohio
- Inaugural Fall Commencement
- Community College Partnerships
- Honorary Doctoral Degree Conferral
- Celebrating 25 years of the Americans with Disability Act
- Homecoming 2015
- The Promise Lives Capital Campaign Celebration
- Continued Fundraising Efforts
- Points of Pride
- Program Spotlight

Photo Courtesy of UCM
Inspired Teaching and Research
Innovative Academic Programs
Exemplary Student Support Services
Integrative Co-curricular Activities

Excellence is our hallmark
- Outstanding people, ideas, and programs drive our educational mission.

Integrity, civility and diversity define our community
- These values guide our leadership in a global society.

Stewardship enhances our legacy
- As Ohio’s first institution of public higher education, we are mindful of our accountability to the public trust.

Transformative Learning Community

Effective Total Compensation
Complete Capital Campaign
Short- & Long-Term Enrollment Goals
Improve Financial Strength

Vision Statement
Ohio University will be the nation’s best transformative learning community where students realize their promise, faculty advance knowledge, staff achieve excellence, and alumni become global leaders.

The best student-centered learning experience in America
Office of the President
Planning for Ohio University’s Inaugural Fall Commencement Ceremony is Underway

- Fall Commencement will be held at 2 p.m. on Saturday, December 12th in the Convocation Center
- Students who have met graduation requirements during the 2015 Summer or 2015 Fall semesters may participate in the ceremony
- This includes students earning doctoral, professional doctoral, masters, or undergraduate degrees through any of our degree programs on all campuses or through e-Learning programs
On September 23rd, Ohio University and Columbus State Community College celebrated our bourgeoning partnership at the Dublin Integrated Education Center

“Our success in moving forward together will be measured by the degree to which the people of this community are able to say for years to come that they are better off because of our presence and the work we have all done here.”

–Randy Leite
On September 23rd, Ohio University conferred an Honorary Doctoral Degree on Brigadier General James M. Abraham.

- This award recognizes Brig. Gen. Abraham’s distinguished service to our nation and his unwavering commitment to future generations of military, intellectual and societal leaders.

- Brig. Gen. Abraham is a two-time graduate of the Russ College of Engineering and Technology and a distinguished veteran of the United States Army.

- His contributions to OHIO include the continuation of OHIO’s ROTC program, the creation of WOUB, and the establishment of an endowed scholarship that supports 11 students at Ohio University.

Photo Courtesy of the Russ College
Celebrating 25 years of ADA

The Presidential Advisory Council on Disability and Accessibility Planning and the City Commission on Disabilities coordinated a month-long celebration of the 25th anniversary of the Americans with Disabilities Act.

Highlights include:

- Accessibility-themed workshops, panel discussions and public forums
- Career coaching and leadership development opportunities
- Film screenings
- Therapy dog demonstrations
- A Dancing Wheels Company performance
Ohio University’s annual Homecoming celebration took place October 5-10

• This year’s Homecoming theme, “Same Bricks, Different Stories,” celebrated the bricks that bond OHIO alumni through the ages
• Clarence Page was named Ohio University’s 2015 Alumnus of the Year
The Promise Lives Capital Campaign

On September 11th, Ohio University celebrated the successful completion of The Promise Lives Capital Campaign

- The campaign raised $500,142,968.93 thanks to support from more than 76,000 donors
- The Campaign Celebration Gala featured remarks by University leadership, members of the Campaign Steering Committee and scholarship recipients
- The gala also launched Ohio University’s premier lifetime giving society, the Cutler Herrold Society
Continued Fundraising Efforts

Advancement Travel

- Cincinnati, OH
- Dayton, OH
- Detroit, MI
- Columbus, OH
- Washington, D.C.
Points of Pride

Ohio University launched an African American Male Initiative, which aims to improve matriculation and graduation rates of our African American male students.
In response to resolutions from our Student Senate and Graduate Student Senate, Ohio University adopted a new “Student Names” policy, which allows a student to select a name and/or gender pronoun for self-identification.
Points of Pride

Student and faculty researchers received grants from the National Science Foundation, including:

- **Catherine Early**
  - $138,000
  - Brain Anatomy

- **Dr. David Drabold**
  - $500,000 (joint award)
  - Solid Electrolyte Glass

- **Dr. Gang Chen**
  - $500,000 (joint award)
  - Solid Electrolyte Glass

Photos Courtesy of Jean Andrews, UCM and Andrea Gibson, respectively
Points of Pride

Paul C. Jones was named OHIO’s Samuel and Susan Crowl Professor in English Literature

Kenneth Holroyd, Distinguished Professor of Psychology, received the 2015 Lifetime Achievement Award from the American Headache Society
TechGROWTH Ohio, a program of the Voinovich School of Leadership and Public Affairs, received the 2015 Ohio Financing Roundtable Excellence Award from the Council of Development Financing Agencies.
The Outstanding Federal Government Alumni Award was presented to Richard E. May, current staff director of the U.S. House Budget Committee, during Ohio University’s annual Federal Government Alumni Luncheon.
Ohio University was named the 18th fastest growing college in the United States by the Chronicle of Higher Education.
University Spotlight: Advancement Communications & Marketing

“We’ll Find No Days”

Yaphet Jackman
Master of Fine Arts in Filmmaking

The best student-centered learning experience in America
Office of the President
PRESIDENT’S REPORT

presented to
Ohio University Board of Trustees
October 16, 2015
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost
Stephen T. Golding, Vice President Finance & Administration, CFO and Treasurer

Re: Governor’s Task Force on Affordability and Efficiency in Higher Education

As we reported in June, The Governor’s Task Force on Affordability and Efficiency was established by an Executive Order signed by Governor John Kasich in February that created a state task force focused on providing recommendations for ways in which state-sponsored institutions of higher education, including four-year universities and two-year community colleges, can be more efficient, offering education of equal or higher value while at the same time decreasing their costs.

The Governor's goal of making higher education affordable and accessible for Ohio students is a statewide priority for all public higher education institutions that the Inter-University Council has publicly endorsed. Ohio University has specifically participated in the Ohio Task Force on Affordability and Efficiency in Higher Education, which will present its final report and recommendations on October 1st. We have been an active participant in this statewide effort with public testimony by OHIO’s Vice President for Finance Steve Golding and Administration and Zanesville Campus Dean Jenifer Cushman on topics including asset monetization and campus co-location – two topics which will be included as a part of the final report’s recommendations.

With the publication of the statewide recommendations, it will be important that OHIO’s internal Task Force (made up of faculty, staff and students) aligns with this state-wide effort while still continuing to give emphasis to the University’s broader objective of being the nation's best transformative learning community where students realize their promise, faculty advance knowledge, staff achieve excellence and alumni become global leaders. Over the past several months under the leadership of the Provost and Vice President for Finance and Administration a University committee has been examining a number of our own processes to determine where we can be more efficient and generate additional revenue. The goal of this effort is to contain costs for students and to identify those areas where investment will result in improved delivery of curricula, student programs, and administrative support systems. The Task Force is considering ideas from across all our campuses.
Beyond the initial October 1st reporting deadline set forth by the state task force, OHIO’s Task Force on Affordability and Efficiency will continue its work in developing and implementing key initiatives that relate to the University’s ability to operate more productively. The University has also engaged Huron Consulting Group to assist in the effort as outlined in the attached PowerPoint. In addition, we will continue our work with the Educational Advisory Board (EAB) to complete the assessment of our course loads and scheduling in conjunction with the colleges and departments. In order to insure that OHIO’s Task Force recommendations are in the best interest of the broader university community we will be sharing these broadly and engaging the campus in conversations as how best to move forward to achieve our institutional goal of controlling the costs of a higher education for our students. We are also asking members of the OHIO community to submit their own feedback or suggestions to the OHIO Task Force on Affordability and Efficiency via an online suggestion box on the Task Force’s website.
GOVERNOR’S TASK
FORCE UPDATE

Tab
Agenda

• Governor’s Task Force Update
• OHIO Task Force Update
• Huron Initiative Update
• Next Steps
Governor’s Task Force Charge

- Governor’s Task Force recommended solutions based on three key needs:
  1. Be more efficient both in expense management and resource generation
  2. Offer an education of equal or higher quality
  3. Decrease cost to students and their families
Executive Order Areas of Review

- Administrative staffing, bureaucracy and related costs
- Teaching loads (non-research faculty)
- Organization of departments
- Space utilization, including space for commercial innovation
- Shared services/procurement
- Low-enrollment and low performing programs
- Asset utilization and opportunities for monetization
- Other new revenue sources
- Standard course requirements
- Technology
- Best practices for community colleges co-located with regional campuses
Task Force Recommendations

• Recommendation 1&2: Foundational Concepts
  • Savings used to reduce student costs and enhance quality
  • Board set 5-year targets for expense reduction and revenue generation and report annually on progress

• Recommendation 3: Procurement
  • Institutions should require employees to buy off of preferred vendor contracts; expand state-wide procurement activities around selective areas – energy, technology, equipment, etc.

• Recommendation 4: Assets and Operations
  • Assess non-core assets to determine whether to sell, lease of repurpose; Assess non-academic operations that might be run more efficiently by regional cooperative, private operator or other entity; Evaluate opportunities for affinity relationships and sponsorships that could support students, faculty and staff
Task Force Recommendations

• **Recommendation 5: Administrative cost reform**
  - Undertake cost diagnostic; Develop standard productivity measures; Review organizational structures to identify opportunities to streamline and reduce costs; Study healthcare costs: consider co-locating data centers; and Optimize building utilization

• **Recommendation 6: Textbook affordability**
  - Professional negotiators should help faculty obtain instructional materials in a more cost effective manner; Departments should be encouraged to utilize common materials, and Consortiums should be formed to develop digital tools to develop open educational resources

• **Recommendation 7: Time to degree**
  - Encourage students to take 15 credit hours; Provide incentives to graduate on time; Encourage programs to streamline credit hour requirements; Utilize summer programs; and develop data analytics to track student success
Task Force Recommendations

• **Recommendation 8: Duplicative programs**
  - Evaluate duplicative programs, particularly at nearby or co-located campuses for possible consolidation; Review all courses and programs based on enrollment and student performance every 5-years and consider collaborations with other institutions

• **Recommendation 9: Co-located campuses**
  - Establish advisory joint oversight boards with mandate to improve efficiencies and coordination between co-located community colleges and regional campuses

• **Recommendation 10: Policy Reforms**
  - Streamline the process for how public colleges and universities sell, convey, lease or enter into easements of real property; clarify statute to enhance group purchasing of property and casualty insurance
Next Steps

- Board of Trustee’s complete efficiency review by July 1, 2016 and an implementation plan within 30 days
OHIO’s Task Force - Charge

OHIO University’s Task Force on Affordability and Efficiency seeks to align with this state-wide effort while continuing to give emphasis to the University’s broader objective of being the nation's best transformative learning community where students realize their promise, faculty advance knowledge, staff achieve excellence, and alumni become global leaders. To help the University achieve this, OHIO’s Task Force on Affordability and Efficiency will review and recommend innovative strategies to deliver high quality education programs and course content and champion alternative business models that promote efficiency and enhanced productivity in our colleges and administrative business units. We will seek to identify opportunities to invest in new programs that enhance OHIO’s teaching, research and service mission, while preserving the OHIO Guarantee’s predictable cost model to insure the university remains accessible and affordable to Ohio students and their families. By committing to these efforts, the OHIO Task Force seeks to sustain the positive momentum of the last five years and position the University to continue to be a progressive leader in the 21st century.
OHIO’s Task Force

- Formed in the early summer and have been meeting for three months
- Have met nine times through September 30th
- 15 members representing campus constituent groups; chaired by EVPP and VPF&A
- Task Force currently divided into topic workgroups
  - 1 group to examine past internal and consultant studies
  - 4 workgroups have been established to address key areas identified in the Governor’s Task Force charge
    - Joint Purchasing
    - Time to Degree
    - Low Enrollment Courses
    - Revenue Enhancement Strategies
## OHIO Task Force
### Subcommittee Options

<table>
<thead>
<tr>
<th>Subcommittee Topic:</th>
<th>Option 1</th>
<th>Option 2</th>
<th>Option 3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Joint Purchasing</strong></td>
<td>Request ‘most favored nation’ clause in negotiated contracts for IUC partners</td>
<td>Energy Efficiency / Conservation</td>
<td>Consolidate benefits across Ohio schools</td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong></td>
<td>May require legislation</td>
<td>Biggest barrier to success: May be high up-front costs related to deferred maintenance</td>
<td>Biggest barrier to success: Local economy impacts; loss of control locally; employees may be required to change provider</td>
</tr>
<tr>
<td><strong>Time to Degree</strong></td>
<td>Guided pathway to 4 year graduation provided to each freshman with a declared major</td>
<td>Identify and redesign ‘D- Withdrawal-Failing’ Courses to improve student learning</td>
<td>Research major change / student behavior and map opportunities for clustering courses and scheduling improvements</td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong></td>
<td>Available advising staff and robust technology solution</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Low Enrollment Courses</strong></td>
<td>Publish low enrollment data to units for monitoring</td>
<td>Develop unit-specific policies on enrollment minimums</td>
<td>Examine course offerings that may be redundant across units; create interdisciplinary offerings</td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong></td>
<td>Need standard definition of ‘low enrollment’; some low enrollment is justified</td>
<td>Biggest barrier to success: Establishing minimums that are both efficient and pedagogically justified</td>
<td>Biggest barrier to success: Units reluctance to give up course revenues in RCM environment</td>
</tr>
</tbody>
</table>
## OHIO Task Force Subcommittee Options

<table>
<thead>
<tr>
<th>Subcommittee Topic:</th>
<th>Option 1</th>
<th>Option 2</th>
<th>Option 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analysis of Prior Reports</td>
<td>Implement Shared Services</td>
<td>More efficient use of space</td>
<td>Streamlining / standardizing all forms of student hiring</td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong> Establishing campus networks and campus culture</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenue Enhancement Strategies</td>
<td>Expand marketing and recruitment to non-traditional students - graduate, executive, online, seniors, etc.</td>
<td>Substitute use of consultants with existing university expertise</td>
<td>Increase utilization of existing facilities</td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong> Faculty and staff adoption, workload, technology infrastructure, program development</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong> Campus culture and acceptance to scheduling classes outside standard times</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Biggest barrier to success:</strong> Lack of incentives for deans/academics and academic support units to better utilize space</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
OHIO Task Force
Top Recommendations

• Criteria for Evaluating Top Recommendations
  • Impacts many students
  • Improves quality of experience for students
  • Political Impact
  • Low cost / high impact
  • Level of sustainability
Huron Engagement

Huron Initial Discovery – Phase 1
• Submit request for initial data and review information provided
• Conduct stakeholder interviews
• Synthesize key considerations
• Prepare for further analysis

Opportunity Identification – Phase 2
• Conduct preliminary analysis
• Initiate engagement of additional stakeholders
• Determine a “menu” of potential initiatives and develop a mechanism to prioritize initiatives
• Draft a reporting template
Huron Interview Themes

• Potential to improve student throughput:
  • Are there opportunities to better leverage OHIO’s existing infrastructure to teach more students?

• Utilization of staff and facilities in new and different ways:
  • How can staff time and space be better leveraged within organizations and across campus to improve operational efficiency?

• Advantages gained by leveraging Ohio Partnerships:
  • How does OHIO determine if it is best utilizing existing capabilities and increasing collaborations to strengthen buying power?

• Evaluation of overall University spend:
  • How does OHIO align accountability for financial stewardship, especially as units increase their understanding of RCM operations?

• Expansion of new revenue generating opportunities:
  • How can OHIO create and environment that fosters innovation while maintaining quality and minimizing risks?
Evaluation Criteria

- **Financial Impact** – estimates of cost savings or cost to implement
- **Productivity Impact** – annual hours of productivity improvement
- **Service impact** – increased customer satisfaction
- **Implementation Capacity** – Ability to achieve desired outcomes
- **Implementation Effort** – Staff and resources cost to implement
- **Cultural Alignment** – Consistent with mission, vision, values
- **State-wide Collaboration Opportunities** – Demonstrated effort at collaboration with other institutions of higher education
- **State Task Force Alignment** - Demonstrated effort at supporting goals and objectives articulated in task force final report
OHIO Next Steps

• Integrate three efforts into one
• Set 5-year target
• Identify targets of opportunity
• Develop institutional teams to develop implementation plans
• Develop annual reporting measures
• Prepare initial report for July 1, 2016
• Complete EAB study and prepare report
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice president and Provost
Stephen T. Golding, Vice President Finance & Administration, CFO and Treasurer

Re: Cost of Attendance

Attached is the official template for the 5% Senate Challenge that has been provided by the Chancellor’s Office to each public institution of higher education. We have been asked to fill out the form and submit it to the Chancellor’s Office on or before October 15, 2015. Because we are required to submit the form prior to the Board’s review and adoption, the Chancellor has agreed that our submission will be provisional until such time as we have obtained final board approval.

Discussions with the Chancellor’s office have determined that we are not required to respond in every category and we can be OHIO specific in our response. In order to facilitate this process, we have assigned individual sections to individual university offices and have asked them to develop narratives and projected cost savings for their respective categories which we will be reviewing with senior staff over the course of the next week. It is our goal to be able to demonstrate that OHIO University will meet the 5% Senate Challenge both in terms of historical programs we have put in place and new initiatives that we have in the pipeline; as well as, demonstrate the cumulative impact of OHIO’s initiatives on future students who will matriculate to OHIO in the coming years.

As you will note on the form, House Bill 64 section 369.000 requires the boards of trustees of each state institution of higher education to develop and implement a plan to provide all in-state, undergraduate students the opportunity to reduce the student cost of earning a degree (cost of attendance) by five per cent. An institution’s total cost of attendance is calculated based on a breakdown of the average tuition, fees, room and board, textbooks, etc., for a full-time student, living on campus. An institution must be able to control these costs for them to be included in the calculation. We would define this cost as our “sticker price”, which will be offset by any federal, state or institutional grants and scholarship that a student might receive in order to identify a true cost of attendance number.

With this baseline number, we will then evaluate the impact of a number of programs and cost savings initiatives that have been in place over the last several year or ones that we have been working to put in place in the next several years. Examples of the former would include our efforts around online educational programs, fixed rate instructional and general fee for additional credit over 12 credit hours, the OHIO Guarantee, three-year degree and our College Credit Plus programs. Pipeline initiatives include our matching financial aid initiative, efforts to reduce the cost of textbooks and educational materials and new online programs. In addition to these, we are also evaluating the savings students are getting from our forgone tuition increases over the
last several years which have a cumulative and compounding benefit for our current and future
students.

As you can see, OHIO has invested in a number of existing and future programs that are
designed to offer our students a more cost effective and affordable education. While we
recognize that not every student can avail themselves of every option, we feel it is important that
they understand that these options exist.
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost

Re: AQIP Review and Update

The Academic Quality Improvement Plan (AQIP) “is premised on principles of continuous quality improvement, and its various processes and requirements are designed to assist institutions in achieving quality improvement, along with reaffirming the institution’s accredited status with the Commission once every AQIP cycle.” (Higher Learning Commission). The benefits of accreditation are that we demonstrate our commitment to best practices in teaching and learning, academic support and planning. Accreditation also makes it possible for students to receive federal financial aid and for faculty to receive federal grant funding. We are preparing for Ohio University’s reaffirmation of accreditation with the Higher Learning Commission, which is scheduled to take place in 2015-16, following their site visit on November 2-4.

This presentation gives a review of the AQIP process, accreditation criteria, and a summary of Ohio University’s activities to prepare for a successful site visit and reaffirmation. The attached document, “Ten Accreditation Facts,” gives a summary of Ohio University’s accreditation status. Attention will be given to the preparations we are making to receive the visiting team in November to demonstrate that we have met the five criteria for accreditation:

1. **Mission:** the institution’s mission is broadly understood within the institution and guides its operations.
2. **Integrity:** the institution acts with integrity; its conduct is ethical and responsible.
3. **Teaching and Learning:** the institution provides high quality education, wherever and however its offerings are delivered.
4. **Evaluating and Improving Teaching and Learning:** the institution demonstrates responsibility for the quality of its educational programs, learning environments, and support services, and it evaluates their effectiveness for student learning through processes designed to promote continuous improvement.
5. **Resources and Planning:** the institution’s resources, structures, and processes are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities. The institution plans for the future.
1. **Accreditation Overview:** Institution-wide accreditation is done through 6 regional accrediting associations. Ours is the Higher Learning Commission (HLC). The Academic Quality Improvement Program (AQIP) is one of HLC’s accreditation pathways. HLC developed AQIP to help institutions like us retain our institutional autonomy and academic freedom by providing a structure to demonstrate academic excellence.

2. **Accreditation History:** Ohio University has been accredited since 1913 and has been in AQIP since 2002.

3. **Benefits of Accreditation:** Students can receive federal financial aid. Faculty can receive federal grant funding. We demonstrate a commitment to best practices for teaching and learning, academic support, and planning through 5 HLC Criteria for Accreditation.

4. **Significant Dates in Ohio University's path toward Reaffirmation of Accreditation:**
   - 2013-2014 Systems Portfolio; Systems Appraisal (HLC evaluation of Systems Portfolio)
   - 2014-15 Strategy Forum (Ohio University sent an AQIP team in Spring)
   - 2015-16 Reaffirmation of Accreditation (on-campus review and notification by HLC)

5. **Criteria for Accreditation:** (1) mission; (2) integrity; (3) teaching & learning; (4) evaluating and improving teaching & learning; (5) resources & planning.

6. **Activities 2013-14 through 2014-15:**
   - Increase awareness and understanding about HLC accreditation and AQIP
   - Engage the University community in AQIP accreditation activities in preparation for site visit
   - Convene AQIP Task Force--representatives from colleges and Planning units
   - Increase Ohio University's involvement with HLC: annual conference, assessment training
   - Focus AQIP Action Projects on academic assessment and curricular themes
   - Consult with outside AQIP/assessment experts to assist our academic units
   - Create Teaching, Learning, & Assessment Committee to coordinate how Ohio University “Helps Students Learn.”

7. **Assessment of student learning objectives:** Criterion four requires that all academic programs assess their student learning objectives. We are following a simple implementation plan, asking each academic program to update their student learning objectives; identify sources of systematic evidence (qualitative and/or quantitative); and develop an action plan to improve teaching and learning based on the evidence gathered.

8. **AQIP Reaffirmation of Accreditation Panel Review:** Peer reviewers from HLC will examine our accreditation documents (Systems Portfolio, Action Project reports, Comprehensive Quality Review including a site visit, University's Web site, institutional responses to AQIP reports, etc.).

9. **AQIP Categories:** (1) helping students learn; (2) accomplishing other distinctive objectives; (3) understanding students' & other stakeholders' needs; (4) valuing people; (5) leading & communicating; (6) supporting institutional operations; (7) measuring effectiveness; (8) planning continuous improvement; (9) building collaborative relationships.

10. **Outcome(s) of Review:** Panel of reviewers examine each accreditation criterion and evaluate Ohio University in terms of the following: met; met with concerns; not met. Any rating but "met" requires additional action on Ohio University's part (following specific HLC recommendations for correction along with some form of monitoring or follow-up visit). Maximum duration of reaffirmation of accreditation for any institution that has met all criteria is now eight years.
AQIP Review and Update

Tab
AQIP Organization & Process

• 5 Criteria for Accreditation
• Criteria form the basis for reaffirmation of accreditation based on evidence presented
• 9 AQIP Categories – framework for Criteria evidence
• Criteria embedded in most AQIP categories
• Action Projects, Systems Portfolio, Strategy Forum
• Comprehensive Quality Review – Site Vixit
# AQIP Organization & Process

## 5 Criteria for Accreditation
- ✓ 1. Mission
- ✓ 2. Integrity: Ethical and Responsible Conduct
- ✓ 4. Teaching and Learning: Evaluation and Improvement
- ✓ 5. Resources, Planning, and Institutional Effectiveness

## 9 AQIP Categories
- ✓ 1. Helping Students Learn
- ✓ 2. Accomplishing Other Distinctive Objectives
- ✓ 3. Understanding Students’ & Other Stakeholders’ Needs
- ✓ 4. Valuing People
- ✓ 5. Leading and Communicating
- ✓ 6. Supporting Institutional Operations
- ✓ 7. Measuring Effectiveness
- ✓ 8. Planning Continuous Improvement
- ✓ 9. Building Collaborative Relationships
AQIP Activities 2015-16

• Comprehensive Quality Review (CQR)
  • Visit dates: November 2-4, 2015
  • Review Components:
    • Criteria for Accreditation
    • Federal Compliance
    • Distance Education
    • Multi-Campus Visit: Athens, Chillicothe, Southern, Zanesville
  • Reaffirmation recommendation by visit team
  • Review and Comment – December-January
  • Decision – Institutional Actions Council Spring
AQIP Activities 2015-16

• Preparation for Site Visit: Required Pre-Visit Reporting
  • Federal Compliance Review—Extensive report
    • Pre-Visit Panel Review
    • Respond to Information Requests
    • Visiting Team Review
  • HLC’s Student Satisfaction Survey
  • CQR Highlights Report
  • Third-Party Comment Process
  • Multi-Campus Visit Report
• Communication Strategy
• Arrange Logistics—Housing, Hospitality, Transportation
• Set Meeting schedule
  • Determined Primarily by HLC Team
  • Trustee Involvement
• Respond to Information Requests Before & During Visit
CQR Highlights Report

• Update to Systems Portfolio
• Special Circumstances
• Actions Capitalizing on Systems Appraisal Feedback
• Actions Capitalizing on Strategy Forum Participation
• How Action Projects Have Advanced CQI Efforts
• Update on Assessment of Student Learning
• Highlights of Institutional Priorities
• Highlights Related to Distance Education
• Overview Information on Additional Locations & Dual Enrollment
Federal Compliance Review

- Federal Law Directs HLC to Review the Following:
  - Assignment of Credits, Program Length, Tuition
    - Samples of Course Syllabi & Program Requirements
  - Institutional Records of Student Complaints
  - Publication of Transfer Policies
  - Practices for Verification of Student Identity
  - Title IV Program Responsibilities
  - Required Information for Students & Public
  - Advertising & Recruiting Materials
  - Review of Student Outcome Data
  - Standing with State & Accrediting Agencies
  - Public Notification of Opportunity to Comment
Multi-Campus Visit

- Federal Law Directs HLC to Visit Campuses & Locations
- Regional Campuses: Chillicothe, Southern, Zanesville
- Branch Campus Report
  - Governance, Oversight, Resources, Staffing . . .
- Comprehensive Visit of Each Campus
  - Campus Business Plans
  - Operational Data & Recent Operational Reports
  - Educational Offerings
  - Human Resources
  - Student & Faculty Resources & Support
  - Evaluation, Assessment, & Improvement Processes
- Interviews and Meetings
Visit Preparation Team

- Associate Provost for Institutional Accreditation
- AQIP Task Force
- Teaching, Learning, & Assessment Committee
- President’s Office
- EVPP Office
Visit Dates

- November 2-4, 2015
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Stephen T. Golding, Vice President Finance & Administration, CFO and Treasurer
       Pamela J. Benoit, Executive Vice President & Provost

Re: Treasury Report, Internal Bank and Century Bond/Deferred Maintenance Program

In order to support the initiatives that we have implemented and are executing against (e.g. Capital Improvement Plan, $100M Investment Strategy, Century Bond/Deferred Maintenance Strategy, Scholarship Match Program) it is critical that we have a professional Treasury function within the University.

In May 2014, a Director, Treasury Management was recruited and hired whose primary responsibility was to develop and implement internal bank structure(s) (Central and Century Bond Banks) intended to leverage institutional working capital, manage timing of accessing capital/debt markets, manage debt compliance and administer loan programs, provide direction to our cash operations, develop process to manage cash flows, liquidity needs, and a short-term investment strategy.

Significant progress has been made toward these goals.

Specific activities to implement this Central Bank model include:

- Created an Internal Loan Program with documented guidelines on rates and amortization periods. Rates are variable, but fixed annually, based on our actual blended cost of capital plus respective operating costs. We have been in the process of transitioning all existing internal loans and developing respective documentation.
- Analyzed cashflows and operating budget to predict and segregate appropriate assets to be designated as operating reserve.
- Analyzed working capital to separately identify designated pools, restricted funding, and unrestricted dollars available for use.
- Created models to manage funds which incorporate cash flows from operations, state capital appropriations, CIP, strategic priorities, debt service, internal loans, investment assumptions, and restrictions on spending. Models are being developed to both report current activity and metrics, but also for forecasting and liquidity and sensitivity analyses.
Developed infrastructure within our financial and investment systems to support management of the Central Bank and provide timely management reporting.

Retained a financial advisor (Prager Sealy) to advise the University and assist with debt capacity and affordability analyses, debt structure, debt compliance, capital markets activity and updates, rating agency communications and support, and cash modeling.

Retained an investment advisor (Capital Cities) to advise the University and assist in developing a modernized short-term investment program.

In October, 2014 the BOT approved and in November, 2014 the University issued, $250M of Century Bonds to capitalize a Deferred Maintenance Strategy utilizing a separate central bank model intended to fund facility deferred maintenance in a manner that allows for a transitioned approach to funding depreciation while building, over time, an internal endowment to both repay the principal of the bonds, and recycle the funding to five times the face value of the bonds.

Specific activities to implement the Century Bond/Deferred Maintenance Strategy include:

- Established a Century Bond Advisory and Oversight Committee with representation from the OHIO Board, OUF Board, College of Business Faculty, and members of the Financial Leadership team. The charter of the committee includes oversight and discussion of the establishment of the associated programs and structures as well as the Guiding Principles developed by the Board of Trustees.
- Funds were transferred from university working capital to establish the $7 million Century Bond debt reserve fund established in the Guiding Principles.
- Execution of the $150M designated for long-term investment using the investment asset allocation as recommended and approved
- Working with short-term investment advisor to invest proceeds ($97M) that were held for short-term use.
- All separate investment pools required to manage the programs have been established and the respective set-up identified and created in the university accounting and investment systems.
- Issued the loans for FY15 ($10M) and FY16 ($10M) Deferred Maintenance projects and the Energy Infrastructure Projects (EIP) (first two $30M tranches issued) as approved by the BOT.
- Developed reporting and dashboards for program management and Advisory Board reporting.
- We are developing our deferred maintenance strategy that includes both major projects included as part of the university CIP and general deferred maintenance across the remainder of our physical plant.

We look forward to sharing and reviewing our structure and progress with you at the meeting.
INTERNAL BANK / CENTURY BOND UPDATE

Tab
Institutional Financial Assets
($ in millions)

All separate investment pools and accounting requirements to manage the programs have been identified.

Internal Bank Model:
- Centrally manage financial resources: loans, investments, and cash balances;
- Decouple internal loans and external debt to minimize cost and maximize assets;
- Achieve lowest risk-adjusted cost of capital;
- Create predictability in capital costs and working capital returns for budgeting and forecasting;
- Recycling of resources to limit external debt.

Includes $14M due to Internal Bank.
The University’s working capital balance as of June 30, 2015 was $317.0 million. These assets represent a combination of University and planning unit net assets, reserves, and strategic investments.

- The University will use working capital assets to fund operating and capital expenditures as needed. The priority for accessing funds will be:
  1. Working Capital – Internal Bank
  2. Strategic Investment – Internal Bank
  3. Diversified Pool – Operating Reserve

- Our analyses project working capital balances over the next two years with assumptions for CIP funding and the prioritization of funds as noted above.

- These analyses and active management will inform the need/timing related to assessing capital and debt markets.
Internal Bank Cash Flows

Challenges:
• Creating the basic structure of the bank;
• Determining lending policies and terms;
• Integrating with institutional funding model;
• Managing assumptions, understanding sensitivity analyses
• Education of institutional community

Advantages/Opportunities:
• Uniform internal blended rate to be charged to all internal loans which provides budget predictability and stability;
• Consistent and equitable internal loan terms applicable to all projects and still introduce alternative debt structures (VRDB/ bullets, etc).
• Reduction of future external debt needs by recycling of funds;
• Maximize investment income from operating (non-endowed) assets.
## Internal Bank

### Outstanding Internal Loans

($ in millions)

<table>
<thead>
<tr>
<th>Operating Unit</th>
<th>7/1/2015 Loan Balance</th>
<th>FY16 Principal</th>
<th>FY16 Interest</th>
<th>6/30/2016 Loan Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athens Colleges &amp; Schools</td>
<td>$49.5</td>
<td>$1.4</td>
<td>$3.0</td>
<td>48.1</td>
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<tr>
<td>Regional Campuses</td>
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<td>0.2</td>
<td>0.1</td>
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<tr>
<td>Auxiliaries</td>
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<td>2.9</td>
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<td>Academic Support</td>
<td>167.8</td>
<td>11.3</td>
<td>7.1</td>
<td>156.5</td>
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<tr>
<td>Total</td>
<td>$342.4</td>
<td>$15.8</td>
<td>$15.6</td>
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Internal Loan P&I $31.4M

Internal Bank
Debt Portfolio and Debt Service

**OHIO UNIVERSITY DEBT PORTFOLIO AS OF JUNE 30, 2015**

<table>
<thead>
<tr>
<th>Series</th>
<th>Coupon Type</th>
<th>Outstanding Par</th>
<th>Tax Status</th>
<th>Next Call Date</th>
<th>Final Maturity</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OHIO UNIVERSITY - GENERAL RECEIPTS DEBT</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2006A</td>
<td>Fixed Rate</td>
<td>17,915,000</td>
<td>Tax-Exempt</td>
<td>12/1/2016 @ 100%</td>
<td>12/1/2024</td>
</tr>
<tr>
<td>Series 2006B</td>
<td>Fixed Rate</td>
<td>19,765,000</td>
<td>Tax-Exempt</td>
<td>12/1/2016 @ 100%</td>
<td>12/1/2036</td>
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<tr>
<td>Series 2008A</td>
<td>Fixed Rate</td>
<td>7,825,000</td>
<td>Tax-Exempt</td>
<td>6/1/2018 @ 100%</td>
<td>12/1/2033</td>
</tr>
<tr>
<td>Series 2008B</td>
<td>Fixed Rate</td>
<td>295,000</td>
<td>Taxable</td>
<td>Not Callable</td>
<td>12/1/2015</td>
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<tr>
<td>Series 2009</td>
<td>Fixed Rate</td>
<td>14,615,000</td>
<td>Tax-Exempt</td>
<td>Not Callable</td>
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<tr>
<td>Series 2012</td>
<td>Fixed Rate</td>
<td>70,850,000</td>
<td>Tax-Exempt</td>
<td>6/1/2022 @ 100%</td>
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<tr>
<td>AQDA - Series 2012A</td>
<td>Fixed Rate</td>
<td>16,225,448</td>
<td>Tax-Exempt</td>
<td>Non-Callable</td>
<td>12/1/2022</td>
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<tr>
<td>AQDA - Series 2012B</td>
<td>Fixed Rate</td>
<td>8,500,000</td>
<td>Taxable</td>
<td>Non-Callable</td>
<td>12/1/2027</td>
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<tr>
<td>Series 2013</td>
<td>Fixed Rate</td>
<td>137,335,000</td>
<td>Tax-Exempt</td>
<td>12/1/2022 @ 100%</td>
<td>12/1/2043</td>
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<tr>
<td>Series 2014</td>
<td>Fixed Rate</td>
<td>250,000,000</td>
<td>Taxable</td>
<td>Anytime @ Make Whole Call</td>
<td>12/1/2114</td>
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<tr>
<td><strong>OHIO UNIVERSITY FOUNDATION</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Housing for Ohio Bonds</td>
<td>Variable Rate</td>
<td>24,285,000</td>
<td>Tax-Exempt</td>
<td>Currently Callable</td>
<td>6/1/2032</td>
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<tr>
<td><strong>OHIO UNIVERSITY NOTES</strong></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Ohio University Inn (Term Loan)</td>
<td>Fixed Rate</td>
<td>2,051,200</td>
<td>Tax-Exempt</td>
<td>N/A</td>
<td>6/15/2021</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td>569,661,648</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: chart and graph include Century Bond, OUF and OU Inn debt that is not paid from the Internal Bank.
## Internal Bank Outflows: Funding Capital Improvement Plan

### Major Projects Completed in FY15
- Renovations
  - Allen Student Advising Center
  - Bobcat Depot
  - HCOM Cleveland
  - Lindley Hall
  - Tupper Hall
- Energy Infrastructure Projects
  - Chiller 2 Replacement
  - Mulberry St. & Park Place Tunnel Repairs
  - Annual Steam Shutdown

### Internal Loans/CIP
- $74.2M

### FY 2016 CIP

<table>
<thead>
<tr>
<th>Functional Category</th>
<th>Total Est Project Budget</th>
<th>Cum Spending through FY15</th>
<th>Century Bond Funding</th>
<th>Institutional / Gifts</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Approved / In Progress Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACADEMIC/RESEARCH</td>
<td>$69,158,000</td>
<td>$25,219,800</td>
<td>$0</td>
<td>$1,500,000</td>
<td>$37,524,000</td>
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<tr>
<td>DUBLIN</td>
<td>$9,380,000</td>
<td>$7,000,000</td>
<td>$0</td>
<td>$0</td>
<td>$2,380,000</td>
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<tr>
<td>AUXILIARIES</td>
<td>$158,760,055</td>
<td>$108,496,905</td>
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<td>$0</td>
<td>$9,523,150</td>
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<tr>
<td>INFRASTRUCTURE</td>
<td>$80,890,000</td>
<td>$7,865,000</td>
<td>$40,285,000</td>
<td>$1,465,000</td>
<td>$0</td>
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<tr>
<td><strong>Subtotals</strong></td>
<td>$318,188,055</td>
<td>$148,581,705</td>
<td>$40,285,000</td>
<td>$2,965,000</td>
<td>$49,427,150</td>
</tr>
<tr>
<td><strong>Deferred Maintenance</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACADEMIC/RESEARCH</td>
<td></td>
<td></td>
<td>$8,745,273</td>
<td>$11,801,335</td>
<td>$0</td>
</tr>
<tr>
<td>INFRASTRUCTURE</td>
<td></td>
<td></td>
<td>$2,990,000</td>
<td>$2,889,650</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>UNIVERSITY SUPPORT</td>
<td></td>
<td></td>
<td>$823,653</td>
<td>$450,000</td>
<td>$450,000</td>
</tr>
<tr>
<td><strong>Subtotals</strong></td>
<td></td>
<td></td>
<td>$12,558,926</td>
<td>$15,140,985</td>
<td>$1,450,000</td>
</tr>
<tr>
<td><strong>Recurring Capital Lines, General Renewals, and planned Biennial Spending</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACADEMIC/RESEARCH</td>
<td></td>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$5,000,000</td>
</tr>
<tr>
<td>AUXILIARIES</td>
<td></td>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$5,200,000</td>
</tr>
<tr>
<td>INFRASTRUCTURE</td>
<td></td>
<td></td>
<td>$1,500,000</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>REGIONALS</td>
<td></td>
<td></td>
<td>$0</td>
<td>$5,200,000</td>
<td>$0</td>
</tr>
<tr>
<td>UNIVERSITY SUPPORT</td>
<td></td>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$13,150,000</td>
</tr>
<tr>
<td><strong>Subtotals</strong></td>
<td></td>
<td></td>
<td>$1,500,000</td>
<td>$5,200,000</td>
<td>$23,350,000</td>
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<tr>
<td><strong>TOTALS</strong></td>
<td>$318,188,055</td>
<td>$148,581,705</td>
<td>$54,343,926</td>
<td>$23,305,985</td>
<td>$74,227,150</td>
</tr>
</tbody>
</table>
Internal Bank: FY16 Budgeted Cash Flows

- Internal Bank $216.6M
- Operating Deficit ($7.1M)
- Internal Loan P&I $31.4M
- Investment earnings $6.9M
- Tax Exempt Bond Proceeds $13.4M
- Clear 6-30-15 receivable from CB $14.0M

Total Inflows $58.6M

- Internal Loans/CIP $74.2M
- External debt service $29.1M
- PY Bond Funded CIP $13.4M
- Century Bond debt service shortfall

Total Outflows $116.7M

Internal Bank $158.5M
Internal Bank Baseline Results

- Under the baseline scenario, the University’s working capital balance reaches a low point in June and July due to seasonal cash flows. The year-over-year levels of working capital gradually decline as funds are spent on CIP.

- Internal Bank funds and investment returns are sufficient to cover projected CIP spend of $150 million ($75 million per year for each FY 2016 and 2017) through FY 2017.

- As such, the University does not need to liquidate any of the Strategic Investment (other than specifically identified in annual budgeting process) or Diversified Pool funds.
Investment Returns Decline by 1 Standard Deviation

- Annual investment returns for the Liquidity Pool decline from 4.50% to 3.15% and the Diversified Pool from 7.00% to -1.02%. These changes represent a 1 standard deviation move lower based on the Monte Carlo simulation.
- Lower investment returns result in reduced aggregate working capital balances through the projection period.
- However, Internal Bank funds and investment returns are still sufficient to cover projected CIP spend through FY 2017.
Investment Returns Decline by 2 Standard Deviations

- Annual investment returns for the Liquidity Pool decline from 4.50% to 1.81% and the Diversified Pool from 7.00% to -9.05%. These changes represent a 1 standard deviation move lower based on the Monte Carlo simulation.
- Lower investment returns result in further reductions in aggregate working capital balances through the projection period.
- However, Internal Bank funds and investment returns are still sufficient to cover projected CIP spend through FY 2017.

June 30, 2017 Balance
Working Capital: $30.5 Million
Total Available Resources: $157.5 Million

<table>
<thead>
<tr>
<th>Month</th>
<th>Working Capital</th>
<th>Strategic Investment Pool</th>
<th>Diversified Pool</th>
</tr>
</thead>
<tbody>
<tr>
<td>June-15</td>
<td>100.4</td>
<td>56.5</td>
<td>39.5</td>
</tr>
<tr>
<td>September-15</td>
<td>99.6</td>
<td>57.4</td>
<td>39.3</td>
</tr>
<tr>
<td>December-15</td>
<td>98.8</td>
<td>58.1</td>
<td>39.0</td>
</tr>
<tr>
<td>March-16</td>
<td>98.1</td>
<td>58.8</td>
<td>38.7</td>
</tr>
<tr>
<td>June-16</td>
<td>97.3</td>
<td>59.5</td>
<td>38.4</td>
</tr>
<tr>
<td>September-16</td>
<td>95.8</td>
<td>60.2</td>
<td>38.2</td>
</tr>
<tr>
<td>December-16</td>
<td>95.0</td>
<td>60.9</td>
<td>38.0</td>
</tr>
<tr>
<td>March-17</td>
<td>94.3</td>
<td>61.6</td>
<td>37.8</td>
</tr>
<tr>
<td>June-17</td>
<td>93.5</td>
<td>62.3</td>
<td>37.6</td>
</tr>
</tbody>
</table>
Internal Bank: Summary and Conclusions

- Working capital assets are available to support the University’s operating needs and CIP plans. It is important to note that these assets represent a combination of University and planning unit net assets, reserves, and strategic investments.
- In the baseline scenario, the University’s working capital balance reaches a low point in early summer due to seasonal cash flows. At the end of the projection period, Working Capital only has $36 million remaining.
- Although year-over-year levels of working capital gradually decline, Internal Bank funds and investment returns are sufficient to cover projected CIP spend ($150 million) through FY 2017.
- A key variable in this projection is the future performance of working capital investment strategies.
- Although the Internal Bank remains sufficient, lower investment returns result in reduced aggregate working capital balances through the projection period.
- If working capital balances are insufficient to address CIP funding needs, the University may decide to scale back on CIP temporarily or move quicker to capital markets to fund capital needs with debt.
Century Bond Investment Pool
As of June 30, 2015

- The actual return on the Century Bond long-term pool since inception through June 30, 2015 was 1.6% compared to the planned return of 4.6%.

- $97 million of the proceeds from the Century Bond were set aside for the initial 3-4 year program needs and are invested in highly liquid securities that mirror allowable investments of the University's tax-exempt debt proceeds. We are working with Capital Cities on investment recommendations for the short-term proceeds.

- $150 million of proceeds from the Century Bond (the portion of the proceeds that were designated to be invested in a long-term diversified strategy under the management of the OUF) are being invested in accordance with the approved schedule and asset allocation model. As of March 31, 2015 these proceeds have been fully invested.
<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Market Value (in millions)</th>
<th>Current</th>
<th>Active Target</th>
<th>Long-Term Target</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td>$9.4</td>
<td>6.2%</td>
<td>4.6%</td>
<td>0.0%</td>
<td>0.0% - 20.0%</td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>8.4</td>
<td>5.6%</td>
<td>6.1%</td>
<td>10.0%</td>
<td>3.0% - 12.0%</td>
</tr>
<tr>
<td>Opportunistic Fixed Income</td>
<td>5.1</td>
<td>3.4%</td>
<td>3.5%</td>
<td>4.0%</td>
<td>0.0% - 8.0%</td>
</tr>
<tr>
<td>TIPS</td>
<td>4.9</td>
<td>3.3%</td>
<td>3.3%</td>
<td>6.0%</td>
<td>2.3% - 8.0%</td>
</tr>
<tr>
<td>Subtotal - Fixed Income</td>
<td>$27.8</td>
<td>18.4%</td>
<td>17.5%</td>
<td>20.0%</td>
<td>12.5% - 38.4%</td>
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<tr>
<td>U.S. Large Cap Index</td>
<td>27.7</td>
<td>18.4%</td>
<td>18.6%</td>
<td>21.0%</td>
<td>8.0% - 30.0%</td>
</tr>
<tr>
<td>U.S. Small Cap</td>
<td>2.0</td>
<td>1.3%</td>
<td>1.3%</td>
<td>3.5%</td>
<td>0.0% - 10.0%</td>
</tr>
<tr>
<td>International Equity - Developed</td>
<td>33.2</td>
<td>22.0%</td>
<td>22.7%</td>
<td>20.5%</td>
<td>8.0% - 25.0%</td>
</tr>
<tr>
<td>International Equity - Emerging Markets</td>
<td>15.4</td>
<td>10.2%</td>
<td>10.0%</td>
<td>4.0%</td>
<td>0.0% - 10.0%</td>
</tr>
<tr>
<td>Subtotal - Global Equity</td>
<td>$78.3</td>
<td>52.0%</td>
<td>52.6%</td>
<td>49.0%</td>
<td>28.2% - 59.9%</td>
</tr>
<tr>
<td>Equity Hedge Funds</td>
<td>23.1</td>
<td>15.3%</td>
<td>15.0%</td>
<td>15.0%</td>
<td>0.0% - 20.0%</td>
</tr>
<tr>
<td>Fixed Income Hedge Funds</td>
<td>7.6</td>
<td>5.0%</td>
<td>5.0%</td>
<td>5.0%</td>
<td>0.0% - 8.0%</td>
</tr>
<tr>
<td>Commodities</td>
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<td>8.1%</td>
<td>8.5%</td>
<td>5.0%</td>
<td>0.0% - 10.0%</td>
</tr>
<tr>
<td>Real Estate</td>
<td>1.5</td>
<td>1.0%</td>
<td>1.3%</td>
<td>5.0%</td>
<td>0.0% - 10.0%</td>
</tr>
<tr>
<td>Private Equity</td>
<td>0.2</td>
<td>0.1%</td>
<td>0.1%</td>
<td>1.0%</td>
<td>0.0% - 30.0%</td>
</tr>
<tr>
<td>Special Opportunities</td>
<td>-</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0% - 5.0%</td>
</tr>
<tr>
<td>Subtotal - Alternatives</td>
<td>$44.6</td>
<td>29.6%</td>
<td>29.9%</td>
<td>31.0%</td>
<td>21.5% - 64.5%</td>
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<tr>
<td>Subtotal - Long-Term Assets</td>
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<td>100.0%</td>
<td>100.0%</td>
<td>100.0%</td>
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</tr>
<tr>
<td>Cash for Short-Term Use</td>
<td>$97.7</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Assets</td>
<td>$248.4</td>
<td></td>
<td></td>
<td></td>
<td>less $14.0M (payable to Internal Bank) = $234.4M</td>
</tr>
</tbody>
</table>
Century Bond $7M Debt Reserve Pool
As of June 30, 2015

- Funds were transferred from University working capital to establish the $7 million Century Bond debt reserve fund per the Guiding Principles.
• We continue to develop our deferred maintenance strategy that includes both major projects included as part of the university CIP and general deferred maintenance across the remainder of our physical plant. As we complete our Facility Condition Assessments we will have better estimates of our deferred maintenance backlog to create metrics with which to measure progress and develop benchmarks.

• The first Century Bond debt service payment (interest only) of $7.6 million was due and paid on June 1. Earnings of $.7 million and the Internal Loan investment pool of $3.4 million were not enough to cover the June 1 payment so the University’s working capital funded the short-fall of $3.5 million. It is expected that the Century Bond will reimburse the University’s working capital with future earnings and Internal Loan investments. The annual debt service is $14 million.
Century Bond Bank
FY16 Budgeted Cash Flows

Century Bond
$248.4M

- Taxable Proceeds
- Internal Loan P&I $6.8M*
- Investment earnings $12.0M

Total Inflows $18.8M

Century Bond

- Energy Infrastructure Internal Loans $30M*
- Deferred Maintenance Internal Loans $10M
- External debt service $14.0M
- Clear 6-30-15 payable to IB $14.0M

Total Outflows $68.0M

Century Bond
$199.2M

*Assumes 2nd $30M EIP loan issued
Questions/Feedback?
Interoffice Communication

Date:    September 28, 2015

To:      The President and Board of Trustees

From:    Pamela J. Benoit, Executive Vice President and Provost
          Stephen T. Golding, Vice President Finance & Administration, CFO and Treasurer

Re:       Campus Climate Task Force Report

Ohio University participated in the Modern Think 2014 Great Colleges Survey through a collaborative effort of the leadership of the Faculty, Classified and Administrative Senates and the Executive Vice President and Provost, Dr. Pam Benoit. This was the first institution-wide and nationally-benchmarked survey of work climate Ohio University had participated in. The survey was conducted during the spring of 2014 to identify areas of climate where attention should be focused. All full time employees were invited to participate and an overall response rate of 54% representing 1984 out of 3674 potential participates was achieved.

In the fall of 2014, Ohio University Executive Vice President and Provost Pam Benoit established the Campus Climate Task Force to evaluate information resulting from the Modern Think 2014 Great Colleges Survey to formulate actionable recommendations. Dr. Valerie Young, Chair of the Department of Chemical and Biomolecular Engineering in the Russ College of Engineering and Technology and Chief Human Resource Officer Colleen Bendl Co-Chaired the Task Force. Other members of the Task Force included representatives from a range of job classifications, units, regional campuses, years of service at Ohio University and other categories.

The Task Force members reviewed the survey results with a Modern Think representative to gain an understanding of the overarching themes. There were 15 core dimensions contained within the survey which upon review revealed several areas where employees as a whole reported favorable results as well as areas of widespread concern. Core areas where employees reported favorably were having a strong sense of pride in the mission of Ohio University; a positive assessment of job fit, flexibility and autonomy and a support for work life balance; a strong sense of community within departments; and recognition of the challenges and pace of change at Ohio University and higher education as a whole. Areas of concern were also identified and include a sense that individual employees often are not effectively evaluated on, rewarded for or held accountable for their performance; the actions of the faculty, staff and administration of different departments often are in conflict with or insensitive to one another; and senior leadership, the
senates and individual employees often do not have a shared understanding of the strategic direction of the university or a mutual respect for one another’s role in implementing it.

The Task Force made several recommendations focusing on four key areas including the University-wide internal communications structure, professional development and department leadership, senior leadership/strategic direction and work environment/work life balance. The recommendations within these areas are broken down into three different categories, high potential, ongoing and consider correlating with timeframe for implementation and the likeliness they will positively impact the culture. Actions on recommendations noted as high potential are expected to show progress within a few months. Recommendations noted as ongoing are currently underway. Recommendations identified as consider may require more deliberation to better define an effective approach to assess whether the likely impact will be substantially positive.

The Task Force recommends the formation of committees, one for each of these areas to determine how to implement the suggested changes. Priority will be given to items noted as “high potential” with a goal of making these changes as soon as possible
MODERN THINK 2014 GREAT COLLEGES SURVEY
Campus Climate Task Force Report

Tab
Background

- Ohio University full-time employees participated in the Modern Think 2014 Great Colleges Survey in the spring of 2014
- The survey was sponsored by the collaborative efforts of the Executive Vice President and Provost, Dr. Benoit and the leadership of the Faculty, Classified and Administrative Senates
- A 54% response rate was achieved representing 2001 out of 3674 potential participants
- Complete survey results are available at http://www.ohio.edu/instres/climate/index.html
Survey Respondents

- Respondents represented employees from three broad job classifications broken down below.
  - Executive Administration – 2%
    - Deans, Associate Deans, Assistant Vice Presidents, Associate Vice Presidents and those to whom they report
  - Faculty – 37.4%
    - Group I, Group II and Group IV
  - Classified Staff – 23.5%
    - Classified Non-Bargaining and Classified Bargaining
  - Administrators - 37%
    - Directors, Assoc./Asst. Directors, Assoc./Asst. Deans
    - Analysts, Advisors, Counselors, Specialists
    - Managers and Professional
### Core Dimensions of the Survey

<table>
<thead>
<tr>
<th>Job Satisfaction/Support</th>
<th>Policies, Resources &amp; Efficiency</th>
<th>Faculty, Administration and Staff Relations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching Environment</td>
<td>Shared Governance</td>
<td>Communication</td>
</tr>
<tr>
<td>Professional Development</td>
<td>Pride</td>
<td>Collaboration</td>
</tr>
<tr>
<td>Compensation, Benefits, Work/Life Balance</td>
<td>Supervisors/Department Chairs</td>
<td>Fairness</td>
</tr>
<tr>
<td>Facilities</td>
<td>Senior Leadership</td>
<td>Respect and Appreciation</td>
</tr>
</tbody>
</table>
Survey Areas Reporting Favorable Results

- Pride in the mission of Ohio University
- Positive assessment of job fit, flexibility and autonomy and support for work-life balance
- Strong sense of community within departments and positive relationships with direct supervisors
- Recognition of the challenges and pace of change at Ohio University and in higher education as a whole
Survey Areas of Concern

- Individual employees are often not effectively evaluated on, rewarded for or held accountable for their performance.
- Actions of the faculty, staff and administration and of different departments often are in conflict with or insensitive to one another.
- Senior Leadership, the Senates and individual employees appear to not always have a shared understanding of the strategic direction of the university or a mutual respect for one another’s roles in implementing it.
Formation of a Task Force - Members

- Colleen Bendl – Chief Human Resource Officer Co-Chair
- Valerie Young – Chair of the Department of Chemical and Bio Molecular Engineering Co-Chair
- Cynthia Anderson, Associate Professor, Sociology and Anthropology
- Inya Baiye, Director of Equity and Civil Rights Compliance
- Bonnie Behm-Geddes, Administrative Specialist, Engineering Technology and Management
- Christine Bhat, Associate Professor, Counseling and Higher Education
- Joshua Bodnar, Director of Access, Transaction, and Video Services
- Candace Boeninger, Assistant Vice Provost and Director of Undergraduate Admissions
- Dianne Bouvier, Director of Equal Opportunity and Accessibility
- Quiping Cao, Associate Professor, Early Childhood Education
- Shari Clarke, Vice Provost for Diversity and Inclusion
- Howard Dewald, Associate Provost for Faculty and Academic Planning
- Haley Haugen, Associate Professor, English
- Joseph Lalley, Senior Associate Vice President of Technologies & Administrative Services
- Maryann Lape, Administrative Specialist, Continuing Education - Lancaster
- Renee Mascari, Business Intelligence Analyst
- Laura Myers, Chief of Staff, Provost Office
- Elizabeth Sayrs, Dean of University College and Vice Provost for Undergraduate Education
- Beth Quitslund, Associate Professor, English, Chair Faculty Senate
- Jamie Patton, Assistant Dean of Students
- Gwyn Scott, Associate Vice President for Auxiliaries
- James Shonborn, Groundskeeper, Grounds Maintenance
- Cathleen Waller, Administrator, Child Development Center, Chair, Administrative Senate
Task Force Principles and Goals

• A Task Force was assembled to review the survey results and make actionable recommendations to address areas of concern
  ▪ Principles:
    • Act as a community guided by collaboration and respect
    • Establish a culture of continuous improvement
  ▪ Goals:
    • Seek further understanding and input from the campus community to enhance our understanding of the results to guide our recommendations
    • Communicate openly and regularly with the university using a variety of vehicles to provide a record of our progress
    • Have a strong orientation towards action
Task Force Created Four Subcommittees

• The Task Force decided to take a deeper dive into the survey results and as an outcome of this review broke into four subcommittees to further study the themes that arose in the identified areas noted below:
  ▪ Individual Climate
  ▪ Interdepartmental (Between) Climate
  ▪ Intradepartment (Within) Climate
  ▪ Senior Leadership and Strategic Direction Climate
Individual Climate

- Support opportunities for professional development, training, and career advancement
- Improve mutual respect and appreciation for individual contributions
- Achieve effective two-way communication about opportunities, policies, and decisions that affect individuals’ work environment
- Cultivate the flexibility and autonomy that employees appreciate being afforded, which gives them pride and ownership in their work
- Cultivate the support for work/life balance that employees value, which enables them to contribute to their families and communities
Interdepartmental (Between) Climate

- Understand and address the perceived lack of cooperation or collaboration across units
- Ensure that policies and processes are transparent and support the work of other departments
- Extend the strong existing sense of community within many departments to an interdepartmental sense of connection
- Encourage individuals and departments to recognize that the strong sense of pride they feel in Ohio University’s mission is widely felt across the university
Intradepartmental (Within) Climate

- Implement more consistent and meaningful performance management
- Ensure that decision-making within departments is transparent
- Achieve effective two-way communication within the department about how changes outside the department affect the work environment within
- Cultivate the existing strong sense of community and shared purpose within departments
Senior Leadership / Strategic Direction

Climate

- Understand and address the perceived lack of connection between the concerns of senior leadership and the efforts of individual employees
- Build a more effective connection between University and department-level leadership, so that information flows consistently in both directions
- Effectively communicate senior leadership’s vision of how Ohio University continues its educational mission in this time of change
- Clarify the pathways for shared governance to impact decision-making
- Reinforce the sense of shared mission at Ohio University
Recommendation Overview

The recommendations focused on four key areas noted below:

- University-wide Communication Structure
- Professional Development and Department Leadership
- Senior Leadership and Strategic Direction
- Work Environment and Work-Life Balance

Recommendations within these areas are broken down into three categories correlating with the timeframe for implementation and the likeliness they will positively impact the culture:

- High Potential – can be tackled in a few months
- Ongoing – currently underway
- Consider – may require more deliberation to better define an effective approach to assess whether the likely impact will be substantially positive
The task force found three potential roadblocks to effective university wide internal communication:

- Perception that communication may miss the intended audience and may at times seems to lack continuity or follow up
- General sense that communication from senior leadership can come across as being framed to employees
- Effective communications require two way engagement and reciprocity. All parties should read and respond to communications provided, especially via COMPASS, and engage in the process

Recommendations at a high level include the following:

- (High Potential) Increase employee recognition and use of the university-wide internal newsletter
- (High Potential) Rebuild the Faculty/Staff front page with an audience focus
- (Consider) Investigate the effectiveness of internal communications in reaching the intended audience
- (Ongoing) Units that offer internal services should continue to improve their avenues for receiving lateral communication
- (Ongoing) Continue to support the Alert!OHIO system
- (Ongoing) Continue to communicate for targeted and selected purposes via media other than e-mail
- (Consider) Consider how the online directory could be improved
Recommendations – Professional Development and Department Leadership

- The task force found three potential areas of focus related to how employees receive feedback on their performance as well as how employees develop in their job roles:
  - Employees generally have trust in and maintain a positive relationship with their direct supervisor
  - Employees would like to see improvements in how they are oriented and trained for current and potential future roles.
  - Training and professional development of employees should increase the overall efficiency of employees.

- Recommendations at a high level include the following:
  - (High Potential) Improve the orientation process for employees new to Ohio University and for employees changing jobs within the university
  - (High Potential) Human Resources should work with units to improve annual employee evaluations so that they can be used to inform compensation and employment decisions
  - (Continue) ongoing initiatives to ensure that pay for Ohio University employees is competitive with national benchmarks and equitable internally
  - Ongoing] Continue the HR Liaison program
  - [Ongoing] Continue to identify and publicize opportunities for leadership, management, and supervisory training
  - [Consider] Consider linking all training opportunities to a single Ohio University Employees’ Professional Development website
Recommendations – Senior Leadership and Strategic Direction

- Recommendations in this area are straightforward and focus on the areas of shared governance, effective communications, and vision for OHIO’s educational mission.

- Recommendations at a high level include the following:
  - (High Potential) Senior leadership should continue to communicate a consistent vision of how Ohio University furthers its education mission in this time of change.
  - (High Potential) Undertake a review of the web presence on strategic initiatives and update the pages to reflect progress and current status.
  - (Ongoing) Senior leadership and the Senates should clarify the pathways for shared governance to impact decision-making.
  - [High Potential] Senior leadership and the Senates should define a process to continue monitoring campus climate.
  - (Ongoing) Senior leaders should continue to find avenues to interact directly with employees.
  - (Ongoing) Continue initiatives to ensure that pay for Ohio University employees is competitive with national benchmarks and equitable internally.
Recommendations – Work Environment and Work Life Balance

- Recommendations in this area center primarily on benefits that are highly valued and motivate employees to perform and feel valued.
- Recommendations at a high level include the following:
  - (Ongoing) Evaluate the impact of the Sick Leave Donation Pilot and Paid Parental Leave Pilot
  - (Ongoing) Continue to provide high quality benefits for employees and immediate family
  - (Ongoing) Continue Healthy OHIO program
  - (Consider) Consider implementing a “sabbatical” program for non-faculty to enable career development
  - (Consider) Consider a recognition program to encourage groups to undertake community service projects to foster community engagement, collaboration and team spirit
Next Steps

- Form three new committees to implement the “high potential” recommendations contained in the Campus Climate Task Force report.
- The new committees will focus on the recommendations made in the following areas:
  - University Wide Internal Communications
  - Professional Development
  - Senior Leadership and Strategic Direction
WHEREAS, The Board of Trustees of Ohio University is vested by Ohio Law (Section 3345.05 of the Revised Code) with certain responsibilities, as follows:

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

WHEREAS, The Board of Trustees has previously adopted an Investment Policy Statement for Ohio University Cash and Pooled Investments policy (Non-Endowment IPS), (Resolution 2014-3393) that complies with Section 3345.05 of the Revised Code, and

WHEREAS, the University’s Treasury Management function has been engaged in a strategic planning process for modernizing the non-endowment investment program and has retained a professional investment advisor to address the University’s unique challenges, goals, and objectives in developing a modernized program, and

WHEREAS, the Non-Endowment IPS is an integral fiduciary document and will serve as the University’s roadmap to manage non-endowed investments.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees adopts the Non-Endowment IPS, as it applies to the University non-endowment funds.

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

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Cash and Pooled Investments (Non-Endowment Funds) Investment Policy Statement and Operating Funds Strategic Planning Update

Background:

Over the past year, we have been working to build our Treasury Management function. In May 2014, we hired a Director of Treasury Management and began assessing the current environment, institutional needs and priorities. In November 2014, Capital Cities was retained by Ohio University to provide advisory services for the Ohio University Cash and Pooled Investments (Non-Endowment Funds). Capital Cities, L.L.C. is an investment advisory firm located in Indianapolis, Indiana. Capital Cities has worked with members of Ohio University’s staff to address the university’s unique challenges, goals, and objectives in developing a modernized short-term investment program. As part of the strategic planning process for modernizing the short-term investment program, the Investment Policy Statement was updated to reflect the proposed changes to the program. The Statement is an integral fiduciary document, serving as the University’s roadmap to monitor the investment program on a forward-looking basis. A resolution is included with these materials seeking Board approval of the Investment Policy Statement.

Executive Summary of Changes:

The following changes have been made to the 50.001: Ohio University Cash and Pooled Investments (Non-Endowment Funds) Investment Policy Statement (see attached).

Tiered Investment Structure: Pursuant to a detailed review of the university’s cash flow needs, risk tolerance, return objectives, and investment environment among other considerations, Capital Cities proposed the investment structure of the Funds be divided into four liquidity tiers. The tiered investment structure ensures funds are readily available for expected and unexpected cash needs, while designating a component of the Portfolio for long-term growth. Below is a description of each tier:

- **Tier I**: Assets provide for short-term (less than one year) cash flow needs.
- **Tier II**: Assets serve as the Contingency Account (reserves to replenish Tier I if necessary) and to fund the University’s Capital Improvement Plan.
• **Tier III**: Assets are comprised of the residual balance of the Non-Endowment Funds after both Tier I and II cash targets have been met. Tier III (and IV if necessary) provides Tiers I & II with emergency liquidity while also seeking to maximize risk-adjusted returns.

• **Tier IV**: Assets are comprised of the diversified pool, which is a unitized portion of the University’s Long-Term Endowment Investment Pool, and the Ohio University Student Investment Program funds. Management of the assets in this tier has been delegated by the University to The Ohio University Foundation.

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<thead>
<tr>
<th>Prior Investment Structure</th>
<th>Updated Investment Structure</th>
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<tr>
<td><strong>Pool</strong></td>
<td><strong>Tier</strong></td>
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<tr>
<td>Cash Pool</td>
<td>Tier I (“checking account”)</td>
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<tr>
<td>Liquidity Pool</td>
<td>Tier II (“savings account”)</td>
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<tr>
<td>Diversified Pool</td>
<td>Tier III (“total return”)</td>
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<td></td>
<td>Tier IV (diversified pool and student investment funds)</td>
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**Manager Investment Styles and Rebalancing Guidelines:** For each tier, the appropriate fixed income investment style (cash, active cash, defensive, core plus, and unconstrained fixed income) was determined, balancing the need for liquidity, capital preservation, and some total return. Concurrently, rebalancing guidelines were specified to ensure each tier meets the minimum balance requirement and covers appropriate reserves.

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<th>Prior Styles &amp; Rebalancing</th>
<th>Updated Styles &amp; Rebalancing</th>
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<td>Tier III</td>
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<td></td>
<td>Tier IV</td>
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Role of Investment Consultant: In retaining Capital Cities (investment consultant to the Non-Endowment Funds), the firm will provide the following advisory services to the University:

- Assist in the development of an overall strategy that meets the risk/reward requirement of Ohio University.
- Prepare a written Investment Policy Statement and assist in the documentation of all investment decisions.
- Assist in the selection of investment managers, custodians, and other prudent experts.
- Assist in the control of investment expenses, including helping to negotiate investment manager and custodian fees.
- Monitor the activities of hired managers and service vendors.
- Prepare quarterly performance measurement reports, participate in quarterly meetings, and make oral presentations regarding the investment managers’ performance.
- Conduct an annual review of Ohio University’s Investment Objectives, Guidelines and Procedures and, if necessary, make recommendations for amendments thereto.
- Educate the Board members of their fiduciary responsibilities and the fundamentals of investment management.
- Assist fiduciaries and trustees in avoiding conflicts of interest.

The University is retaining an external short-term investment advisor to manage Tier’s I-III, previously the respective functions were managed internally by a variety of staff.

The investment consultant for the Diversified Pool/Tier IV has been delegated to the Ohio University Foundation.

For further detail, please review the attached 50.001: Ohio University Cash and Pooled Investments (Non-Endowment Funds) Investment Policy Statement.

Thank you, we look forward to our discussions tomorrow.
50.001: Ohio University Cash and Pooled Investments (Non-Endowment Funds)  
DRAFT

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<th>Status: Approved on Month xx, 2015</th>
<th>Signatures and dates on archival copy</th>
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<tr>
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<td>Senior Associate Vice President for Finance and Administration</td>
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<td>Endorsed by: Stephen T. Golding Vice President for Finance and Administration</td>
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<td>Approved by: Roderick J. McDavis</td>
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<td>President</td>
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Purpose

The Board of Trustees of Ohio University (“Board”) is vested by statute (Sec. 3345.05 of the Ohio Revised Code) with the following responsibility: “Notwithstanding any provision of the Revised Code to the contrary, the title to investments made by the board of trustees of a state-supported university or college with funds derived from revenues described in this section shall not be vested in the state but shall be held in trust by the board.” Sec. 3345.05 of the Ohio Revised Code can be found in its entirety in Appendix C.

The purpose of this Investment Policy Statement (“IPS”) is to assist the Ohio University (“OU”) Treasurer or designee in effectively supervising, monitoring and evaluating the investment of the Ohio University Cash and Pooled Investments (the “Non-Endowment Funds”) assets on behalf of the Board. The Funds’ investment program is defined in the various sections of the IPS by:

- Stating in a written document the Treasurer or designee's attitudes, expectations, objectives and guidelines for the investment of Funds’ assets.

- Setting forth an investment structure for managing all Funds’ assets. This structure includes various asset classes, investment management styles, asset allocation and acceptable ranges that, in total, are expected to produce a sufficient level of overall diversification and total investment return over the long-term.
• Providing guidelines for each investment manager (“Manager”) that control the level of overall risk and liquidity assumed in that investment style, so that all Funds’ assets are managed in accordance with stated objectives.

• Encouraging effective communications and understanding regarding investment performance between the Treasurer or designee, the Board, the investment consultant (“Consultant”) and the Managers.

• Establishing formal criteria to monitor, evaluate, and compare the performance results achieved by the Managers on a regular basis.

• Complying with all applicable fiduciary, prudence and due diligence requirements that experienced investment professionals would utilize, and with all applicable laws, rules and regulations from various local, state, federal and international political entities that may impact Funds’ assets.

This IPS has been formulated, based upon consideration by the Treasurer or designee of the financial implications of a wide range of policies, and describes the prudent investment process that the Treasurer or designee deems appropriate.

**Background**

**I. Mission Statement**

Ohio University holds as its central purpose the intellectual and personal development of its students. Distinguished by its rich history, diverse campus, international community, and beautiful Appalachian setting, Ohio University is known as well for its outstanding faculty of accomplished teachers whose research and creative activity advance knowledge across many disciplines.

**II. Background**

Ohio University’s Non-Endowment Funds provide the liquidity necessary to meet the University’s financial obligations as they come due. Secondary to meeting operating requirements, the Funds also seek to gain prudently managed investment returns.

**III. Tiered Structure**

The investment structure of the Funds is divided into four liquidity tiers to provide for better preservation of overall asset base, while maintaining an adequate level of reserves for cash flow needs.

• **Tier I** assets provide for short-term (less than one-year) cash flow needs.
• **Tier II** assets serve as the Contingency Account (reserves to replenish Tier I if necessary) and to fund the University’s Capital Improvement Plan (“CIP”).

• **Tier III** assets are comprised of the residual balance of the Non-Endowment Funds after both Tier I & II cash targets have been met. Tier III (and Tier IV if necessary) provide Tiers I & II with emergency liquidity while also seeking to maximize risk-adjusted returns.

• **Tier IV** assets are comprised of a unitized portion of the University’s Diversified Investment Pool (“Diversified Pool”), and the Ohio University Student Investment Program funds. Management of the assets in this Tier has been delegated by the University to the Ohio University Foundation.

Additionally, the Treasurer or designee has selected a set dollar approach to determine the targeted market value for each tier. As a result, asset balance ranges have been established. Further details are included in Appendix B.

### Statement of Objectives

The objectives of the Non-Endowment Funds have been established in conjunction with a comprehensive review of the current and projected financial requirements. The objectives are:

- **Safety**: Safety of principal is the foremost objective of the investment program. Investments of the University shall be undertaken in a manner that ensures, over time, the preservation of capital in the overall portfolio.

- **Liquidity**: The University’s Non-Endowment Funds will remain sufficiently liquid to enable the University to meet all its operating requirements. Portfolio liquidity is defined as the maturity or ability to sell a security on a short notice near the purchase price of the security. In addition to the operating requirements of the University, the Non-Endowment Funds will also be used for the University’s CIP and additional liquidity will be required.

- **Return on Investments**: The University’s Non-Endowment Funds shall be structured with the objective of attaining the highest possible “total-return” for the Portfolio while adhering to the restraints and obligations inherent in the current legal structure of a prudent fiduciary.

- **Costs**: The expenses incurred for the management of the Non-Endowment Funds shall be minimized.

### I. Time Horizon

The investment guidelines are based upon unique investment horizons for the various tiers. In general, interim fluctuations in market value should be viewed with appropriate perspective.
Tier I has a short time horizon (less than one year), Tier II has an intermediate time horizon (2 Years CIP dependent) and Tiers III and IV have a longer time horizon (greater than three years).

II. Risk Tolerance

The Treasurer or designee recognizes the difficulty of achieving the Funds’ investment objectives in light of the uncertainties and complexities of contemporary investment markets. Some risk must be assumed in order to support the objectives for the Funds, including providing for the annual level of disbursements required by the operating needs, CIP spending needs, and achieving preservation of the overall asset base.

Specifically, the risk tolerance for Tier I has been defined by the Treasurer or designee as having little to no volatility given the objective of this Tier to supply sufficient day-to-day operating liquidity. The risk tolerance for Tier II has a slightly longer-term focus, as this Tier is to provide sufficient level of reserves in case of unanticipated liquidity needs as well as CIP spending needs for the next two calendar years. Therefore, Tier II is anticipated to provide enhanced returns from that of Tier I, but with limited volatility. Tiers III and IV have been designed with a longer-term objective in order to provide the University with additional return opportunities. The Treasurer or designee is willing to accept more volatility within Tiers III and IV in order to achieve a longer-term objective.

The Treasurer or designee’s risk tolerance is reviewed periodically in order to determine whether such objectives can be met given the current market environment. Based on these evaluations, along with cash forecasts and budgetary needs, the Treasurer or designee may make adjustments to the tiered structure, asset allocation and investment manager structure to maintain an acceptable level of risk for the Funds. Further details are contained within Appendix B of the IPS.

III. Performance Expectations

In general, it is expected that the Funds’ investment strategies are structured to provide returns consistent with the Treasurer or designee’s goals and objectives. However, it is understood that the performance of the Funds is affected by the market environment. Therefore, performance expectations will be reviewed periodically by the Treasurer or designee in order to determine whether the Treasurer or designee’s objectives can be met given the current market environment. Additionally, the Treasurer or designee recognizes the conundrum of balancing liquidity needs for the operations and CIP spending needs of the University with the overall return of the Funds. Based on these evaluations, the Treasurer or designee may make adjustments to the tiered structure, portfolio construction and investment manager structure to maintain an acceptable level of risk for the Funds.

IV. Portfolio Construction

The Treasurer or designee views the appropriate construction of each tier in relation to two broad components: Liquidity and Total Return. The balance between these two components is reviewed on a periodic basis and is determined in light of the goals and objectives of each tier, the risks and opportunities available at a given time and the risk tolerance of the Treasurer or designee.
Additionally, the Treasurer or designee reviewed a number of manager structure alternatives to further define investment strategies for inclusion within each component. Finally, the risk to any one manager was evaluated regarding proper diversification among investment strategy and business risk, along with proper diversification among investment vehicles. Further details are contained below and within Appendix B of the IPS.

V. Rebalancing

- **Between Tiers:** Tier balances will be reviewed on a periodic basis, generally quarterly. Assets will be adjusted between the tiers to meet the minimum balance requirements and cover appropriate reserves.

- **Between Tier Components:** From time to time, the components and underlying strategies of each tier may deviate from the targeted percentages due to market conditions. A range has been established for each component and underlying strategy to control risk and maximize the effectiveness of the University’s overall investment strategy, while avoiding unnecessary turnover at the security level. When a component or underlying strategy is outside of its allowable range, the Treasurer or designee will evaluate the feasibility of rebalancing back to the target allocation and may initiate portfolio rebalancing. Under extreme market conditions, which may include excessive volatility or illiquidity in an asset class, or where rebalancing may unduly hinder the Funds, the Treasurer or designee may choose to delay rebalancing in order to better reflect the overall goals and objectives of the Funds. During that period, it is expected that more frequent reviews of the CIP and market conditions will be evaluated to assess the appropriateness of rebalancing.

Further details are contained within Appendix B of the IPS.

**Security Guidelines**

I. Reserve Requirement

A reserve equal to at least twenty-five percent of the average amount of the investment portfolio over the course of the previous fiscal year must be invested in publicly traded securities that fall into one or more of the following categories:

- securities of the United States government or of its agencies or instrumentalities,
- the treasurer of state’s pooled investment program,
- obligations of this state or any political subdivision of this state,
- certificates of deposit of any national bank located in this state or State of Ohio chartered bank,
• written repurchase agreements (collateralized with permissible securities having a market value of at least 102% of the investment) with any eligible Ohio financial institution that is a member of the federal reserve system or federal home loan bank,

• money market funds, or

• bankers acceptances maturing in two hundred seventy days or less which are eligible for purchase by the federal reserve system.

It is anticipated that the entire Tier I allocation, in addition to a portion of the Tier II allocation will accommodate this requirement.

II. Manager Guidelines

Subject to the IPS, each separate account Manager shall have full discretionary investment authority over the assets under his or her management. Each Manager shall be retained to implement a specific investment style and strategy for the Funds. Accordingly, securities guidelines for Managers managing assets in a separate account fashion shall be negotiated and agreed upon in writing on a case-by-case basis and referenced in an Attachment to the IPS. If a portion of the assigned assets are chosen to be in mutual funds, exchange-traded fund, commingled investment trusts or private offerings, the products selected shall adhere to the guidelines set forth in the prospectus, trust document or offering memorandum.

Selection of Investment Managers

The Treasurer or designee has the responsibility for selecting Managers. The Treasurer or designee's intent is to follow a process that embodies the principles of procedural due diligence. Accordingly, when selecting Managers, the Treasurer or designee will:

• Retain a "prudent expert" (a bank, insurance company, or investment advisor as defined by the Registered Investment Advisors Act of 1940).

• The Treasurer or designee may evaluate criteria specific to the mandate being sought. Such criteria may include, but is not limited to:

  • Manager strategy and approach
  • Organizational structure
  • Minimum and maximum assets under management
  • Client servicing capabilities
  • Performance criteria relative to an appropriate index and peer group, where appropriate
  • Capacity in the appropriate vehicle
  • Initial lockup and redemption provisions, where appropriate
  • Fund transparency (confidentiality agreements may be necessary)
• Fees and alignment of economic interests

• Follow a due-diligence process so as to avoid selecting Managers on an ad-hoc basis. The due diligence process should involve analyzing Manager candidates in terms of certain:

• **Qualitative Characteristics**, such as key personnel, investment philosophy, investment strategy, research orientation, decision-making process, and risk controls.

• **Quantitative Characteristics**, such as GIPS-compliant composite return data, investment performance over multiple time periods, performance volatility, risk-adjusted rates of return (e.g., Sharpe Ratios), and certain portfolio characteristics.

### Control Procedures

#### I. Duties and Responsibilities of the Treasurer or designee

The Treasurer or designee (hereinafter, “Treasurer or designee”) is ultimately responsible for the overall management of the Investment Program including: managing the Funds’ overall investment strategy and diversifying assets; following investment policy objectives and guidelines as established by the Board; hiring prudent experts to make investment decisions; controlling and accounting for expenses; and performing ongoing monitoring. The Treasurer or designee is also responsible for ensuring that the Funds are managed in the best interests of the University. The Treasurer or designee shall conduct its responsibilities as outlined in this IPS.

#### II. Duties and Responsibilities of the Board

The Board is responsible for establishing and monitoring investment policy objectives and guidelines to be carried out by the Treasurer or designee. The Board is also responsible for ensuring that the Funds are managed in the best interests of the University. The Board shall conduct its responsibilities as outlined in this IPS.

#### III. Duties and Responsibilities of the Investment Managers

The duties and responsibilities of each Separate Account Manager shall be as set forth in the applicable Investment Management Agreement entered into between Ohio University and the Manager retained by the Treasurer or designee and shall include the following:

• Managing the Funds’ assets under its care, custody and/or control in accordance with the IPS objectives and guidelines (including without limitation, the Securities Guidelines, set out above) set forth herein, and also as may be expressed in separate written agreements between the Manager and Ohio University when deviation is deemed prudent and desirable by the Treasurer or designee upon recommendation of the Investment Consultant.
• Exercising investment discretion (including holding cash equivalents as an alternative) within the IPS objectives and guidelines set forth herein.
• Promptly informing the Treasurer or designee in writing regarding all significant and/or material matters and changes pertaining to the investment of Funds’ assets, including, but not limited to:
  • Investment strategy
  • Portfolio structure
  • Tactical approaches
  • Ownership
  • Organizational structure
  • Financial condition
  • Professional staff
  • Recommendations for guideline changes
  • All legal material, SEC and other regulatory agency proceedings affecting the firm.

• Promptly voting all proxies and related actions in a manner consistent with the long-term interests and objectives of the Funds set forth herein. Each Manager shall keep detailed records of said voting of proxies and related actions and will comply with all regulatory obligations related thereto.

• Utilize the same care, skill, prudence and due diligence under the circumstances then prevailing that experienced, investment professionals acting in a like capacity and fully familiar with such matters would use in like activities for like retirement plans with like aims in accordance and compliance with all applicable laws, rules and regulations from local, state, federal and international political entities as it pertains to fiduciary duties and responsibilities.

• Acknowledge and agree in writing to their fiduciary responsibility to fully comply with the entire IPS set forth herein, and as modified in the future.

Managers selected to manage Funds’ assets through a mutual fund, exchange-traded fund, commingled investment trust or private offering must adhere to the guidelines set forth in their respective prospectus, trust document or offering memorandum.

**IV. Duties and Responsibilities of the Investment Consultant (Tiers I, II & III)**

The investment consultant for Tiers I, II and III has been retained by the University. The investment consultant for Tier IV has been delegated to the Ohio University Foundation.

The duties and responsibilities of the Consultant include the following:

• Assist in the development of an overall strategy that meets the risk/reward requirement of Ohio University.
• Prepare a written IPS and assist in the documentation of all investment decisions.

• Assist in the selection of “prudent experts” (investment managers) who, in turn, are charged with making investment decisions that are consistent with the IPS.

• Assist in the control of investment expenses, including helping to negotiate investment manager and custodian fees, and to insure that brokerage is transacted at “best execution”.

• Monitor the activities of hired Managers and service vendors.

• Educate Treasurer or designee and Board members of their fiduciary responsibilities and the fundamentals of investment management.

• Assist fiduciaries and trustees in avoiding conflicts of interest.

V. Duties and Responsibilities of the Custodian

The Treasurer or designee believes that timely and accurate completion of custodial functions is necessary for effective management and monitoring of the Funds’ assets. Specifically, the duties and responsibilities of the Custodian include the following:

• Implementing in a timely and effective manner the investment actions as directed by the Manager(s);

• Investment of any cash into the chosen sweep vehicle;

• Holding all securities in safekeeping for Ohio University;

• Collecting and receiving all income and principle;

• Maintaining accounting records and preparing reports that are required by the Consultant, Treasurer or designee, and Board;

• Providing performance measurement numbers consistent with GIPS standards as requested by the Consultant, Treasurer or designee, and Board;

• Processing distributions from the Funds as requested by the Treasurer or designee and Board;

• Conforming to all provisions in its contract with Ohio University.

VI. Brokerage Policy

All transactions effected for the Funds will be "subject to the best price and execution". If a Manager utilizes brokerage from the Funds’ assets to effect “soft dollar” transactions, detailed records will be kept and communicated to the Treasurer or designee.
VII. Performance Evaluation

Investment performance will be reviewed at least annually to determine the continued feasibility of achieving the investment objectives and the appropriateness of the IPS for achieving those objectives.

Additionally, over complete business cycles, each Tier’s performance will be compared to a customized, weighted benchmark that represents each Tier’s portfolio construction. Further details are contained within Appendix B of the IPS.

VIII. IPS Review and Evaluation

It is not expected that the IPS will change frequently. In particular, short-term changes in the financial markets should not require adjustments to the IPS. The Treasurer or designee and the Consultant will review the IPS periodically to determine whether any changes are appropriate. Based on the Treasurer or designee's and the Consultant's IPS review, the Treasurer or designee may revise the IPS or alter the Managers to meet current needs.

Monitoring of Investment Managers (Tiers I, II & III)

The Treasurer or designee is aware that the ongoing review and analysis of the Managers is just as important as the due diligence implemented during the Manager selection process. Monitoring these managers is a three step process, outlined below:

I. Step 1 – Ongoing Monitoring

The Consultant and the Treasurer or designee will perform a constant and on-going analysis of all the Funds’ Managers. In addition to reviewing quarterly investment performance, the Consultant and the Treasurer or designee will continually evaluate:

- The Manager's adherence to the IPS guidelines
- Material changes in the Manager's organization, investment philosophy and/or personnel
- The volatility of the investment rates of return of the Manager compared to the volatility of an appropriate market index and peer group (as listed in Appendix C)
- Comparisons of the Manager's results to appropriate indices and peer groups (as listed in Appendix C).

If appropriate market indices and/or peer groups are not available, the Consultant and Treasurer or designee will evaluate factors such as the Manager’s adherence to stated risk and return
objectives and the Manager’s portfolio exposures in relation to the market environment and stated philosophy and process.

II. Step 2 – Formal Watchlist

If the Consultant and the Treasurer or designee determine that any of the above factors, or any other development regarding the Manager’s performance or organization, warrants a more thorough examination, the Treasurer or designee will place the Manager on a formal “watchlist”. Factors examined during the watchlist period include, but are not limited to, the following:

- Extraordinary Events (Organizational Issues)
  
  Extraordinary events that may lead to a Manager termination include such things as:
  
  - Change in ownership (e.g., key people "cash out")
  - Change in professionals
  - Changes to a Manager’s philosophy or the process it uses to implement the agreed upon strategy
  - Manager is involved in material litigation or fraud
  - Client-servicing problems
  - Significant account losses or significant account growth
  - Change in cost
  - Change in financial condition
  - Extreme performance volatility

- Long-Term Performance in Relation to Appropriate Market Index, Market Environment or Stated Goals and Objectives
  
  Long-term performance standards measure a Manager's performance over rolling five-year returns or since inception in relation to the appropriate market index.

- Shorter-Term Performance in Relation to Appropriate "Style Group," Market Environment or Stated Goals and Objectives
  
  Shorter-term performance standards incorporate a time period of at least three years. Each Manager is expected to consistently perform in the top 50th percentile versus an appropriate peer group of investment managers with similar investment styles. Additionally, each Manager is expected to demonstrate favorable cumulative and rolling three-year risk-adjusted performance compared to its peer group. If appropriate peer groups are not available, the Manager’s adherence to stated risk and return objectives and the Manager’s portfolio exposures in relation to the market environment and stated philosophy and process will be evaluated. Risk-adjusted performance measures will vary, but may include: Sharpe Ratio, Downside Risk, Information Ratio, and/or Relative Standard Deviation.
III. Step 3 – Replace or Retain

The watchlist period will generally be four quarters, but the time period can be shorter or longer depending on the factors causing the watchlist.

As a result of the watchlisting examination of the Manager, a recommendation to either replace or retain the Manager will be made.

It is at the Treasurer or designee's discretion to take corrective action by replacing a Manager, if it deems it appropriate, at any time. The watchlist is not the only route for removing an existing Manager. The aforementioned events, or any other events of concern identified by the Treasurer or designee, may prompt the immediate removal of a Manager without it being watchlisted.
Signatures

Prepared: Capital Cities, L.L.C.
Date: ____________________________

Accepted: Ohio University
Date: ____________________________

____________________________________
Investment Consultant

____________________________________

____________________________________
Appendix A

I. Key Information

Name of Funds: Ohio University Cash and Pooled Investments

Type of Fund/Tax Status: Tax-exempt University

Current Assets (as of 06/30/2015): $317M

Committee Members:

Custodian(s): BNY / JP Morgan / STAR Ohio / Fifth Third / Peoples Bank

Investment Consultant: Capital Cities, L.L.C.
Joe Bill Wiley (317) 475-4500
Amanda Black (317) 475-4500
Appendix B

I. Historical Record

<table>
<thead>
<tr>
<th>Date</th>
<th>Change</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>March, 2015</td>
<td>Capital Cities presented a recommended Tier structure for the management of the Operating Funds.</td>
<td>The Treasurer or designee agreed to move forward with the Tiered structure framework.</td>
</tr>
<tr>
<td>Feb-March, 2015</td>
<td>Capital Cities conducted multiple calls with Ohio University and other third parties to analyze and optimize Ohio University’s cash forecasting practices.</td>
<td>None.</td>
</tr>
<tr>
<td>Jan, 2015</td>
<td>Ohio University and Capital Cities conducted an initial due diligence meeting to review the needs and objectives of the University.</td>
<td>None.</td>
</tr>
<tr>
<td>Nov, 2014</td>
<td>Ohio University retained Capital Cities, L.L.C. as the investment consultant to the Funds.</td>
<td>None.</td>
</tr>
</tbody>
</table>

II. Portfolio Construction Analysis (May, 2015)

During Capital Cities’ initial due diligence of the Operating Funds, Capital Cities and the Treasurer or designee reviewed the portfolio construction of the Funds. The discussions centered on the goals and objectives of the University and the Funds. The University has unique short-term (less than 1 year) and long-term (more than 1 year) liquidity needs that were the main focus of the portfolio construction process. In the short-term, the University must meet all of its operating expenses with the Funds. Furthermore, in the long-term, the Funds will be utilized to help finance the University’s Capital Improvement Plan.

As a result, the Treasurer or designee arrived at a tiered allocation and established a set dollar approach to determine the targeted market value for each tier (further outlined on the following page). In determining the structure and target balance of each Tier, factors that were considered included: historical distributions taken from the Funds (monthly, quarterly, and annually), worst case scenarios for cash balances; the need for liquidity for CIP spending needs, the need for return on the overall portfolio versus the need to ensure availability of assets. It is anticipated that the liquidity will need to be analyzed on an on-going basis due to the fluctuations of spending in the CIP.
• **Tier I:** It was determined that an appropriate target for Tier I would be $75,000,000. This amount was based on the historical average of the Ohio University Cash Pool which has ranged from approximately $50,000,000 to $185,000,000. The $75,000,000 target is based on a worse-case scenario in which the University would experience maximum outflows and minimum inflows in any given month. In such a situation, the $75,000,000 balance would provide the University with the necessary liquidity to continue operations until cash inflows and outflows normalized. Tier I will be invested entirely in cash and cash equivalents. Additionally, the $35,000,000 in the Ohio STAR Plus account will be allocated to Tier I.

• **Tier II:** It was determined that Tier II will serve two purposes in the portfolio. First, Tier II will provide emergency liquidity for Tier I if circumstances arise where Tier I becomes depleted. Second, Tier II will be used to fund the University’s CIP spending needs. Given the unique nature of the CIP, the target balance for Tier II will fluctuate over-time. The target will be based on the next two years of CIP-related spending needs. This target amount will be analyzed and reset annually to adjust for upcoming CIP needs. Tier II will be invested entirely in Defensive Fixed Income. It is anticipated that one investment manager will be selected to manage all of the Tier II assets in a separate account mandate. Given the large frequency of cash flows expected in Tier II, having only one investment manager will allow for operational efficiencies that may provide additional return opportunities.

• **Tier III:** The residual balance after Tiers I & II are fully funded, and after accounting for the Diversified Pool and Student Investment Program will be allocated to the Tier III portfolio; therefore, no minimum or target market value was established. This balance will be invested in a mixture of fixed-income mutual funds under the monitoring of the Investment Consultant. The target allocation for the residual balance is 33% Core Plus Fixed Income / 33% Unconstrained Fixed Income / 33% Defensive Fixed Income.

• **Tier IV:** Management of this tier has been delegated to the Ohio University Foundation and is made up of the following:
  
  o **Diversified Pool Assets** – The unitized portion of the Ohio University Diversified Pool allocated to the Operating Funds will reside in Tier IV.
  
  o **Student Investment Program** – As determined and approved by the University Board of Trustees.

It is expected that the Funds’ portfolio construction and asset balance ranges will be reviewed periodically to ensure they are appropriate given the objectives of the University.

### III. Rebalancing Between Tiers

In the event that Tier I becomes depleted, Tier II, Tier III or Tier IV can be used as an emergency source of liquidity. Tier II would be sourced first followed by Tier III then Tier IV. In the event
that Tier II becomes depleted, Tier III would be used as an emergency source of liquidity first followed by Tier IV.

In the even that Tier I becomes overfunded, excess reserves can be transitioned to either Tier II, Tier III or Tier IV depending on the balance of Tier II and the CIP forecasts.

IV. Objectives

<table>
<thead>
<tr>
<th>Tier</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>Provides for daily and monthly operating cash needs, with limited return expectations.</td>
</tr>
<tr>
<td>II</td>
<td>Serves as a contingency account to replenish Tier I (if necessary) and also fund future CIP needs. Return objectives are commensurate with conservative fixed income investing.</td>
</tr>
<tr>
<td>III &amp; IV</td>
<td>Maximizes risk-adjusted returns and provides emergency liquidity to Tiers I &amp; II.</td>
</tr>
</tbody>
</table>

V. Asset Balance Ranges

<table>
<thead>
<tr>
<th>Tier</th>
<th>Target Dollar Amount</th>
<th>Required Minimum Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>$75,000,000</td>
<td>$75,000,000</td>
</tr>
<tr>
<td>II</td>
<td>CIP Dependent</td>
<td>N/A</td>
</tr>
<tr>
<td>III</td>
<td>Residual Balance</td>
<td>N/A</td>
</tr>
<tr>
<td>IV</td>
<td>Unitized Portion of Diversified Pool &amp; Student Investment Program</td>
<td>N/A</td>
</tr>
</tbody>
</table>
## VI. Manager Structure Analysis and Rebalancing Guidelines (May, 2015)

<table>
<thead>
<tr>
<th>Tier</th>
<th>Permissible Style Parameters</th>
<th>Target Percentage</th>
<th>Rebalancing vs. Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tier I</td>
<td>Cash &amp; Cash Equivalents / STAR Ohio</td>
<td>100%</td>
<td>N/A</td>
</tr>
<tr>
<td>Tier II</td>
<td>Defensive Fixed Income</td>
<td>100%</td>
<td>N/A</td>
</tr>
<tr>
<td>Tier III</td>
<td>Unconstrained Fixed Income</td>
<td>33%</td>
<td>+/- 5%</td>
</tr>
<tr>
<td></td>
<td>Core Plus Fixed Income</td>
<td>33%</td>
<td>+/- 5%</td>
</tr>
<tr>
<td></td>
<td>Defensive Fixed Income</td>
<td>33%</td>
<td>+/- 5%</td>
</tr>
<tr>
<td>Tier IV</td>
<td>Unitized Diversified Pool</td>
<td>100%</td>
<td>N/A</td>
</tr>
<tr>
<td>Tier IV</td>
<td>Ohio University Student Equity Management Group</td>
<td>100%</td>
<td>N/A</td>
</tr>
</tbody>
</table>
VII. Description of Selected Styles

**Unconstrained Fixed Income:** Unconstrained fixed income managers do not construct portfolios based on a given benchmark, thus have the ultimate flexibility to adjust the exposures of the funds (duration/yield curve, quality, country and currency positioning, sector allocations) to reflect their views on the market’s opportunities and risks. Additionally, these portfolios will often have the ability to be both long and short, but typically maintain net long positions. Performance is dependent on manager skill, but typically will lag other bond managers in up bond markets, and will protect on the downside when bonds are struggling.

**Core/Core Plus Bond:** Core/Core Plus Bond managers construct portfolios that may deviate from the Barclays Capital Aggregate Bond Index. The objective is to add value by tactically allocating portions of the portfolio among non-benchmark sectors while maintaining majority exposure similar to the broad market.

**Intermediate Bond:** Intermediate Bond managers' objective is to lower interest rate risk while retaining reasonable yield levels by investing primarily in intermediate term securities. The average portfolio duration and risk/return profile is similar to that of the Barclays Capital Aggregate Intermediate Government/Credit Bond Index.

**Defensive:** Defensive managers’ objective is to minimize interest rate risk by investing predominantly in short to intermediate term securities. The average portfolio duration and risk/return profile is similar to that of the Barclays Capital Government 1-5 Year Bond Index. Defensive fixed income portfolios will tend to serve as a ballast in the portfolio during a flight to quality, but will underperform other, more diversified fixed income strategies in normal economic times.

**Cash and Equivalents:** This style generally consists of open-end mutual funds or short-term investment funds that invest in low-risk, highly liquid, short-term financial instruments and whose net asset value is kept stable at $1 per share. The average portfolio maturity is 30 to 60 days.
VIII. Selected Managers, Indexes and Relevant Peer Group

Insert Table of Selected Managers

Evaluation Benchmark:

Each Tier’s performance will be compared to a customized, weighted benchmark that represents each Tier’s portfolio construction.

Tier I: 100% 90 Day T-Bills

Tier II: TBD

Tier III: TBD

Tier IV: Management delegated to the Ohio University Foundation.
Appendix C

3345.05 Administration of moneys - annual reports by recipients - investments - investment committee.

- (C) Notwithstanding any provision of the Revised Code to the contrary, the title to investments made by the board of trustees of a state institution of higher education with funds derived from any of the sources described in division (A) of this section shall not be vested in the state or the political subdivision but shall be held in trust by the board. Such investments shall be made pursuant to an investment policy adopted by the board in public session that requires all fiduciaries to discharge their duties with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims. The policy also shall require at least the following:

  - (1) A stipulation that investment of at least twenty-five per cent of the average amount of the investment portfolio over the course of the previous fiscal year be invested in securities of the United States government or of its agencies or instrumentalities, the Treasurer or designee of state's pooled investment program, obligations of this state or any political subdivision of this state, certificates of deposit of any national bank located in this state, written repurchase agreements with any eligible Ohio financial institution that is a member of the federal reserve system or federal home loan bank, money market funds, or bankers acceptances maturing in two hundred seventy days or less which are eligible for purchase by the federal reserve system, as a reserve;

  - (2) Eligible funds above those that meet the conditions of division (C)(1) of this section may be pooled with other institutional funds and invested in accordance with section 1715.52 of the Revised Code.

  - (3) The establishment of an investment committee.

- (D) The investment committee established under division (C)(3) of this section shall meet at least quarterly. The committee shall review and recommend revisions to the board's investment policy and shall advise the board on its investments made under division
(C) of this section in an effort to assist it in meeting its obligations as a fiduciary as described in division (C) of this section. The committee shall be authorized to retain the services of an investment advisor who meets both of the following qualifications:

3345.05 Administration of moneys - annual reports by recipients - investments - investment committee.

(A) Subject to the intent of a donor expressed in a gift instrument, an institution, in managing and investing an institutional fund, shall consider the charitable purposes of the institution and the purposes of the institutional fund.

(B) In addition to complying with any other duty of loyalty imposed by law, each person responsible for managing and investing an institutional fund shall manage and invest the fund in good faith and with the care an ordinarily prudent person in a like position would exercise under similar circumstances.

(C) In managing and investing an institutional fund, an institution may incur only costs that are appropriate and reasonable in relation to the assets, the purposes of the institution, and the skills available to the institution, and shall make a reasonable effort to verify facts relevant to the management and investment of the fund.

(D) An institution may pool two or more institutional funds for purposes of management and investment.

(E) Except as otherwise provided by a gift instrument, all of the following apply:

(1) In managing and investing an institutional fund, the following factors, if relevant, shall be considered:

(a) General economic conditions;
(b) The possible effect of inflation or deflation;
(c) The expected tax consequences, if any, of investment decisions or strategies;
(d) The role that each investment or course of action plays within the overall investment portfolio of the fund;
(e) The expected total return from income and the appreciation of investments;
(f) Other resources of the institution;
(g) The need of the institution and of the fund to make distributions and preserve capital;
(h) An asset's special relationship or special value, if any, to the charitable purposes of the institution.
(2) Management and investment decisions about an individual asset shall be made not in isolation but rather in the context of the institutional fund's portfolio of investments as a whole and as a part of an overall investment strategy having risk and return objectives reasonably suited to the fund and to the institution.

(3) Except as otherwise provided by law, an institution may invest in any kind of property or type of investment consistent with this section.

(4) An institution shall diversify the investments of an institutional fund unless the institution reasonably determines that, because of special circumstances, the purposes of the fund are better served without diversification.

(5) Within a reasonable time after receiving property, an institution shall make and carry out decisions concerning the retention or disposition of the property or the rebalancing of a portfolio, in order to bring the institutional fund into compliance with the purposes, terms, and distribution requirements of the institution and as necessary to meet other circumstances of the institution and the requirements of sections 1715.51 to 1715.59 of the Revised Code.

(6) A person that has special skills or expertise, or is selected in reliance upon the person's representation of the person's special skills or expertise, has a duty to use those skills or that expertise in managing and investing institutional funds.
Ohio University
Operating Funds

Strategic Planning Update – October 15, 2015
# Critical Issues Facing Operating Funds

## Unique Challenges for Universities

<table>
<thead>
<tr>
<th>Operational Roadblocks</th>
<th>Competing Objectives</th>
<th>Unique Investment Constraints</th>
<th>Investment Headwinds</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Historical focus on accounting vs. investing</td>
<td>• The need to balance the competing objectives of ensuring liquidity vs. achieving total return, in an environment where the opportunity cost of cash is high</td>
<td>• Public Universities are often subject to unique statutory investment guidelines</td>
<td>• Low interest rate environment</td>
</tr>
<tr>
<td>• Limited staff serving multiple roles</td>
<td></td>
<td>• Separate Account vehicles are often required to accommodate guidelines and cash flow needs</td>
<td>• Construction of Fixed Income benchmarks leads to concentration of risks</td>
</tr>
<tr>
<td>• Lack of delineation of roles among service providers limits objectivity</td>
<td></td>
<td></td>
<td>• Increasing volatility across global markets</td>
</tr>
</tbody>
</table>
OU Operating Funds: Current Overview

Meeting Objectives; Poised for Modernization

Description:
- The University’s Cash and Pooled Investments, also known as Non-Endowment Funds, enable the University to meet financial obligations as they become due.

Investment Structure:
- Cash Pool – day-to-day obligations
- Liquidity Pool – back-up liquidity
- Diversified Investment Pool – working capital in excess of short-term liquidity needs and prudent reserve for operations.
- Bond Proceeds – Century Bond

Investment Objectives:
1. Safety of Principal
2. Liquidity
3. Total Return

Investment Considerations:
- 25% in conservative fixed income/cash per Ohio statute
- Adhere to customized Investment Policy Statement

OU Cash and Pooled Investments as of July 31, 2015

- Cash Pool: $49,059,598 (16%)
- Liquidity Pool: $151,953,191 (51%)
- Diversified Pool: $99,649,820 (33%)

Liquidity Pool $151,953,191

Diversified Pool $99,649,820

Cash Pool $49,059,598
Operating Funds are different than any other type of institutional investment pool, warranting the need for a specialized strategic planning process. The focus for OU has been to modernize the program, in order to:

- Improve efficiency
- Establish a policy-driven framework to exceed the highest fiduciary standards and meet all unique statutory constraints
- Emphasize investment best practices and implement management reporting
- Promote objectivity and transparency of all program components
- Properly balance liquidity and return to meet OU’s objectives in a changing market environment

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Defining institutional treasury functions and hired Director of Treasury Management</td>
<td>Assessing current environment, institutional needs and priorities</td>
<td>OU kick-off meeting to further discuss the needs and objectives of the university</td>
<td>Discussion and review of Internal Bank model and cash flow expectations</td>
<td>Peer analysis on cash forecasting best practices</td>
<td>Tiered Liquidity structure analysis and discussions</td>
<td>Investment manager due diligence given OU’s unique cash flow needs</td>
<td>Manager Structure Analysis, Investment Manager Searches, Investment Policy Statement, Custodian discussions, Liquidity Analysis, Century Bond Proceed discussions</td>
</tr>
</tbody>
</table>
A Tiered Liquidity Structure ensures funds are readily available for expected and unexpected cash needs, while designating a component of the portfolio for long-term growth:

<table>
<thead>
<tr>
<th>Tier</th>
<th>Liquidity</th>
<th>Return Potential</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tier I</td>
<td>Primary</td>
<td>Low</td>
</tr>
<tr>
<td>Tier II</td>
<td>Contingency</td>
<td>Moderate</td>
</tr>
<tr>
<td>Tier III</td>
<td>Reserves</td>
<td>Higher</td>
</tr>
<tr>
<td>Tier IV</td>
<td>Reserves</td>
<td>Higher</td>
</tr>
</tbody>
</table>
The Structure is diversified by liquidity tiers, investment styles and underlying investment managers.

Diversification by Tier:

- **Tier I: “Checking Account”**
  - **Role:** Provides for daily and monthly operating cash.
  - **Amount:** $75 million minimum

- **Tier II: “Savings Account”**
  - **Role:** Serves as contingency account to replenish Tier I (if necessary), while providing some yield over Tier I.
  - **Amount:** To be assessed and determined periodically based on anticipated CIP needs.

- **Tiers III & IV: “Total Return/ Liquidity Reserves”**
  - **Role:** Provides the total return component of the structure; could also serve as liquidity reserves.
  - **Amount:** Remaining balance

Diversification by Investment Style:

- **Tier I**
  - Bank Accounts
  - Money Market Funds/Active Cash

- **Tier II**
  - Active Defensive
  - Fixed Income

- **Tier III**
  - Residual Fixed Income Balance:
  - Defensive/Core Plus/Unconstrained Fixed

- **Tier IV**
  - Diversified Pool Assets
  - Student Investment Pools
## OU’s Customized Tiered Structure

### Investment Detail

<table>
<thead>
<tr>
<th>Tier</th>
<th>Investment Styles</th>
<th>Investment Vehicles</th>
<th>Manager Characteristics</th>
</tr>
</thead>
</table>
| Tier I   | Cash, Active Cash                      | Sweep, Commingled                        | • Impacted by:  
  • Custodian’s cash options  
  • Yield availability                                                      |
| Tier II  | Defensive Fixed                        | Separately-Managed Account               | • Expertise in style  
  • High touch client service  
  • Low fees  
  • Ability to customize                                                  |
| Tier III | Defensive, Core Plus, Unconstrained Fixed | Mutual Funds                          | • Expertise in style  
  • Strong track record  
  • Complementary characteristics                                            |
| Tier IV  | *Diversified Investment Pool & Student Investment Groups managed separately* |                                   |                                                                                          |

### Overview of Styles

- **Cash/Active Cash**
  - Liquidity
  - Limited Return
  - Preservation

- **Defensive Fixed Income**
  - Contingency Liquidity
  - Modest returns
  - Ballast/Diversification

- **Core Plus Fixed Income**
  - Broad exposure
  - Relative return potential
  - Long-term income

- **Unconstrained/Flexible Fixed Income**
  - Alpha/Absolute Return
  - Downside protection
An Investment Policy Statement (IPS) fulfills the most important function a Fiduciary Performs

**The Importance of an IPS**

- Supports the “Paper Trail” and Provides the Best Defense in Litigation
- Negates “Monday Morning Quarterbacking” and Provides Continuity During Committee Turnover
- Keeps Investment Process Intact During Periods of Market Upheaval
- Reassures Constituents of Investment Stewardship

**Sections of a Well-Written IPS**

1. Purpose
2. Plan Summary
3. Statement of Objectives
4. Responsibilities
5. Guidelines and Investment Policy
6. Selection of Investment Managers
7. Control Procedures
8. Monitoring of Investment Managers

OU maintains a comprehensive Investment Policy Statement documenting all strategic planning of the organization, as well as outlining a roadmap to monitor the investment program on a forward-looking basis.
Ohio University maintains relationships with all parties. The centralized custodian safekeeps the assets and serves as the book of record. The Consultants advise OU on all aspects of the program and remain objective. The Investment Managers invest the assets on behalf of OU.
Capital Cities has created an in-depth Manager Search Process. Each search is customized to OU’s unique needs and the full universe of managers (not just those who submit information to traditional databases) are at our disposal.

- We maintain the resources of a large firm, but have the flexibility to “look outside the box” and truly seek alpha.
- Our process has a qualitative bias given the experience of our team; any firm can conduct quantitative screening.
- We have significant experience working with managers in customized mandates, given our unique Public Fund knowledge.
OU Operating Funds: New Structure

Modernized, Tiered Structure

New Structure*
(based on July 31, 2015 asset values)

- **Tier I: “Checking Account”**
  - Bank Accounts
  - Money Market Funds/Active Cash
  - Tier I
  - $75,000,000
  - 25%

- **Tier II: “Savings Account”**
  - Active Defensive
  - Fixed Income
  - Tier II
  - $115,000,000
  - 38%

- **Tier III: “Total Return/Reserves”**
  - Residual Fixed Income Balance:
    - Defensive/Core Plus/Unconstrained Fixed
  - Tier III
  - $11,012,789
  - 4%

- **Tier IV: “Total Return/Reserves”**
  - Diversified Pool Assets
  - Student Investment Pools
  - Tier IV
  - $99,649,820
  - 33%

*Dollar amounts are estimated and will change based on updated OU cash flow needs, particularly Tier II as it relates to updated CIP figures.
**Ongoing Monitoring**

**Going Beyond Simple Performance Reporting**

---

**Capital Cities is a co-fiduciary and OU’s advocate behind the scenes**

**Key Areas We Monitor:**

- Market Environment
- Regulatory Environment
- Cash Flow Needs
- Asset Allocation to Target
- Overall Performance and Risk Relative to Objectives, Benchmarks and Peer Groups
- Investment Managers’ Performance, Risk, Qualitative Aspects and Adherence to Guidelines
- Custodian
- Ongoing Fiduciary Duties
- Fees

---

**Yield Curve Change and Rate of Return**

One Quarter Ended June 30, 2015

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<th>Yield to Maturity</th>
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**Happy 2015**
Annual Timeline for Fiduciary Oversight

Designed to Ensure OU Exceeds Fiduciary Obligations

- Performance & Evaluation Report
- Qualitative Manager Due Diligence
- Market Review

1st Quarter Meeting
- Performance & Evaluation Report
- Investment Policy Statement Review/Update

2nd Quarter Meeting
- Performance & Evaluation Report
- Comprehensive Fee Study

3rd Quarter Meeting
- Performance & Evaluation Report
- Portfolio Construction and Manager Review

4th Quarter Meeting
Supplemental Slides
**Investment Manager Review Process**

**Process-Driven and Comprehensive Monitoring**

---

**OU Investment Managers**

**Quantitative Factors Evaluated**
- Manager returns and risk compared to client objective, market indexes and peer groups over various time periods
- Fees relative to client preferences and peers

**Qualitative Factors Evaluated**
- Manager's adherence to client-specific guidelines
- An evaluation of each manager’s organization, investment philosophy, product dynamics and people

**When Evaluation Leads to Action**
A manager should be replaced when an extraordinary event or a pattern of performance suggests that the manager has a low probability of delivering the expected style or performance in the future.

**Reasons to replace:**
- Long-term underperformance
- Ownership changes
- Key people leave firm
- Change in original strategy
- Material litigation or fraud
- Material client-servicing problems
- Change in firm’s financial condition
- Extreme short-term performance volatility

**Actions Taken**
- Further Review conducted
- Manager Alert issued; if necessary

**Recommendation:**
- Retain
- Watchlist
- Terminate

---

*Image details (as described in text):*
- **Quantitative Factors Evaluated:**
  - Manager returns and risk compared to client objective, market indexes and peer groups over various time periods
  - Fees relative to client preferences and peers

- **Qualitative Factors Evaluated:**
  - Manager's adherence to client-specific guidelines
  - An evaluation of each manager’s organization, investment philosophy, product dynamics and people

- **When Evaluation Leads to Action:**
  - A manager should be replaced when an extraordinary event or a pattern of performance suggests that the manager has a low probability of delivering the expected style or performance in the future.
  - **Reasons to replace:**
    - Long-term underperformance
    - Ownership changes
    - Key people leave firm
    - Change in original strategy
    - Material litigation or fraud
    - Material client-servicing problems
    - Change in firm’s financial condition
    - Extreme short-term performance volatility

- **Actions Taken:**
  - Further Review conducted
  - Manager Alert issued; if necessary

- **Recommendation:**
  - Retain
  - Watchlist
  - Terminate
The two primary investment vehicles appropriate to OU are mutual funds and separate accounts. There are pros and cons to using different vehicle types. OU’s preferences with regards to factors such as control and fees will impact the vehicle types utilized.
Ohio University Fee Structure

*Emphasizing Reasonable and Transparent Costs*

Fees associated with Institutional Investment Programs include:

- **Investment Management**: The fees charged by investment managers for managing the assets within your Portfolio.

- **Custodian**: The fees charged by your custodian to hold/safe keep the Portfolio assets, serve as the book of record and settle transactions.

- **Investment Consultant**: The fees charged by an advisor for investment consulting services.

---

Investment Management + Custodian + Consultant = Total Fees
Challenging Market Environment

Proper Diversification Requires a New Lens

• Historically low interest rates…
  – Causing investors to reach for yield
  – Fixed Income portfolios are risky
  – Opportunity cost of cash is higher than ever

• Potential for rising interest rates…
  – Good in the long-run; painful in the short-term
  – Typical fixed income portfolios will suffer the most

• Volatility increasing…
  – Disruptions across the global economy are setting the stage for higher volatility

[Graph showing Fixed Income Total Return Impact of a 1% Increase in Rates]

[Graph showing CBOE Volatility Index over time]
About Capital Cities
Objective Partner

- Our sole focus is to provide investment consulting services to tax-exempt institutions.
- Our interests are aligned with yours, as we are an independent, employee-owned firm with no affiliation with banks or investment managers.
- We utilize an open-architecture process in which the full universe of custodians and investment managers is at your disposal.

Best Thinking, Custom Approach

- We believe each client’s circumstance is unique and requires customized solutions—One size does not fit all.
- We always ask ourselves: “What would we do if we were you?”
- Our seasoned team members, who consult to over $23 billion in institutional tax-exempt assets, weigh in on every material decision you face.

Differentiated Portfolio Construction & Efficient Monitoring

- We differentiate ourselves from others by our ability to incorporate an innovative thought process with forward-looking analysis.
- We believe decisions should be made only by considering the risk and return of the possibilities. Risk Measurement is not Risk Management.
- Our efficient, productive approach to reporting focuses our clients’ time and empowers them to make intelligent decisions.

Capital Cities has carved out a unique niche, consulting to more than $2.3 billion in University Operating Fund assets.
Capital Cities: Your Team

Passionate People with Pure Intent

Our commitment to providing the highest level of client service reflects the Midwest values ingrained in our seasoned professionals.

We believe honesty, integrity and respect form the cornerstone for building trust.
Capital Cities: Our Process

A Disciplined, Fiduciary Framework

1. **Analyze Current Position**
   1. Conduct “Fiduciary Review:”
      - Current Position
      - Regulatory Environment
      - Mission and Objectives
      - Risk Tolerance
      - Performance Objectives
      - Cash Flow Considerations
      - Liabilities

2. **Design Optimal Portfolio**
   1. Establish Liquidity Tier requirements
   2. Set asset allocation policy
   3. Determine rational manager structure

3. **Formalize Investment Policy**
   1. Prepare a written Investment Policy documenting the strategic planning and setting forth the roadmap for ongoing monitoring

4. **Implement Investment Policy**
   1. Hire investment managers
   2. Negotiate investment manager fees
   3. Establish custody arrangements

5. **Monitor and Supervise**
   1. Develop customized performance measurement and reporting procedures
   2. Monitor all aspects of fiduciary duties
Amanda Black, CAIA – Director, Client Strategy
Ms. Black is a Director at Capital Cities, L.L.C. of Indianapolis, Indiana. Her primary responsibility is to oversee the formulation of customized investments strategies for the firm’s clients, matching each client’s unique objectives with forward-looking portfolio construction. Ms. Black takes pride in the collaborative and educational aspects of the consulting role, always striving to help clients navigate the opportunities and risks they face in their fiduciary roles. As a member of Capital Cities’ Investment Committee, Ms. Black contributes to all areas of the Capital Cities’ client-centered experience, from strategic planning to investment manager due diligence to ongoing monitoring. Ms. Black’s investment career began at 40|86 Advisors, where she was a Senior Portfolio Analyst. Additionally, she honed her skills communicating the complexities of investing to a wide audience in her role as the Education and Marketing Communication Manager at the Indiana Public Retirement System (INPRS). Ms. Black serves as a gubernatorial appointee and acts as Chairperson on the School Board for the Indiana School for the Blind and Visually Impaired. She has been selected to participate in the 2015-16 Richard G. Lugar Excellence in Public Service Series. Ms. Black holds the Chartered Alternative Investment Analyst (CAIA) designation and has completed Level I of the Chartered Financial Analyst (CFA) designation. B.A., Communication, Hanover College; M.B.A., Anderson University.

Corey Waddell – Associate Consultant & Investment Analyst
Mr. Waddell is an Associate Consultant and Investment Analyst at Capital Cities, L.L.C. His primary responsibilities include supporting the investment process and servicing clients and prospects. He is also a member of the Capital Cities' Investment Committee. Prior to joining Capital Cities, Mr. Waddell was with Mercer Investment Consulting for two years serving as a Senior Technical Products Analyst. During his tenure, he worked closely with investment managers and custodial banks. Prior to working with Mercer, Mr. Waddell was with DiMeo Schneider & Associates for three years serving as an Analyst. During his tenure, he reconciled and reported performance on various client portfolios. Mr. Waddell is a Level III CFA (Chartered Financial Analyst) candidate. B.S., Finance / Management Information Systems, Butler University.
NON-ENDOWMENT INVESTMENT POLICY STATEMENT
RESOLUTION 2015 -

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

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

WHEREAS, The Board of Trustees has previously adopted an Investment Policy Statement for Ohio University Cash and Pooled Investments policy (Non-Endowment IPS), (Resolution 2014-3393) that complies with Section 3345.05 of the Revised Code, and

WHEREAS, the University’s Treasury Management function has been engaged in a strategic planning process for modernizing the non-endowment investment program and has retained a professional investment advisor to address the University’s unique challenges, goals, and objectives in developing a modernized program, and

WHEREAS, the Non-Endowment IPS is an integral fiduciary document and will serve as the University’s roadmap to manage non-endowed investments.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees adopts the Non-Endowment IPS, as it applies to the University non-endowment funds.

BE IT FURTHER RESOLVED that the aforementioned Non-Endowment IPS; all previously adopted related policies; and all prior resolutions concerning non-endowment investment policies of the Board of Trustees not specifically referenced herein shall be rescinded.
WHEREAS, the 1989 Ridges Land Use Plan, the 2001 Ridges Architectural Master Plan, and recommendations within the current 2006 campus master plan for the Ridges no longer adequately support the University’s strategic goals;

WHEREAS, on June 30th of 2013, Governor John Kasich signed into law new legislative language to revise the structure of the Ridges Advisory Committee, which is charged with providing feedback and recommendations on the University’s plans for the Ridges land and buildings;

WHEREAS, the University tasked a Ridges Master Plan Committee with the work of updating the Ridges Master Plan document, which reflected a collaborative planning process between the University and local community;

WHEREAS, the University hired consultants Schooley Caldwell and Associates (SCA) and MKSK to provide assistance to the Ridges Master Plan Committee in developing recommendations for the Ridges property and buildings;

WHEREAS, the Ridges Master Plan Committee provided opportunities for feedback throughout the planning process via regular meetings with the Ridges Advisory Committee, open house presentations and workshops with the campus and local community, and broad representation on three subcommittees that addressed key aspects of the Ridges property: Land Use Subcommittee, Existing Buildings Subcommittee, Academic Uses Subcommittee;

WHEREAS, the University initiated a Comprehensive Master Plan process addressing overall campus land use and programmatic placement, prompting the Ridges planning effort to be recast as a Framework plan that addresses the current state of the Ridges land and buildings, investigates potential uses and adaptability, identifies global issues bearing on access and integration with the rest of the campus, and outlines financial strategies to realize the potential of this resource;

WHEREAS, the Ridges Master Plan Committee and consultant team submitted The Ridges Framework Plan Final Report for consideration by the Ridges Advisory Committee;
WHEREAS, the Ridges Advisory Committee has provided their feedback and recommendation;

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

WHEREAS, the Ridges Framework Plan has been approved by the President.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does hereby approve and adopt the Ridges Framework Plan final report dated September 2, 2015, as the current Ridges Land and Building plan.
Memorandum

Date: September 28, 2015

To: The Ohio University Board of Trustees

From: Roderick J. McDavis, President

Re: The Ridges Framework Plan

Upon the recommendation of the Ridges Advisory Committee and in collaboration with the Ridges Master Plan Committee, I am pleased to endorse the Ridges Framework Plan and request its approval by the Ohio University Board of Trustees.

The Ridges Framework Plan has achieved a high standard in providing analysis and guidance for the future of The Ridges. Its vision for this highly-valued regional asset complements Ohio University’s historic roots and public mission. The final document is reflective of a successful collaboration between the University and local community.

I am deeply appreciative for the committed service of members of the Ridges Master Plan Committee and the Ridges Advisory Committee. Special thanks are extended to our dedicated leadership team, including our Ridges Master Plan Committee Co-Chairs Shawna A. Bolin and Dr. Joseph Shields and our Ridges Advisory Committee Chair Stephen T. Golding.

I also am grateful to the community at large, who have provided valuable input into our planning processes. We look forward to a continued spirit of collaboration as the potential for The Ridges envisaged in the Framework Plan is realized over time.
September 28, 2015

Dear President McDavis,

As chair of the Ridges Advisory Committee, I am pleased to submit to you the committee’s recommendation to approve and adopt the Ridges Framework Plan.

Per your guidance, the Ridges Advisory Committee participated in a series of meetings held by the Ridges Master Plan Committee during the past year and a half. We listened to presentations from the latter group and its subcommittees, and we asked questions and provided feedback to the Ridges Master Plan leadership throughout the planning process.

A reminder on the process:

- On June 30th of 2013, Governor John Kasich signed into law new legislative language to revise the structure of the Ridges Advisory Committee, which is charged with providing feedback and recommendations on the University’s plans for the Ridges land and buildings.

- In Fall of 2013, the University established a Ridges Master Plan Committee and tasked the committee with the work of updating the Ridges Master Plan, to address the limitations of past plans that no longer adequately supported the University’s strategic goals (1989 Ridges Land Use Plan, 2001 Ridges Architectural Master Plan, Ridges section of the 2006 Campus Master Plan).

- In December 2013, the University held their first meeting with our Advisory Committee to share the structure of the planning process and provided guidance on our involvement.

- In May 2014, the University hired consultants Schooley Caldwell and Associates (SCA) and MKSK to provide assistance to the Ridges Master Plan Committee in developing recommendations for the Ridges property and buildings;

- Throughout the planning process, the Ridges Master Plan Committee provided opportunities for feedback via regularly held meetings with our Committee, several open house presentations and workshops with the campus and local community, and broad representation on three subcommittees that addressed key aspects of the Ridges property: Land Use Subcommittee, Existing Buildings Subcommittee, Academic Uses Subcommittee.

- In January of this year, the University shared with us the initiation of the Comprehensive Master Plan process which addresses overall campus land use and programmatic
placement, and the need to transition the Ridges planning effort to a Framework plan so that the Ridges asset could be considered in the broader context of the University.

- On September 10th, 2015, The Ridges Master Plan Committee submitted to us the Ridges Framework Plan dated September 2, 2015. We each individually reviewed the plan, and our committee met with the Ridges Master Plan Committee chairs on September 21st to share our feedback.

Our Recommendation:

We believe that the Ridges Framework Plan has achieved a high standard in providing analysis and guidance for the future of this important asset. We agree with and support the key recommendations of the plan. The final document incorporates concerns and recommendations we shared in the course of the planning process, and is reflective of a successful collaboration between the University and local community. Among other key recommendations, the plan:

- Recognizes the potential for development and reuse of the Kirkbride Complex and other structures
- Prioritizes “saving the Kirkbride,” as Ridges Advisory Committee member Marjorie Stone emphasized
- Recommends stabilizing high priority structures on the Historic Green until a use is determined and implemented (We were pleased that the University moved forward on this initiative during the planning process and that the work will be complete soon.)
- Explores opportunities to expand outdoor recreation and access to the property for the community
- Recognizes several programmatic opportunities for adaptable uses of the existing buildings, as well as opportunities to benefit the community and university through activities in other parts of the landholding
- Identifies areas of the property to be protected from development.

We were concerned when we first learned that the Ridges Master Plan (a completed executable vision) was transitioning to a Ridges Framework Plan (providing guidance for categories and characteristics of appropriate uses). However we understood that extending the planning timeline to allow the Comprehensive Master Plan process to fully consider The Ridges as a resource provides an optimal path to realizing the potential of this asset. In that respect, as the University completes its Comprehensive Master Plan, we ask that you consider and emphasize the following recommendations which we believe are valuable to the community:

- Utilize the buildings and/or the land to renovate or build for graduate student housing and retirement/faculty housing
- Make the vision statement more prominent and understood
- Consider renaming what is referred to in the Ridges Framework Plan as the “Historic Green” to something else. For many, the label “Historic Green” is most readily associated with the College Green
- Include prioritization and phasing plans for final recommendations
- Include financial pro formas and feasibility estimates so that those utilizing the plan to execute are aware of the costs
- We like the idea of the Ridges property as a potential complement and addition to what the OU Inn offers, and believe that this is a destination that people will want to come to
- The dark sky and ready access to natural areas are assets that should be preserved and can be leveraged to promote interest in The Ridges
• The pedestrian bridge suggested in the Framework Plan should be given low priority. The committee recommends adopting other less costly and more immediate solutions such as opening the view & repairing/rebuilding the entrance area off the roundabout.
• We encourage the University to extend consideration of the community value of historic structures to the broader context of the Comprehensive Master Plan for the Athens campus

We appreciate the commitment the University has demonstrated through this process to engaging the community. We look forward to a continued spirit of collaboration as the potential for The Ridges envisaged in the Framework Plan is realized over time.

Sincerely,

Stephen T. Golding, VP for Finance and Administration, Ohio University and Chair of the Ridges Advisory Committee

Ridges Advisory Committee:

__________________________ Charlie Adkins, County Commissioner
__________________________ Pamela Callahan, Community Member
__________________________ Chris Knisely, City Council President
__________________________ Paul Logue, Athens City Planner
__________________________ Marjorie Stone, Community Member

Cc:
Ridges Master Plan Committee Co-Chairs:
Shawna A. Bolin, University Planner
Dr. Joseph Shields, V.P. for Research and Creative Activity, Dean of the Graduate College
RIDGES FRAMEWORK PLAN APPROVAL

Tab
On June 30th of 2013, Governor John Kasich signed into law new legislative language to revise the structure of the Ridges Advisory Committee, which is charged with providing feedback and recommendations on the University’s plans for the Ridges land and buildings.

In Fall of 2013, the University established a Ridges Master Plan Committee and tasked the committee with the work of updating the Ridges Master Plan, to address the limitations of past plans that no longer adequately supported the University’s strategic goals (1989 Ridges Land Use Plan, 2001 Ridges Architectural Master Plan, Ridges section of the 2006 Campus Master Plan).

In December 2013, the University held the first meeting with the Advisory Committee to share the structure of the planning process and provided guidance on our involvement.

In May 2014, the University hired consultants Schooley Caldwell and Associates (SCA) and MKSK to provide assistance to the Ridges Master Plan Committee in developing recommendations for the Ridges property and buildings;
Ridges Process

- Throughout the planning process, the Ridges Master Plan Committee provided opportunities for feedback via
  - Regularly held meetings with the Ridges Advisory Committee,
  - Several open house presentations and workshops with the campus and local community,
  - Master plan committee meetings
  - Land Use Subcommittee, Existing Buildings Subcommittee, Academic Uses Subcommittee meetings
  - Regular updates on the process with the Board of Trustees (Jan 2014, June 2014, Oct 2014, June 2015, August 2015)

- In January of this year, the University shared the need to transition the Ridges planning effort to a Framework plan so that the Ridges asset could be considered in the broader context of the University through the Comprehensive Master Plan effort.

Ridges Advisory Committee

Chair: Stephen Golding, VP for Finance and Administration

• Paul Logue, Athens City Planner
• Charlie Adkins, Athens County Commissioner
• Chris Knisely, President of Athens City Council
• Marjorie Stone, Community Member
• Pamela Callahan, Community Member, Retired OU Staff

Committee Role:
• Provide guidance, feedback and recommendations on the land use plan developed by the Ridges Master Plan Committee to the President

Ridges Advisory Committee

The Ridges Advisory Committee (RAC) convened on December 13, 2013 to discuss the Master Plan process

• Members were charged with providing feedback and recommendations to the President on an updated land use plan for the Ridges, as developed by the Ridges Master Plan Committee
• The RAC will consist of three subcommittees:
  ✓ Land Use and Development
    (Chair: Donna Goss, Director of Engagement & Real Estate Management)
  ✓ Existing Building Strategy
    (Chair: Benjamin Stuart, Associate Professor of Civil Engineering)
  ✓ Academic Uses
    (Chair: Joseph Shields, Vice President for Research and Creative Activity)
• The next RAC meeting is slated for April 4, 2014, and the final report is expected in the Spring of 2015

Courtesy of “The President’s Report to the Ohio University Board of Trustees” - January 2014
RIDGES MASTER PLAN COMMITTEE

Co-Chairs:
- Shawna A. Bolin, Director of University Planning and Space Management
- Dr. Joseph Shields, VP for Research and Creative Activity and Dean of the Graduate College

Committee Role:
- Facilitate, direct, guide, and review the development and planning of the Ridges Master Plan Update
Chair: Dr. Joseph Shields, VP for Research and Creative Activity and Dean of the Graduate College

Committee Role: Guidance on current occupant fit and future programmatic uses, alignment with University Strategic Goals

Findings and guidance to the planning team:

- Near-term possibilities, “Low-hanging fruit” in terms of projects with moderate cost and large impact
- Optimize space for current occupants
- Strong community interest in arts incubator concept and potential synergies with College of Fine Arts
- Several larger concepts for the Ridges emerged including conference center/residential learning center with focused activities in international or executive education
Chair: Donna Goss, Director of Real Estate Management, Community Engagement and Economic Development

Committee Role: Ridges property, topics such as zoning, existing uses, utilities, and development opportunities

Findings and Guidance to consultant team:

- Developable land: areas of the property provide opportunities for residential, commercial, and mixed-use development
- Natural areas: regions not conducive to development due to topography, but with value as undeveloped natural areas
- Other major non-committing category: This includes land that is restricted by use, such as the Land Lab, easement or right of way.
- Revenue Generation: Leveraging land and material assets to create funding streams that could be reinvested into the Ridges complex
- Environmental and Learning Lab: Opportunities to research and explore wind, solar and bio-mass and provide alternate energy options.
EXISTING BUILDING SUBCOMMITTEE

- **Chair:** Ben Stuart, Professor of Civil Engineering

- **Committee Role:** Topics like building & systems condition, historic building strategies, adaptability, safety and risk, rehab costs

---

**Findings and Guidance to the planning team:**

- **Condition:** Encouraged by the current building condition and see significant potential for adaptive reuse.

- **Stabilization plan:** University should invest in stabilizing the main structure now to prevent further deterioration before long-term use and funding mechanisms are identified.
CONSULTANT TEAM

To assist with the effort, the Ridges Master Plan Committee selected Schooley Caldwell Associates (SCA) and MKSK Team.

“The Ridges Framework Plan demonstrates to the University and the Community the great potential for this place with such depth of history and significance to play a major role in future campus development.”

---Bob Loversidge, Principal Schooley Caldwell Associates

“Our study highlights The Ridges beauty and rugged terrain and how it can support economic and physical development while respecting the land and manifest some of the environmental, social and intellectual ethics of OU”

---Sarah Richardson, Senior Associate MKSK
PUBLIC ENGAGEMENT

“This could grow to be the best thing that ever happened between the University and this city.”

--Tom O'Grady, President, Athens County Historical Society and Museum

Collaboration and Sharing:

- Committees included members from the campus and local community
- Encouraged attendance at Ridges Advisory Committee
- Held several public meetings
- Consultant established email for public input: TheRidges@sca-ae.com
- University Communications and Marketing shared stories on The Ridges efforts:
  - [https://www.ohio.edu/master-plan/ridges-plan.cfm](https://www.ohio.edu/master-plan/ridges-plan.cfm)
AN UNTAPPED RESOURCE

FRAMEWORK PLAN

OBJECTIVE:

- Outlines the means by which attention and investment can realize the full potential of The Ridges as a civic asset in the 21st century and beyond.
LAND ZONES RECOMMENDATIONS

- Land Lab
- Tier 1 Development
- Dairy Lane Corridor
- Tier 2 Development
- Historic Green
THE BUILDINGS

- Buildings are adaptable for mixed-use occupants from office to conference to residential and more
- Established understanding of:
  - Physical Condition
  - Significance
  - Suitability
  - Adaptability
SUITABILITY: CASE STUDY: The Village at Grand Traverse Commons

Housing

Artisans

Offices

Retail

Restaurants

Wayfinding
KEY FINDINGS

- Historic buildings are in good shape structurally
- An immense resource to serve strategic goals
- Land serves academic, sustainability, health and wellness and recreation objectives
- Existing buildings are adaptable for new uses
- Sites for new structures
Ridges Advisory Recommendation

September 29, 2017
Dear President McDaniel,

As chair of the Ridges Advisory Committee, I want to congratulate you for your leadership in developing the Ridges Framework Plan.

The Ridges Master Plan Committee, which I chaired, is proud to present the recommendations for the development of the Ridges property. The committee was established to provide a framework for the development of the Ridges property, and to ensure that the development respects the University's mission and values.

The Ridges Framework Plan is a comprehensive plan that addresses the needs of the University and the community. The plan includes a detailed strategy for the development of the Ridges property, and it provides a clear path for the implementation of the plan.

The Ridges Framework Plan is a key component of the University's strategic plan, and it will guide the development of the Ridges property for many years to come.

Thank you for your leadership in developing the Ridges Framework Plan. I am confident that the plan will be successful and will help to advance the University's mission and values.

Sincerely,

[Name]
Chair, Ridges Advisory Committee
APPROVAL

- The Ridges Master Plan Committee and consultant team submitted the Ridges Framework Plan Final Report
- The Ridges Advisory Committee provided their feedback and recommendation
- The Ridges Framework Plan Has been approved by the President
- We request approval of the Board of Trustees to approve and adopt the Ridges Framework Plan Report dated September 2, 2015 as the current Ridges Land and Building plan
Acknowledgements

- Ohio University Board of Trustees
- Ohio University President
- Comprehensive Master Plan Steering Committee
- Ridges Advisory Committee
- Ridges Master Plan Committee
- Consultant Team
- Academic Subcommittee
- Land Use Sub-Committee
- Building Sub-Committee

- City of Athens
- Athens Historical Society
- The Minervi Group, The Village at Grand Traverse commons
- University Communications and Marketing

- **Faculty, staff, and community members who have provided invaluable feedback and time through this process.**
APPROVAL OF THE OHIO UNIVERSITY
FY17-FY18 STATE CAPITAL REQUEST AND CENTURY BOND
PROJECTS

RESOLUTION 2015 -

WHEREAS, the University has undertaken several studies intended to provide thoughtful and data-driven planning to support future capital planning decisions including the Comprehensive Master Plan, Energy Infrastructure Master Plan, Comprehensive Building condition assessments and Roof analysis;

WHEREAS, the University has committed to aligning the six year capital plan process with the annual Capital Improvement Plan (“CIP”) process and the Comprehensive Master Plan;

WHEREAS, the FY16 Annual CIP was approved in June of 2015;

WHEREAS, the selected FY17-FY18 State Capital and Century Bond projects advance the University’s strategic focus on deferred maintenance;

WHEREAS, the University is in the final phase of the Comprehensive Master Plan process, which will guide the development and execution of OHIO’s Six Year CIP and related capital investments;

WHEREAS, the University has established Capital Project Prioritization principles that have guided the selection of the FY17-FY18 projects and will guide the continued development of the Six Year CIP Update;

WHEREAS, the selected State Capital and Century Bond projects reflect the priorities of the Deans and Vice Presidents, who have endorsed the proposed plan;

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 recommended and the President has approved the FY17-FY18 State Capital Plan Projects.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees does hereby approve the attached FY17-FY18 State Capital and Century Bond Projects.
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost
       Stephen T. Golding, Vice President for Finance and Administration, CFO and Treasurer

Re: FY17-FY18 State Capital and Century Bond Deferred Maintenance Projects:
    Approval of the FY 17-FY18 State Capital Submission

CONTEXT

The State of Ohio funds capital projects and renewals on a biennial basis and requests submissions from both Institutional and Non-Institutional agencies each Fall of odd years.

This year, the University has integrated several planning processes to provide visioning, data driven decision making, and resource planning to support project prioritization.

The following describes the process that has facilitated the FY17-FY18 State Capital Project submission and the continued process beyond that will result in the FY17-FY22 Six Year CIP update.

The enclosed FY17-FY18 State Capital Project plan being submitted for approval by the Board of Trustees continues with the institution’s substantial capital commitments to deferred maintenance on major academic facilities. The plan represents an assessment of capital deferred maintenance priorities based upon information provided by building condition assessments, input from the colleges and departments, and approved by the Capital Funding and Priority Committee (CFPC).

STEP ONE: DEFERRED MAINTENANCE PLANNING AND FY16 ANNUAL CIP

In June of 2015, the Board of Trustees approved the FY16 Annual Capital Budget (FY16 CIP). The FY16 CIP process was step one of a multi-step effort to prioritize capital expenditures for the campus. It was prepared with a view to the immediate one-year requirements / capital needs reflecting our planned projects over the next year. The FY16 CIP included all fund sources and reflected projects that are making progress against our strategic priorities to invest in OHIO’s facility and infrastructure and decrease our deferred maintenance backlog, refresh our student housing and dining facilities, and upgrade and enhance our learning and research environment.

Deferred Maintenance Priorities for FY16 were developed after completing the first phase of facility condition assessments commissioned by the Facilities and Design and Construction units. The university engaged two external consultants, Limbaugh Construction Company of Columbus, OH and VFA Inc. of Boston, MA, to perform physical walkthroughs of eight buildings to develop facility assessments of the respective buildings systems, infrastructure, and building envelopes. The OHIO facility team supplemented this work by conducting internal assessments of an additional seven buildings. A ranking system was developed that assigned a priority score to each component based on the age of the component as compared with useful life, efficiency/utilization condition, compliance status and considerations (i.e. life safety, fire, ADA, etc.) and programmatic impacts. This was a significant effort and will be the basis for a detailed database that will be supplemented, updated and utilized in the future to prioritize our deferred maintenance and capital investments. The top 10% of the items on the list were included for funding in the FY16 Capital Improvement Plan, based on both the ranking priority of the facility conditions, and the respective scheduling (business interruptions, academic calendar, space
dependencies) and staffing resource capacity. These projects were funded predominantly through utilization of the state biennial funding, and the FY 15 and FY16 tranches of the Century Bond program ($10M/year).

The FY16 Annual CIP also included budget lines for renewal of Auxiliary Facilities and Capital Equipment (i.e. Housing, Dining, etc.) in addition to the major planned renovations in these areas that are separately budgeted.

STEP TWO: PROJECT PRIORITIZATION AND THE FY17-FY18 CENTURY BOND FUNDING AND THE STATE BIENNIAL SUBMISSION

The FY17-FY18 State Capital Project plan represents an assessment of capital priorities based upon information provided by the building condition assessments and prioritized by the Facilities rating system utilized in step one. The enclosed plan highlights both projects that are expected to be funded with Century Bonds and anticipated State Capital Appropriations (which are due to the State November 16th, 2015).

This plan continues with the current strategy to utilize anticipated state appropriations to keep up our newer general fund buildings and tackle deferred maintenance projects associated with our older general fund buildings. With the implementation of the Century Bond Deferred Maintenance Program, we are able to leverage both fund sources to provide maximum impact on our facilities and reduce potential delays to start projects by utilizing the Century Bond funding for the first phase of the projects while waiting on State approval for the residual. The last biennial allocation from the State of Ohio (FY15/FY16) provided $21.5M for deferred maintenance projects on the Athens campus and $4.5M was appropriated for the regional campuses.

Highlights of the FY17-FY18 State Capital Submission and Century Bond Funding:

Roofs: A roof assessment of all campus buildings revealed that 49 of the 202 buildings on the main campus have significant issues to address. This line item will fund roof repairs that are necessary to stabilize major facilities across the campus.

Clippinger: 189,000 GSF facility constructed in 1967 is home to Chemistry & Biochemistry, Geography, Geological Sciences, Physics & Astronomy. These programs not only serve Arts and Sciences students, but support programs with several other colleges. To address significant issues with the Clippinger Facility, a multi-phase strategy that will provide modern flexible teaching spaces, swing space, and building renovation has been proposed and approved through the Comprehensive Master Plan process. Funds identified in the FY17-FY18 state list will allow the University to begin this multi-phase project, but other funds will be necessary to implement.

Seigfred Hall: Seigfred Hall is the center of activity in the visual arts at Ohio University, housing the studios, classrooms, and offices of the School of Art and of the School of Visual Communication. The FY 2016 Capital Improvement Plan began the process of renewing this facility with projects to replace the roof, windows and exterior doors. The proposed work in the plan continues renewal of mechanical systems and lighting systems, and minor refurbishment of programmatic spaces. Options for cooling the building centrally will be developed as part of the FY 2017 FY Energy Infrastructure Project work.

Ellis Hall: Ellis Hall, a building designed by noted midwest architect Frank L. Packard, houses the departments of Classics and World Religions, English, and Philosophy, and also the Institute for Applied and Professional Ethics. It holds classrooms, faculty offices, seminar rooms, and laboratories. Ellis Hall was started in 1902, and the wings were added in 1906 and 1908. It is one of Ohio University's oldest and largest classroom facilities.

This project, included in the FY 2015 – 2020 Six Year Six Year Capital Improvement Plan Update, Academic/Research Projects Line 15, will renew mechanical, electric, fire safety and plumbing systems. The proposed work complements projects underway to fix the flat roofs and water penetration coming from the penthouse mechanical spaces. The project will also update office and teaching spaces in the building. A replacement of the steam absorption chiller that provides cooling for the building is proposed as part of the FY 2016 Energy Infrastructure Project.
Emergency Fund: This fund provides a mechanism to respond to and correct emergency maintenance items in excess of $500K that are urgent in nature for which a delay in project approval poses an immediate threat to life, property or research. The Capital Funding and Priorities Committee’s approval is required for use of these funds and the fund source is Century Bond Allocation.

Regionals: The plan requests investments of $4.62M each biennium to address deferred maintenance and facility renewal as follows:

- **Chillicothe**: $.95M each biennium of for updates to Bennet Hall, repairs of building envelop for other campus facilities and elevator upgrades;
- **Eastern**: $.75M each biennium of renewals for HPEC, Shannon Hall, parking lots and signage;
- **Lancaster**: $1M each biennium for renewals to Brasee Hall, Herold Hall and roads and sidewalks;
- **Southern**: $.87M each biennium for energy efficiency improvements, ADA remediation, Life Safety and Security improvements and parking lot upgrades;
- **Zanesville**: $1.05M each biennium for Herrold Hall renovations.

As the University continues with the development of the six year capital improvement plan, the following prioritization principles will be utilized:

### Mission Impact of the Project
- Projects that impact greater numbers of students and faculty as well as their ability to conduct core academic functions should have higher priority
- Projects that address situations where the core academic functions are diminished or interrupted by the condition or configuration of space should be prioritized based on the level of disruption
- Projects enabling new academic activities of strategic University importance should have higher priority

### Facility Characteristics
- Projects that are needed to prevent the loss of a facility should have priority depending on the strategic importance of that facility in supporting the core operations of the University
- Facilities with greater age and poorer condition should be given priority depending on the strategic importance of that facility in supporting the core operations of the University

### Project Funding Plan
- Projects fully funded by Planning Unit resources or gifts are included so long as other critical operations are not negatively impacted
- Projects requiring access to bridge funding are further constrained by the ability of the planning unit to repay funding with interest
- Projects requiring debt are even further constrained by the debt capacity of the University and the ability of the budget to hand the debt service payments
STEP THREE: COMPREHENSIVE MASTER PLANNING AND FY17-FY22 SIX YEAR CIP

Step three of the Capital Improvement Plan process will be the completion of our FY17-FY22 Six Year Capital Improvement Plan. This plan will be developed with an eye towards projects that balance deferred maintenance with strategic and programmatic capital investment including:

- a focus on addressing basic functional issues such as roofs, water, HVAC, etc.;
- creating environments that fulfill the promises we make to students about being a transformative learning environment.

Whereas the FY17-FY18 State Biennium and Century Bond Deferred Maintenance Plan we are submitting today, only shares those projects that are funded with Century Bond and Anticipated State Capital Appropriations, the Six Year CIP will reflect all fund sources available to the University and layer in strategic priorities from all areas of the University.

The University is currently in the Synthesis phase of the Comprehensive Master Plan Update (CMP) project. This is the last phase of the 5-phase process and is where the draft plan comes together and project costs, phasing and implementation strategies are reviewed. The Comprehensive Master Plan endeavor is designed to provide long-term vision and help guide the execution of OHIO’s CIP and related capital investments and ensure that the construction and placement of buildings, utilities, transportation, and other infrastructure components support the University’s mission and academic plans.

These projects often involve a multi-year implementation process that is reliant upon swing space, funding feasibility, relocations, or expanding a unit’s current footprint. The University chose to move forward with a CMP process so that the impact of these projects were not considered in isolation, but rather in a comprehensive view with intentionality for consideration of placement of buildings and programs that maximize the University's physical footprint and encourages and supports our innovation and interdisciplinary priorities while addressing the academic and research needs of our colleges and planning units. This process also allows for additional discussion and analyses about college priorities and direction coupled with financial analyses on the ability to fund the investments. This is a significant effort that all colleges and planning units have been involved in and will culminate in an updated Comprehensive Master Plan, as well as a revised 6-Yr CIP.

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 is attached to facilitate Board of Trustees approval of the FY17-FY18 State Capital Plan Projects. Please let me know if you have questions.
FY2017-FY2018 State Capital and Century Bond Projects

Tab
Agenda

- Timeline
- Capital Plan Context
- Capital Planning Path
- Step One: FY16 Annual CIP
- Step Two: FY17-FY18 Biennium
- Step Three: Six Year CIP
- Approval
<table>
<thead>
<tr>
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Capital Plan Context

- Comprehensive Master Plan outlines project directions in support of the academic mission and strategic plan.
- Capital Improvement Plan (CIP) outlines capital budgets, fund sources, and project timing.
- The Capital Improvement plan needs to be a living document that continually evolves as future needs arise and needs to align with the Comprehensive Master Plan.
Programmatic Priorities

- The Comprehensive master plan (CMP) process is assisting with developing near and long term strategies, both ideal and what may be practical or executable.
  - Conducted Space Needs Analysis
  - Met with each unit on campus to review programmatic priorities
  - Tested options within the CMP process
  - Estimating, phasing, and prioritization in progress
Deferred Maintenance Assessments

- Deferred Maintenance: Internal and external expertise to develop facility assessments.
  - Completed on 25 of 36 Academic Buildings
  - Roof analysis on all Athens campus 202 buildings
    - 49 require attention in the near term

Methodology for prioritization

- 0 – APPROVED
  - Project approved and/or work underway

- 1 – MUST DO
  - Code, threat to life, property, operations

- 2 – SHOULD DO
  - ADA compliance
  - Damage preventions
  - Increase energy efficiency

- 3 – NICE TO DO
  - Finishes or Furniture

- 4 – DON’T DO
  - Items addressed by upcoming changes to building use
# Capital Planning Path

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<th>Year</th>
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## Comprehensive Master Plan (CMP) Development

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**Programmatic Priorities**

- Space Analysis
- Programmatic Review
- Project Testing, Units Identified their top priorities
- Project Estimate and Funding Feasibility
- Prioritization

**Deferred Maintenance Priorities**

- Review Approved Projects
- Building Condition Analysis
- Deferred Maintenance Prioritization
- Annual Plan Development
- FY16 Annual CIP
- FY17/FY18 Deferred Prioritization
- Prep for State Request with Six Year Draft
- FY17-FY18 State Submission

**CMP Approval**
Capital Planning Path

1. **Annual CIP - June every year**
2. **State Biennium - Fall odd years**
3. **Six Year CIP - June every year**

*FY17-FY18 State Biennium request due to State of Ohio November 16th, 2015*)
FY16 CIP-Approved June 2015

Summary by Functional Category:

- **University Support** $13.6 M, 9%
- **Infrastructure** $50.1 M, 34%
- **Auxiliaries** $14.7 M, 10%
- **Academic & Research** $59.6 M, 41%
- **Dublin Campus** $2.4 M, 2%
- **Regionals** $5.2 M, 4%

1 FY16 CIP-Approved June 2015

- **Summary by Functional Category:**
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FY17-FY18 State Capital Submission and Century Bond Funding Projects

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  - **Zanesville:** $1.05M each biennium for Herrold Hall renovations.
FY17-FY18 Summary

Projects with fund Sources in addition to State Capital and Century Bond will be layered in onto the FY17-FY18 biennium in the Six Year CIP Process

Century Bond and Anticipated State Appropriation

FY17-FY18 BIENNİUM

TO BE PRIORITIZED IN SIX YEAR CIP

Programmatic Projects to be prioritized in Six Year CIP
Regionals
Botanical Research
zEmergency Fund
Prioritized Roof Repairs
Ellis Hall Improvements
Seigfred Improvements
Clippinger Improvements

Millions of Dollars

FY17/FY18
### FY17-FY18 State Capital & Century Bond Projects

#### Functional Category/Building

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<th>Functional Category/Building</th>
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<td>$10,109,998</td>
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Six Year CIP Capital Plan

Project Prioritization

- Step three is the FY17-FY22 Six Year CIP
- Comprehensive Master Plan work will finalize project details
- University will prioritize projects based upon three categories:
  - Mission Impact of the Project
  - Facility Characteristics
  - Project Funding Plan
<table>
<thead>
<tr>
<th>Comprehensive Master Plan</th>
<th>2015</th>
<th>Capital Improvement Plan</th>
<th>2016</th>
<th>Capital Improvement Plan</th>
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<td>Phase 2</td>
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<td>Assess</td>
<td>JAN</td>
<td>Review Approved Projects</td>
<td>JAN</td>
<td>Build Annual/Six Year CIP</td>
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<td>Phase 3</td>
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<td>Building Analysis</td>
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<td>Campus Analysis</td>
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<td>Deferred Maintenance</td>
<td>MAR</td>
<td>Draft Plan Vetting</td>
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<td>Framework and Principles</td>
<td>APR</td>
<td>Programmatic Review</td>
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<td>Across Campus</td>
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<td>Phase 4</td>
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<td>Test</td>
<td>MAY</td>
<td>Annual Plan Development</td>
<td>MAY</td>
<td>Draft Plan to Board of</td>
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<td>Precinct Planning</td>
<td>JUN</td>
<td>FY16 Annual CIP</td>
<td>JUN</td>
<td>Trustees</td>
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<td>College, North, East</td>
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<td>FY17 Annual and FY18-</td>
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<td>Green Workshop</td>
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<td>FY16 Annual CIP Approval Request</td>
<td>JUN</td>
<td>FY22 Six Year CIP to</td>
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<td>South, Sports Complex</td>
<td>JUL</td>
<td>FY17/FY18 Deferred</td>
<td>JUL</td>
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<td>Prioritization</td>
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<td>Ridges, Service, West</td>
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<td>Six Year Plan</td>
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<tr>
<td>Green Workshop</td>
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<td>Development</td>
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<td>Phase 5</td>
<td></td>
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<td>Synthesize</td>
<td>SEP</td>
<td>Prep for State Request</td>
<td>SEP</td>
<td>CIP FY18 Annual</td>
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<tr>
<td>All Precinct Review</td>
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<td>with Six Year Draft</td>
<td></td>
<td>Update Process Kick-Off</td>
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<td>OCT</td>
<td>FY17/FY18 State</td>
<td>OCT</td>
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<td></td>
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<td>Meeting with Campus</td>
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<td>Units</td>
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<tr>
<td></td>
<td>NOV</td>
<td>Test Metrics</td>
<td>NOV</td>
<td></td>
</tr>
<tr>
<td></td>
<td>DEC</td>
<td>Test Metrics</td>
<td>DEC</td>
<td></td>
</tr>
</tbody>
</table>
FY17-FY18 State and Century Bond Projects Approval Request

- The resolution included is for approval of the FY17/FY18 Biennium projects that will be submitted to the state and funded by both anticipated state appropriations and Century Bond proceeds.

- The Six Year CIP process is still ongoing and will layer on additional projects funded with sources in addition to state biennial resources as part of the Comprehensive master plan process.

- The board will approve each project prior to implementation.
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Service Alignment Initiative Update

With the decision to transition to a Responsibility Center Management (RCM) budgeting model, it was essential that the University invest in its administrative infrastructure to be positioned to deliver the high quality, efficient, value-added services necessary to effectively support our academic and business units, meet compliance responsibilities, and generally enable business in an RCM environment.

The intention has been to align resource investments away from just accomplishing specific initiatives and projects to delivering ongoing, continuous improvement efforts through integrated processes and system enhancements as well as support of strategic priorities.

As we have gained experience in this new business environment over the past several years and developed a better understanding of the investments necessary, our identified list of project opportunities has expanded from the initial core list of 60 projects to a current roadmap with more than 255 inter-related projects.

We have made significant progress against all goals identified and have identified a strategy and roadmap to continue to move the institution forward, increase efficiency, improve service levels, and react to external compliance requirements.

The scope included projects focused on:

- Administrative Systems - version upgrades; functionality implementation; interoperability;
- Data intelligence – access to data; reporting; end-user tools
- Organizational Structure – department structure; services delivered
- Business Processes – redundancy; value-add proposition; best practices; compliance
- Communication – intra-university communication
- Training and Development – investment in workforce; succession planning
Throughout the presentation to the BOT we will highlight some of the high impact projects to-date, as well those that are currently prioritized.

Select key Initiatives/Projects completed to-date include:
- Human Resources and Payroll Reorganization
- Creation of an Employee Service Center and HR Liaison Program
- Upgrade of Finance and Human Resource Systems to supported software versions
- Faculty Compensation Study and COMP2014
- OHIO Guarantee
- Establishment of Partner Groups, Benefits Advisory Council and Total Compensation Committee; Data Stewards Committee

We are on track and within the funding budget identified for this set of initiatives. SAI provided the opportunity to align resources toward a targeted group of projects and develop base infrastructure to use moving forward. As we have built expertise and technical capability and executed against original program goals, we have continually reassessed strategy, technology and staffing. The attached presentation identifies a reassessment and affirmation of our collective goals and the roadmap toward execution. Our challenge moving forward will be to maintain the investment necessary to maintain the progress we have made as well as continue to enhance the efficiency and effectiveness of our administrative services and systems.
Service Alignment Initiative Update

Tab
Service Alignment Initiative (SAI)

- Series of projects to be implemented over time to position the administrative infrastructure and support, both centrally and within the academic departments, to deliver the high quality, efficient, and value-add service necessary to effectively support university operations and the RCM environment.

- Scope included projects focused on:
  - Administrative Systems - version upgrades; functionality implementation; interoperability;
  - Data intelligence – access to data; reporting; end-user tools
  - Organizational Structure – department structure; services delivered
  - Business Processes – redundancy; value-add proposition; best practices; compliance
  - Communication – intra-university communication
  - Training and Development – investment in workforce; succession planning
Strategy Alignment
Goals

**RCM Readiness-2012**
- Reporting / Data Access
- Policy / Process Redesign
- Training
- Clarification of Organizational Roles
- Business Online
- Budget Tool
- Templates and Toolkits
- Communications
- Service Level Agreements
- Customer Service

**RCM Environment - 2015**
- Strategic Priorities
- Reporting / Data Access
- Process Efficiency
- Compliance / Internal Controls
- System Efficiencies
- Training and Toolkits
- Communications and Governance
- Service Delivery
Decisions About Priority

Dependencies / Foundation
- Systems
- Human Resources
- Processes

Complexity
- Scope
- Technology requirements
- External expertise

Risk
- Regulatory compliance
- Probability / Impact
- Quality and reputation

Impact
- Student impact
- Central, Campus Community, External
- Individual business unit vs. multiple units
- Employee impact (subset or all?)

Compliance
- IRS, FERPA, HIPAA
- Accreditation – Higher Learning Commission
- Ohio Revised Code, Ohio Department of Education

Strategic Alignment
- Business Intelligence
- Measurement of project objectives with University Goals
- Opportunity cost of using resources for one project over another
Completed Projects FY12-15

Projects Completed FY12-15

Completed initiatives on creating/developing the foundation necessary to deliver the infrastructure and process and system enhancements to support RCM implementation.

Significant efforts have also been expended to address compliance and regulatory mandates.

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>System Efficiencies</td>
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<tr>
<td>Process Efficiency</td>
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<tr>
<td>Reporting / Data Access</td>
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<td>Strategic Priorities</td>
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<tr>
<td>Training and Toolkits</td>
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<td>Compliance / Internal Controls</td>
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<td>Communications and Governance</td>
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<td>Service Delivery</td>
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<td>System Efficiencies</td>
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<td>Compliance / Internal Controls</td>
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</table>
# Completed Projects

<table>
<thead>
<tr>
<th>Category</th>
<th>Project Examples</th>
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</thead>
<tbody>
<tr>
<td>System Efficiencies</td>
<td>R12 Upgrade, WorkForce Upgrade, Cash Mgmt module</td>
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<tr>
<td>Process Efficiency</td>
<td>HR/PR reorganization, Capital Projects Finance, Service Center creation</td>
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<tr>
<td>Reporting &amp; Data Access</td>
<td>Business Intelligence reporting</td>
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<tr>
<td>Compliance/ Internal Controls</td>
<td>ACA, Century Bond, COMP 2014, Faculty Compensation Study, Term &amp; PT administrative employees</td>
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<td>Strategic Priorities</td>
<td>OHIO Guarantee, RCM Budget Process</td>
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<td>Training &amp; Toolkits</td>
<td>Sr. Leadership Development Pgm, Hire OD Director</td>
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<td>Communications &amp; Governance</td>
<td>IT Governance structure, Establish CFAO, BAC, TCC groups, internal communications structure</td>
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<td>Service Delivery</td>
<td>HR Liaison Program</td>
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</table>

- Completed 71 Projects
- Developed internal capabilities to deliver system improvements
- Met emergent compliance needs (ACA)
Current Projects

<table>
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<tr>
<th>Category</th>
<th>Project Examples</th>
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<tbody>
<tr>
<td>System Efficiencies</td>
<td>Chart of Accounts redesign, Grants implementation, Oracle Advanced Benefits</td>
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<td>Process Efficiency</td>
<td>Retroactive payroll process, Benefits interfaces with carriers</td>
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<td>Reporting &amp; Data Access</td>
<td>Payroll Forecasting</td>
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<td>Compliance/ Internal Controls</td>
<td>ACA Year-end Reporting, FLSA</td>
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<td>Strategic Priorities</td>
<td>Multi-year Budgeting</td>
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<td>Training &amp; Toolkits</td>
<td>Administrative and Classified employee training</td>
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<td>Communications &amp; Governance</td>
<td>Website redesign, Partner Groups</td>
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<td>Service Delivery</td>
<td>Absence Mgmt (PTO tracking), Financial approvers</td>
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</table>

- 25 Current, Active Projects
- Prioritized to respond to
  - Compliance (ACA),
  - Prerequisites for future projects (foundational)
  - Campus’ identified highest priorities
## Financial Summary

### Project Spend: System Upgrades & Enhancements (cumulative project spend)

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<th>OSAI Plan</th>
<th>FY13-FY15</th>
<th>FY16-FY17</th>
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### Recurring Investment in Operating Budget (annual costs)

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<th>FY13-FY15</th>
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<td>Personnel</td>
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<td>Hardware/Software/Licensing</td>
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<td>Training</td>
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<td><strong>Subtotal - Recurring Investments</strong></td>
<td>$4,820,292</td>
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Strategy Alignment

Goals

RCM Environment - 2015
- Strategic Priorities
- Reporting / Data Access
- Process Efficiency
- Compliance / Internal Controls
- System Efficiencies
- Training and Toolkits
- Communications and Governance
- Service Delivery
### Potential Future Projects

<table>
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<th>Category</th>
<th>Project Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>System Efficiencies</td>
<td>WorkForce upgrade, Oracle eBiz upgrade, Tririga</td>
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<tr>
<td>Process Efficiency</td>
<td>AP process redesign, HR onboarding process</td>
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<tr>
<td>Reporting &amp; Data Access</td>
<td>Hyperion budget module, multiple HR assignments</td>
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<tr>
<td>Compliance/ Internal Controls</td>
<td>I-9 certification, Glacier AP/PR interfaces</td>
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<tr>
<td>Strategic Priorities</td>
<td>Performance Management</td>
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<td>Training &amp; Toolkits</td>
<td>Manager Leadership Program, Finance process training</td>
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<td>Communications &amp; Governance</td>
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<tr>
<td>Service Delivery</td>
<td>Restructuring of the Customer Care Center, Service Level definitions</td>
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- 159 Potential Projects
- Priorities:
  - Maintaining a supported environment
  - Enhanced functionality
  - Service delivery
  - Efficiencies
Executive Summary

Established base framework to operate in RCM environment, brought our administrative systems into a supported environment, and met current and emerging compliance requirements

- Operating FTE investments (SAI recurring investment in operating budget) have positioned the University to execute against
  - Roadmapped projects
  - New and emerging compliance requirements
  - Strategic priorities
- Investments in Systems
  - Current support versions of software
  - Increase inter-operability and efficiency of systems and respective business processes

Ongoing, continuous investment will be required to

- Remain in supported versions of software
- Implement applications identified as necessary to support our business processes and environment
- Continue to review and implement business processes to increase efficiency, support current operating environment and address regulatory compliance
RESOLUTION TO APPROVE PARCEL EXCHANGE AND EASEMENTS RELATED TO RUFUS STREET EXTENSION

RESOLUTION 2015-

WHEREAS, the University proposes to construct an extension of Rufus Street to Stewart Street, in order to advance the South Green sweep project and enhance safety and pedestrian access in South Green by limiting vehicular traffic along a portion of North McKinley Avenue;

WHEREAS, in order to complete this project, the University must acquire a parking lot parcel currently owned by CPP Athens I LLC, which owns and operates the River Park apartments;

WHEREAS, River Park will convey the parcel required by the University to complete the Rufus Street extension in exchange for (i) title to an equal number of parking spaces in University Lot 104 (estimated to be 55 spaces); (ii) an amendment to a non-exclusive access easement benefiting River Park apartments; and (iii) a water line easement to the City of Athens; and

WHEREAS, this package of real estate transactions will facilitate completion of the Rufus Street extension project, which will enhance South Green and advance the objectives of the University’s Master Plan.

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees hereby approves the exchange of the land parcels as described above and approves the amendment of an easement to CPP Athens I LLC and Athens River Gate LLC to allow non-exclusive vehicular and pedestrian access to North McKinley Avenue, South Green Drive and Rufus Street, upon terms and conditions negotiated and approved by the President or his designee.

BE IT FURTHER RESOLVED, that the Board of Trustees hereby approves the granting of an easement to the City of Athens to allow for the installation and maintenance of a water line near the corner of South Green Drive and Rufus Street, upon terms and conditions negotiated and approved by the President or his designee.

BE IT FURTHER RESOLVED, that the Board of Trustees hereby authorizes the President or his designee to execute the contracts, easements and other appropriate documentation to effect the real estate transactions described in this resolution in accordance with Ohio law.
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Approval of Parcel Exchange and Easements Related to Rufus Street Extension

This memorandum describes a package of proposed real estate transactions that will facilitate an important roadway improvement near South Green.

Specifically, the University proposes to extend Rufus Street (formerly South Green Drive) to Stewart Street, by building a road connection across an existing parking lot now owned by the River Park apartments. This connection is identified as “Proposed Rufus St. Extension” in the attached map. By extending Rufus Street directly to Stewart Street, the University can transition North McKinley Avenue to a limited access roadway for passenger busses and service vehicles, for the portion of North McKinley that fronts along Pickering, Brown, Mackinnon and Crawford Halls and Nelson Dining Hall. By reducing traffic along this road, the area south of the Rufus Street extension will be more pedestrian-friendly and will advance the “sweep” concept on South Green.

To accomplish this project, the University and River Park have agreed on the following proposed real estate transactions, subject to your review and approval:

- The University will obtain title to the parking lot parcel currently owned by River Park apartments, which is outlined in red and shaded in brown in the attached map (“Proposed OU Take”). The University would construct the Rufus Street extension in this parcel, along with related sidewalks and infrastructure. The southern portion of this parcel would be converted to green space.

- In exchange for River Park’s parcel, the University will convey to River Park the crescent-shaped parcel in University Lot 104 that is colored in violet in the attached map (“Proposed RP Take”). This parcel would contain the number of spaces equal to the spaces lost by River Park in conveying its own parking parcel, currently estimated to be 55 spaces. The University would retain an easement to allow for future utility work under this parcel. To accomplish this exchange, the University would work with the Ohio Department of Administrative Services to develop appropriate conveyance legislation for approval by the Ohio General Assembly and the Governor’s office in 2016-2017. Neither party will pay monetary consideration for this exchange of parcels.
The University will amend an existing non-exclusive access easement with River Park. Currently, River Park has an easement to access University-owned North McKinley Avenue and South Green Drive for the benefit of its tenants and employees. River Park’s lenders and title companies have required these easements because those parcels are landlocked, with no way to access public roads other than via University roads. These easements have been updated periodically since 1998 to accommodate changes in the River Park development. River Park has asked the University to amend the existing easement to accommodate vehicular and foot traffic associated with its new River Gate complex, which is being built on the site of the New Life Assembly church. The amended easement also would memorialize River Park’s access to the new South Green Drive extension, which was completed last winter. The attached map illustrates the locations of the access easements. River Park has agreed to pay $10,000 for such access easements on signing, with annual payments thereafter.

The University will grant an easement to the City of Athens to install and maintain a water line at the intersection of Rufus Street and new South Green Drive. This line will serve the new River Gate complex. A small portion of the line is expected to cross under University-owned land at the intersection. The easement area will be approximately 0.010 acres.

The easements discussed above would be finalized later this year, in consultation with the Department of Administrative Services.

The accompanying resolution requests approval of this package of real estate transactions and authorizes the President and his designee to negotiate details of the easements and parcel exchange and to execute necessary legal documents. The University will seek approval of the design and construction of the Rufus Street extension at a future date.

If you have any questions about this matter, please do not hesitate to contact me.
Proposed OU Take
(55 Parking Spaces Displaced for Rufus St Extension & Greenspace)

Swap Boundaries Shall not Extend into This Area Due to Future Road Project

Existing Utility Pole to be Moved

Proposed Rufus St. Extension

September 25, 2015
APPROVAL TO PROCEED WITH DESIGN FOR
JEFFERSON HALL RENOVATION - EQUIPMENT PURCHASE,
BAKER WEST 82 RENOVATION - DESIGN PHASE,
BOYD HALL BATHROOM UPGRADE - DESIGN THROUGH BIDDING
PHASES,
CRAWFORD HALL ELECTRICAL AND FIRE SYSTEM UPGRADE -
DESIGN THROUGH BIDDING PHASES,
JAMES HALL LOBBY, BATHROOM, AND APARTMENT UPGRADES -
DESIGN THROUGH BIDDING PHASES,
MACKINNON HALL BATHROOM UPGRADE - DESIGN THROUGH
BIDDING PHASES,
SEIGFRED HALL ROOF REPLACEMENT - CONCEPTUAL DESIGN
THROUGH DESIGN DEVELOPMENT PHASES,
AND SEIGFRED HALL WINDOW REPLACEMENT - CONCEPTUAL
DESIGN THROUGH DESIGN DEVELOPMENT PHASES

RESOLUTION 2015 -

WHEREAS, for the Jefferson Hall Renovation project, the Board of Trustees previously
approved a total project budget of $44,000,000 and authorized expenditures of $3,260,000
(2014-3443, 2014-3444, and 2015-3467), and University administration seeks approval to
increase the previously authorized expenditure amount of $3,260,000 by an additional
$2,850,000 for total authorized expenditures of $6,110,000 to undertake pre-purchasing
equipment with the total project to be funded by Culinary Reserves ($8,000,000), Residential
Housing Reserves ($4,000,000), and Internal Loan ($32,000,000);

WHEREAS, for the Baker West 82 Renovation project, University administration requests
approval for the total project budget of $1,800,000 and seeks authorization for expenditures of
$225,000 to undertake design with the total project to be funded by Culinary Reserves;

WHEREAS, for the Boyd Hall Bathroom Upgrade project, University administration requests
approval for the total project budget of $925,000 and seeks authorization for expenditures of
$200,000 to undertake design and bidding with the total project to be funded by Residential
Housing Reserves;

WHEREAS, for the Crawford Hall Electrical and Fire System Upgrade project, University
administration requests approval for the total project budget of $800,000 and seeks
authorization for expenditures of $200,000 to undertake design and bidding with the total
project to be funded by Residential Housing Reserves;
WHEREAS, for the James Hall Lobby, Bathroom, and Apartment Upgrade project, University administration requests approval for the total project budget of $1,255,000 and seeks authorization for expenditures of $350,000 to undertake design and bidding with the total project to be funded by Residential Housing Reserves;

WHEREAS, for the MacKinnon Hall Bathroom Upgrade project, University administration requests approval for the total project budget of $925,000 and seeks authorization for expenditures of $200,000 to undertake design and bidding with the total project to be funded by Residential Housing Reserves;

WHEREAS, for the Seigfred Hall Roof Replacement project, University administration requests approval for the total project budget of $1,800,000 and seeks authorization for expenditures of $180,000 to undertake conceptual design and design development with the total project to be funded by Century Bond 2016 ($239,000) and State Appropriations ($1,561,000);

WHEREAS, for the Seigfred Window Replacement project, University administration requests approval for the total project budget of $800,000 and seeks authorization for expenditures of $90,000 to undertake conceptual design and design development with the total project to be funded by Century Bond 2016 ($90,000) and State Appropriations ($710,000).

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees approves the requests described above, authorizes the receipt of appropriate bids or proposals and authorizes the President or his designee to accept and award contracts within the total project budgets identified.
Date: October 28, 2015

To: The President and Board of Trustees

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

Re: REQUEST FOR APPROVAL TO UNDERTAKE DESIGN:
- Jefferson Hall Renovation – Equipment Purchase
- Baker West 82 Renovation – Design Phase
- Boyd Hall Bathroom Upgrade – Design through Bidding Phases
- Crawford Hall Electrical and Fire System Upgrade – Design through Bidding Phases
- James Hall Lobby, Bathroom, and Apartment Upgrades – Design through Bidding Phases
- Mackinnon Hall Bathroom Upgrade – Design through Bidding Phases
- Seigfred Hall Roof Replacement – Conceptual Design through Design Development Phases
- Seigfred Hall Window Replacement – Conceptual Design through Design Development Phases

The following design projects are in excess of $500,000 in total project cost and are presented to the Board at this time for approval of project budgets and authorization for funds for design. A resolution is provided that addresses these projects.

Jefferson Hall Renovation – Equipment Purchase
1. We seek approval to undertake equipment purchase at a cost of $2,850,000
2. The purpose of this project is to pre-purchase equipment including, but not limited to, kitchen, elevators, air handing units, windows, and steam and condensate piping in order to save on price increases anticipated to be 4% for calendar year 2016.
3. This project is included in the approved Capital Plan for FY2015-2020 as both Residential Housing, Jefferson Hall Rehabilitation, Line #4 and Auxiliary, Jefferson Hall Culinary Renovation, Line #1.
4. Total Project Budget: $44,000,000
5. Previously Approved: $3,260,000
   a. Resolution 2014-3443 (August 2014 – programming through design development approved at a cost of $750,000)
   b. Resolution 2014-3444 (October 2014 – programming through schematic design approved at a cost of $350,000)
   c. Resolution 2015-3467 (March 2015 – design development through construction documents approved at a cost of $2,160,000)
6. This request: $2,850,000
7. Funding Source: $8,000,000 Culinary Reserves UNBP05060
   $4,000,000 Residential Housing Reserves UM2007900
   $32,000,000 Internal Loan
Baker West 82 Renovation – Design Phase
1. We seek approval to undertake design at a cost of $225,000.
2. The project will upgrade West 82, a culinary facility at the Baker University Center. The project will improve the aesthetic customer flow, security, add additional food concepts, and upgrade the kitchen equipment.
3. This project is not part of an approved capital plan.
4. Project Budget: $1,800,000
5. Previously Approved: $0
6. This Request: $225,000
7. Funding Source: Culinary Reserves UNBP05060

Boyd Hall Bathroom Upgrade – Design through Bidding Phases
1. We seek approval to undertake design through bidding at a cost of $200,000.
2. The purpose of this project is to upgrade the existing bathrooms and associated plumbing. The existing bathrooms and plumbing are dated and have begun to fail.
3. This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
4. Project Budget: $925,000
5. Previously Approved: $0
6. This Request: $200,000
7. Funding Source: Residential Housing Reserves UM2007900

Crawford Hall Electrical and Fire System Upgrade – Design through Bidding Phases
1. We seek approval to undertake design through bidding at a cost of $200,000.
2. The purpose of this project is to upgrade both electrical and fire alarm systems. The electrical system is original to the building (1967). The project will update the fire alarm system to meet current Ohio University Life Safety Residence Hall standards.
3. This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
4. Project Budget: $800,000
5. Previously Approved: $0
6. This Request: $200,000
7. Funding Source: Residential Housing Reserves UM2007900

James Hall Lobby, Bathroom, and Apartment Upgrades – Design through Bidding Phases
1. We seek approval to undertake design through bidding at a cost of $350,000.
2. The purpose of this project is to provide an aesthetic and mechanical upgrade to the lobby, bathrooms and apartment at James Hall. These areas have become dated aesthetically. The existing bathrooms and plumbing are also dated and have begun to fail.
3. This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
4. Project Budget: $1,255,000
5. Previously Approved: $0
6. This Request: $350,000
7. Funding Source: Residential Housing Reserves UM2007900
MacKinnon Hall Bathroom Upgrade – Design through Bidding Phases
1. We seek approval to undertake design through bidding at a cost of $200,000.
2. The purpose of this project is to upgrade the existing bathrooms and associated plumbing. The existing bathrooms and plumbing are dated and have begun to fail.
3. This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
4. Project Budget: $925,000
5. Previously Approved: $0
6. This Request: $200,000
7. Funding Source: Residential Housing Reserves UM2007900

Seigfred Hall Roof Replacement – Conceptual Design through Design Development Phases
1. We seek approval to undertake conceptual design through design development at a cost of $180,000.
2. The purpose of this project is to replace Seigfred Hall roof. The roof is nearing the end of its useful life. Leaks are causing ongoing maintenance and operational issues.
3. This project is included in the approved capital plan for FY2016 as Deferred Maintenance, Academic/Research, Seigfred Hall, Line #13.
4. Project Budget: $1,800,000
5. Previously Approved: $0
6. This Request: $180,000
7. Funding Source: $239,000 Century Bond 2016
   $1,561,000 State Appropriations HB 497, C30129

Seigfred Hall Window Replacement – Conceptual Design through Design Development Phases
1. We seek approval to undertake conceptual design through design development at a cost of $90,000.
2. The purpose of this project is to address energy efficiency, indoor environmental air quality, and the overall weather tightness of the building. The windows date from the early 1960s.
3. This project is included in the approved capital plan for FY2016 as Deferred Maintenance, Academic/Research, Seigfred Hall, Line #13.
4. Project Budget: $800,000
5. Previously Approved: $0
6. This Request: $90,000
7. Funding Source: $90,000 Century Bond 2016
   $710,000 State Appropriations HB 497, C30129
Construction Projects – Design Consent Tab
Requested Approvals to Undertake Design

- Jefferson Hall Renovation – Equipment Purchase
- Baker West 82 Renovation – Design Phase
- Boyd Hall Bathroom Upgrade – Design through Bidding Phases
- Crawford Hall Electrical and Fire System Upgrade – Design through Bidding Phases
- James Hall Lobby, Bathroom, and Apartment Upgrades – Design through Bidding Phases
- MacKinnon Hall Bathroom Upgrade – Design through Bidding Phases
- Seigfred Hall Roof Replacement – Conceptual Design through Design Development Phases
- Seigfred Hall Window Replacement – Conceptual Design through Design Development Phases
Jefferson Hall Renovation – Equipment Purchase

- We seek approval to undertake equipment purchase at a cost of $2.85M.
- The purpose of this project is to pre-purchase equipment including, but not limited to, kitchen, elevators, air handing units, windows, and steam and condensate piping in order to save on price increases anticipated to be 4% for calendar year 2016.
- This project is included in the approved Capital Plan for FY2015-2020 as both Residential Housing, Jefferson Hall Rehabilitation, Line #4 and Auxiliary, Jefferson Hall Culinary Renovation, Line #1.
- Project Budget: $44.00M
- Previously Approved: $3.26M
  - Resolution 2014-3443 (August 2014 – programming through design development approved at a cost of $750,000)
  - Resolution 2014-3444 (October 2014 – programming through schematic design approved at a cost of $350,000)
  - Resolution 2015-3467 (March 2015 – design development through construction documents approved at a cost of $2,160,000)
- This Request: $2.85M
- Funding Source: $8.00M Culinary Reserves UNBP05060
  - $4.00M Residential Housing Reserves UM2007900
  - $32.00M Internal Loan
Baker West 82 Renovation – Design Phase

- We seek approval to undertake design at a cost of $225K.
- The project will upgrade West 82, a culinary facility at the Baker University Center. The project will improve the aesthetic customer flow, security, add additional food concepts, and upgrade kitchen equipment.
- This project is not part of an approved capital plan.
- Project Budget: $1.800M
- Previously Approved: $0
- This Request: $ .225M
- Funding Source: Culinary Reserves UNBP05060
Boyd Hall Bathroom Upgrade – Design through Bidding Phases

- We seek approval to undertake design through bidding at a cost of $200K.
- The purpose of this project is to upgrade the existing bathrooms and associated plumbing. The existing bathrooms and plumbing have become dated and have begun to fail.
- This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
- Project Budget: $925K
- Previously Approved: $0
- This Request: $200K
- Funding Source: Residential Housing Reserves
  UM2007900
Crawford Hall Electrical and Fire System Upgrade – Design through Bidding Phases

- We seek approval to undertake design through bidding at a cost of $200K.
- The purpose of this project is to upgrade both electrical and fire alarm systems. The electrical system is original to the building (1967). The project will update the fire alarm system to meet current Ohio University Life Safety Residence Hall standards.
- This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
- Project Budget: $800K
- Previously Approved: $0
- This Request: $200K
- Funding Source: Residential Housing Reserves UM2007900
James Hall Lobby, Bathroom, and Apartment Upgrades – Design through Bidding Phases

- We seek approval to undertake design through bidding at a cost of $350K.
- The purpose of this project is to provide an aesthetic and mechanical upgrade to the lobby, bathrooms and apartment at James Hall. These areas have become dated aesthetically. The existing bathrooms and plumbing are also dated and have begun to fail.
- This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
- Project Budget: $1.255M
- Previously Approved: $0
- This Request: $ .350M
- Funding Source: Residential Housing Reserves UM2007900
MacKinnon Hall Bathroom Upgrades – Design through Bidding Phases

- We seek approval to undertake design through bidding at a cost of $200K.
- The purpose of this project is to upgrade the existing bathrooms and associated plumbing. The existing bathrooms and plumbing are dated and have begun to fail.
- This project is included in the approved capital plan for FY2016 as General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
- Project Budget: $925K
- Previously Approved: $0
- This Request: $200K
- Funding Source: Residential Housing Reserves UM2007900
Seigfred Hall Roof Replacement – Conceptual Design through Design Development Phases

- We seek approval to undertake conceptual design through design development at a cost of $180K.
- The purpose of this project is to replace Seigfred Hall roof. The roof is nearing the end of its useful life. Leaks are causing ongoing maintenance and operational issues.
- This project is included in the approved capital plan for FY2016 as Deferred Maintenance, Academic/Research, Seigfred Hall, Line #13.
- Project Budget: $1.800M
- Previously Approved: $0
- This Request: $ .180M
- Funding Source: $ .239M Century Bond 2016
  $1.561M State Appropriations HB 497, C30129
Seigfred Hall Window Replacement – Conceptual Design through Design Development Phases

- We seek approval to undertake conceptual design through design development at a cost of $90K.
- The purpose of this project is to address energy efficiency, indoor environmental air quality, and the overall weather tightness of the building. The windows date from the early 1960s.
- This project is included in the approved capital plan for FY2016 as Deferred Maintenance, Academic/Research, Seigfred Hall, Line #13.
- Project Budget: $800K
- Previously Approved: $0
- This Request: $90K
- Funding Source: $90K Century Bond 2016
  $710K State Appropriations HB 497, C30129
APPROVAL TO PROCEED WITH CONSTRUCTION FOR ALDEN LIBRARY ROOF REPLACEMENT - CONSTRUCTION PHASE,
BACK SOUTH DEMOLITION - CONSTRUCTION PHASE AND BUDGET AMENDMENT,
COLLEGE OF FINE ARTS (LIN HALL) INFRASTRUCTURE UPGRADE - CONSTRUCTION DOCUMENTS THROUGH CONSTRUCTION PHASE AND SCOPE REVISION,
CHUBB HALL CHILLER REPLACEMENT - DESIGN THROUGH CONSTRUCTION PHASES,
COPELAND HALL CHILLER REPLACEMENT – DESIGN THROUGH CONSTRUCTION PHASES,
ELLIS HALL CHILLER REPLACEMENT – DESIGN THROUGH CONSTRUCTION PHASES,
HWA WEI LEE LIBRARY ANNEX HUMIDITY CONTROL FY2015 - CONSTRUCTION DOCUMENTS THROUGH CONSTRUCTION PHASES,
PING CENTER CHILLED WATER CONNECTION - DESIGN THROUGH CONSTRUCTION PHASES,
AND WEST GREEN CHILLED WATER PUMP SYSTEM REPAIRS - DESIGN THROUGH CONSTRUCTION PHASES

RESOLUTION 2015 -

WHEREAS, for the Alden Library Roof Replacement project, the Board of Trustees previously approved a total project budget of $2,200,000 (2015-3485) and authorized expenditures of $235,000 (2015-3485), and University administration seeks to increase the authorized expenditures amount by $1,965,000 for total authorized expenditures of $2,200,000 to undertake construction and complete the project to be funded by the FY2015 Deferred Maintenance Debt ($300,000) and State Appropriations ($1,900,000);

WHEREAS, for the Back South Demolition project, the Board of Trustees previously approved a total project budget of $1,251,000 (2015-3453) and authorized expenditures of $350,000 (2015-3453), and University administration seeks to amend the total project budget of $1,251,000 by an additional $209,000 for a new total project budget of $1,460,000 and seeks approval to increase the previously authorized expenditures amount of $350,000 by an additional $1,100,000 for total authorized expenditures of $1,460,000 to undertake construction and complete the project to be funded by Residential Housing Reserves;

WHEREAS, for the College of Fine Arts (Lin Hall) Infrastructure Upgrade project, the Board of Trustees previously approved a total project budget of $2,700,000 (2014-3433) and
authorized expenditures of $217,350 (2014-3433) and University administration seeks to increase the authorized expenditure amount by $2,482,650 for total authorized expenditures of $2,700,000 to undertake construction and complete the project to be funded by State Appropriations;

**WHEREAS**, for the Chubb Hall Chiller Replacement project, University administration requests approval for the total project budget of $850,000 and seeks authorized expenditures of $850,000 to undertake design, construction and complete the project to be funded by Energy Infrastructure Project Debt;

**WHEREAS**, for the Copeland Hall Chiller Replacement project, University administration requests approval for the total project budget of $600,000 and seeks authorized expenditures of $600,000 to undertake design, construction and complete the project to be funded by Energy Infrastructure Project Debt;

**WHEREAS**, for the Ellis Hall Chiller Replacement project, University administration requests approval for the total project budget of 800,000 and seeks authorized expenditures of $800,000 to undertake design, construction and complete the project to be funded by Energy Infrastructure Project Debt;

**WHEREAS**, for the HWA Wei Lee Library Annex Humidity Control FY2015 project, the Board of Trustees previously approved a total project budget of $650,000 (2015-3453) and authorized expenditures of $67,400 (2014-3453), and University administration seeks to increase the authorized expenditure amount by $582,600 for total authorized expenditures of $650,000 to develop construction documents and undertake construction, and complete the project to be funded by Century Bond 2015 ($15,000) and State Appropriations ($635,000);

**WHEREAS**, for the Ping Center Chilled Water Connection project, University administration requests approval for the total project budget of $1,400,000 and seeks authorized expenditures of $1,400,000 to undertake design, construction and complete the project to be funded by Energy Infrastructure Project Debt;

**WHEREAS**, for the West Green Chilled Water Pump System Repairs project, University administration requests approval for the total project budget of $1,000,000 and seeks authorized expenditures of $1,000,000 to undertake design, construction and complete the project to be funded by Internal Reserves;

**NOW THEREFORE, BE IT RESOLVED** that the Ohio University Board of Trustees approves the requests described above, authorizes the receipt of appropriate bids or proposals and authorizes the President or his designee to accept and award contracts within the total project budgets identified.
Date: September 28, 2015

To: The President and Board of Trustees

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

Re: REQUEST FOR APPROVAL TO UNDERTAKE CONSTRUCTION:

- Alden Library Roof Replacement – Construction Phase
- Back South Demolition – Construction Phase and Budget Amendment
- College of Fine Arts (Lin Hall) Infrastructure Upgrade – Construction Documents through Construction Phases and Scope Revision
- Chubb Hall Chiller Replacement – Design through Construction Phases
- Copeland Hall Chiller Replacement – Design through Construction Phases
- Ellis Hall Chiller Replacement – Design through Construction Phases
- HWA Wei Lee Library Annex Humidity Control FY2015 – Construction Documents through Construction Phases
- Ping Center Chilled Water Connection – Design through Construction Phases
- West Green Chilled Water Pump System Repairs – Design through Construction Phases

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

**Alden Library Roof Replacement - Construction Phase**

1. We seek approval to undertake design through construction at a cost of $1,965,000.
2. This project will replace the Alden Library roof as it is nearing the end of its useful life. Leaking is occurring. A review determined that the membrane roofs are in immediate need and that the other roof types (multi-ply SBS at center portion and the single ply ballasted on the penthouse) are within 3 years of needing to be replaced.
3. This project is included in the approved capital plan FY2016 Deferred Maintenance, Line #1.
4. Project Budget: $2,200,000
5. Previously Approved: $235,000
   a. Resolution 2015-3485 (June 2015 – design through bid documents approved at a cost of $2,200,000)
6. This Request: $1,965,000
7. Funding Sources: $300,000 – FY2015 Deferred Maintenance Debt
   $1,900,000 – State Appropriations HB 497, C30129
Back South Demolition – Construction Phase and Budget Amendment
1. We seek approval to undertake construction at a cost of $1,100,000. We also seek approval to amend the previously authorized expenditures of $1,251,000 by an additional $209,000 for total authorized expenditures and a new total project budget of $1,460,000.
2. The purpose of this project is to start the demolition of the Back South Dormitories. This will be Phase I of a multiple phase project. Three dormitories (Cady, Foster, and Brough) will be demolished in this phase. These buildings no longer meet program requirements and cannot be repurposed. A budget revision was needed due to bids for the demolition coming in slightly higher than originally planned.
3. This project is included in the approved capital plan for FY2016, General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.
4. Project Budget: $1,460,000
5. Previously Approved: $350,000
   a. Resolution 2015-3453 (January 2015 – design through bid documents approved at a cost of $1,251,000)
6. This Request: $1,100,000
7. Funding Sources: Residential Housing Reserves UM2007900

College of Fine Arts (Lin Hall) Infrastructure Upgrade – Construction Documents through Construction Phases and Scope Revision
1. We seek approval to complete construction documents and undertake construction at a cost of $2,482,650
2. This project, which began as an upgrade to the HVAC system, will replace the fire alarm system and the flat portion of the roof system on Lin Hall (Kennedy Museum).
   a. The HVAC work will include calibration of existing equipment, supplement the existing heating and cooling units with new equipment, provide automation control and provide humidity control to protect the artwork.
   b. The alarm upgrade is no longer needed as EHS has already made the necessary modifications.
   c. The flat portion of the roof system will be replaced.
3. This project is included in the approved capital plan for FY2016, Deferred Maintenance, Academic/Research, Lin Hall, Line #9.
4. Project Budget: $2,700,000
5. Previously Approved: $217,350
   a. Resolution 2014-3433 (August 2014 – design development approved at a cost of $2,700,000)
6. This Request: $2,482,650
7. Funding Sources: State Appropriations HB 497, C30131

Chubb Hall Chiller Replacement – Design through Construction Phases
1. We seek approval to undertake design through construction at a cost of $850,000.
2. This project will replace the current centrifugal chiller (200T, installed in 1989). The unit had a significant rehabilitation 10 years ago, but it uses R-11 refrigerant which is tightly regulated and becoming increasingly more difficult and expensive to source. The University is experiencing recurring problems with the chiller operation. The new equipment is more energy efficient and will lower operating costs. The cooling tower will be replaced as part of this project. The cooling tower and the duct work are corroded and leaking. The air handling unit will either be replaced or rebuilt.
3. This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
Copeland Hall Chiller Replacement – Design through Construction Phases
1. We seek approval to undertake design through construction at a cost of $600,000.
2. This project will replace the existing steam absorption chiller (202 Ton, installed in 1989) with a new centrifugal chiller. The University is experiencing recurring problems with the absorption chiller unit and cooling tower in recent years. The cooling tower will be replaced as part of this project. Replacing the chiller will be difficult due to access. Installation of the new chiller may necessitate an upgrade of the electric service to the building. The new equipment is more energy efficient and will lower operating costs. The proposed scope of work includes maintenance to the air handler equipment and ductwork in the building.
3. This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
4. Project Budget: $600,000
5. Previously Approved: $0
6. This Request: $600,000
7. Funding Source: EIP Debt

Ellis Hall Chiller Replacement – Design through Construction Phases
1. We seek approval to undertake design through construction at a cost of $800,000.
2. This project will replace the existing steam absorption chiller (202 Ton, installed in 1989) with a new centrifugal chiller. The University is experiencing recurring problems with the absorption chiller unit and cooling tower in recent years. The cooling tower was recently replaced with a newer stainless steel unit. Installation of the new chiller may necessitate an upgrade of the electric service to the building. The new equipment is more energy efficient and will lower operating costs.
3. This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
4. Project Budget: $800,000
5. Previously Approved: $0
6. This Request: $800,000
7. Funding Source: EIP Debt

HWA Wei Lee Library Annex Humidity Control FY2015 – Construction Documents through Construction Phases
1. We seek approval to develop construction documents and undertake construction at a cost of $582,600.
2. The purpose of the project is to improve the preservation environment to provide quality term storage.
   a. The HVAC work will include evaluation of existing equipment, replace or supplement the existing heating and cooling units with new equipment.
   b. Repairing or replacing the humidification.
   c. May also include attention to weather tightness of storage areas, light control and rezoning of air handler units.
   d. Improving preservation environment and generating energy savings.
   e. Remediation of some minor damage caused by leaking units and high humidity.
This project is needed to appropriately operate the facility and protect the items stored. It is critical for the humidity to be properly controlled.

3. This project is included in the approved capital plan for FY2015, Infrastructure Renewal-Deferred Maintenance, Roofing Upgrades and Replacement, Line #8.

4. Project Budget: $650,000
5. Previously Approved: $67,400
   a. Resolution 2015-3453 (January 2015 – design development approved at a cost of $650,000)

6. This Request: $582,600
7. Funding Source: $15,000 – Century Bond 2015
   $635,000 – State Appropriations HB 497, C30025

Ping Center Chilled Water Connection – Design through Construction Phases
1. We seek approval to undertake design through construction at a cost of $1,400,000.
2. The purpose of this project is to tie the Ping Recreation Center into the chilled water distribution loop. Two existing steam absorption units (primary and back-up) are 400T units installed in 1996. The University is experiencing recurring problems with the absorption chiller units in recent years. The chillers are expensive to operate. The new equipment is more energy efficient and will lower operating costs.
3. This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.

4. Project Budget: $1,400,000
5. Previously Approved: $0
6. This Request: $1,400,000
7. Funding Source: EIP Debt

West Green Chilled Water Pump System Repairs – Design through Construction Phases
1. We seek approval to undertake design through construction at a cost of $1,000,000.
2. The purpose of this project is to make upgrades in the existing West Green Chilled Water Plant (WGCWP) for improve energy efficiency, function, and operating efficiency. The improvements include replacing existing control valves, working on cooling tower flow, revisions to primary-secondary plumbing, and a general review of the control systems.
3. This project is included in the approved capital plan for FY2014.

4. Project Budget: $1,000,000
5. Previously Approved: $0
6. This Request: $1,000,000
7. Funding Source: Internal Reserves UN2803251
Construction Projects
– Construction Consent

Tab
Requested Approvals to Undertake Construction

- Alden Library Roof Replacement – Construction Phase
- Back South Demolition – Construction Phase and Budget Amendment
- College of Fine Arts (Lin Hall) Infrastructure Upgrade – Construction Documents through Construction Phases and Scope Revision
- Chubb Hall Chiller Replacement – Design through Construction Phases
- Copeland Hall Chiller Replacement – Design through Construction Phases
- Ellis Hall Chiller Replacement – Design through Construction Phases
- HWA Wei Lee Library Annex Humidity Control FY2015 – Construction Documents through Construction Phases
- Ping Center Chilled Water Connection – Design through Construction Phases
- West Green Chilled Water Pump System Repairs – Design through Construction Phases
Alden Library Roof Replacement – Construction Phase

- We seek approval to undertake construction at a cost of $1.965M.
- This project will replace the Alden Library roof as it is nearing the end of its useful life. Leaking is occurring. A review determined that the membrane roofs are in immediate need and that the other roof types (multi-ply SBS at center portion and the single ply ballasted on the penthouse) are within 3 years of needing replaced.
- This project is included in the approved capital plan FY2015-2020 as Infrastructure Renewal, Deferred Maintenance/Capital Renewal, Line #6.
- Project Budget: $2.200M
- Previously Approved: $ .235M
  - Resolution 2015-3485 (June 2015 – design through bid documents approved at a cost of $2.2M)
- This Request: $1.965M
- Funding Sources: $ .300M – FY2015 Deferred Maintenance Debt $1.900M – State Appropriations HB497, C30129
Back South Demolition – Construction Phase and Budget Amendment

- We seek approval to undertake construction at a cost of $1.1M. We also seek approval to amend the previously authorized expenditures of $1.251M by an additional $209K for total authorized expenditures and new project budget of $1.46M.

- The purpose of this project is to start the demolition of the Back South Dormitories. This will be phase I of a multiple phase project. Three dormitories (Cady, Foster, and Brough) will be demolished in this phase. These buildings no longer meet program requirements and cannot be repurposed. A budget revision was needed due to bids for the demolition coming in slightly higher than originally planned.

- This project is included in the approved capital plan for FY2016, General Renewals, Auxiliaries, Housing Minor Renovations, Line #3.

- Project Budget: $1.460M

- Previously Approved: $ .350M
  - Resolution 2014-3453 (January 2015 - design through bid documents approved at a cost of $1.251M)

- This Request: $1.100M

- Funding Sources: Residential Housing Reserves UM2007900
College of Fine Arts (Lin Hall) Infrastructure Upgrade – Construction Documents through Construction Phases

- We seek approval to complete construction documents and undertake construction at a cost of $2,482,650.
- The purpose of this project began as an upgrade to the HVAC system, will replace the fire alarm system, and replace the flat portion of the roof system of Lin Hall (Kennedy Museum).
  - The HVAC work will include calibration of existing equipment, supplement the existing heating and cooling units with new equipment, provide automation control and provide humidity control to protect the artwork.
  - The alarm upgrade is no longer needed as EHS has already made the necessary modifications.
  - The flat portion of the roof system will be replaced.
- This project is included in the approved capital plan for FY2016, Deferred Maintenance, Academic/Research, Lin Hall, Line #9.
- Project Budget: $2,700,000
- Previously Approved: $217,350
  - Resolution 2014-3433 (August 2014 – design development approved at a cost of $2.7M).
- This Request: $2,482,650
- Funding Sources: State Appropriations HB 497, C30131
Chubb Hall Chiller Replacement – Design through Construction Phases

- We seek approval to undertake design through construction at a cost of $850K.
- This project will replace the current centrifugal chiller (200T, installed in 1989). The unit had a significant rehabilitation 10 years ago, but it uses R-11 refrigerant which is tightly regulated and becoming increasingly more difficult and expensive to source. The University is experiencing recurring problems with the chiller operation. The new equipment is more energy efficient and will lower operating costs. The cooling tower will be replaced as part of this project. The cooling tower and the duct work is corroded and leaking. The air handling unit will either be replaced or rebuilt.
- This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
- Project Budget: $850K
- Previously Approved: $0
- This Request: $850K
- Funding Source: EIP Debt
Copeland Hall Chiller Replacement – Design through Construction Phases

- We seek approval to undertake design through construction at a cost of $600K.
- This project will replace the existing steam absorption chiller (202 Ton, installed in 1989) with a new centrifugal chiller. The University is experiencing recurring problems with the absorption chiller unit and cooling tower in recent years. The cooling tower will be replaced as part of this project. Replacing the chiller will be difficult due to access. Installation of the new chiller may necessitate an upgrade of the electric service to the building. The new equipment is more energy efficient and will lower operating costs. The proposed scope of work includes maintenance to the air handler equipment and ductwork in the building.
- This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
- Project Budget: $600K
- Previously Approved: $0
- This Request: $600K
- Funding Source: EIP Debt
Ellis Hall Chiller Replacement – Design through Construction Phases

- We seek approval to undertake design through construction at a cost of $800K.
- This project will replace the existing steam absorption chiller (202 Ton, installed in 1989) with a new centrifugal chiller. The University is experiencing recurring problems with the absorption chiller unit and cooling tower in recent years. The cooling tower was recently replaced with a newer stainless steel unit. Installation of the new chiller may necessitate an upgrade of the electric service to the building. The new equipment is more energy efficient and will lower operating costs.
- This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
- Project Budget: $800K
- Previously Approved: $0
- This Request: $800K
- Funding Source: EIP Debt
We seek approval to develop construction documents and undertake construction at cost of $582,600.

The purpose of this project is to improve the preservation environment to provide quality term storage. This project is needed to appropriately operate the facility and protect the items stored, it is critical for the humidity to be properly controlled.

- The HVAC work will include evaluation of existing equipment, replace or supplement the existing heating and cooling units with new equipment.
- Repairing or replacing the humidification.
- May also include attention to weather tightness of storage areas, light control and rezoning of air handler units.
- Improving preservation environment and generating energy savings.
- Remediation of some minor damage caused by leaking units and high humidity.

This project is included in the approved FY2015 capital plan as Infrastructure Renewal-Deferred Maintenance, Roofing Upgrades and Replacement, Line #8.

- Project Budget: $650,000
- Previously Approved: $ 67,400
  - Resolution 2015-3453 (January 2015 – design development approved at a cost of $650,000).
- This Request: $582,600
- Funding Source: $ 15,000 Century Bond 2015
  $635,000 State Appropriations HB 497, C30025
Ping Center Water Connection – Design through Construction Phases

- We seek approval to undertake design through construction at a cost of $1.4M.
- The purpose of this project is to tie the Ping Recreation Center into the chilled water distribution loop. Two existing steam absorption units (primary and back-up) are 400T units installed in 1996. The University is experiencing recurring problems with the absorption chiller units in recent years. The chillers are expensive to operate. The new equipment is more energy efficient and will lower operating costs.
- This project is included in the approved capital plan for FY2016 Infrastructure, Energy Infrastructure Projects, Line #16.
- Project Budget: $1.4M
- Previously Approved: $0
- This Request: $1.4M
- Funding Source: EIP Debt
West Green Chilled Water Pump System Repairs – Design through Construction Phases

- We seek approval to undertake design through construction at a cost of $1.0M.
- The purpose of this project is to make upgrades in the existing West Green Chilled Water Plant (WGCWP) for improved energy efficiency, function, and operating efficiency. The improvements include replacing existing control valves, working on cooling tower flow, revisions to primary-secondary plumbing, and a general review of the control systems.
- This project is included in the approved FY2014 capital plan.
- Project Budget: $1.0M
- Previously Approved: $0
- This Request: $1.0M
- Funding Source: Internal Reserves UN2803251
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Financial Update

Please find attached for your review updated financial information for the fiscal year ended June 30, 2015. Although still unaudited (audit is in process), these statements reflect the impact of recording the State pension liability under GASB 68 as well as closing entries recorded since the August 24th statements.

*Based on preliminary results, net position is increasing $40.5 million before the $6.1 million adjustments for the GASB 68 pension liability. After inclusion of GASB 68, there is current year increase of net position of $46.6M. We have not yet included the consolidation of UMA and TechGrowth.*

Material changes from the Aug 24th version of the Statements previously submitted include:

- Financial Statements adjustments –
  - Other External Sales - $200k increase in accruals for real-estate and Tech Transfer.
  - Benefits – sick and vacation accruals reduction of $500k for Auxiliaries and $200k for Academic support.
  - Operating Expense – Bad debt accrual increase of $1.2M.
  - Capital Expense for Operating Expense increased $500k for an asbestos accrual.
  - Capital Expense for Capitalized Costs decreased $1.9M related to the timing and reporting of accounts payable invoices and the accruals which was offset by financial statement adjustments for capitalized costs.
  - GAAP adjusted Totals net results decreased $800k as a result of all of the above changes.

Finally, we have included an unaudited June 30, 2015 Balance Sheet with accompanying Financial Highlights fluctuation analysis.

Financial Highlights

Consistent with the format developed and presented in prior meetings, the financial information presented is aligned with our transition to RCM and all funds budgeting/reporting.

Included in this packet are the consolidated preliminary financial results for the University and Foundation with the following detail:

- Primary revenue, expenditure, and transfer categories
- Operating results detailed by:
  - Athens campus colleges and schools (HCOM has been consolidated)
  - Regional campuses
This presentation includes all funds (inclusive of gifts, investment income and endowment distributions).

We have incorporated the following:

- An all funds approach. Endowment distributions are included and then adjusted to reflect the actual respective realized and unrealized gains, dividends and income (Endowment Column);
- Spending against the University Capital Plan (Capital & Century Bond Columns);
- Adjustments required for conformance with generally accepted accounting principles (GAAP) which will allow for crosswalk to the external statements presented to the Board of Trustees each year (Financial Statement Adjustments Column). Other items included in these adjustments are:
  - Elimination of capital expenditures and addition of depreciation
  - Debt amortization costs

Following is supporting narrative explaining preliminary variances from the operating budget approved by the Board in June 2014. Also included is a brief summary regarding the impact of implementing GASB 68, the technical requirements to record the State’s unfunded portion of the pension liabilities for the STRS (State Teachers Retirement System) and OPERS (Ohio Public Employee Retirement System) plans.

Finally, we’ve included specific detail on the Century Bond/Deferred Maintenance and Central Bank activities/balances.

**Preliminary results for fiscal year 2015 as compared to fiscal year 2015 budget and fiscal year 2014 actual results**

**Organized by respective column headers and spreadsheet format**

**OPERATING UNITS Detail and Subtotal** – this is the results of operations of our operating units of the university detailed by our Athens Academic Units, Regional Campuses, Auxiliaries, and Academic Support activities.

**Revenues**

**State Appropriations:** -4%, $700K decrease FY15 over FY15 budget:
- FY15 is the second year of a two year implementation of a new Ohio Board of Regents funding formula model. An increase of $8.5 million was budgeted for FY15 as compared with FY14 actuals based on preliminary estimates provided by the state. Actuals include a $7.8 million increase for FY15 over FY14 actuals.

**Net Undergraduate Tuition & Educational Fees:** -2%, $5.3 million decrease over FY15 budget:
- When setting the budget for eLearning it was assumed that the enrollments would be relatively stable. There was an enrollment headcount decrease of 3.6% for fall 2014 as compared to Fall 2013. There were also decreases from budgeted headcount for Athens (Athens actual headcount increased over prior year headcounts but were less than the budget) and Regional campuses for Fall semester causing an overall decrease of revenue over budget.
- Undergraduate financial aid was $.8 million above budget amount of $50.6 million.

**Net Graduate Tuition & Educational Fees:** 9%, $5.2 million increase over FY15 budget:
• Variance to Budget is primarily associated with growth in College of Business and College of Education Graduate programs delivered off-campus and through eLearning.
• Graduate financial aid was $2.6M above the budgeted amount of $27.3 million, offsetting a portion of the favorable tuition.

Room & Board: 4%, $3.2 million increase over FY15 budget:
• Total residential housing and culinary services revenues were $49.9M and $40.1M, exceeding budget 4.3% and 3.0%, respectively.
• The budget for residential housing was based on a 3.5% rate increase over fall 2013 coupled with an additional 478 residents for fall and 326 for spring. Culinary services experienced a 6.4% increase in meal plans sold for fall 2014 as compared to fall 2013. Also, for culinary Spring 2015 meal plans sold increased 4.72% verses Spring 2014. FY15 off campus student meal plans increased 14.5% vs. FY14.

Grants and Contracts: -2%, $1 million decrease over FY15 budget:
• A decrease of $1 million to budget based on YTD activity. However, Grant/Contract revenue exceeded FY14 actuals of $45.6 million by $2 million.

Facilities and Administrative (F&A) Cost Recovery: 10%, $600K increase over FY15 budget:
• This is the indirect expense recovery on Grants/Contracts. F&A revenues exceeded budget $600K as the portfolio of Grants/Contracts included a higher rate of recovery than expected (14% vs 13%). Although our federal awards have a negotiated rate of recovery (48.5% for research) many non-federal awards do not include recovery of the full rate.

Gifts: 73%, $6.9 million increase over FY15 budget:
• Expendable gift revenues exceeded budgeted amounts for FY15.

Endowment Distributions: No Change over FY15 Budget.
• Endowment Distributions represent the income brought into operations derived from our endowment spending policy, or distribution. Our current spending policy is 6%, inclusive of the 2% administrative fee. Endowment distributions are calculated on the 36-month trailing average ending the December prior to the budget year; and new gifts are not eligible for distribution unless they are received by this date; consequently, actuals should consistently equal budget unless there is Board approval for additional spending. There is a 12%, or $2.5 million increase as compared with prior year reflecting the positive investment performance over the 36 months ended December 31, 2013, the period included in the FY15 spending formula calculation.
• This category is eliminated in the Endowment column as we record actual earnings on investments versus distributions taken.

Investment Income to Operations (investment income is also in the Endowment, Century Bond, and Internal Bank columns) No Change over FY15 Budget.
• A portion of the investment income on working capital is brought into operations to support the strategic priorities identified in the $100M Investment Pool. This amount is budgeted at $4.6 million. Any residual investment income from working capital is recorded in the Internal Bank column.
• The University’s investment income is comprised of interest, dividends, realized gains (losses), and unrealized gains (losses). Investment income stems from two primary sources. First, the university’s endowment assets, as well as a portion of its working capital, are invested in a long-term, broadly-diversified portfolio (diversified pool). The return on this “diversified pool” for FY15 was -1.11%. For the prior fiscal year ended June 30, 2014, this pool achieved a return of 16.72%, underperforming its diversified benchmark of 17.35% for the same period. Additionally, a portion of the university’s working capital is invested in a pool of investment-grade fixed
income securities (liquidity pool). The FY15 return on the “liquidity pool” was 2.19%, outperforming the Barclays U.S. Aggregate Bond Index, which returned 1.86% for the same period.

Other External Sales: 24%, $10.3 million increase over FY15 budget:
- The primary increases to actuals over budget are from Sales & Services revenue (printing, ticket sales, apparel sales and other retail sales) and Other sources of income (royalties, AGO interest, NCAA revenue, and a prior year Worker’s Compensation refund).
- Revenue increases in Other External Sales are typically offset by incremental expenses, primarily in “operating expenses”; consequently units have not historically placed focus on budgeting the specific revenue/expenses as they offset. This will be a focus of future budget efforts.

Expenses & Transfers

Salaries, Wages, & Other Payroll: -4%, $12.1 million decrease over FY15 budget:
- This category was budgeted at 11%, or $33.3 million, higher than FY14 actuals. FY15 expenditures exceeded FY14 by $21.2 million resulting in expenses of $12.1 million less than budget. The majority of the variance is due to delayed hiring plans and position vacancies, such as delayed hiring for the Dublin & HCOM Cleveland campus expansions, Regional campuses have been managing hiring to adjust to declining enrollment, staged hiring of SAI administrative and technology investments, and delayed faculty hiring associated with college strategic investments.

Benefits: -6%, $6.5 million decrease over FY15 budget:
- Overall this category was budgeted at $14.1 million higher than FY14 actuals. FY15 Benefits expense as a percentage of Salaries and Wages were 32.3% as compared to FY14 percentage of 32.1%.
- A portion of benefits expense correlates directly with increases in salaries/wages (retirement, unemployment, Medicare tax). For every $1 of salaries there is a corresponding $0.16 of benefit expense. Healthcare cost increases, for which we are self-insured, are the result of additional headcount and actual health experience of our insured lives. Healthcare costs were budgeted to increases $4.1 million in FY15 over FY14. Actual FY15 healthcare expense resulted in a 5% increase over FY14.

Operating Expenses: 17%, $27.3 million increase over FY15 budget:
- Operating expenditures exceeded budget by $27.3 million dollars. Although an increase over the budget, this is actually a decrease of $7.1M over prior year. This includes variances across a broad spectrum of expenses, inclusive of professional services, supplies, travel and entertainment, maintenance operations and utilities, cost of goods sold, and communications.
- Internal Operating expense increases are partially attributable to the increased revenues in Other Internal Sales and Other External Sales (see Other External Sales revenues variance above).
- $17.2M of the FY15 variance over budget is in the Academic Support Units, for which a significant portion can be attributed to the manner in which we budgeted FY15. As we have transitioned to an all-funds budget, we have been incrementally expanding the scope of what is included in the University annual budget. In FY15, projects that were included to be funded under the $100M investment strategy (SAI projects such as R12, Oracle Advanced Benefits, IT Small Projects, Comp 2014 Consultants) as well as certain categories of non-recurring expense at the institutional level (Federal Indirect Cost Proposal preparation) were not included in the operating budget for the Academic Support Units, although the funding was set aside to fund the expenditures. In FY16 we are including these expenses in the All-funds view of the Operating Budget. Also contributing to the variance in Academic Support is $1.4M of increased utility costs over budget which is 9% of the total utility expense for Gas Fuel Oil, Alternative Fuel, Light &
Power and Water and Sewage. The FY15 actual operating expense in the Academic Support Units was a decrease over the prior fiscal year level of expenditures (over prior year actuals was a $2M reduction in expense)

- As we continue to focus on improving our budgeting processes and financial systems, more attention will be focused on budgeting these categories of expense within our planning units.

Capitalized Costs: 91%, $5.8 million increase over FY15 budget:

- Capital purchases in the operating units increased $5.8 million as compared to budget. Additionally, Capital purchases increased $800K from actual for FY14. Budgeted amounts for Regional capital purchases are also included in the Transfers to (from) Capital Projects line.

Internal Loan – Principal & Interest: -26%, $9.6 million decrease over FY15 budget:

- This category includes payments made by the operating units for debt service and was budgeted to reflect additional loans for capital projects which have not yet been drawn (timing of spending) under the Capital Improvement Plan

Internal Sales: 18%, $3.4 million increase over FY15 budget:

- Represents intercompany revenues from the sale of goods or services to other University departments. Examples include, telephone costs, catering, printing, and services provided by Facilities Management not covered in general maintenance.
- Internal sales are recorded as “contra” expense, or an amount offsetting other expenses in the units that are selling the goods/services. The units buying the goods/services have the offsetting expense included in Operating expenses.

Internal Allocations & Transfers:

- Represents internal funding allocations between units. The subtotal for the operating units will typically net to zero. FYE 15 includes the transfer of $700K from endowment corpus into operations to fulfill the respective donor obligations regarding use, as well as a $200K transfer from operations for same under different agreement.

Indirect Cost Allocations:

- Represents a series of internal indirect cost allocations to recover infrastructure and administrative costs associated with non-college expenditures (e.g., Facilities, Finance, and OIT). Allocations are made through the RCM model using various allocators (e.g., headcount, square footage, etc.). The subtotal for the operating units should always net to zero.

Subvention Allocation:

- This is the fee assessed to academic units in the RCM model based on operating revenues which is utilized to balance operating results across academic units and provide resources for strategic initiatives. The subtotal for the operating units should always net to zero. Changes of actuals relative to the budget represent investment allocations provided to academic units.

ENDOWMENT – This column is eliminating the endowment distributions that are recorded as revenue in the Operating Units and adding the actual investment results for the year. New gifts to the endowment and transfers from operations to quasi endowment are also added in this column. The column totals reflect the change in the net asset balances for our endowment funds.

Gifts:

- FY 15 Gifts to endowment are up $5.2 million over FY14, while FY14 had large capital (facility) gifts ($7.8M) non-recurring in FY15.

Investment Income:
• Investment income is comprised of interest, dividends, realized gains (losses), and unrealized gains (losses). In the Endowment column the investment income stems from the University and Foundation endowment assets invested in a long-term, broadly-diversified portfolio. This represents the appreciation (depreciation) of our asset pool. The actual return of our diversified pool through June 30, 2015 was -1.11%. (See Investment Income in the Operations section above for additional detail).

Transfers to (from) Quasi Endowments:
• Represents the transfer from operations for quasi endowments.

CAPITAL – This column is reporting the majority of our plant activity for the fiscal year. It records the capitalized facility projects, as well as the respective operating costs for the fiscal year. Funds brought in from reserves or project period set-asides and external grant funds are included as revenues/transfers to reflect a bottom line change in net asset use/draw on bond funding for the year.

State Appropriations-Capital: 129%, $6.7 million increase FY15 actuals over FY14 actuals:
• The State of Ohio's biennial Capital Budget, enacted in 2014 for fiscal years 2015 and 2016, provides appropriations for the repair, reconstruction and construction of capital assets. Revenue is recognized as funds are spent (versus when appropriated). This amount was forecasted to be $15 million for FY15. The change is primarily associated with the timing of projects completed during the year. The remainder of the state projects will be completed as appropriated in future years.

CENTURY BOND – This column reflects activity associated with the Century Bond/Deferred Maintenance Program. This presentation includes:

Investment Income:
• Represents partial year earnings on the $250 million century bond principal. Funds were received in late November, 2014 and are invested in accordance with the Investment Policy approved by the University and Foundation Boards. From inception through June 30, the century bond long-term pool returned 1.62%.

Operating Expenses and Capitalized Costs:
• Reflect the costs of issuance which were netted against proceeds

Internal Loan Principal & Interest:
• Reflects the principal and interest payments into the Century Bond program for outstanding loans. For FY15 this includes the first $10 million of deferred maintenance funding and $30M for the Energy Infrastructure Program loan (EIP).

Debt Service - Interest
• Interest payments due on the $250 million century bond external debt. FY15 only includes partial year expense as the debt was issued in late November, 2014.

Transfers to (from) Capital Projects
• Reflects the transfer of funding from the Century Bond Pool to the respective Capital project funding. The $40 million includes the first two internal loans from the Century Bond Pool:
  o FY 15 $10M Deferred Maintenance
  o First $30M of EIP funding (of expected $90M)

INTERNAL BANK – With the implementation of the Internal Bank model, we are separately accounting and reporting for that portion of our net assets which represent university working
capital (excludes endowment funding and bond funding). These funds include accumulated fund balances in the operating units as well as central reserves from operations and any investment appreciation on those funds.

**Investment Income:**
- Estimated investment income on the working capital funds. A portion of these funds (approx. $100M) are invested alongside the endowment in our diversified pool. As of June 30, 2015 the remainder (approx. $290M) are invested in the liquidity and cash pools. The diversified pool achieved a return of -1.11% for the fiscal year to date through June 30, 2015. The liquidity pool achieved a return of 2.19% for the fiscal year to date through June 30, 2015.

**Internal Loan – Principal & Interest:**
- Internal loan payments from our operating units will be collected by the Internal Bank and used to make the external debt service payments. This includes both dollars lent to specific departments/projects from debt funded projects as well as loans of working capital dollars.
- With the creation of the Internal Bank, we are in the process of transitioning all debt funded projects to internal loans utilizing a blended variable rate inclusive of management costs. We will continue to build out and refine this column as we update the Comprehensive Master Plan which will inform revisions and refinements to the Six Year Capital Improvement Plan (CIP).

**Debt Service – Principal / Debt Service – Interest:**
- Actual (and accrued) debt service payments, principal and interest, against university outstanding debt, exclusive of that reported in the Century Bond column.

**Transfers to (from) Capital Projects**
- Reflects the projected transfers of funding from the Internal Bank to the respective Capital project funding.

**GASB 68 – FY15 share of unfunded pension liability**
- FY 15 is the first year of required implementation of the new accounting standard. Which requires Governments providing defined benefit pensions to recognize their proportionate share of the actuarially determined amount of unfunded pension benefit obligation as a liability for the first time. For Ohio University this includes our participation in the STRS (State Teachers Retirement System) and the OPERS (Ohio Public Employees Retirement System).
- Requires a restatement of prior year beginning net position. Because beginning balances are being adjusted, the prior year impact will not flow through the income statement directly, but will decrease beginning unrestricted net position on the balance sheet by $371 million (OPERS $96M; STRS $275M) with offsetting balance sheet entries for net pension liability and deferred outflows of resources.
- Although we are recording this liability as required by the GASB, it will remain an unfunded liability (we are not setting aside reserve cash balances or budgeting to fund this expenditure).
- The unfunded pension liability will change each year resulting from the following:
  - Changes in plan assumptions about economic and demographic factors;
  - Differences between actual and expected experience;
  - Differences between actual and expected investment earnings.
- The current year impact from these factors is a net $6.1 million (OPERS -$2M; STRS -$4M) reduction in liability and increase to net results.

**FINANCIAL STATEMENT ADJUSTMENTS – Entries recorded as a part of the required adjustment to move from fund accounting to Generally Accepted Accounting Principles (GAAP) format**
Other External Sales:
  - Includes changes to balance sheet accounts that are the result of changes to allowances, estimates, present values, etc. (i.e., outside perpetual trusts) as well as consolidation of subsidiaries and related parties.

Capitalized Costs:
  - Reflects the capitalization of facilities placed in service and construction in progress to assets on the balance sheet that are then brought into expense as they are depreciated over their useful life.

Depreciation:
  - Recorded depreciation for all capital assets. Depreciation increased $1.4 million from FY14 to FY15. This category will continue to increase in future years as the university executes against its Capital Improvement Plan (CIP) approved by the BOT.

Debt Service - Principal:
  - Principal payments against external debt are eliminated as it is recorded as a decrease to long-term debt on the Statement of Net Position (a balance sheet entry that doesn’t really flow through the Statement of Activities)
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<th>FY14 Budget</th>
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<td>(5.4)</td>
<td>(0.4)</td>
<td>(6.7)</td>
<td>(7.5)</td>
<td>(0.8)</td>
<td>2%</td>
</tr>
<tr>
<td><strong>Net Undergraduate Tuition &amp; Fees</strong></td>
<td>196.2</td>
<td>208.2</td>
<td>205.7</td>
<td>34.6</td>
<td>33.8</td>
<td>33.8</td>
<td>13.9</td>
<td>16.5</td>
<td>14.5</td>
<td>(5.3)</td>
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</tr>
<tr>
<td><strong>Graduate Tuition &amp; Educational Fees</strong></td>
<td>84.6</td>
<td>85.2</td>
<td>92.3</td>
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<td>0.4</td>
<td>0.5</td>
<td>0.3</td>
<td>0.6</td>
<td>1.2</td>
<td>7.8</td>
<td>9%</td>
</tr>
<tr>
<td><strong>Graduate Financial Aid</strong></td>
<td>(28.4)</td>
<td>(26.7)</td>
<td>(28.9)</td>
<td>(0.2)</td>
<td>(0.1)</td>
<td>(0.1)</td>
<td>(1.1)</td>
<td>(0.5)</td>
<td>(0.9)</td>
<td>(2.6)</td>
<td>10%</td>
</tr>
<tr>
<td><strong>Net Graduate Tuition &amp; Fees</strong></td>
<td>56.2</td>
<td>58.5</td>
<td>63.4</td>
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<td>0.3</td>
<td>0.4</td>
<td>(0.8)</td>
<td>0.1</td>
<td>0.3</td>
<td>5.2</td>
<td>9%</td>
</tr>
<tr>
<td><strong>Room &amp; Board</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>83.7</td>
<td>86.8</td>
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</tr>
<tr>
<td><strong>Grants and Contracts</strong></td>
<td>39.3</td>
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<td>1.1</td>
<td>1.3</td>
<td>1.1</td>
<td>0.1</td>
<td>0.1</td>
<td>0.1</td>
<td>(10.0)</td>
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</tr>
<tr>
<td><strong>Facilities &amp; Admin Costs Recovery</strong></td>
<td>6.7</td>
<td>6.1</td>
<td>6.6</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>0.6</td>
<td>10%</td>
</tr>
<tr>
<td><strong>Gifts</strong></td>
<td>5.9</td>
<td>6.0</td>
<td>6.1</td>
<td>0.3</td>
<td>0.2</td>
<td>0.4</td>
<td>2.3</td>
<td>1.7</td>
<td>3.0</td>
<td>(0.1)</td>
<td>-1%</td>
</tr>
<tr>
<td><strong>Endowment Distributions</strong></td>
<td>9.2</td>
<td>10.5</td>
<td>10.8</td>
<td>0.4</td>
<td>0.4</td>
<td>0.4</td>
<td>0.1</td>
<td>0.1</td>
<td>0.1</td>
<td>(0.1)</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Investment Income</strong></td>
<td>0.3</td>
<td>0.1</td>
<td>0.1</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Other External Sales</strong></td>
<td>8.0</td>
<td>3.8</td>
<td>6.6</td>
<td>1.4</td>
<td>1.0</td>
<td>1.1</td>
<td>17.5</td>
<td>14.1</td>
<td>16.9</td>
<td>(3.4)</td>
<td>18%</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$440.1</td>
<td>$472.8</td>
<td>$477.4</td>
<td>$62.2</td>
<td>$54.9</td>
<td>$55.1</td>
<td>$103.3</td>
<td>$96.1</td>
<td>$102.6</td>
<td>(19.1)</td>
<td>3%</td>
</tr>
<tr>
<td><strong>Salaries, Wages &amp; Other Payroll</strong></td>
<td>171.6</td>
<td>192.1</td>
<td>185.1</td>
<td>34.8</td>
<td>36.8</td>
<td>35.1</td>
<td>22.3</td>
<td>23.5</td>
<td>23.8</td>
<td>(12.1)</td>
<td>-4%</td>
</tr>
<tr>
<td><strong>Benefits</strong></td>
<td>47.9</td>
<td>56.3</td>
<td>52.7</td>
<td>10.6</td>
<td>11.8</td>
<td>11.0</td>
<td>8.5</td>
<td>9.1</td>
<td>9.4</td>
<td>(6.5)</td>
<td>-6%</td>
</tr>
<tr>
<td><strong>Operating Expenses</strong></td>
<td>68.5</td>
<td>54.5</td>
<td>63.7</td>
<td>9.6</td>
<td>8.6</td>
<td>9.6</td>
<td>33.7</td>
<td>33.0</td>
<td>34.5</td>
<td>(27.3)</td>
<td>-17%</td>
</tr>
<tr>
<td><strong>Capitalized Costs</strong></td>
<td>6.4</td>
<td>3.9</td>
<td>7.5</td>
<td>0.3</td>
<td>0.2</td>
<td>0.8</td>
<td>1.7</td>
<td>0.4</td>
<td>1.7</td>
<td>(5.8)</td>
<td>9%</td>
</tr>
<tr>
<td><strong>Depreciation</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Internal Loan - Principal &amp; Interest</strong></td>
<td>1.6</td>
<td>4.2</td>
<td>2.1</td>
<td>0.3</td>
<td>0.3</td>
<td>0.3</td>
<td>2.0</td>
<td>6.4</td>
<td>4.7</td>
<td>(9.6)</td>
<td>-26%</td>
</tr>
<tr>
<td><strong>Debt Service - Principal</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Debt Service - Interest</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Total Sales</strong></td>
<td>(2.0)</td>
<td>(1.6)</td>
<td>(3.2)</td>
<td>(0.4)</td>
<td>0.1</td>
<td>-</td>
<td>(6.2)</td>
<td>(5.4)</td>
<td>(6.9)</td>
<td>(3.4)</td>
<td>18%</td>
</tr>
<tr>
<td><strong>Total Direct Expenses</strong></td>
<td>$293.9</td>
<td>$308.6</td>
<td>$308.3</td>
<td>$55.5</td>
<td>$57.8</td>
<td>$56.3</td>
<td>$62.0</td>
<td>$67.0</td>
<td>$67.1</td>
<td>(1.5)</td>
<td>0.2%</td>
</tr>
<tr>
<td><strong>Internal Allocations &amp; Transfers</strong></td>
<td>(1.6)</td>
<td>(5.0)</td>
<td>(3.7)</td>
<td>1.3</td>
<td>1.1</td>
<td>0.9</td>
<td>(3.8)</td>
<td>7.1</td>
<td>6.5</td>
<td>(0.5)</td>
<td>0%</td>
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<tr>
<td><strong>Indirect Costs Allocations</strong></td>
<td>128.9</td>
<td>140.4</td>
<td>140.8</td>
<td>12.7</td>
<td>13.4</td>
<td>13.4</td>
<td>9.6</td>
<td>(7.1)</td>
<td>(7.1)</td>
<td>(0.5)</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Subvention Allocation</strong></td>
<td>8.4</td>
<td>19.2</td>
<td>13.0</td>
<td>(6.7)</td>
<td>(11.2)</td>
<td>(11.2)</td>
<td>(0.1)</td>
<td>1.2</td>
<td>1.7</td>
<td>(0.2)</td>
<td>-100%</td>
</tr>
<tr>
<td><strong>Total Allocations &amp; Transfers</strong></td>
<td>$135.7</td>
<td>$154.6</td>
<td>$150.1</td>
<td>$7.3</td>
<td>$3.3</td>
<td>$3.1</td>
<td>$5.7</td>
<td>(0.6)</td>
<td>(0.6)</td>
<td>(0.7)</td>
<td>-350%</td>
</tr>
<tr>
<td><strong>Total Expenses &amp; Transfers</strong></td>
<td>$429.6</td>
<td>$464.4</td>
<td>$458.4</td>
<td>$62.8</td>
<td>$61.1</td>
<td>$59.4</td>
<td>$67.7</td>
<td>$67.0</td>
<td>$66.5</td>
<td>$0.8</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Subtotal Results</strong></td>
<td>$10.5</td>
<td>$8.4</td>
<td>$19.0</td>
<td>(0.6)</td>
<td>(6.2)</td>
<td>(4.3)</td>
<td>(3.5)</td>
<td>(29.1)</td>
<td>(36.1)</td>
<td>(18.3)</td>
<td>38%</td>
</tr>
<tr>
<td><strong>Transfers to (from) Operations</strong></td>
<td>-</td>
<td>(4.1)</td>
<td>-</td>
<td>0.5</td>
<td>-</td>
<td>-</td>
<td>(5.0)</td>
<td>8.6</td>
<td>13.8</td>
<td>(5.2)</td>
<td>-100%</td>
</tr>
<tr>
<td><strong>Transfers to (from) Quasi Endowments</strong></td>
<td>2.2</td>
<td>2.3</td>
<td>6.1</td>
<td>1.1</td>
<td>1.1</td>
<td>1.1</td>
<td>1.6</td>
<td>1.7</td>
<td>1.8</td>
<td>3.2</td>
<td>80%</td>
</tr>
<tr>
<td><strong>Transfers to (from) Capital Projects</strong></td>
<td>0.5</td>
<td>0.4</td>
<td>8.2</td>
<td>0.6</td>
<td>1.7</td>
<td>(0.6)</td>
<td>14.8</td>
<td>33.2</td>
<td>27.2</td>
<td>20.4</td>
<td>53%</td>
</tr>
<tr>
<td><strong>Net Results</strong></td>
<td>$7.8</td>
<td>$9.8</td>
<td>$4.7</td>
<td>(1.2)</td>
<td>(8.4)</td>
<td>(3.7)</td>
<td>(20.8)</td>
<td>(0.9)</td>
<td>(8.9)</td>
<td>(0.1)</td>
<td>0%</td>
</tr>
</tbody>
</table>
## FY15 Preliminary Financial Results ($ in millions)

<table>
<thead>
<tr>
<th>Description</th>
<th>FY14 Actual</th>
<th>FY15 Actuals-Preliminary</th>
<th>FY15 Actuals-Preliminary</th>
<th>GAAP Variance FY15 Actual over FY14 Actual</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Appropriations</td>
<td>2.1</td>
<td>-</td>
<td>2.1</td>
<td>-</td>
<td>7.8%</td>
</tr>
<tr>
<td>State Appropriations-Capital</td>
<td>5.2</td>
<td>-</td>
<td>11.9</td>
<td>-</td>
<td>6.7%</td>
</tr>
<tr>
<td>Undergraduate Tuition &amp; Educational Fees</td>
<td>0.4</td>
<td>-</td>
<td>0.2</td>
<td>-</td>
<td>3.4%</td>
</tr>
<tr>
<td>Undergraduate Financial Aid</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1.2%</td>
</tr>
<tr>
<td>Net Undergraduate Tuition &amp; Fees</td>
<td>-</td>
<td>244.3</td>
<td>-</td>
<td>-</td>
<td>2.2%</td>
</tr>
<tr>
<td>Graduate Tuition &amp; Educational Fees</td>
<td>-</td>
<td>85.3</td>
<td>-</td>
<td>-</td>
<td>8.7%</td>
</tr>
<tr>
<td>Graduate Financial Aid</td>
<td>-</td>
<td>(29.7)</td>
<td>-</td>
<td>-</td>
<td>0.2%</td>
</tr>
<tr>
<td>Net Graduate Tuition &amp; Fees</td>
<td>-</td>
<td>55.6</td>
<td>-</td>
<td>-</td>
<td>8.5%</td>
</tr>
<tr>
<td>Room &amp; Board</td>
<td>0.5</td>
<td>83.7</td>
<td>0.3</td>
<td>-</td>
<td>1.8%</td>
</tr>
<tr>
<td>Grants and Contracts</td>
<td>6.8</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>6.3%</td>
</tr>
<tr>
<td>Facilities &amp; Admin Costs Recovery</td>
<td>(17.5)</td>
<td>26.9</td>
<td>14.9</td>
<td>-</td>
<td>4.3%</td>
</tr>
<tr>
<td>Endowment Distributions</td>
<td>(20.1)</td>
<td>-</td>
<td>(22.6)</td>
<td>-</td>
<td>0%</td>
</tr>
<tr>
<td>Investment Income</td>
<td>88.9</td>
<td>93.7</td>
<td>0.7 (2.3)</td>
<td>-</td>
<td>(0.3)%</td>
</tr>
<tr>
<td>Other External Sales</td>
<td>0.7</td>
<td>60.2</td>
<td>0.8</td>
<td>0.2</td>
<td>(0.1)%</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$ 95.2</td>
<td>$ 776.3 ($14.1)</td>
<td>$ 13.2 ($0.7)</td>
<td>$ 0.0 ($0.2)</td>
<td>($1.1)</td>
</tr>
<tr>
<td><strong>Salaries, Wages &amp; Other Payroll</strong></td>
<td>0.4</td>
<td>-</td>
<td>0.3</td>
<td>-</td>
<td>330.7%</td>
</tr>
<tr>
<td><strong>Benefits</strong></td>
<td>0.2</td>
<td>10.4</td>
<td>9.7 (0.1)</td>
<td>(6.1)</td>
<td>(100.7%)</td>
</tr>
<tr>
<td><strong>Operating Expenses</strong></td>
<td>6.0</td>
<td>204.2</td>
<td>8.6 (0.5)</td>
<td>-</td>
<td>(4.0)%</td>
</tr>
<tr>
<td><strong>Capitalized Costs</strong></td>
<td>95.1</td>
<td>(103.6)</td>
<td>2.9 (159.8)</td>
<td>2.2</td>
<td>(162.0)</td>
</tr>
<tr>
<td><strong>Depreciation</strong></td>
<td>36.4</td>
<td>36.4</td>
<td>-</td>
<td>37.9</td>
<td>(37.9%)</td>
</tr>
<tr>
<td><strong>Internal Loan - Principal &amp; Interest</strong></td>
<td>(24.1)</td>
<td>-</td>
<td>1.2 (3.4) (25.2)</td>
<td>(27.4)</td>
<td>-</td>
</tr>
<tr>
<td><strong>Debt Service - Principal</strong></td>
<td>14.7</td>
<td>(14.7)</td>
<td>-</td>
<td>16.8</td>
<td>(16.8%)</td>
</tr>
<tr>
<td><strong>Debt Service - Interest</strong></td>
<td>10.0</td>
<td>-</td>
<td>8.8 (13.2)</td>
<td>22.0</td>
<td>(20.8)</td>
</tr>
<tr>
<td><strong>Internal Sales</strong></td>
<td>(0.1)</td>
<td>(22.5)</td>
<td>-</td>
<td>(22.2)</td>
<td>0.3%</td>
</tr>
<tr>
<td><strong>Total Direct Expenses</strong></td>
<td>$ 102.2 ($71.5)</td>
<td>$ 650.3 ($45.3)</td>
<td>$ 170.0 ($8.1)</td>
<td>$ 4.8 ($0.1)</td>
<td>$ 1768 ($156.9)</td>
</tr>
<tr>
<td><strong>Internal Allocations &amp; Transfers</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Indirect Costs Allocations</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Subvention Allocation</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Allocations &amp; Transfers</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Expenses &amp; Transfers</strong></td>
<td>$ 102.2 ($71.5)</td>
<td>$ 650.3 ($45.3)</td>
<td>$ 170.0 ($8.1)</td>
<td>$ 4.8 ($0.1)</td>
<td>$ 1768 ($156.9)</td>
</tr>
<tr>
<td><strong>Subtotal Results</strong></td>
<td>$ (7.0)</td>
<td>$ 71.5 ($14.6)</td>
<td>$ 126.0 ($7.4)</td>
<td>$ 4.8 ($0.4)</td>
<td>$ 177.5 ($156.9)</td>
</tr>
<tr>
<td><strong>Transfers to (from) Operations</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Transfers to (from) Quasi Endowments</strong></td>
<td>(3.8)</td>
<td>-</td>
<td>(7.2)</td>
<td>-</td>
<td>(7.2)</td>
</tr>
<tr>
<td><strong>Transfers to (from) Capital Projects</strong></td>
<td>(29.5)</td>
<td>0.0</td>
<td>(180.1)</td>
<td>40.0</td>
<td>(59.0)</td>
</tr>
<tr>
<td><strong>Net Results</strong></td>
<td>$ 26.3</td>
<td>$ 71.5 ($23.3)</td>
<td>$ 126.0 ($47.4)</td>
<td>$ 85.9</td>
<td>$ 61 ($111.3)</td>
</tr>
</tbody>
</table>
Ohio University
Statement of Net Position
Comparative Analyses FY14 to FY15

Cash and Cash Equivalents – $37.3M decrease
- $10 million inter-company settlement from Century Bond pool settled after fiscal year end
- $7 million student financial aid receivable not drawn as of June 30, 2015
- $5 million decrease in student financial aid related to summer sessions due to federal regulation changes
- $3 million grant letter-of-credit draw subsequent to June 30, 2015

Restricted Cash & Cash Equivalents - $86.4M decrease
- Residual funds from the 2012A($8.3 million decrease) & 2013 ($74.9 million decrease) bond issuances that were used for the capital plan (see capital assets below)
- Construction escrow deposit decreased $2.0 million

Investments - $250.7M increase
- Investments increased primarily due to increases in Century Bond long term pool of $150.6 million, Intermediate pool term working capital of $147.4 million, Century Bond short term pool of $97.8 million, Century Bond reserve conservative pool investments of $3.5. Partially offsetting are decreases in JP Morgan Core bonds of $133.3 million, Investment in 5/3 bank of $6.2 million, the long term endowment pool investments of $1.5 million, investment in Peoples bank of $7.7 million.

Capital Assets-net of depreciation - $139.8M increase
- Increases for Construction in Progress of $121.5 million, this included projects such as the new residence halls, OUHCOM NE OH Extension campus, Boyd Dining hall/Campus market & Scripps/Schoonover Center for Communication
- Increases for Improvements other than Buildings, i.e., infrastructure, of $7.4 million
- Increases for buildings of $39.6 million, this included the Tupper, Lindley, Bromley & Alden renovations
- Moveable Equipment, Furniture, library books increases (net of retirements) of $4.5 million
- These are offset by accumulated depreciation increases of $33.3 million

Other Assets - $2.4M increase
- Primarily caused by the change in prepaids which are up $2.6 million

Deferred Outflows of Resources-Deferred charge on refunding - $0.4M decrease
- This is related to the amortization of the refinancing of prior bonds
• This increase was partially offset with an allowance for bad debt for Tech Transfer and real-estate accounts.

Accounts Payable & Accrued Liabilities & Other - $3.9M decrease
  • The majority of the decrease is related to a more efficient student refund process
  • Also included in this category are large decreases to construction escrow deposits

Unearned Revenue - $.8M decrease
  • This decrease is related to the timing of summer session tuition

Net Pension Liability - $349M increase & Deferred Inflows of Resources-GASB 68 - $16M increase
  • This totals $365.1 million related to the adoption of GASB

Bonds and Notes Payable-net of discount and premium - $229.6M increase
  • $250 million increase due to issuance of Century Bond
  • Principal payments for previous bond issues offset the Century Bond increase
Ohio University and The Ohio University Foundation
Statements of Net Position
For the fiscal years ended June 30, 2014 and June 30, 2015
*Unaudited*

<table>
<thead>
<tr>
<th>(in millions $)</th>
<th>Ohio University</th>
<th>The Ohio University Foundation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>June 30, 2014</td>
<td>June 30, 2015</td>
</tr>
<tr>
<td>Cash &amp; Cash Equivalents</td>
<td>103.0</td>
<td>65.7</td>
</tr>
<tr>
<td>Restricted Cash &amp; Cash Equivalents</td>
<td>100.6</td>
<td>14.3</td>
</tr>
<tr>
<td>Investments</td>
<td>328.9</td>
<td>579.6</td>
</tr>
<tr>
<td>Capital Assets-net of depreciation</td>
<td>765.8</td>
<td>905.6</td>
</tr>
<tr>
<td>AR and Other Assets</td>
<td>85.2</td>
<td>87.6</td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td>$1,383.5</td>
<td>$1,652.8</td>
</tr>
<tr>
<td>Deferred Outflows of Resources-Deferred charge on refunding</td>
<td>3.1</td>
<td>2.7</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</strong></td>
<td>$1,386.6</td>
<td>$1,655.5</td>
</tr>
<tr>
<td>Accounts Payable &amp; Accrued Liabilities &amp; Other</td>
<td>106.7</td>
<td>102.9</td>
</tr>
<tr>
<td>Unearned Revenue</td>
<td>34.9</td>
<td>34.1</td>
</tr>
<tr>
<td>Net Pension Liability</td>
<td>-</td>
<td>349.1</td>
</tr>
<tr>
<td>Bonds and Notes Payable-net of discount and premium</td>
<td>332.9</td>
<td>562.6</td>
</tr>
<tr>
<td><strong>Total Liabilities</strong></td>
<td>$474.5</td>
<td>$1,048.7</td>
</tr>
<tr>
<td>Deferred Inflows of Resources-GASB 68</td>
<td>-</td>
<td>16.0</td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES AND DEFERRED INFLOWS OF RESOURCES</strong></td>
<td>$ -</td>
<td>$16.0</td>
</tr>
<tr>
<td>Restricted - Expendable &amp; Nonexpendable</td>
<td>62.0</td>
<td>54.1</td>
</tr>
<tr>
<td>Unrestricted &amp; Net Investment in Capital Assets</td>
<td>850.1</td>
<td>536.7</td>
</tr>
<tr>
<td><strong>Total Net Position</strong></td>
<td>$912.1</td>
<td>$590.8</td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES DEFERRED INFLOWS OF RESOURCES AND NET POSITION</strong></td>
<td>$1,386.6</td>
<td>$1,655.5</td>
</tr>
</tbody>
</table>
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Risk and Insurance Program Report FY 2015

This report is prepared annually by the Department of Risk Management and Safety to inform the Board of Trustees of the status of the Insurance Programs at OHIO.

The report to the Board of Trustees provides a summary of insurance and major claims activities at OHIO to include costs.

The FY2015 Risk and Insurance Program Report highlights include:

- Total property and casualty insurance costs were relatively flat, with only a 1.4% increase due to new acquisitions, from $1,126,729 in FY 14-15 to $1,142,445 for FY 15-16;
- OHIO’s significant property loss experience for the past 10 years remains comparatively low; having endured 3 losses resulting in insurance claims (Grover, 2006; Clippinger, 2011; and Lausche, 2013); and 1 loss for which no insurance claim was made (Porter Hall, 2014).
- OHIO’s involvement with the Inter-University Council Insurance Consortium (IUC-IC) continues to have a positive, significant impact on cost control and risk sharing.

OHIO’s continued emphasis on loss prevention supports both the realization of considerable savings and our risk profile.
<table>
<thead>
<tr>
<th>Basic Coverage Description</th>
<th>2014 Premium</th>
<th>2015 Premium</th>
<th>% Change*</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROPERTY -</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Boiler &amp; Machinery; auto physical damage; engineering/ administrative fees, etc.</td>
<td>$690,933</td>
<td>$663,201</td>
<td>(4)</td>
<td>Impacted by, but not exclusively, market &amp; acquisitions.</td>
</tr>
<tr>
<td>CASUALTY INSURANCE -</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Broad spectrum coverage against legal liability arising from injury and/or damage to property and/or others.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crime:</td>
<td>$12,442</td>
<td>$13,131</td>
<td>5.5</td>
<td>Renewal rate experienced a market increase.</td>
</tr>
<tr>
<td>Foreign:</td>
<td>$6,459</td>
<td>$5,908</td>
<td>(8.5)</td>
<td>Reflects single coverage line.</td>
</tr>
<tr>
<td>Medical Malpractice:</td>
<td>$28,515</td>
<td>$28,818</td>
<td>1.06</td>
<td>University program for select insured shown, only.</td>
</tr>
<tr>
<td>Educators Legal Liability:</td>
<td>$273,252</td>
<td>$266,705</td>
<td>(2.4)</td>
<td>Total program costs.</td>
</tr>
<tr>
<td>Study Abroad:</td>
<td>$52,000</td>
<td>$52,000</td>
<td>None</td>
<td>Represents estimated totals.</td>
</tr>
<tr>
<td>Intercollegiate Athletics:</td>
<td>$351,253</td>
<td>$339,406</td>
<td>(3)</td>
<td>New carrier, zero deductible program.</td>
</tr>
<tr>
<td>OTHER - Selected insurance.</td>
<td>-$288,125</td>
<td>-$226,724</td>
<td>21</td>
<td>*Balance of remaining premiums.</td>
</tr>
<tr>
<td>Total</td>
<td>$1,126,729</td>
<td>$1,142,445</td>
<td>1.4</td>
<td></td>
</tr>
</tbody>
</table>
Preface

Risk Management’s proactive work continues toward attainment of a mature, sustainable Enterprise Risk Management system, which also considers OHIO’s Responsibility Centered Management and related goals, in order that the strategic objectives of the University are accomplished and maintained. Risk Management plays an ever-important role in coordinating all of the activities of Ohio University to prevent losses from occurring, and in transferring risk through such key mechanisms as insurance, so as to minimize the adverse effects of losses on the University community.

Insurance Market Highlights

Recent market conditions reported indicate higher education (HE) markets remain stable and competitive. Buyers’ markets also indicate that more carriers are interested in writing HE risks, while the capacity to do so is considered strong. Despite concerns of some rating agencies about the US markets, HE markets remain well capitalized, according to most brokerage houses, as an industry with few insurers in peril. The IUC-IC carriers hold very high to highest prime ratings with market underwriting capacity which meets the industry minimums upwards of $10MM.

There is increased casualty risk focus on ERM (Enterprise Risk Management); particularly coordination of business continuity, emergency preparedness, crisis response management, employment practices, and student health services. Traumatic Brain Injury (TBI), Cyber Risks, Communicable Disease retentions are equally at the forefront of concern from an institutional, as well as underwriting viewpoint, as exposures in this area continue to impact litigation risks. Property coverages are stabilized throughout, in consideration of aviation and weather related losses incurred over the past 18 months.

Casualty markets on a global scale experienced cost increases that have had an impact on the Inter-University Council Insurance Consortium (IUC-IC). The IUC-IC members’ decision to adjust retention levels to improve reserve sufficiency continues to afford greater protection to the pool. OHIO’s
comparative loss experience in this area over the immediate past term, however, remained insignificant. As in previous terms, agreed value adjustments and investment/protection options account for premium fluctuations. For IUC-IC coverages the overall property and casualty plan renewal for 2015 resulted in premiums of $1,142,445, a 1.4% cost increase over the previous 2014 term; the renewal is considered flat, and accounts for negotiated savings discussed in the property coverage section. With placement of new coverage options Athletics student health insurance costs show vast improvement over the past 24 months, with a 3% decrease in premium from 2014 to $339,406 in FY2015. (Ref. Premium – Percent Change Overview).

Self-Insurance Program

Self-Insurance continues to be a cost-effective alternative since inception in 1999. This is because first-dollar (typical no deductible or retention) insurance for the property, liability, vehicle, and professional liability risks inherent to such a major teaching and research institution as OHIO continues to be a significantly more costly option. The University realizes savings in insurance costs by retaining large deductibles for both property and liability insurance. The lower costs of primary insurance layers allows the University to increase its overall limits of liability in order to achieve better protection from larger, catastrophic events.

The IUC-IC, comprised of thirteen public State of Ohio universities, including OHIO, was formed for purposes of sharing risk. OHIO purchases insurance and pools risk through the IUC-IC for exposures that remain after all reasonable risk control measures have been pursued and the magnitude of the threat as well the potential for loss warrants the purchase.

Property Insurance

Property insurance protects University buildings, boilers and machinery from such losses as fire, earthquake, flood, lightning, windstorm, hail, smoke, riot, damage caused by vehicles or aircraft, sprinkler leakage, vandalism and terrorism, all subject to the terms of the policy and a $100,000 deductible. After our self-insured retention of $100,000, the University’s policies provide for replacement cost coverage up to limits of $100 million dedicated to the University, and an additional $900 million shared with the other IUC-IC member universities.
Through the IUC-IC, the University’s property policy provides limits of $100,000,000 per occurrence and annual aggregate for flood coverage subject to the program deductible of $100,000 payable by the University and up to $350,000 including $250,000 IUC-IC pool coverage; except $25,000,000 per occurrence and in the aggregate annually for structures situated wholly or partially within a location identified as a Special Flood Hazard Area (SFHA) by the Federal Emergency Management Agency (FEMA). The one hundred year flood/SFHA deductible is subject to $500,000 for buildings, $500,000 for Contents, and $350,000 for Business Interruption, with a maximum deductible of $1,350,000. OHIO elects to purchase $15,000,000 excess of the IUC-IC limit of $10,000,000, with regard to SFHA coverage.

Total insurable property values currently exceed $2.7 billion, and this coverage includes a 2014 business interruption valuation of $4.5M. Our renewal rate is reported as 2 cents per $100 of value, and remains relatively unchanged from the prior fiscal year. At the 2015 renewal, Property insurance premium costs dropped approximately 4% from $690,933 in 2014, to $663,201, due, in part to stabilized values for all scheduled properties. A one-term arrangement for no inflation factors is purported to facilitate and offset appraisal costs, as agreed to by IUC-IC membership. The counter-effects of these considerations, including the noted costs associated with market conditions, along with new acquisitions and construction have been effectively negated as the appraisal process ensues.

Crime coverage is intended to protect the University from the theft of money and limits of $5 million are subject to a deductible of $100,000. The 2015 renewal premium for this protection however increased nearly 6% to $13,131, from a prior $12,442 premium in 2014.

Liability Insurance

The University’s liability coverage protects against negligence and alleged negligent acts and omissions of employees or other University agents that result in bodily injury (including loss of life) or property damage to the property of others, subject to the terms of the policy. Limits of liability are $50 million, and the deductible is $100,000.
Foreign liability coverage protects employees and students while traveling abroad, and total program costs were down, roughly 9% from the prior term, with a premium of $5,908 at the 2015 renewal. Total FY2015 premium costs for Foreign Liability, International SOS, and Special Accident coverage for travel by over 823 study abroad program participants is $12,571.

Medical malpractice insurance is purchased by the University and offers such coverage as risks associated with the operation of Campus Care, including counseling and psychiatric services. Coverage is provided up to limits of $1 million, with a $25,000 deductible. Presently, the Ohio University Heritage College of Osteopathic Medicine and University Medical Associates maintain a separate medical malpractice insurance program. The Doctor’s Company provides a claims made insurance policy offering $1,000,000 per claim/$3,000,000 aggregate limits, to protect against claims made against all professional staff.

Aviation insurance protects the University with respect to the operation of corporate aircraft, the airport, and the flight training program. In the prior year this program was extended in order to align term renewal dates with the University’s fiscal year. The subsequently marketed program was awarded to a new supplier, effective at the 2015 renewals; and the total renewal premium, plus administration fees resulted in a 40% decrease over the prior term: The 2015 aviation program total premium was decreased from $159,507 in 2014 to $96,181.

**Educator’s Legal Liability Insurance**

Ohio University purchases Educator's Legal Liability coverage from commercial insurers in order to provide protection to its trustees, officers, and employees against claims of wrongful acts, defined as any breach of duty, neglect, error, misstatement or omission. Policy limits for this coverage are $30 million and there is a $100,000 deductible. Liability coverage is written through General Reinsurance Corporation, United Educators and National Surety Corporation. Total casualty transfer premium, which includes the aforementioned, along with commensurate excess, and Shared Excess for the 2015 renewal was 2.4% lower, at $266,705; compared to $273,252 for the previous year term.
Specialized Insurance

A few University departments continue to purchase insurance in order to bolster the effectiveness of their various missions, for example:

- The Office of Global Affairs arranges for the provision of North American quality insurance and healthcare to students and faculty when outside of the United States. Costs assessed against those participating in education abroad Access programs were approximately $52,000 in the last 12 months; this department also procures political evacuation coverage, which provides for the prompt departure of students and faculty from dangerous or life threatening situations. International SOS provided related services last term for a total of $6,663.

- Intercollegiate Athletics maintains medical insurance which provides coverage for up to 670 student athletes participating in 19 covered sports activities. This secondary insurance policy covers expenses associated with all athletic related injuries covered by the NCAA catastrophic injury policy. The athletic department policy will only serve as primary in situations in which a student-athlete is uninsured or insured through the University’s UHC. In 2014, the department elected to move to a zero dollar deductible policy. The policy includes available limits of up to $1M and effects greater control over coverage costs for qualified reportable injuries. The 2015 premium for this zero deductible insurance was 3% less than the previous year, or $339,406, (Ref. Premium Percent Change Overview).

- The Kennedy Museum and the Multicultural Arts Center each purchase property insurance for traveling and loaned exhibits provided by outside organizations; combined premium costs for these policies totaled $1,500, in FY2014.

- The Ohio University Inn currently purchases property and casualty insurance through the Pyramid Hotel Group to protect its facility and operations. Prime coverage includes All Risks property, with limits of up to $500,000,000 per occurrence and sub-limits of $100,000,000 per occurrence and in the aggregate for boilers, machinery, earthquake, and flood. Deductibles for most exposures under this coverage are $25,000, except for flood, which is subject to a $100,000 deductible/FEMA-SFHA $500,000 deductible. No deductible General liability coverage limits are $1M/$2M and other liability coverages include environmental, auto, Workers Compensation/Employers, employment practices; there is also crime coverage and a per
location umbrella/excess policy per pool member location. The 2015 premium is $30,449; an estimated $16K savings over the prior term.

Worker’s Compensation Coverage

The Risk Management and Safety department assessed this program and applied on behalf of OHIO for self-insured status, which was granted by the Ohio Bureau of Worker’s Compensation, and became effective January 1, 2013.

Claims Experience

The October 2013 equipment failure loss experienced by the Lausche Heating Plant is one of two significant losses to have occurred within the past 24 months. Reserves for the maximum loss expectancy, though initially established for this loss at approximately five hundred thousand dollars, were downward adjusted as the claim developed, and was ultimately settled at roughly $198K. See Figure 1 (below).

Property Claims and Losses

To date, OHIO’s property loss experience remains comparatively low, amongst peer IUC-IC institutions. The largest singular property loss occurred nearly 10 years ago, and was due to a flood in 2006, at Grover Center; this loss exceeded $1MM, and is OHIO’s sole property loss above $500,000 in value for the period. A total of four (4) property losses have exceeded the $100,000 property coverage deductible: In years 2006 (Grover Center-Flood); 2011 (Clippinger-Fire); 2013, (Lausche Heating Plant-Fire); and most recently the discovery on December 31, 2014 of a water leak at Porter Hall, causing damage totaling $142,315. Figure 1, below reflects this loss experience with values exceeding our deductible retention. As the loss development during 2015 for Porter presently totals just over 30% excess of OHIO’s deductible no claim has been submitted to the IUC-IC for handling or reimbursement.
Liability Claims

OHIO’s comparative experience has been low versus the IUC-IC. During only four of the past ten years were totals for liability claims in excess of $100,000, and in just one of those years the total exceeded $500,000. Our legal counsel’s aggressive defense of lawsuits brought against the University continues to have a significant, favorable impact on our overall experience. Recorded totals for each year include amounts for both claim payments and case reserves; and for 2014, the University’s liability losses fell within the first layer of retention for the same period. These losses, amounting to $3,985 were within the $100,000 deductible. See below in Figure 2.

Fig. 2- Liability Claims
Conclusion

Risk Management and Safety continuously seeks to conserve funds while improving coverage and creating long term partnerships, in order to hold down costs. With respect to current claims management strategy our association with the IUC-IC pool has proven to be a cost effective relationship; this affords us the opportunity to participate in the group purchase of insurance at a reduced cost, and to share risk in a mutually beneficial manner. Our emphasis on loss prevention continues to demonstrate realization of considerable savings; the University continues to improve its risk profile and risk management practices whenever possible.
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Annual Clery Act Compliance – Fire Safety Report

This report is prepared annually by the Department of Risk Management and Safety to meet the requirements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998.

This report to the Board provides a summary of Campus Fire Safety overall, specific OHIO residence hall fire safety programs, and a brief look at the university’s history of fire losses.

The 2015 Annual Fire Safety Report highlights:
- Fire safety education, training, and fire drills
- Fire emergency procedures
- Fire statistics for 2013, 2013, and 2014
- Residence hall fire safety
- 2014 Residential Housing Fire Statistics Summary
  - 3 fires reported as intentional in Residence Halls
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FROM RISK MANAGEMENT AND SAFETY

Thank you for taking the time to read this year’s annual fire safety report. This report, prepared annually by the Department of Risk Management and Safety, is provided to meet the requirements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998 and includes statistics for reported fires in campus operated student housing facilities.

You may obtain a copy of this report by contacting Risk Management and Safety at (740) 593-1666 or by accessing the following web site:

http://www.ohio.edu/riskandsafety/ehs/fire/clery_fire_report.htm

The Department of Risk Management and Safety is charged with promoting a safe learning, working, and living environment for the University. Our health and safety programs provide services and guidance to campus students, faculty, staff, and visitors.

Our department provides a wide array of safety related services including programs in:

- Fire Protection
- Research and Laboratory Safety
- Industrial Hygiene
- Environmental Compliance
- Occupational Safety and Health
- Risk Management
- Emergency Management
- Radiation Safety
- Worker’s Compensation
- Sanitation and Pest Control

Annual Clery Act Security Report

You may obtain a copy of this report by contacting the Ohio University Police Department at (740) 593-1911 or by accessing the following web site:

OVERVIEW

The “Higher Education Opportunity Act” (Public Law 110-315) became law in August, 2008, requiring all United States academic institutions to produce an annual fire safety report outlining fire safety practices, standards, and all fire-related on-campus statistics related to student housing. The following public disclosure report details all information required by this law as it relates to Ohio University as outlined in the initial regulation; subsequent yearly reports will comply with the act as amended.

SCOPE

The annual Fire Safety Report is for the Ohio University campus located in Athens, OH.
DEFINITIONS

- **On-campus student housing facilities** – student housing facilities that are owned or controlled by Ohio University, or are located on property that is owned or controlled by Ohio University, and is within the reasonably contiguous geographic area that makes up the Ohio University campus in Athens, OH.

- **Fire** – any instance of open flame or other burning in a place not intended to contain the burning or in an uncontrolled manner.

- **F/A -Fire Alarm System** – a central, building-wide alarm system that provides fire detection through the use of smoke and heat detectors, monitors fire suppression systems, sounds building-wide evacuation alarms, and is monitored by the Ohio University Police Department.

- **S- Fire Sprinkler System** – water based automatic fire suppression system.

- **S/A - Local Smoke Alarm** – a device that contains a smoke detector and an integrated audible alarm. When activated the local smoke alarm sounds an audible alarm but does not activate the facility fire alarm system and or send an alarm signal the Ohio University Police Department.
ON-CAMPUS HOUSING FIRE SAFETY EQUIPMENT

At Ohio University, all forty-three of our residence halls are protected by fire detection and alarm systems which are centrally monitored 24 hours a day, seven days a week. The buildings are also equipped with either emergency generators or lighting fixtures that incorporate backup batteries which automatically activate to assure adequate egress lighting in hallways and emergency exit stairwells. Eight of our residence halls have full sprinkler systems. All fire safety systems and equipment are strictly maintained and tested in accordance with applicable national standards. A summary of the fire protection systems present in each residence hall is provided in Appendix A.

FIRE SAFETY EDUCATION, TRAINING AND FIRE DRILLS

Upon request, all on-campus residents, including those with special needs, receive intensive and comprehensive fire safety training at the beginning of each semester. Each resident is required to review and comply with the requirements outlined in Ohio University Student Housing Handbook, which includes information on fire safety and what appropriate action to take during a fire alarm or fire emergency. There is an emergency evacuation map posted on each floor to direct occupants to primary and secondary exits.

Fire drills are conducted each semester in all of the occupied residence halls in coordination with Ohio University’s office of Environmental, Health and Safety. Fraternity and sorority houses that are located in Athens must follow the same procedures that apply to residence halls.
SPECIFIC FIRE PREVENTION RELATED POLICIES AND PROGRAMS

For more detailed information on the following please visit: http://www.ohio.edu/riskandsafety/ehs/general/resources.htm#fire.

- **Policy 44.105: Fire Emergencies**, affirms procedures that students must evacuate the building upon fire alarm activation and outlines the role of staff members in overseeing evacuation procedures and reentry into the building when authorized. This policy is intended to prevent injury, loss of life, and property damage from fire emergencies. http://www.ohio.edu/policy/44-105.html

- **Policy 44.109: Safety Management**, ensures systematic integration of safety and environmental considerations into all university activities. This policy applies to all members of the university community and also to contractors whose work is directed on a day-to-day basis by university employees. http://www.ohio.edu/policy/44-109.html

- **Policy 44.113: Smoking**, prohibits smoking in all Ohio University buildings; on appurtenant rooftops and terraces; in public buildings directly and indirectly under the control of Ohio University; and within 10 feet of Ohio University buildings, including windows and ventilation intake openings. This policy provides an Ohio University smoking policy in compliance with Ohio Smoking Law, Chapter 3794 of the Ohio Revised Code, effective date December 7, 2006, and with the Ohio Fire Code provisions on Smoking, Section 310. http://www.ohio.edu/policy/44-113.html

- **Tobacco Free Initiative**, Ohio University will provide a smoke and tobacco-free environment for all members of the University community. This includes employees, students, visitors, volunteers, patients, and customers. For purpose of this policy, the university is defined as facilities, property and grounds used to carry out the mission of the university. https://www.ohio.edu/tobacco-free/policy/index.cfm
Policy 42.501: Decorations in University Buildings, states that all room furnishings and/or decorations and the decorating of public spaces is strictly controlled, additional limitations on the use of flammable and combustible materials for decorations in both residence rooms and common areas. This policy establishes the conditions for safe use of decorations in university buildings, including classroom, administrative, and residence buildings.
http://www.ohio.edu/policy/42-501.html

The Ohio University Student Housing Handbook which is part of the housing contract, limits the types of electrical appliances allowed in residence halls, establishes expectations for compliance with drills and training, provides for periodic health and safety inspections of residence rooms, affirms limitations on materials that may be stored in resident rooms, prohibits open flames without a permit, limits the use of combustible decorations/furnishings, and defines the consequences if students violate university policies and programs. Specifically:

- Electrical appliances such as electric stoves, George Foreman-type grills, toaster ovens, toasters, crock pots, sandwich makers, space heaters, hot plates, and other open coiled appliances are not permitted in residence hall rooms. No extension cords of any type are permitted, and halogen bulb lamps and high intensity lamps are prohibited.

- Items that require an open flame, operate on fuel, or produce heat (such as Bunsen burners, lit candles, incense, and alcohol burners) are prohibited.

- Student rooms, common areas, storage, and mechanical areas are subject to regular inspection by the Ohio Fire Marshal’s Office, Environmental Health and Safety personnel, and Student Programs staff. In addition, resident room inspections are conducted once per semester by hall staff in order to identify any health or safety concerns. Violations of fire and life safety policies are subject to university judicial action and appropriate sanctions.

- Anyone found causing a false fire alarm, tampering with fire-safety equipment, or not properly evacuating during a fire alarm will face arrest and/or judicial referral.

- Ohio University’s Fire Safety program establishes requirements for periodic fire safety inspections of all university buildings, including residence halls; provides for periodic training for employees and students on basic fire
safety; affirms conditions that must be maintained in all university properties to comply with the Ohio Fire Prevention Code; and, establishes requirements for the permitting, approval and inspection of hot work, use of open flames/burning, pyrotechnics and special effects, and temporary facilities, tents and stages.

SPECIFIC EHS PROGRAMS AND PROCEDURES

- **Resident Life Fire Safety** - Fire Safety is taken very seriously at Ohio University. It is customary that your hall will conduct a fire drill. Please comply fully with the building evacuation and re-entry procedures during these drills. Any time you hear a fire alarm, pick up your keys, lock your door, and leave the building immediately. Never use the elevator. Take the time to learn where the fire alarms and exit routes are from any room in your building (you won't always be in your own room when the alarm sounds or when you spot smoke or flames). If you encounter smoke or flames in the building, pull the nearest fire alarm, leave the building immediately, and call 911.

- **Resident Life Electrical Safety** - Very few of our residence hall rooms have a sufficient number of electrical wall outlets to accommodate all of the appliances which you'll have with you or be in locations which will be most convenient to your chosen room layout. Therefore, when you are trying to be creative, please follow the electrical safety "do's" and "don'ts".

- **Space Heaters** - The Ohio University recognizes that individuals have different levels of comfort associated with temperature and heat. The use of electric space heaters as a temporary measure is permitted, if guidelines are followed.

- **Recreational Fires** - EHS requires a permit for recreational or ceremonial fires. For permits call 593-1666. Please allow ten (10) days to process. Compliance must be met for the Athens City Fire Department Burn Law (effective 8/29/06).

- **Multi-outlet assemblies (power strips)** - Power strips should be properly secured to a permanent surface, equipped with fuse or circuit breaker, energized from a permanent outlet, grounded 3-wire type, and UL approved.
• **Extinguisher Training** – Training is offered any time, please contact the Department of Environmental Health & Safety at 593-1666 if you would like to practice using a fire extinguisher or to set up a training class.

• **Nuisance Fire Alarms** - Fortunately, the cause of most fire alarms is not fire, but something else. Causes can be accidental (somebody bumping into a fire alarm device, a worker spray painting, sawing/sanding wood, or welding too close to a detector), unintentional (dust or insects the detector sees as smoke, or a smoke detector too close to a kitchen area, or water that leaks into a detector), mechanical (a malfunctioning system--usually when a new system is being installed, an electrical storm, or a faulty wire), or malicious (intentionally setting off the alarm). Learn more about [How To Live With Your Fire Alarm System](#).

• **Fire Drills** - Fire drills will be conducted three times a year, occurring during the academic session. Drills are conducted for each of the 43 residence halls by Ohio University staff. EHS keeps records of these drills as well as those reported by off campus [Greek Chapter Houses](#).

• **Prevention and Inspection Programs** - Environmental Health and Safety conducts a fire drill during the first two weeks of the academic session at each residence hall. Random fire safety inspections are made weekly throughout the Ohio University campus by Residence Life staff. Fraternities and sororities are inspected by EHS.

• **Building Construction and Alarm Systems** - Some residence halls are equipped with fire department standpipes, hoses, and some have sprinkler systems. Each residence hall is equipped with a fire alarm system that includes manual pull stations, horns and strobe lights. All rooms contain smoke detectors, either single or multi-station (interconnected to the fire alarm panel). The fire alarm and sprinkler systems are inspected and tested according to code requirements and fire extinguishers are scheduled to be inspected monthly per code.

• **Fraternity & Sorority Inspection** - Ohio University has a special relationship with fraternity and sorority chapters. As part of that special relationship, the university allows sophomore students to be exempted from the on-campus housing policy. In order to maintain this exemption, chapters must comply with certain rules and expectations.
- **Tents, Canopies, Football, & Outdoor Events** - The state of Ohio requires a permit for all tents and membrane structures (air inflated or frame covered structure) over 200 square feet, and canopies (open sides at least 75%) over 400 square feet. Please visit the following sites for specific requirements.

  - [Tent/Canopy Permit Policy](#)
  - [State of Ohio Tent/Canopy Permit](#)
  - [Tent/Canopy Application Explanation and Guidelines](#)
  - [Assembly Events Inspection Requirements](#)

- **Tent & Canopy Use Permit Forms** - A $75 permit is required for tents, canopies, and membrane structures available from the [Ohio Department of Commerce Forms](#).

These permits are not processed by Ohio University, but by the Ohio Department of Commerce, Code Enforcement. Please allow at least 1 week for processing. Send permits to:

The Ohio Department of Commerce  
Division of State Fire Marshal  
8895 East Main Street  
Reynoldsburg, OH 43068  
(614) 752-8200  
Fax: (614) 728-5168
FIRE STATISTICS

The number and cause of each fire in each residence hall is summarized in Appendix B. There were no reported fire-related injuries or fatalities in residence halls during calendar years 2012 through 2014.

FIRE REPORTING

The Ohio University Police Department monitors the status of all fire detection and fire suppression systems in residence halls. If a fire has occurred it must be reported to the Ohio University Police Department by calling (740) 593-1911 (non-emergency) or 911 (emergency). The Ohio University campus fire log is available for viewing upon request in the lobby of the EHS Department M-F, 8:00am to 5:00pm.

PLANS FOR FUTURE IMPROVEMENT

Ohio University maintains a prioritized list of projects to upgrade older fire systems, enhance the capabilities of existing systems, or install new fire safety systems in existing buildings.

FIRES AND EMERGENCIES

Report on-campus fires to 911 and activate the building fire alarm using a manual fire alarm pull-station.

** All fires, including those that have been extinguished, must be reported to Ohio University Police.

Report all other emergencies to the Ohio University Police Department by one of these methods:

- Call 3-1911 from any campus phone
- Call (740) 593-1911 from a cellular or off-campus phone
- Use a Code Blue Telephone or other emergency telephone
EMERGENCY PROCEDURES

Ohio University has published an Emergency Response Guide to help members of the Ohio University community properly respond to emergencies on campus. The current version of the guide can be found at the Ohio University Emergency Programs web page:

http://www.ohio.edu/riskandsafety/emergencyprograms/responses.htm

EVACUATION PROCEDURES

All persons are required to evacuate from and exit the building any time: the fire or evacuation alarm sounds; an evacuation announcement is made; or a University official orders you to evacuate.

When evacuating, remember to:

- Close any open windows in your room
- Take jackets or clothing needed for protection from the weather
- Feel the top of your door for heat before opening it
- Stay low and open the door slowly checking for signs of smoke or fire in the corridor
- Lock your room door behind you as you leave
- Proceed quickly to the nearest exit
- Move away from the building and to your floor’s meeting location
- If you have information about the emergency then report it to emergency responders
- If you are unable to exit the building due to a disability or fire conditions, take refuge to a safe location and call 911. If possible, signal out a window to emergency responders.

SMOKE DETECTORS
All on-campus student housing rooms are equipped with local smoke alarms that when activated will sound an in-room audible alarm. Many smoke alarms are connected to the building fire alarm system for power and monitoring purposes. Some in-room smoke alarms do not sound a building-wide alarm and do not send an alarm signal to the Ohio University Police Department. In-room smoke alarms are designed to alert room occupants.

**REPORTING MALFUNCTIONING LOCAL SMOKE ALARMS**

Report malfunctioning smoke alarms to the Ohio University Police Department by calling (740) 593-1911 at any time, day or night.

Never cover, remove, or tamper with smoke alarms or other fire protection equipment.

**OHIO UNIVERSITY FIRE SAFETY PLAN**

The current Ohio University Fire Safety Plan is shown on the next page. This fire safety plan is applicable to all campus facilities, including on-campus student housing facilities.
IN CASE OF FIRE EMERGENCY
Ohio University Policy 44.105: Fire Emergencies

When the Fire Alarm Sounds

1. Evacuate the building immediately via the nearest available exit. Go to a location out of the path of emergency response vehicles, away from fire hydrants, approximately 50 feet away from the building, and account for the people in your group. If you know someone is unable to evacuate the building, you should relay that information to 911.

2. If you cannot evacuate the building due to mobility impairment, the intensity of the fire, or smoke, then "Shelter in Place" by:
   a. closing the doors to the room you are in;
   b. calling 911 to give your location and information;
   c. stopping up cracks (e.g., with wet towels) to block smoke;
   d. open windows to the outside for fresh air; and staying next to the floor to avoid breathing hot gases and smoke.
   e. Wait until help arrives.

3. In order to slow the spread of the fire, doors, and if possible, windows, should be closed as the last person leaves a room or area during the evacuation of the building.

4. Do not use elevators, use the building's stairwells.

5. Do not return to your room until the all clear signal is given by the Ohio University Police Department ("OUPD"), or the Athens Fire Department, or — in the case of a fire drill — Environmental Health and Safety ("EHS").

If You Discover a Fire

1. Call 911.

2. Assist any person in immediate danger to safety, if that can be accomplished without risk to you or other persons.

3. Do not try to fight the fire yourself; call 911 and be prepared to give your name, location, and fire information. If the fire is small enough and you have been trained, you may use a nearby fire extinguisher to control and extinguish the fire after calling 911.

4. Immediately activate the building fire alarm system by pulling a manual fire alarm pull station on your way out of the building if the building alarm is not already sounding. In all residence halls and many other buildings this will automatically notify OUPD and the fire department and get help on the way. The Stopper II device which covers the pull station will sound a local alarm when opened. Do not mistake this for the actual fire alarm. After opening this cover, the actual pull station must be pulled to sound the fire alarm.

5. If you cannot evacuate the building, then shelter in place, as described in item 2 of subsection I, above.

6. Never reenter a building after a fire without permission from the Athens Fire Department or OUPD.
## Residence Halls

<table>
<thead>
<tr>
<th>Residence Hall Address</th>
<th>Residence Hall</th>
<th>Fire Alarm System</th>
<th>Fire Sprinkler System</th>
<th>Fire Extinguishers</th>
<th>Standpipe System</th>
<th># of evacuation drills conducted each academic year</th>
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All Residence Halls are equipped with room smoke detectors.

** Smoke detectors report to fire panel.

* Stand alone smoke detectors.
## Appendix A: Residence Hall Fire Safety Equipment

<table>
<thead>
<tr>
<th>Residence Hall Address</th>
<th>Fire Alarm System</th>
<th>Fire Sprinkler System</th>
<th>Fire Extinguishers</th>
<th>Standpipe System</th>
<th># of evacuation drills conducted each academic year</th>
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* Stand alone smoke detectors
** Smoke detectors report to fire panel

All Residence Halls are equipped with room smoke detectors.
# Appendix A

## Residence Hall Fire Safety Equipment

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<tr>
<th>Residence Hall</th>
<th>Address</th>
<th>Fire Alarm System</th>
<th>Fire Sprinkler System</th>
<th>Fire Extinguishers</th>
<th>Standpipe System</th>
<th># of evacuation drills conducted each academic year</th>
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All Residence Halls are equipped with room smoke detectors

* Stand alone smoke detectors

** Smoke detectors report to fire panel
## Appendix B

### 2014 Ohio University Residence Hall Related Information for Fire Safety and Statistics

<table>
<thead>
<tr>
<th>Residence Hall</th>
<th>Address</th>
<th>Total Fires in Each Building 2014</th>
<th>Date Fire Reported</th>
<th>Date &amp; Time of Fire</th>
<th>Classification of Fires</th>
<th>Injuries</th>
<th>Deaths</th>
<th>Property Damage</th>
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## Appendix B

### 2014 Ohio University Residence Hall Related Information for Fire Safety and Statistics

<table>
<thead>
<tr>
<th>Residence Hall</th>
<th>Address</th>
<th>Total Fires in Each Building 2014</th>
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## Appendix C

### 2013 Ohio University Residence Hall Related Information for Fire Safety and Statistics

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### Appendix C

#### 2013 Ohio University Residence Hall Related Information for Fire Safety and Statistics

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# Appendix D

## 2012 Ohio University Residence Hall Related Information for Fire Safety and Statistics

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## Appendix D

### 2012 Ohio University Residence Hall Related Information for Fire Safety and Statistics

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<tr>
<th>Residence Hall</th>
<th>Address</th>
<th>Total Fires in Each</th>
<th>Date Fire Reported</th>
<th>Date &amp; Time of Fire</th>
<th>Classification of Fires</th>
<th>Injuries</th>
<th>Deaths</th>
<th>Property Damage</th>
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Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

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

Re: Annual Clery Act Compliance Report

Included in your agenda materials is the annual Ohio University 2015 Clery Act Compliance Report prepared by the University Police Department.

This report to the board provides a summary of the required statistical reporting for the Clery Act. This year’s report summarizes statistics from 2014 and the previous two years. In addition to containing crime statistics, the Clery Report also provides information about University services, emergency procedures, and victim resources.

A change in reporting responsibility this year led to several corrections in reporting. Ohio Revised Code definitions had been being used to report out some violations instead of the narrower Clery definitions. Those corrections this year affected some of our numbers as noted below.

The 2015 report highlights:

- 2014 saw an increase in our forcible sex offense numbers. After comparing this data to self-report data collected by Student Affairs, we believe the increase is in reports made, not incidents occurring. This is consistent with what we are seeing nationally in the wake of increased awareness on this issue.
- A drop in the number of burglaries reported is due in part to the fact that the Ohio Revised Code definition of burglary had been being used as opposed to the narrower Clery definition.
- A substantial drop in the number of reported liquor law violations was also the result of definition differences between the Ohio Revised Code and Clery. The Revised Code places public intoxication while under 21 in the liquor chapter and Clery explicitly excludes all intoxication charges from being counted as liquor law violations.

If you have any questions, please let me know.
Ohio University's Clery Act Annual Security Report

Ohio University is a state-assisted institution of higher education located in Athens, Ohio, with regional campuses in St. Clairsville (Eastern), Ironton (Southern), Chillicothe, Lancaster, Cambridge, Pickerington, Proctorville, Zanesville, Dublin and Warrensville Heights (Cleveland Campus).

Ohio University is committed to assisting all members of the Ohio University community in providing for their own safety and security. This annual security report is also available on the Ohio University Police Department (OUPD) website at [www ohio.edu/police/upload/Clery_Report.pdf](http://www.ohio.edu/police/upload/Clery_Report.pdf).

Our annual security report contains information regarding campus security and personal safety including topics such as: crime prevention, local law enforcement authority, crime reporting policies, disciplinary procedures and other matters of importance related to security. This document provides statistics for the Athens and regional campuses for the three previous calendar years summarizing crimes that occurred on campus, on public property within, or immediately adjacent to and accessible from, each campus. Important law enforcement contacts, key campus offices, and local resources are provided for each Ohio University location, followed by a table summarizing statistics specific to that campus.


Annual Fire Safety Report

Ohio University's Annual Fire Safety Report is created and distributed by the Office of Environmental Health and Safety (EHS). The report can be accessed at [http://www.ohio.edu/riskandsafety/ehs/fire/clery_fire_report.htm](http://www.ohio.edu/riskandsafety/ehs/fire/clery_fire_report.htm) or picked up at the EHS office at 142 University Service Center, 49 Factory Street, Athens, OH 45701.

Campus Law Enforcement Authority

The Ohio University Police Department is a full service law enforcement agency, operating 24 hours a day, 365 days a year, located at 135 Scott Quadrangle, Athens, OH 45701. The department is staffed with 27 sworn police officers commissioned by the state of Ohio to serve and protect the University community. The department also employs 7 full time civilian personnel. Investigations of criminal conduct and violations of university policy are conducted in a timely and professional manner with prosecution and referrals to the criminal justice system or other appropriate entities when applicable. The department is also responsible for issuing timely warnings of crimes that pose a threat to the campus community. The department also works closely with other federal, state, municipal and university departments to enhance the level of law enforcement service available to the university community and to provide those who may be the victim of criminal actions or emergency situations information regarding university options available to them. The Ohio University Police Department also holds mutual aid agreements with the City of Athens Police Department and the Athens County Sheriff’s Office.

Ohio University believes that eliminating or minimizing criminal opportunities helps prevent crime. Partnerships have been established with students and employees to identify potential areas of victimization and options for appropriate response. Police officers engage in visible patrol and also present programs along with Residential Housing staff and other groups on campus to help community members reduce their chances of becoming a victim of crime.

Information for each of the Law Enforcement authorities at the regional Ohio University campuses can be found below starting on page 23.

Reporting of Criminal Activity and Other Emergencies

Procedures and Facilities to Report Criminal Actions or Other Emergencies

Students, employees, visitors and community members at any Ohio University campus are strongly encouraged to report incidents of criminal conduct, suspicious behavior or emergencies to their local law enforcement office. Emergency telephones are located at
the main entrance of all residence halls and select locations throughout the Athens campus. The phones are recognizable by the blue lights located above each phone. Emergency phones provide direct access to the Ohio University Police Department (740) 593-1911 and can be used to access other emergency services.

Confidential Reporting
Ohio University encourages anyone who is the victim of/or witness to, any crime to promptly report the incident to their local law enforcement office or another campus authority. With such information, the University can take steps to help ensure the future safety of the campus by keeping an accurate record of the number of incidents involving students. Determining where there is a pattern of crime with regard to a particular location, method, or assailant, and alerting the campus community to potential danger are also benefits of such information. Please note, because police reports are public record under state law, law enforcement offices cannot hold reports of crime in confidence. Crime reports made to Ohio University health care and mental health professionals can generally be kept confidential, although de-identified reports may be included in the annual disclosure of crime statistics. An individual may report a crime to Ohio University officials or local law enforcement for inclusion in this annual report without pursuing criminal charges.

Reported crime statistics in this document come from local law enforcement offices that have jurisdiction over campus geography as outlined by the Clery Act and from sources across Ohio University. Campus Security Authorities are members of the Ohio University community with a significant responsibility for student and campus activities that also have the authority and the duty to take action or respond to particular issues on behalf of the institution. Campus Security Authorities (CSAs) are provided with a yearly training and have access to the Ohio University CSA Crime Reporting Form at http://www.ohio.edu/police/rtk/index.cfm.

Unfounded Criminal Reports
In rare cases, crime statistics that have been reported to Ohio University for inclusion in the annual security report may be removed from this report. These reports may only be listed as "unfounded" following a law enforcement investigation and only sworn or commissioned law enforcement personnel may determine that a crime report is "unfounded." Crime reports will be properly determined to be false only if the evidence from the complete and thorough investigation establishes that the crime reported was not, in fact, completed or attempted in any manner. Ohio University discloses in this annual security report the number of "unfounded" crime reports and retains all records for these cases.

Emergency Preparedness
Ohio University recognizes the need to prepare itself for numerous emergencies that may happen at any time. Ohio University has created an Emergency Operations Plan (EOP). The EOP provides general guidance, organizational structure and specific direction on preparedness, response and communication disciplines. It is critical that we prepare for the “unexpected” events to protect the Ohio University community and the surrounding local communities. The EOP outlines University procedures for managing major emergencies that may threaten the health and safety of the campus community. Ohio University policy #44.100, Critical Incidents, provides the Ohio University policy authority for this plan. The EOP can be easily accessed by visiting www.ohio.edu/riskandsafety/emergencyprograms/emergency_resources.html.

In addition to the EOP, the University has created a Critical Incident Response Team (CIRT). CIRT is made up of numerous University stakeholders whose mission is to provide leadership to the campus community before, during and after an emergency or critical incident. CIRT members meet quarterly.

Immediate Emergency Notification
The Ohio University Police Department (OUPD) and Risk Management and Safety (RMS) work closely to monitor emergency situations on and around the Athens campus. If it is determined that there is an emergency or dangerous situation that poses an immediate threat to the health and safety of some or all members of the University community, OUPD will immediately collaborate with RMS and CIRT to determine the immediate course of action. OUPD and/or RMS have the responsibility to respond, summon the necessary resources, to mitigate, investigate and document any situation that may cause an emergency or dangerous situation in the University community. OUPD, RMS and CIRT will also work with the City of Athens and Athens County Emergency Management Agency to determine if there is an emergency or critical incident within the City or County of Athens that may pose an
immediate threat to the University community and respond immediately to those situations as well.

In the event of a critical incident or an emergency situation, the University community will be notified by the appropriate emergency notification system or systems that have been established at Ohio University and described in detail in this booklet. This notification may be issued by OUPD, CIRT or authorities at your regional campus. The emergency notification may be to a selected group or location within the University Community or it may be a notification for the entire University community, using the most appropriate notification system to disseminate the information. Alert notification will be issued immediately unless a notification, in the judgment of OUPD, other first responders or campus officials, compromise efforts to assist victims, or to contain, respond to, or otherwise mitigate the emergency. Students, faculty and staff are also encouraged to notify local law enforcement of any and all possible dangerous situations that may be occurring within the University community.

**Emergency Evacuation Procedures**

Information on critical incidents and how to respond to these different events can be found at [www.ohio.edu/emergency](http://www.ohio.edu/emergency). Students living in the residence halls at Ohio University participate in quarterly evacuation procedures and drills, which are held at the beginning of each academic semester. These evacuation and emergency/fire drills are designed to inform students of emergency exits and emergency planning for the residence halls. Environmental Health and Safety along with Residential Housing are responsible for the coordination of these drills. Residents of the halls will be notified of the drills by Residential Housing staff. The University Critical Incident Response Team (CIRT) also participates in a table top exercise at each of the quarterly meeting. These exercises are based on a wide range of emergency situations and critical incidents that may affect some or all of the University community. CIRT members use these exercises to determine the best course of actions and responses for the various incidents. The Athens campus is also active in the Athens County Emergency Management Agency drills and exercises that are held every year.

**Community Emergency Notifications**

The following methods of communication are available and may be utilized in the event of a campus emergency. The usage of these tools will be dependent upon the particular set of circumstances present during the situation or incident. Not every communication tool will be utilized in every situation. University officials, in conjunction with the Critical Incident Response Team (CIRT), may initiate the communications tools listed.

**Outdoor Emergency Notification System (Siren/PA system):**

An outdoor emergency notification system (audible siren/PA) has been installed on the Athens Campus and may be used for notifying the campus community of weather-related situations or other emergency situations as deemed necessary by the University. There are six locations where the outdoor emergency notification system will sound from (or each site may be activated independently). An outdoor emergency notification will start with the sounding of a pre-programmed tone and continue with a pre-recorded or live verbal announcement. An audible educational test of the outdoor emergency notification system occurs the 2nd Friday following the start of each academic semester.

**OHIO Alert (Voice/Text Messaging>Email/Social Media):**

Ohio University's OHIO Alert allows authorized users to send automated emergency notifications to members of all Ohio University campuses via voice message, e-mail, text messaging, and social media in situations as deemed necessary and appropriate. There will be times where this system will be used in conjunction with the campus outdoor emergency notification system and other times where it will be used with other communications or as the sole method of communications. Please also follow the OUPD Twitter account ([www.twitter.com/oupolice](http://www.twitter.com/oupolice)) and Facebook page ([www.facebook.com/pages/Ohio-University-Police-Department/110307072353088](http://www.facebook.com/pages/Ohio-University-Police-Department/110307072353088)) for information.

The University tests the emergency event notification system each semester.

**Email**

The University’s email system may be used as a mode of communication. The email system allows a more thorough explanation of the situation to be delivered to everyone’s email address at Ohio University. Instructions or protective steps may also be given through email.
Websites
The University has several opportunities to utilize the web to disseminate information in an emergency. The University's homepage (www.ohio.edu) has an emergency information link and may also be used as a standalone site used as the sole release point for emergency information.

The emergency information page (www.ohio.edu.alert) is a site where information may be posted as the emergency situation evolves. This site is a link from the University homepage and is used to update the campus community. This site links to other University sites such as OUPD, Counseling and Psychological Services and the Campus Emergency Response Guide which provides procedures to follow in an emergency i.e. evacuation, tornado, etc. This same page links to critical incident information for each of the regional campuses.

CATVision
CATVision is a year-round, 24 hour-a-day service delivered to every student bedroom, apartment and residence hall lounge on the Athens campus. The service is also provided to various academic and administrative locations on campus. Programming to all television monitors connected to CATVision can be interrupted to display an emergency message.

Campus Emergency Call-in Number
A University call-in number has been established to play a short pre-recorded announcement. The number is 740-597-1800.

Campus and Local Media
During an emergency related to campus, campus and local media outlets will be notified by University Communications and Marketing and will be updated as the situation evolves.

Policies for Making Timely Warning Reports to the Campus Community
When Ohio University considers a crime to pose an ongoing threat to the safety of the community, “Crime Alerts/Timely Warnings” are distributed throughout campus. Alerts may be issued for the following crimes: arson, aggravated assault, burglary, criminal homicide, motor vehicle theft, robbery, and sex offenses. Crime alerts may also be posted for other crimes as deemed necessary.

Monitoring and Reporting Criminal Activity at Off-Campus Locations Officially Recognized by the Institution
Each Ohio University campus maintains a close, cooperative relationship with all local, state and federal law enforcement agencies. In addition to joint education and enforcement efforts, the Ohio University Police Department works through the local city police department to monitor and record criminal activity at off-campus locations of student organizations officially recognized by the University, including student organizations with off-campus housing facilities.

ALiCE- A comprehensive response to extreme workplace violence
While Ohio University makes every effort to notify the campus community of any conceivable or active threat, there still exists the potential for a dangerous situations to evolve too rapidly to wait for notification from the Ohio University Police Department or other campus authorities. While sheltering-in-place has its time and place depending on a given situation, the Ohio University Police Department recommends that campus and community members embrace the teachings of the ALiCE program.

Why ALiCE?
Incidents involving an armed intruder are dynamic events and most people are not prepared to respond if they find themselves in that type of situation. ALiCE promotes everyone taking a more active role in their safety when facing an armed or dangerous intruder. Review and analysis of tragic active shooter situations have shown that a strict adherence to the shelter-in-place mindset can result in failure.

Alert
Get the word out. As soon as you can do so safely, notify OUPD (740-593-1911), your local law enforcement office, or emergency services by calling 911. If possible, tell others around you.
**Lockdown**
Locking down is still a good starting point and OUPD encourages campus members to have strategies in place to protect themselves from a nearby threat. Simple things like piling chairs against the door or tying the door handle closed may be enough of a lockdown that an active shooter moves on.

**Inform**
Communication and the continual flow of information keeps the shooter or active threat off balance. If you’re able to do so safely, keep in communication with those around you and with emergency services. Remain aware of what is happening around you and work together. These situations evolve rapidly and together we can increase everyone’s chances of survival.

**Counter**
When confronted by an active threat and lockdown has not worked, apply skills to distract, confuse or gain control of the situation. An active shooter is often alone, untrained, and easily overwhelmed. A small group of unarmed individuals face better odds of survival working together to take control by “swarming” an active shooter rather than remaining passive, which often only emboldens the attacker.

**Escape**
If possible, leaving an active threat situation is likely your best strategy for survival. If a building you are in catches fire and you have a safe path to escape, the smart thing to do is to leave. That same principle applies for an active shooter situation. Leaving the area reduces the number of potential targets and reduces the number of bystanders and chaos once law enforcement arrives. Plan ahead and think outside the box; for example, escaping out of a second or third story window can be eased by connecting belts or backpack straps.

The Ohio University Police Department offers training seminars on a regular and by-request basis. To schedule an ALiCE session, contact Lieutenant Eric E. Hoskinson at 740-566-7928 or hoskinso@ohio.edu. A short video found here summarizes the strategies of ALiCE with members of the Ohio University Police Department.

**Shelter-in-Place Procedures – What’s it Mean to “Shelter-in-Place”**
If an incident occurs and the building or areas around you become unstable, or if the air outdoors becomes dangerous due to toxic or irritating substances, it may be safer to stay indoors, because leaving the area may expose you to that danger. Thus, to “shelter-in-place” means to make a shelter of the building that you are in, and with a few adjustments this location can be made even safer and more comfortable until it is safe to go outside.

**Basic “Shelter-in-Place” Guidance**
If an incident occurs and the building you are in is not damaged, stay inside in an interior room until you are told it is safe to come out. If your building is damaged, take your personal belongings (purse, wallet, OU ID, etc.) and follow the evacuation procedures for your building (close your door, proceed to the nearest exit, and use the stairs instead of the elevators). Once you have evacuated, seek shelter at the nearest University building quickly. If first responders are on scene, follow their directions.

**How You Will Know to “Shelter-in-Place”**
A shelter-in-place notification will come from the Ohio University Police Department, Risk Management and Safety, Residential Housing Staff, or authorities at your regional campus. Alerts either by text messaging or outdoor notification messages will be the primary means of disseminating the notification however other means of communication may also be employed.

**How to “Shelter-in-Place”**
Should the need arise; follow these steps, unless instructed otherwise by emergency personnel:
1. If you are inside, stay where you are. Collect any emergency shelter-in-place supplies and a telephone to be used in case of an emergency. If you are outdoors, proceed into the closest University building quickly or follow instructions from emergency personnel on the scene.
2. Locate a room to shelter inside. It should be:
a. An interior room  
b. Above ground level  
c. Without windows or with the least number of windows. If there is a large group of people inside a building, several rooms may be necessary.

3. Shut and lock all windows (tighter seal) and close exterior doors.
4. Turn off air conditioners, heaters and fans.
5. Close vents to ventilation systems as you are able. (University employees will turn off ventilation system as quickly as possible).
6. Make a list of people and ask someone to call your local law enforcement office or 911 so they will know where you are sheltering.
7. Turn on a radio or TV and listen for further instructions.
8. Make yourself comfortable.

Safety of and Access to Campus Facilities Including Campus Residences

The access to Ohio University facilities is limited to those who have authorization through their status as students, faculty, staff or visitors in connection with special events or invitation. Residence halls are for the use and enjoyment of the residents of the building. Exterior doors remain locked with the exception of a main door that is unlocked between the hours of 9 a.m. and 8 p.m. Interior hallway doors are to be locked at all times. Access to the individual rooms is limited to the residents and authorized University employees who must follow procedures established to protect the safety of the residents.

Safety of and Access to Campus Facilities Including Campus Residences

Academic and administrative facilities at all Ohio University campuses are secured by building or facility occupants or maintenance personnel at the close of the day’s activities and opened in the mornings in the same manner.

Programs Designed to Inform Students and Employees About Campus Security

The Ohio University Police Department sponsors or participates in various programs designed to inform students, staff and visitors about safety and security issues throughout the year. While attempting to be comprehensive in providing a safe and secure community, it is important that community members be aware of their own safety and that of others in the community. In an effort to provide information to that end, the Ohio University Police Department also provides the following programs to the greater University community:

ALiCE- ALiCE stands for Alert, Lockdown, Inform, Counter and Escape and is training designed to help community members react to armed intruders. This training informs participants about campus security procedures and practices along with methods for surviving dangerous situations. This program is offered to campus and community groups by request and in public sessions throughout the year.

RAD- Rape Aggression Defense is a 15-hour self-defense program for women that focuses on mental and physical preparation with a strong emphasis on physical defensive techniques. This program encourages students and employees to be responsible for their own security and the security of others. This program is offered to campus and community groups by request.

Personal Safety and Stalking Technology- This program encourages individuals to protect their personal information with an emphasis on prevention of stalking and on-line harassment. This program is offered upon request.

Community Safety Talks- Officers meet with faculty, staff, and students about campus safety procedures and various crime prevention strategies on a regular basis. These programs are often held in the residential halls or to classes and are scheduled by request.

Policies Regarding Illegal Drugs and Alcoholic Beverages on Campus

Ohio University investigates and enforces drug and alcohol violations occurring on the main campus in cooperation with local, state and federal law enforcement agencies. Violations of drug and alcohol laws will result in criminal prosecution and referral to The Office of Community Standards and Student Responsibility. Sanctions under the Student Code of Conduct range from short-term...
probation to expulsion. Ohio University strictly enforces drug and alcohol laws.

Health Promotion, located at Baker Student Center in Athens, is responsible for substance abuse education and prevention for students. Ohio University also has an alcohol and drug abuse awareness program for employees, which includes an Employee Assistance Program coordinated by the Human Resources Department. The Ohio University Police Department works cooperatively with local law enforcement agencies and organizations such as Mothers Against Drunk Drivers (MADD) to prevent drug and alcohol violations around the Athens community.

**Sexual Assault, Domestic Violence, Dating Violence and Stalking- University Policy and Procedures**

Ohio University prohibits sexual misconduct, sexual assault, domestic violence, dating violence, and stalking. Ohio University policy defines "Sexual Misconduct" as sexual harassment and sexual violence prohibited as unlawful discriminatory conduct under Title VII of the Civil Rights Act of 1964 (as amended), Title IX of the Education Amendments of 1972, and Ohio Revised Code Section 4112.02. See Ohio University Policy and Procedure 03.004: Sexual Misconduct and the Ohio University Student Code of Conduct. The Policy may be found at the following link: [http://www.ohio.edu/policy/03-004.html](http://www.ohio.edu/policy/03-004.html).

**Preservation of Evidence**

Any person who has been a recipient of physical sexual violence is urged to go directly to the Emergency Room at any local hospital for medical attention. For a list of hospitals close to each campus, including those with sexual assault forensic nurse examiners (SAFE) or staff specially trained for sexual misconduct examination and evidence collection, refer to the resources listed for each campus in this annual security report.

**Reporting**

Persons who are victims or survivors of sexual offenses are encouraged, but not required, to contact their local law enforcement office. Victims or survivors may be assisted by campus employees in notifying law enforcement authorities, if the victim or survivor so chooses. Reporting an assault to law enforcement may not require criminal prosecution. Opportunities exist to make confidential reports of crimes for inclusion in Clery Act statistics, for filing a Title IX complaint within the University, and for obtaining counseling or treatment without initiating a Title IX investigation or criminal investigation.

Ohio University’s Office for Institutional Equity serves as the recipient for any formal complaint or report of sexual misconduct in violation of University policy. To file a report, please visit [https://publicdocs.maxient.com/reportingform.php?OhioUniv&layout_id=5](https://publicdocs.maxient.com/reportingform.php?OhioUniv&layout_id=5). Call 740-593-9140 or email equity@ohio.edu.

**Resources - Confidential and Non-Confidential**

Ohio University offers resources for all persons who have been affected by sexual misconduct. The Office for Institutional Equity shall maintain information online listing, describing, and linking to on-campus confidential and non-confidential resources. The list may be found at the following link: [https://www.ohio.edu/deanofstudents/manage/upload/Sexual-Misconduct.pdf](https://www.ohio.edu/deanofstudents/manage/upload/Sexual-Misconduct.pdf). Additional campus-specific resources may be found in this annual security report.

In most circumstances, those designated as confidential resources do not have a duty to report violations of this policy to Institutional Equity or law enforcement, other than for statistical record-keeping purposes as required by the Clery Act. There should be no expectation that a report to these resources otherwise puts Ohio University on notice of a violation of this policy.

**Interim Protective Measures and Protective Orders**

As an interim measure to assist victims or survivors, the University will consider requests for and implement alternative living, working, transportation and academic arrangements as available and appropriate. These may include no contact directives. The University reserves the right to determine the most appropriate course of action in making these arrangements.

If a victim or survivor procures a restraining order or similar order from a court, the victim or survivor is encouraged to notify local law enforcement of the order so that they can assist, as needed, with enforcement of the order.
Requests for Confidentiality
If a victim or survivor requests that his or her identity be kept confidential, the University shall evaluate such requests in the context of the complainant’s safety and potential harm to the community. Requests will be honored to the extent possible. Individuals should be aware that the University’s ability to respond (including sanctioning the alleged Respondent) may be limited by such a request. However, once formal procedures are pursued, the victim or survivor’s identity must be disclosed to the respondent. In the event that the victim or survivor’s identity is disclosed, where the complainant has sought anonymity, the victim or survivor shall be notified in advance, whenever possible, of the disclosure.

Requesting that an individual’s identity be kept confidential does not relinquish one’s ability to avail him or herself of support resources. In those cases where the evaluation permits confidentiality, record-keeping will exclude personally-identifiable information about the complainant.

Privacy
In general, information received in connection with the filing, investigation, and resolution of allegations will be treated as private, with certain exceptions. Those exceptions include the following: to the extent it is necessary to disclose information in the course of the investigation, for the purposes of addressing conduct or practices that violate the policy, for purposes of providing interim measures to the victim, or when required to do so by law. All persons involved in the process should observe the same standard of discretion and respect for the privacy of persons involved in the process.

Mandatory Crime Reporting
If the complaint contains sufficiently detailed information about conduct that may constitute a crime, then the matter will be reported to local law enforcement in accordance with Ohio law.

Investigations
In addition to any investigation that may be conducted by law enforcement, violations of Ohio University’s Sexual Misconduct Policy and Procedure committed by persons affiliated with Ohio University who are not students shall be investigated and adjudicated pursuant to Ohio University’s Title IX Grievance Procedures. Violations of the policy committed by students shall be investigated and adjudicated pursuant to the Student Sexual Misconduct, Relationship Violence and Stalking Process. The process may be found at the following link: https://www.ohio.edu/equity-civil-rights/student-sexual-misconduct.cfm.

Such proceedings shall provide a prompt, fair, and impartial investigation and resolution.

In determining whether a violation of Ohio University’s Sexual Misconduct Policy occurred, the “preponderance of evidence” standard is applied. Therefore, if a violation of this policy is found, the behavior is “more likely than not” to have occurred. Investigation proceedings are conducted by employees who receive annual training on issues related to domestic violence, dating violence, sexual assault, and stalking and on investigation and hearing processes that protect the safety of victims and promote accountability.

Both the victim and the accused individual are entitled to have others present during proceedings, including the opportunity to be accompanied to any related meeting or proceeding by an advisor of their choice.

A person or group of persons found to have violated the University’s sexual misconduct policy will be subject to disciplinary action by the responsible planning unit or office. Student discipline may include the following sanctions: reprimand, probation, suspension, and expulsion from the university. Employee discipline may include censure, suspension, and termination of employment. Following a determination of sexual assault, domestic violence, dating violence or stalking, additional protective measures may be imposed. In consultation with the Office for Institutional Equity, responsible planning units will ensure corrective measures intended to end the prohibited conduct and prevent further violation of the policy.

Both the victim and accused individual shall be simultaneously informed, in writing, of the outcome of the proceedings; of procedures, if any, to appeal the results of the proceeding; of any change to the results that occurs prior to the time that such results become final; and when such results become final.
Prohibition of Retaliation

Ohio University also prohibits retaliatory harassment, defined as an adverse action or threat of an adverse action taken in response to a person who makes a protected disclosure under this policy by: reporting suspected sexual misconduct, relationship violence and stalking to a supervisor or appropriate University official; filing a complaint or lawsuit under federal or state law or University policy that prohibits sexual misconduct, relationship violence and stalking; or participating in an investigation or proceeding under this policy.

Educational Programs

Ohio University provides comprehensive, intentional, and integrated programming initiatives, strategies and campaigns intended to end dating violence, domestic violence, sexual assault and stalking that are culturally relevant, inclusive of diverse communities and identities, sustainable, responsive to community needs, and informed by research or assessed for value, effectiveness, or outcome. These programs consider environmental risk and protective factors as they occur on the individual, relationship, institutional, community, and societal levels. Such programs will include a statement that the University prohibits dating violence, domestic violence, sexual assault, and stalking; definitions of each of those behaviors, as well as a definition of consent; a description of safe and positive options for bystander intervention; information on risk reduction; information regarding the importance of preserving evidence that may assist in proving that an offense occurred, how and to whom to report an offense, options about the involvement of law enforcement, the rights of victims and institution’s responsibilities, and how the institution will protect the confidentiality of victims; and information regarding the university’s disciplinary procedures. A list of prevention and awareness programs, including those directed at new students and new employees, is available to the campus community.

For more information on ongoing prevention and awareness campaigns for students and employees, please contact Char Kopchick, Assistant Dean of Students- Campus Involvement Center at kopchicc@ohio.edu or 740-593-4745. Below is a matrix of current programming initiatives, strategies and campaigns.

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<td>Take Back the Night</td>
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Key:
BI: Bystander Intervention
SA: Sexual Assault
ROTC: Reserve Officers’ Training Corp
BSO: Bobcat Student Orientation
DOS: Dean of Students
SAP: Survivor Advocacy Program
SMC: Sexual Misconduct Policy

Registered Sex Offenders

Information on registered sex offenders near your campus can be obtained by contacting your local Sheriff’s Office or by visiting http://www.communitynotification.com/cap_main.php?office=55149. Contact information for the Sheriff’s Office closest to your
campus can be found further in this report under each campus' section.

Ohio University Definition of Consent
Consent must be informed, knowing and voluntary. Consent must be clear and unambiguous for each participant throughout any sexual encounter. Consent to some sexual acts does not imply consent to others, nor does past consent to a given act imply ongoing or future consent. Consent can be revoked at any time. For all of these reasons, sexual partners must evaluate consent in an ongoing fashion and should communicate clearly with each other throughout any sexual encounter.

Consent cannot be obtained from someone who is asleep or otherwise mentally or physically incapacitated, whether due to alcohol, drugs, or some other condition. Consent cannot be obtained by threat, coercion, or force. Agreement given under such conditions does not constitute consent. In order to give effective consent, one must be of legal age.

Ohio Legal Definitions Relative to the Clery Act/Violence Against Women Act (VAWA)
Any criminal investigation conducted by the Ohio University Police Department or other law enforcement agency with responsibility for investigating an alleged offense of sexual assault, dating violence, domestic violence, and stalking complaints will operate in accordance with criminal elements as defined by the Ohio Revised Code. The Ohio Revised Code (ORC) does not explicitly define “consent” or “sexual assault,” however Chapter 2907 of the ORC defines “sex offenses” in Ohio criminal law. Ohio law does not define “dating violence” but Chapter 2901 of the ORC outlines 36 “offenses of violence” in Ohio criminal law. Chapter 2919.25 of the ORC outlines the elements of a domestic violence offense as:

(A) No person shall knowingly cause or attempt to cause physical harm to a family or household member.
(B) No person shall recklessly cause serious physical harm to a family or household member.
(C) No person, by threat of force, shall knowingly cause a family or household member to believe that the offender will cause imminent physical harm to the family or household member.

Ohio Revised Code 2903.211 outlines the elements of “menacing by stalking” as:

(A) (1) No person by engaging in a pattern of conduct shall knowingly cause another person to believe that the offender will cause physical harm to the other person or cause mental distress to the other person. In addition to any other basis for the other person's belief that the offender will cause physical harm to the other person or the other person's mental distress, the other person's belief or mental distress may be based on words or conduct of the offender that are directed at or identify a corporation, association, or other organization that employs the other person or to which the other person belongs.
(2) No person, through the use of any electronic method of remotely transferring information, including, but not limited to, any computer, computer network, computer program, or computer system, shall post a message with purpose to urge or incite another to commit a violation of division (A)(1) of this section.
(3) No person, with a sexual motivation, shall violate division (A)(1) or (2) of this section.

Information from the Office of Community Standards and Student Responsibility
Disciplinary complaints can be filed with the Office for Community Standards and Student Responsibility (CSSR) online (http://www.ohio.edu/communitystandards) or in person in 349 Baker University Center. Students charged with violations of the Student Code of Conduct will have an initial meeting with a staff member to discuss the process, charges, rights and options, and the incident. Students can choose to waive their right to a hearing, accept responsibility for the charges, and have their matter decided by the staff member with whom they are meeting. Students who deny one or more of their charges will be scheduled for a hearing. All students have the ability to appeal the decision in their matter. A detailed explanation of the process can be found in the Student Code of Conduct, which is available on the CSRR website (http://www.ohio.edu/communitystandards).

The Office for Institutional Equity (OIE) reviews all allegations of sexual misconduct, including dating violence, domestic violence, sexual assault, and stalking. If OIE determines that the alleged conduct falls under University Policy 03.004: Sexual Misconduct, an investigation will be initiated. When a student is accused of sexual misconduct, that investigation is conducted jointly between CSSR and OIE. At the conclusion of the investigation, a report is generated and reviewed with both parties. The accused student has the opportunity to waive their right to a hearing and accept responsibility. If they do not, a hearing is scheduled. The hearing authority in
the matter is a two-person panel selected from the pool of CSSR and OIE investigators. Both parties have the same rights throughout the investigation, hearing, and appeal process. A detailed explanation of the process can be found in the Sexual Misconduct, Relationship Violence, and Stalking Process, which is available on the CSSR website (http://www.ohio.edu/communitystandards).

Sanctions
Students found responsible for sexual misconduct violations, including dating violence, domestic violence, sexual assault, and stalking, are subject to the full range of sanctions under the Student Code of Conduct. Sanctions include reprimand, probation, suspension, and expulsion. The university’s sanctioning guidelines for sexual misconduct are available on the CSSR website (http://www.ohio.edu/communitystandards).

Disciplinary Proceedings
All investigators and hearing officers are trained on an annual basis on issues regarding Title IX, sexual misconduct, dating violence, domestic violence, sexual assault, and stalking. Investigators and hearing officers are assigned to each matter in a manner intended to eliminate real or perceived conflict of interest and bias. Both parties in the process have the option to have up to three people with them at any point in the process: a support person of their choice, an attorney, and/or a process advisor. Both parties are notified simultaneously of any decision made through the Sexual Misconduct, Relationship Violence, and Stalking Process. The university aims to complete the proceedings within 60 days of the report to the Office for Institutional Equity. If more time is required, the investigators will notify both parties. Both parties are notified in writing in advance of meetings that require their presence. The accuser, the accused, and appropriate officials are given timely and equal access to information that will used during informal and formal disciplinary meetings and hearings.

For the purposes of the Sexual Misconduct, Relationship Violence, and Stalking Process, “proceeding” is defined as the hearing. “Result” is defined as the written notification of hearing result, or the written notification of sanction if the respondent waived their right to a hearing.

Missing Student Policy
Designation of Missing Person Contact(s) by Students
In accordance with Federal Higher Education Opportunity Act of 2008, Section 485(j), 20 U.S.C. 1092(j), 34 C.F.R. 668.46, regarding missing students, each student residing in university on-campus housing has the option to designate an individual or individuals to be contacted by the university not later than 24 hours after the time that the Ohio University Police Department determines that student to be missing. If the student determined to be missing is under the age of 18 and not emancipated, the university will notify both the missing person’s contact(s) designated by the student’s custodial parent or guardian.

The missing student’s contact(s) may be the same individual(s) as the student’s general purpose emergency contact, but does not have to be.

Students are responsible for updating their missing person contact(s) through the Office of Residential Housing, as described in more detail below.

The missing person contacts will be maintained confidentially; only authorized campus individuals and law enforcement officers in furtherance of a missing person investigation may have access to the information.

Notification to Students and Collection and Maintenance of Information
At the beginning of each term, the Office of Residential Housing will, via email, notify students residing in university on-campus housing that they have the option to register a missing student contact or contacts. In that email, students will be directed to visit their MyHousing page to register their missing student contact(s). To register the contact(s) students (1) select “personal preferences” then the “current semester” (i.e., spring 2013-14), (2) complete the “confidential emergency contact” web field, then (3) save the information by selecting the “submit my personal preferences” button. The Office of Residential Housing will maintain each student’s missing person contact(s) until the student changes the contact(s).
Procedures for Reporting and Notification Regarding Missing Students

Individuals who have reason to believe that a student is missing should immediately report their concern to the Ohio University Police Department (OUPD). OUPD will take appropriate investigative action, in accordance with department policy to determine whether the student has been missing more than 24 hours.

As soon as reasonably possible, and not longer than 24 hours after OUPD determines that the student has been missing for 24 hours, OUPD will notify the Dean of Students, or his or her designee.

Upon notification from OUPD that a student has been missing for more than 24 hours, the Dean of Students (or designee) will:

- Make contact with one or more of the missing person contact(s) identified by the student. If a missing person contact has not been formally declared, the university will notify the general purpose emergency contact.

- If the missing student is an unemancipated student under the age of 18, the Dean of Students (or designee) will also notify that the student’s custodial parent or guardian.

In addition, OUPD will notify any local law enforcement with jurisdiction (if other than or in addition to OUPD) that the student has been missing for more than 24 hours.

Appendix

For the purposes of statistical reporting in this document, definitions as outlined in the Clery Act were used to classify reported offenses;

A. Sex Offenses

Any sexual act directed against another person, without consent of the victim, including instances where the victim is incapable of giving consent

2012 Sex Offenses Definitions

1. Rape
   The carnal knowledge of a person without consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or temporary or permanent mental or physical incapacity.

2. Sodomy
   Oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

3. Sexual Assault with an Object
   The use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental or physical incapacity.

4. Fondling
   The touching of the private body parts of another person for the purpose of sexual gratification without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or temporary or permanent mental or physical incapacity.

2013 and 2014 Sex Offenses Definitions

1. Rape
   Penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
   This new Uniform Crime Reporting (UCR) Summary Reporting System definition includes any gender of victim or perpetrator and includes past-used definitions of sodomy and sexual assault with an object.
2. Fondling
The touching of the private body parts of another person for the purpose of sexual gratification without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or temporary or permanent mental or physical incapacity.

B. Sex Offenses – Non-Forcible
Unlawful, non-forcible sexual intercourse.

1. Incest
Non-forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

2. Statutory Rape
Non-forcible sexual intercourse with a person who is under the statutory age of consent.

II. Crime Definitions
As per the Uniform Crime Reporting Handbook

A. Arson
Any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle, or aircraft, personal property of another, etc.

B. Aggravated Assault
An unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm. (It is not necessary that injury result from an aggravated assault when a gun, knife, or other weapon is used which could and probably would result in a serious personal injury if the crime were successfully completed.)

C. Burglary
The unlawful entry of a structure to commit a felony or theft. For reporting purposes this definition includes: unlawful entry with the intent to commit a larceny or felony; breaking and entering with the intent to commit a larceny; housebreaking; safecracking; and all attempts to commit any of the aforementioned.

D. Manslaughter By Negligence
The killing of another person through gross negligence.

E. Murder and Non-negligent Manslaughter
The willful (non-negligent) killing of one human being by another.

F. Motor Vehicle Theft
The theft or attempted theft of a motor vehicle. (Classify as motor vehicle theft all cases where automobiles are taken by persons not having lawful access even though the vehicles are later abandoned, including joyriding.)

G. Robbery
The taking or attempting to take anything of value from the care, custody, or control of a person or persons by force or threat of force or violence and/or by putting the victim in fear.

H. Drug Abuse Violations
Violations of State and local laws relating to the unlawful possession, sale, use, growing, manufacturing, and making of narcotic drugs. The relevant substances include: opium or cocaine and their derivatives (morphine, heroin, codeine); marijuana; synthetic narcotics (demerol, methadones); and dangerous non-narcotic drugs (barbiturates, benzedrine).
I. Liquor Law Violations
The violations of laws or ordinances prohibiting: the manufacture, sale, transporting, furnishing, possession of intoxicating liquor, maintaining unlawful drinking places; bootlegging; operating a still; furnishing liquor to a minor or intemperate person; using a vehicle for illegal transportation of liquor, drinking on a train or public conveyance; and all attempts to commit any of the aforementioned. (Drunkenness and driving while under the influence are not included in this definition.)

J. Weapon Law Violations
The violation of laws or ordinances dealing with weapon offenses, regulatory in nature such as: manufacture, sale, or possession of deadly weapons; carrying deadly weapons, concealed or openly; furnishing deadly weapons to minors; aliens possessing deadly weapons; and all attempts to commit any of the aforementioned.

III. Violence Against Women Act
The recently enacted "Violence Against Women Reauthorization Act of 2013" (VAWA) created amendments to the Clery Act. One such addition was implementing three new types of reportable offenses, seen below. This Annual Security Report provides statistics for these new Clery offenses for the years 2013 and 2014. The VAWA Act also added two categories of bias for the reporting of hate crimes (see section IV below).

A. Domestic Violence
The term "domestic violence" includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.

B. Dating Violence
The term "dating violence" means violence committed by a person:
(A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and
(B) where the existence of such a relationship shall be determined based on a consideration of the following factors
   (i) The length of the relationship
   (ii) The type of relationship
   (iii) The frequency of interaction between the persons involved in the relationship.

C. Stalking
The term "stalking" means engaging in a course of conduct directed at a specific person that would cause a reasonable person to:
(A) fear for his or her safety or for the safety of others
(B) suffer substantial emotional distress

D. Awareness Programs
Awareness programs refers to programs, campaigns, or initiatives that increase audience knowledge of the issues of sexual assault, domestic violence, dating violence and stalking and share information and resources to prevent interpersonal violence, promote safety, and reduce perpetration. These efforts can include campus communitywide mobilizations as well as targeted audience specific programming (including both students and employees). Awareness month campaigns, “Speak Outs,” rallies or marches, informational poster campaigns or resource websites, and educational programming that focuses on sharing resources and information about these issues are examples of awareness programs.

E. Bystander Intervention
Bystander intervention refers to safe and positive options that may be carried out by an individual or individuals to prevent harm or intervene in situations of potential harm when there is a risk of domestic violence, dating violence, sexual assault, or stalking against a person other than the individual. Effective bystander intervention training prepares participants to recognize situations of potential harm, overcome barriers to intervening, identify safe and effective intervention options, and take action.
F. Ongoing Prevention and Awareness Campaigns
Ongoing awareness and prevention campaigns refer to campaigns that are sustained over time focusing on increasing awareness or understanding of topics relevant to SA, DV and stalking prevention. These programs will occur at different levels throughout the institution (i.e. faculty, athletics, incoming students, etc.) and will utilize a range of strategies. Ongoing awareness and prevention campaigns may include information about what constitutes sexual assault, dating violence/intimate partner abuse, and stalking, changing social norms, promoting recognition of perpetrator tactics, enhancing understanding of consent, and advancing prosocial behaviors of individuals and communities. Effective ongoing awareness and prevention campaigns will include developmentally appropriate content for the specific audience and their knowledge and awareness level and provide positive and concrete ways for individuals to get involved.

G. Primary Prevention Programs
Primary prevention refers to programming, initiatives and strategies intended to stop domestic violence, dating violence, sexual assault, or stalking before it occurs to prevent initial perpetration or victimization through the promotion of positive and healthy behaviors and beliefs. Efforts to change behavior and social norms, and promote healthy relationships, healthy sexuality and egalitarian gender roles, or efforts to understand risk factors and protective factors for bystander inaction and change social norms around bystander inaction are all examples of primary prevention.

H. Risk Reduction
Risk reduction refers to approaches that seek to mitigate risk factors that may increase the likelihood of perpetration, victimization, or bystander inaction. Risk reduction focuses on helping individuals and communities address the institutional structures or cultural conditions that facilitate SV, DV & stalking to increase safety. Examples of risk reduction may include but are not limited to general crime prevention education, campus escort programs, programs that educate on how to create individual and community safety plans and strategies, and bystander intervention programs that educate the campus on how to recognize and interrupt situations of harm, or implementing a communications system that can notify the entire campus community of immediate threats to security.

IV. Hate Crimes
Ohio University reports all Hate Crimes that occur. Hate Crimes are reported based on the listed crimes below and are committed intentionally because of Race, Gender, Gender Identity, Religion, Sexual Orientation, Ethnicity, Disability or National Origin.

The following crimes are to be reported: Murder/Non-Negligent Manslaughter, Negligent Manslaughter, Robbery, Aggravated Assault, Simple Assault, Motor Vehicle Theft, Arson, Burglary, Sexual Offenses (Forcible and Non-Forcible), Larceny-Theft, Intimidation, or Destruction/Damage/Vandalism of Property. Information for each campus’ hate crime statistics can be found at the bottom of their Campus Statistics table.

V. Geographic Locations
A. On-Campus
Defined as (A) Any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution’s educational purposes, including residence halls; and (B) Any building or property that is within or reasonably contiguous to the area identified in paragraph (A) of this definition, that is owned by the institution but controlled by another person, is frequently used by students and supports institutional purposes (such as a food or retail vendor).

B. Non-Campus Building or Property
Defined as (A) Any building or property owned or controlled by a student organization that is officially recognized by the institution; or (B) Any building or property owned or controlled by an institution that is used in direct support of, or in relation to, the institution’s educational purposes, is frequently used by students, and is not within the same reasonably contiguous geographic area of the institution.

C. Public Property
Defined as all public property, including thoroughfares, streets, sidewalks, and parking facilities, that is within the campus or immediately adjacent to and accessible from the campus.
National Resources

GLBT National Help Center
Free and confidential peer-support for gay, lesbian, bisexual, transgender and questioning people
1-888-843-4564
www.glbtnationalhelpcenter.org

Love is Respect
Designed specifically for teens and young adults, provides 24/7 phone, text and chat services and offers real-time, one-on-one confidential support from peer advocates. Text “campus” to 22522 for help.
866-331-9474 (TTY 866-331-8453)
www.loveisrespect.org

Ohio Alliance to End Sexual Violence
Information on resources, prevention, and response
216-658-1381 or 888-886-8388
www.oaesv.org

Not Alone (Together Against Sexual Assault)
Information for students, schools, and anyone interested in finding resources on how to respond to and prevent sexual assault on college and university campuses and in our schools
www.notalone.gov

National Sexual Assault Hotline
RAIN (Rape, Abuse & Incest National Network) provides live, secure, anonymous 24/7 crisis support for victims of sexual violence, their friends, and families
800-656-4673
www.rainn.org

National Domestic Violence Hotline
Provides 24/7 confidential, one-on-one support and crisis intervention
800-799-SAFE (7233) or TTY 800-787-3224
www.thehotline.org

PFLAG (Parents, Families, Friends, and Allies united with LGTB people)
Provides resources and support
202-467-8180
www.pflag.org

The Trevor Project Helpline
Provides crisis intervention and suicide prevention services to lesbian, gay, bisexual, transgender and questioning (LGBTQ) young people ages 13-24.
866-488-7386
www.thetrevorproject.org

National Suicide Prevention Lifeline
Trained crisis workers are available to talk 24/7 and provide crisis counseling and mental health referrals
800-273-TALK (8255)
www.suicidepreventionlifeline.org
Athens Campus Contacts

Local Law Enforcement

Ohio University Police Department
The Ohio University Police Department has the authority to investigate all criminal matters that occur at the Athens campus
135 Scott Quadrangle
Athens, OH 45701
740-593-1911 or 911 if an emergency
www.ohio.edu/police

Athens City Police Department
Contact the Athens City Police Department for criminal matters that occur outside of the Athens campus
11 North College Street
740-593-6606 or 911 if an emergency
www.ci.athens.oh.us/index.aspx?nid=120

Athens County Sheriff
Information on registered sex offenders near the Athens campus can be obtained from the Athens County Sheriff's Office
13 West Washington Street
(740) 593-6633 or 911 if an emergency
www.athenssheriff.com

Campus Resources

Counseling and Psychological Services
Provides mental health and adjustment services to students and consultation to faculty, administrators and parents of students
Hudson Health Center, 3rd Floor
740-593-1616 (offers 24-Hour Crisis Intervention Service)
www.ohio.edu/counseling

Division of Student Affairs
Professional support services, campus engagement opportunities, and co-curricular learning
212 Cutler Hall
740-593-2580
www.ohio.edu/studentaffairs

Environmental Health and Safety
Information and links for environmental management, occupational health, safety, and safety regulations
49 Factory Street
740-593-1666
www.ohio.edu/riskandsafety/ehs

Employee Assistance Program
Confidential professional assistance, referrals, counseling, and crisis intervention for employees and their family
1-800-227-6007 (24-Hour Hotline)
www.ohio.edu/hr/benefits/balance/

Health Promotion
Information on becoming and staying healthy, including information on safe consumption of alcohol
Baker University Center 339
740-593-4742
www.ohio.edu/involvement/healthpromotion
Campus Care
On-campus student health center offering a variety of services
2 Health Center Drive
Tel: (740) 593-1660
www.oucom.ohiou.edu/campuscare

International Student and Faculty Services
Provides support services for international students, faculty, staff and scholars, and their dependents
Walter International Education Center/15 Park Place
740-593-4330
www.ohio.edu/isfs

Institutional Equity
Information on how to get help with sexual harassment, affirmative action, discrimination, and Title IX compliance
101 Crewson House
740-593-9132
www.ohio.edu/equity

Lesbian, Gay, Bisexual, Transgender Center
Advances the diversity mission of Ohio University by creating a university environment and community inclusive and supportive of sexual orientation, gender identity/expression, and queerness
Baker University Center 354
740-593-0239
www.ohio.edu/lgbt

Multicultural Programs (MCP) and Multicultural Center (MCC)
Programs, resources, and information that supports and promotes multicultural awareness
Baker University Center 205
740-593-4027 (MCP)
740-593-2110 (MCC)
www.ohio.edu/culturalcenter

Office of Dean of Students/ Student Review and Consultation Committee
Information for students and parents; handles referrals for a student whose behavior may appear distressed and may be a cause for concern
Baker University Center 345
740-593-1800
www.ohio.edu/deanofstudents

Residential Housing
Information, contact and links for on- and off-campus students
060 Chubb Hall
740-593-4090
http://www.ohio.edu/housing

Survivor Advocacy Program
Information, advocacy, education, and resources for survivors of sexual assault, stalking, dating and domestic violence
McKee House
740-597-7223
www.ohio.edu/survivor
Office of Community Standards and Student Responsibility
Information relating to the Student Code of Conduct, disciplinary referrals, and sanctions
Baker University Center 349
740-593-2629
www.ohio.edu/communitystandards

Athens Area Resources
Athens County Prosecutor's Office and Victim Assistance Program
Information on victim rights, advocacy, court escorts, protection orders, and criminal proceedings
Athens County Courthouse, 1 South Court Street
Athens, OH 45701
740-592-3208
www.athenscountyprosecutor.org

CARELINE
24-hour crisis hotline, sexual victim assistance, and information/referral services
740-593-3344

Health Recovery Services
Information, programs, and services for those affected with mental illness, and alcohol, tobacco and drug addiction
CAREline: 1-888-475-8484 (24-Hour Hotline)
C740-592-6724 or 1-866-614-9588
www.hrs.org

O'Bleness Memorial Hospital (Sexual Assault Nurse Examiner)
Information and links
55 Hospital Drive
Athens, OH 45701
740-593-5551
www.obleness.org

My Sister's Place
Domestic violence agency, outreach counseling, court advocacy, and confidential shelter
740-594-8337 or 1-800-443-3402 (24-Hour)
www.mspathens.org

Planned Parenthood of Southeast Ohio University
Information, resources, medical and health services
1005 East State Street, Suite W
Athens, OH 45701
740-593-6979
www.plannedparenthood.org

Ohio Department of Alcohol and Drug Addiction, TASC Program
Treatment Alternatives to Street Crime (TASC) offers both out-patient alcohol and drug treatment counseling
8 North Court Street, 5th Floor
Athens, OH 45701
740-594-2276
www.ovbh.org/consumer/treatment

Tri-County Mental Health and Counseling Services, Inc.
Offers a variety of services, including crisis intervention, counseling, sexual abuse prevention, and drug and alcohol programs
90 Hospital Drive
Athens, OH 45701
740-592-3091 or 740-594-5045 (Crisis Services: 1-888-475-8484 or 740-593-3344)
www.tcmhcs.org
### Athens Campus - Crime Statistics

<table>
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<th>Crimes Reported</th>
<th>Year</th>
<th>On Campus</th>
<th>Non-Campus</th>
<th>Public Property</th>
<th>Total</th>
<th>Residential Facilities</th>
<th>Hate Crimes</th>
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</table>

¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

³2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.
### Athens Campus – Arrests and Judicial Referrals

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<th>Crimes Reported</th>
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<th>On Campus</th>
<th>Non-Campus</th>
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### Athens Campus – Additional Hate Crimes

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1Beginning for the year 2013, the VAWA Act added these categories of bias.

2Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Local Law Enforcement

**Guernsey County Sheriff's Office**
Information on registered sex offenders near Cambridge Center can be obtained from the Guernsey County Sheriff’s Office. The Guernsey County Sheriff’s Office has the authority to investigate all crimes which occur at the Cambridge Center.

601 Southgate Parkway
Cambridge, OH 43725
740-439-4455 or 911 if an emergency
www.guernseysheriff.com

**Cambridge City Police Department**
601 Southgate Parkway
Cambridge, OH 43275
740-439-4431 or 911 if an emergency
www.cambridgeoh.org/police

**Ohio State Highway Patrol**
7051 John Glenn Highway
Cambridge, OH 43725
740-439-1388
www.statepatrol.ohio.gov

Campus Resources

**Cambridge Center Director**
740-432-4404

**Cambridge Area Resources**

**Southeastern Ohio Regional Medical Center**
1341 Clark Street
Cambridge, OH 43725
740-439-8000

**Cambridge Behavioral Hospital**
6675 State Street
Cambridge, OH 43725
740-432-4906

**Guernsey County Victim Witness**
139 Courthouse Square
Cambridge, OH 43725
740-432-5938

**Haven of Hope**
927 Wheeling Avenue
Cambridge, OH 43725
740-439-7233
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¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.
²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.
³The Cambridge Center opened for classes in January 2014.
⁴2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.
⁵The Cambridge Center does not have any Residential Facilities.
## Cambridge Center – Arrests and Judicial Referrals

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1Beginning for the year 2013, the VAWA Act added these categories of bias.
2Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Chillicothe Campus
101 University Drive
Chillicothe, OH 45601
740-774-7200

Local Law Enforcement
Chillicothe City Police Department
28 North Paint Street
Chillicothe, OH 45601
740-773-1191 or 911 if an emergency
www.chillicothepolice.com

Ross County Sheriff's Office
Information on registered sex offenders near the Chillicothe Campus can be obtained from the Ross County Sheriff's Office
28 North Paint Street
Chillicothe, OH 45601
740-773-1186 or 911 if an emergency
www.rosssheriff.com

Campus Resources
Director of Facilities Management
Bennett Hall 118
740-774-7243 or 740-703-5461
Please inform this office of campus issues and emergencies

Director of Student Services
Bennett Hall 270
740-774-7750

Office of the Dean
Bennett Hall 106
740-774-7222

Chillicothe Area Resources
Ross County Prosecutor’s Office Victim/Witness Assistance Program
28 North Paint Street
Chillicothe, OH 45601
740-702-3190
www.rossctyvictimassistance.org

Scioto-Paint Valley Mental Health Center
4449 State Route 159
Chillicothe, OH 45601
740-775-1260
740-773-4357 (24-Hour crisis line)
www.spvmhc.org

Adena Regional Medical Center
272 Hospital Road
Chillicothe, OH 45601
740-779-7500449 State
www.adena.org
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¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

³2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

⁴The Chillicothe Campus does not have any Residential Facilities.
### Chillicothe Campus – Arrests and Judicial Referrals

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</table>

¹Beginning for the year 2013, the VAWA Act added these categories of bias.
²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Cleveland Campus*
4180 Warrensville Center Road
Warrensville Heights, OH 44122
216-593-2500

Local Law Enforcement
Warrensville Heights Police
4301 Warrensville Center Rd
Warrensville Hts, OH 44128-2899
Cuyahoga County
216-581-1234

Cleveland Clinic Police Department
9500 Euclid Avenue
Cleveland, OH 44195
216-444-2250

Cleveland Clinic South Pointe Security
20000 Harvard Road
Warrensville Heights, Ohio 44122
216-491-5588

Cleveland/Cuyahoga County Office of Homeless Services
1736 Superior Ave
2nd floor of Cosgrove Building
216-674-6700

Cuyahoga County Sheriff’s Office
Information on registered sex offenders near the Cleveland Campus can be obtained from the Cuyahoga County Sheriff’s Office
1215 W 3rd St.
Cleveland, OH 44113
216-443-6000

Campus Resources
Cleveland Onsite Administrator
4180 Warrensville Center Rd.
Warrensville Hts., OH 44122
216-295-7519
Please inform this office of campus issues and emergencies

Cleveland Area Resources
Cuyahoga County Prosecutor’s Office Victim/Witness Assistance Program
75 Erieview Plaza, 5th Floor
Cleveland, OH 44114
216-443-7800
ja.cuyahogacounty.us/en-us/wvsc-new.aspx

Cleveland Health Center
7997 Euclid Ave
Cleveland, OH 44103
216-851-1880

*This campus opened for classes in July 2014. This information is being provided in this year’s Annual Security Report for informational purposes and statistical reporting for the Cleveland Campus will begin in the 2016 ASR.
Old Brooklyn Health Center
3311 Broadview Road
Cleveland, OH 44109
216-661-0400

Bedford Heights Health Center
25350 Rockside Road
Bedford Heights, OH 44146
440-232-9732

Cleveland Rape Crisis Center
216-619-6192 (24-hour hotline)
www.clevelandrapecrisis.org

Domestic Violence and Child Advocacy Center
216-391-4357 (HELP) (24-hour hotline)
www.dvcac.org

United Way of Greater Cleveland
1331 Euclid Ave
Cleveland, OH 44115
216-436-2100
Dial “211” to get information about social, health and government resources 24 hours a day, every day
www.211.org

South Pointe Hospital and OU HCOM Campus Security Protocol
Cleveland Clinic Police Department (hereafter referred to as CCPD) and Universal Protection Service (hereafter referred to as UPS) are responsible for regular patrol of the OU HCOM facilities and associated parking lots and the overall safety of students, faculty, staff and visitors. Additionally, a UPS Security Officer will be assigned to the lobby of the A building (OU HCOM entrance area), Monday through Friday, 8AM-4PM (hours and staffing adjusted as needed) and will round with OU HCOM staff and patrol all floors regularly.

Students, faculty, staff and visitors will report all suspected crime, security incidents or security concerns (whether a witness or a victim) to South Pointe Hospital Security (herein referred to as Security and includes CCPD and UPS) who will take a report, conduct an investigation and take appropriate action. Students, staff, visitors may be requested to provide a written statement to aid in the investigation.

For emergency situations (fire, ambulance request, serious life threatening crimes, etc.), students, faculty, staff and visitors are to dial 9-1-1 followed-up by a call to Security.

Cleveland Clinic Police Department will determine if the Warrensville Heights Police Department is to be notified about a suspected crime or security incident as defined in the MOU (memorandum of understanding).

Students, faculty and staff will wear OU HCOM badges plainly visible and above the waist to allow Security to identify authorized persons.
- OU HCOM visitors will check in at the Security desk in the lobby. Security will direct visitors to the OU HCOM reception desk.

Entrance doors to the OU HCOM facility will be locked down by Security during hours designated by Security. Students, faculty and staff desiring entrance after hours will enter the facility via the designated card access controlled pedestrian door. Additionally, they will contact Security to advise them of reason for their visit, specific area visiting, estimated time in facility and then call Security when departing.

Per OU policy, no visitors are allowed to accompany students in the facility after hours unless prior approval obtained from the Student Affairs Assistant Director, Director of Campus Administration or the Dean and communicated to Security.

Security issues relating to OU HCOM operations and students, faculty, staff and visitors will be reported to the OU HCOM Director of Campus Administration or his/her designee for resolution. The Director will also be notified by e-mail as soon as practical when students are arrested, cited and or detained for suspected commission of a criminal act or other security related issue.
Students, faculty, staff or a visitor who wish to file a complaint regarding Security or Police personnel/actions need to contact Security and request to speak with a supervisor.

TECHNICAL SECURITY
Security will monitor CCTV cameras. They will respond to all panic and entry alarm activations and emergency blue light intercom requests for security emergency response.
- Panic alarms and emergency blue light intercoms will be tested quarterly with the assistance of Security and test results documented by Cleveland Clinic Police Department.

All technical security equipment problems, access issues, alarm issues will be reported to Security who will follow normal reporting protocol established by Technical Security to address deficiencies, needed improvements etc.

CLERY ACT REPORTING REQUIREMENTS
The Clery Act requires disclosure in three general categories of crime statistics:

Criminal offenses
Criminal homicide (murder, non-negligent manslaughter and negligent manslaughter), sex offenses (forcible and non-forcible rape), robbery, aggravated assault, burglary, motor vehicle theft and arson.

Hate crimes (any of above mentioned offenses & any incidents of theft, simple assault, intimidation or destruction/damage/vandalism of property that were motivated by bias).

Student Arrests and Referrals for Disciplinary Action (for carrying or possessing weapons, drug abuse violations and liquor law violations).

Crimes and security incidents will be reviewed by the Regional Security Sergeant assigned to South Pointe Hospital or his/her designee to ascertain if it meets a Clery Act reporting requirement.

The Cleveland Clinic Police Department will provide South Pointe Hospital crime statistics as previously defined for the previous year to the OU HCOM Director of Campus Administration for Clery Act reporting purposes. Crime statistics will be sent to the Director annually (no later than August 30). Statistics that must be disclosed include crimes that occur:
* On campus
* On public property within or immediately adjacent to the campus
* In or on non-campus buildings or property that your institution owns or controls

CLERY ACT CAMPUS ALERTS
Significant emergency or dangerous event, crime etc. involving an imminent threat to staff, students, visitors

Upon confirmation of a significant or dangerous event, crime etc. involving an imminent threat to the health or safety of students, faculty, staff and visitors (i.e. active shooter, fire, tornado, etc.), immediate emergency notification will be made by Security and/or Emergency Management via one or all of the following communication resources:
* Overhead paging system
* Cleveland Clinic Alert System
* Security/Police by personal visit when practical

Upon confirmation of a significant emergency or dangerous event that poses an ongoing but not imminent threat to students, faculty, staff, visitors, the Regional Sergeant assigned to South Pointe Hospital or his/her designee will insure the communication of pertinent information is made to the Director of Campus Administration or his/her designee upon receipt of the information and as soon as practical to allow the Director to timely disseminate information to faculty, staff and students.

TRAINING/EXERCISES/AAR
Training will be provided by Emergency Management and Security for evacuation procedures, emergency personal safety response, active shooter (ALICE), security awareness, handling of bomb threats and other appropriate subjects.

Exercises, drills will be conducted by Emergency Management in collaboration with Security following and adhering to Emergency Management requirements and schedules.

Post incident AARs (after action reviews) will be conducted with key OU HCOM staff and Security/Emergency Management for significant events when appropriate and agreed upon and in close proximity to the conclusion of the event when practical.
Dublin Campus
6775 Bobcat Way
Dublin, OH 43016
740-593-2500

Local Law Enforcement
City of Dublin Police Department
The Dublin Police Department has jurisdiction for the Dublin Campus
Dublin Justice Center
Dublin, OH 43017
614-410-4800 (Admin) or 911 if an emergency

Franklin County Sheriff’s Office
Information on registered sex offenders near the Dublin Campus can be obtained from the Franklin County Sheriff’s Office
370 South Front Street
Columbus, OH 43215
614-525-3333 or 911 if an emergency
www.sheriff.franklincountyohio.gov

Union County Sheriff’s Office
Information on registered sex offenders near the Dublin Campus can be obtained from the Union County Sheriff’s Office
221 West 5th Street
Marysville, OH 43040
937-645-4100
www.co.union.oh.us/Sheriff

The Dublin campus has property in both Franklin and Union counties

Campus Resources
Director, Campus Administration
Dean’s Suite 350
Medical Education Building 1 (MEB1)
6775 Bobcat Way
Dublin, OH 43016
614-793-5558

On-site Administrator
HCOM- Dublin, MEB1- 114
Dublin, OH
614-793-5556

Dublin Area Resources
Franklin County Prosecutor’s Office/Victim Witness Unit
373 South High Street #14
Columbus, OH 43017
614-525-3555
www.prosecutor.franklincountyohio.gov

Syntero Inc.
Primary care and behavioral health care services
299 Cramer Creek Court
Dublin, OH 43017
614-889-5722
www.syntero.org
### Dublin Campus³ - Crime Statistics

<table>
<thead>
<tr>
<th>Crimes Reported</th>
<th>Year</th>
<th>On Campus</th>
<th>Non-Campus</th>
<th>Public Property</th>
<th>Total</th>
<th>Residential Facilities⁵</th>
<th>Hate Crimes</th>
<th>Unfounded²</th>
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<tbody>
<tr>
<td>Murder/Non-Negligent Manslaughter</td>
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<td>Sex Offenses (Rape and Fondling)</td>
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<td>Aggravated Assault</td>
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<td>Domestic Violence¹</td>
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<td>Dating Violence¹</td>
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</table>

¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

³This campus opened for classes on July 7, 2014. Statistics reported for the Dublin Campus are for a partial year of 2014 only.

⁴2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

⁵The Dublin Campus does not have any Residential Facilities.
## Dublin Campus – Arrests and Judicial Referrals

<table>
<thead>
<tr>
<th>Crimes Reported</th>
<th>Year</th>
<th>On Campus</th>
<th>Non-Campus</th>
<th>Public Property</th>
<th>Total</th>
<th>Residential Facilities</th>
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<tbody>
<tr>
<td>Liquor Law Violations</td>
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<tr>
<td>Weapons: Carrying, Possessing, etc.</td>
<td>2014</td>
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</table>

## Dublin Campus – Additional Hate Crimes

<table>
<thead>
<tr>
<th>Crimes Reported</th>
<th>Year</th>
<th>Race</th>
<th>Gender</th>
<th>Gender Identity(^1)</th>
<th>Religion</th>
<th>Sexual Orientation</th>
<th>Ethnicity</th>
<th>Disability</th>
<th>National Origin(^1)</th>
<th>Unfounded(^2)</th>
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<tbody>
<tr>
<td>Larceny-Theft</td>
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<td>Simple Assault</td>
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<tr>
<td>Vandalism, Property crime, etc.</td>
<td>2014</td>
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<td>0</td>
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<td>0</td>
<td>0</td>
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</tbody>
</table>

\(^1\)Beginning for the year 2013, the VAWA Act added these categories of bias.

\(^2\)Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Eastern Campus
45425 National Road West
St. Clairsville, OH 43950
740-695-1720

Local Law Enforcement
Ohio State Highway Patrol
The Ohio State Highway Patrol has the responsibility to investigate all crimes that occur on the campus
St. Clairsville, OH 43950
740-695-0915 or 911 if an emergency
www.statepatrol.ohio.gov

Belmont County Sheriff’s Office
Information on registered sex offenders near the Eastern Campus can be obtained from the Belmont County Sheriff’s Office
68137 Hammond Road
St. Clairsville, OH 43950
740-695-7933 or 911 if an emergency
www.belmontsheriff.com

Campus Resources
Dean’s Office
Please inform this office of campus issues and emergencies
303 Shannon Hall
740-965-1720 or 740-699-2353

Campus Security
Between the hours of 6pm and 9pm
740-599-2525

Counseling Services
307A Shannon Hall
740-699-2334

St. Clairsville Area Resources
Belmont County Prosecutor’s Office Victim/Witness Assistance Program
147 West Main Street
St. Clairsville, OH 43950
740-699-2771
www.bcprosatty.com

Tri-County Help Center
Links, information, and services to help people overcome domestic violence, sexual assault, and mental illness
104.5 North Marietta Street
St. Clairsville, OH 43950
740-695-5441 or 1-800-695-1639 (24/7 Hotline)
www.tricountyhelp.org

St. Clairsville Health Center
51339 National Road E
St. Clairsville, OH 43950
740-695-1210
www.wheelinghospital.org
## Eastern Campus - Crime Statistics

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¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

³2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

⁴The Eastern Campus does not have any Residential Facilities.
### Eastern Campus – Arrests and Judicial Referrals

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Beginning for the year 2013, the VAWA Act added these categories of bias.

Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Lancaster Campus
1570 Granville Pike
Lancaster, OH 43130
740-654-6711

Local Law Enforcement
Lancaster City Police Department
130 South Broad Street
Lancaster, OH 43130
740-687-6680 or 911 if an emergency
www.ci.lancaster.oh.us/dept/police

Fairfield County Sheriff’s Office
Information on registered sex offenders near the Lancaster Campus can be obtained from the Fairfield County Sheriff’s Office
221 East Main Street
Lancaster, OH 43130
740-652-7900 or 911 if an emergency
www.sheriff.fairfield.oh.us

Campus Resources
Always NOTIFY the Information Office (3rd Floor Brasse) in the event of emergency by 740-654-6711 Ext 0
Dean’s Office
519 Brasee Hall
740-654-6711 Ext. 202

Mental Health Counselor
Brasse Hall
740-687-0835 or 740-687-6711 Ext. 215

Student Review and Consultation Committee
339 Brasse Hall
740-687-6711 Ext. 209

Lancaster Area Resources
Fairfield County Prosecutor’s Office Victim/Witness Assistance Program
239 West Main Street
Lancaster, OH 43130
740-652-7560
www.co.fairfield.oh.us/prosecutor

New Horizons Mental Health Services
1592 Granville Pike
Lancaster, OH 43130
740-687-0835
www.newhorizonmentalhealth.org

Family Health Services of East Central Ohio- Licking County Rape Crisis Center
1-800-688-3266 (24-hour Hotline)

Crisis/Suicide Prevention Hotline
740-687-8255
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¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

³2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

⁴The Lancaster Campus does not have any Residential Facilities.
### Lancaster Campus – Arrests and Judicial Referrals

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### Disciplinary Referrals

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|                         | 2012 | 0         | 0          | 0               | 0     |                        |
| Drug Abuse Violations   | 2014 | 0         | 0          | 0               | 0     |                        |
|                         | 2013 | 0         | 0          | 0               | 0     |                        |
|                         | 2012 | 0         | 0          | 0               | 0     |                        |
| Weapons: Carrying,      | 2014 | 0         | 0          | 0               | 0     |                        |
| Possessing, etc.        | 2013 | 0         | 0          | 0               | 0     |                        |
|                         | 2012 | 0         | 0          | 0               | 0     |                        |

### Lancaster Campus – Additional Hate Crimes

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¹Beginning for the year 2013, the VAWA Act added these categories of bias.
²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Pickerington Center
12933 Stonecreek Drive
Pickerington, OH 43147
740-367-9371

Local Law Enforcement
Fairfield County Sheriff’s Office
Information on registered sex offenders near Pickerington Center can be obtained from the Fairfield County Sheriff’s Office
221 East Main Street
Lancaster, OH 43130
740-652-7900 or 911 if an emergency
www.sheriff.fairfield.oh.us

Campus Resources
Always NOTIFY the Director’s Office by dialing 673 on a campus phone or 614-367-9371 in the event of emergency
Director's Office
614-367-9371 Ext. 670

Mental Health Counselor
740-687-0835 or 740-687-6711 Ext. 215

Student Review and Consultation Committee
339 Brasse Hall
Lancaster, OH 43130
740-687-6711 Ext. 209

Associate’s Dean Office/Harassment Issues
507 Brasse Hall
Lancaster, OH 43130
740-687-6711 Ext. 211

Pickerington Area Resources
Fairfield County Prosecutor's Office Victim/Witness Assistance Program
239 West Main Street
Lancaster, OH 43130
740-652-7560
www.co.fairfield.oh.us/prosecutor

New Horizons Mental Health Services
437 Hill Road North
Pickerington, OH 43147
www.newhorizonmentalhealth.org

Family Health Services of East Central Ohio- Licking County Rape Crisis Center
1-800-688-3266 (24-hour Hotline)

Crisis/Suicide Prevention Hotline
740-687-8255

Lighthouse Shelter for Victims
740-687-4423
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¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

³2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

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### Pickerington Center – Arrests and Judicial Referrals

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$^1$Beginning for the year 2013, the VAWA Act added these categories of bias.

$^2$Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Southern Campus  
1804 Liberty Avenue  
Ironton, OH 45638  
740-553-4600

Local Law Enforcement

Lawrence County Sheriff’s Office  
Information on registered sex offenders near Southern Campus can be obtained from the Lawrence County Sheriff’s Office  
115 South 5th Street  
Ironton, OH 45638  
740-532-3106 or 740-532-3526 or 911 if an emergency  
www.lawcoso.com

Ohio State Highway Patrol  
The Ohio State Highway Patrol, along with the Lawrence County Sheriff’s Office, has jurisdiction at the Southern Campus  
141 Township Road 161  
South Point, OH 45680  
740-377-4311 or 911 if an emergency  
www.statepatrol.ohio.gov

Ironton Police Department  
301 South 3rd Street  
P.O. Box 704  
Ironton, OH 45638  
740-532-2338 or 911 if an emergency  
www.ironton-ohio.com

Scioto County Sheriff’s Office  
The Scioto County Sheriff’s Office has jurisdiction for the Ohio Horse Park in Franklin Furnace, a part of Southern’s “non-campus”  
Information on registered sex offenders near the Ohio Horse Park can be obtained from the Scioto County Sheriff’s Office  
1025 Sixteenth Street  
Portsmouth, OH 45662  
740-354-7566 or 911 if an emergency  
www.sciotocountysheriff.com  
scso@sciotocountysheriff.com

Campus Resources

Facilities Management  
740-533-4618 or 740-646-3487 (cell)  
Please inform this office of campus issues and emergencies

Dean’s Office  
Collins Center  
740-533-4659

Director of Student Services and Coordinator of Diversity and Multiculturalism  
Collins Center  
740-533-4600
Ironton Area Resources
Lawrence County Prosecutor's Office Victim/Witness Assistance Program
1 Veterans Square
Ironton, OH 45638
740-533-4360
www.lawrencecountyprosecutor.org

Shawnee Mental Health Center, Inc.
715 Lane Street & 225 Carlton-Davidson Lane
Coal Grove, OH 45638
740-533-6280 and 740-533-0648
www.shawneemhc.org

Pathways (Drug Abuse Prevention and Rehabilitation)
3701 Landsdowne Drive
Ashland, KY 41102
606-324-3005
www.pathways-ky.org/boyd

Hope's Place
Info, referrals, hospital advocacy, and Sexual Assault Nurse Examiner (SANE) program
1-866-325-4737 (24-hour Hotline)

Campus Safety Information
Ohio University Southern addresses the matter of campus safety and security with the utmost seriousness. Security is provided on campus through a contact with the Ironton Police Department for officer foot patrol on campus during both select and random times of the day.

On-site security coverage is also provided jurisdictionally by the Ohio State Highway Patrol and the Lawrence County Sheriff’s Office with the support from the Ohio University Police Department (OUPD). Additionally, faculty and staff on campus are trained in the proper response to various emergency situations that may occur on campus.

Emergency Telephone Numbers
In the case of an actual emergency, or if in doubt, contact the emergency numbers listed below:

Emergency Services 911 or 9-911 from a campus telephone

City of Ironton Police Department (740).532.3525 / (740).532.3526
(Lawerence Co. Sheriff Dispatcher for Ironton Police Department)

Ohio State Highway Patrol (740).377.4311

Non-Emergency Campus Telephone Numbers:
To report a NON-EMERGENCY accident, injury, or other safety/security related situation; please contact the campus offices below listed in the order of priority:

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<tr>
<th>DEPARTMENT</th>
<th>OFFICE</th>
<th>OFFICE PHONE NUMBER</th>
<th>OFFICE PHONE NUMBER</th>
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<tr>
<td>Facilities Management</td>
<td>Director</td>
<td>4618 (740).533.4618</td>
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<tr>
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<td>4572 (740).533.4572</td>
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<td>Administrative Coordinator</td>
<td>4611 (740).533.4611</td>
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<td>Student Services</td>
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<td>4600 (740).533.4600</td>
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Evening Shift Coverage Contact: John Boright (740).533.4573
# Southern Campus - Crime Statistics

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<th>Crimes Reported</th>
<th>Year</th>
<th>On Campus</th>
<th>Non-Campus</th>
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<th>Residential Facilities(^4)</th>
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</table>

\(^1\)Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

\(^2\)Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

\(^3\)2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

\(^4\)The Southern Campus does not have any Residential Facilities.
## Southern Campus – Arrests and Judicial Referrals

<table>
<thead>
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<th>Crimes Reported</th>
<th>Year</th>
<th>On Campus</th>
<th>Non-Campus</th>
<th>Public Property</th>
<th>Total</th>
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## Southern Campus – Disciplinary Referrals

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\(^1\)Beginning for the year 2013, the VAWA Act added these categories of bias.

\(^2\)Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Proctorville Center
111 Private Drive 516
Proctorville, OH 45669
740-886-7655

Local Law Enforcement
Lawrence County Sheriff’s Office
Information on registered sex offenders near Southern Campus can be obtained from the Lawrence County Sheriff’s Office
115 South 5th Street
Ironton, OH 45638
740-532-3106 or 740-532-3526 or 911 if an emergency
www.lawcoso.com

Ohio State Highway Patrol
The Ohio State Highway Patrol, along with the Lawrence County Sheriff’s Office, have jurisdiction at the Southern Campus
141 Township Road 161
South Point, OH 45680
740-377-4311 or 911 if an emergency
www.statepatrol.ohio.gov

Proctorville City Police Department
The Proctorville Center is located outside of the village of Proctorville, however the Proctorville Police will respond if needed
301 State Street
Proctorville, OH 45669
740-886-6366

Campus Resources
Director’s Office/Counseling Services/Office of Student Services
Greg Smith Hall
740-886-7655

Proctorville Area Resources
Lawrence County Prosecutor’s Office Victim/Witness Assistance Program
1 Veterans Square
Ironton, OH 45638
740-533-4360
www.lawrencecountyprosecutor.org

Shawnee Mental Health Center, Inc.
715 Lane Street & 225 Carlton-Davidson Lane
Coal Grove, OH 45638
740-533-6280 and 740-533-0648
www.shawneemhc.org

Pathways (Drug Abuse Prevention and Rehabilitation)
3701 Landsdowne Drive
Ashland, KY 41102
606-324-3005
www.pathways-ky.org/boyd

Hope’s Place
Info, referrals, hospital advocacy, and Sexual Assault Nurse Examiner (SANE) program
1-866-325-4737 (24-hour Hotline)
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1Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.

2Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.

32012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.

4The Proctorville Center does not have any Residential Facilities.
### Proctorville Center – Arrests and Judicial Referrals

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### Pickerington Center – Additional Hate Crimes

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<th>Disability</th>
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<th>Unfounded(^2)</th>
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\(^1\)Beginning for the year 2013, the VAWA Act added these categories of bias.

\(^2\)Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Zanesville Campus
1425 Newark Road
Zanesville, OH 43701
740-453-0762

Local Law Enforcement
Muskingum County Sheriff’s Office
Information on registered sex offenders near Zanesville Campus can be obtained from the Muskingum County Sheriff’s Office
1840 East Pike
Zanesville, OH 43701
740-452-3637 or 911 if an emergency
www.ohiomuskingumsheriff.org

Ohio State Highway Patrol
3760 East Pike
Zanesville, OH 43701
740-453-0541 or 911 if an emergency
www.statepatrol.ohio.gov

Zanesville City Police Department
332 South Street
Zanesville, OH 43701
740-45-0700

Campus Resources
Zanesville Campus Public Safety Department
470C Campus Center
740-683-3584

Associate Dean's Office
Elson Hall
740-588-1506

Student Review and Consultation Committee
740-588-1397 or 740-588-1506

Zanesville Area Resources
Muskingum County Prosecutor's Office
740-455-7123

Genesis-Good Samaritan Hospital
800 Forest Avenue
Zanesville, OH 43701
740-454-5000
www.genesishcs.org

24-Hour Crisis Line/Emergency Services
740-453-5818

Muskingum Behavioral Health
601 Underwood Street
Zanesville, OH 43701
740-562-4427
Criminal Reporting at the Zanesville Campus

Students and employees are strongly encouraged to report incidents of criminal conduct, suspicious behavior or emergencies to the Zanesville Campus Public Safety Department along with the local police department. The Zanesville Campus Public Safety Department should be notified in order to assist with the investigation and may assist in determining the necessity to call the police department. With such information, the department can take the necessary steps to help ensure the future safety of the campus by keeping an accurate record of the number of incidents that have occurred. Determining where there is a pattern of crime with regard to a particular location, method, or assailant and alerting the campus community of potential danger are also benefits of such information. The Zanesville Police Department has the responsibility to investigate all crimes which occur at the Zanesville Campus.

Under Ohio law, persons who have knowledge of a felony (a victim of or witness to) are required to report the crime to the police (Ohio Revised Code 2921.22). Failure to report a crime may itself be a crime. The department strongly encourages crime victims to report all criminal activity to the police. The police have a much better chance of solving crimes when they are reported promptly and accurately.

Information on criminal or irrational behavior may be reported to the campuses Intervention Teams. Intervention Teams have been formed nationwide to ensure a safe, caring, and ensure learning environment for everyone. The team consists of designated campus members and administrators to discuss indicators or patterns with individuals for a collaborative response effort.

Ohio University Zanesville’s Team is referred to as the Student Review Consultation Committee (SRCC) and reports can be emailed directly to the Director of Public Safety at hayesb@ohio.edu or by calling 740-588-1397. Reports can also be emailed to the Associate Dean at kiel@ohio.edu or by calling 740-588-1506.

The Zane State College Team is referred to as the Zane Behavioral Intervention Team (ZBIT) and reports can be emailed directly to Director of Public Safety atbhayes1@zanestate.edu or by calling 740-588-1397. Zane State College students or employees can also submit an incident or concern at My Z-Online in the Resources Section.

Every effort is made to provide confidentiality to those who report crimes. However, the Zanesville Police Department may not be able to hold all reports of crime confidential. Police reports become public records under state law after the case has been considered closed or when they are forwarded to outside police departments and/or to courts for prosecution purposes.

Mass Notification System

Ohio University Zanesville utilizes an alert system called BlackBoard Connect which enables direct communication in the form of a text, email, and voice messaging about safety and security related issues. Everyone is opted into the service but you need to register your information designating where you want the alert sent such as your cell-phone, home phone, and/or email. You will not receive commercials or other text messages with the system. It is only activated when there are emergency situations on or near campus and for snow day cancellations and delays. The system is free although your mobile carrier may charge per text message.
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<th>Public Property</th>
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¹Beginning for the year 2013, the VAWA Act required these non-hierarchical offenses to be reported.
²Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes. See page 3 for details.
³2012 sex offense statistics include rape, sodomy, sexual assault with an object, and fondling. See pages 12-13 for details.
⁴The Zanesville Campus does not have any Residential Facilities.
### Zanesville Campus – Arrests and Judicial Referrals

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### Zanesville Campus – Additional Hate Crimes

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<th>Race</th>
<th>Gender</th>
<th>Gender Identity</th>
<th>Religion</th>
<th>Sexual Orientation</th>
<th>Ethnicity</th>
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1 Beginning for the year 2013, the VAWA Act added these categories of bias.
2 Beginning for the year 2014, the VAWA Act required that institutions report any unfounded crimes (see pg. 3)
Interoffice Communication

Date: September 28, 2015

To: The President, Executive Vice President and Provost, and Board of Trustees

From: Hugh Sherman, Dean, College of Business

Re: College of Business – Strategic Review

This presentation reviews the College of Business’s long term strategy and progress according to the dashboard metrics. Today, organizations are demanding people who have discipline knowledge, but perhaps more importantly, have the ‘know-how’ to apply that knowledge appropriately and learn from those experiences to create new knowledge. To meet that requirement, we have designed new, high-touch student learning experiences focused on application (inside and outside the classroom) and professional development modules to help transform our students into ‘ready now,’ high performing graduates. We also have changed the messaging in our recruiting efforts to attract students who are willing to become more engaged in the learning activities of the College. The result has been a significant increase in our freshman classes.

In addition, to facilitate continuous learning on the part of our faculty and staff, we are building broader and deeper partnerships with organizations and alums. We have dramatically increased our visits with alums and recruiters at companies throughout the country. We talk to them about their needs and what we can offer in terms of internships and placement of our graduates and education of their employees. As a result we continue to expand our executive education and continuing education certificate offerings, as well as our suite of professional graduate programs for working professionals – domestically and internationally. These engagements help us to develop new learning about organizational and student needs, which better informs our teaching and our research so we remain relevant and innovative. In addition, we are focused on hiring faculty and staff who are committed to mentoring and coaching students, helping them to build their own customized portfolio of skills, knowledge, and experiences.

Materials attached include the presentation PowerPoint slides and the College’s dashboard.
College of Business
Strategy for the Future
Tab
Overview

Changing Educational Needs

Creating a Learning Organization

Creating the Student Transformational Learning Experience

How We Measure Ourselves
The Traditional Business School

Curriculum and teaching style adopted in the late 1950s by AACSB

- Based on Industrial Model including batch processing
- Measure of learning is credit hour-number of hours in class
- Classes in discipline designed in isolation of program learning outcomes.
- Use of an instructional paradigm focused on know-what type of knowledge

“Business schools are constantly criticized for being out of touch with the profession.”
Today’s Environment

- Unprecedented amounts of information:
  - Combined knowledge of the world accessible from a cellphone.
  - Projection is 100 trillion sensors embedded everywhere – farming, retail, vehicles, health monitoring in humans, smart cities, roads, bridges, buildings...

- Increasing pace of technological adoption and innovation = shorter product and firm lifecycle:
  - Networks of hundreds of millions of people – exchanging audio, video, and text – introducing new ideas to a billion people simultaneously, and the cost is nearly free.
  - If Moore’s law continues, the average laptop will be computing at the rate of a human brain in less than 15 years.

- As a result organizations are recruiting people with very different knowledge, competencies and experiences.
2015 Hiring Key Skill Areas

- Communication skills: 86%
- Strategic skills: 67%
- Proven ability to perform: 66%
- Core business knowledge: 63%
- Ability to manage change: 61%
- Ability to manage decision-making processes: 59%
- Technical/quantitative skills: 59%
- Ability to apply business discipline to any job or function: 51%

Source: 2015 NACE recruiting survey
Transformational Learning Experience

- Age 18-29 period of massive personal growth and development
  - Our University **residential** experience allows for an **immersive** learning experience, to create a deep learning environment where **social interaction** and **personal relationships** also occur.
  - To develop new, needed **competencies** we need to provide exposure to real world work issues and problems – need to develop ‘**judgment**’ and approach to continuous learning.
Creating a Learning Organization

- We are recruiting faculty and staff with different knowledge and experiences who want to mentor and coach students.

Lifelong Learners

Coaching & Mentoring

Customized Experiences
Continuous Learning

Increase breadth and depth of engagement with different organizations and different types of learners.
High student satisfaction results in retention and graduation rates
Increased alumni engagement with current students, continuing education
Business Bobcat Lifecycle

Making the Promise.

Delivering on our Promise

Engaging for the Future.
Making the Promise

- We have defined our promise to students in all materials.
- Throughout the recruiting process, we reiterate our approach and recruit students that are ready to make the commitment to their education.
  - High-touch experiences
  - Developing skills
Business Bobcat Lifecycle

Student Experience

- Prospective Student
- Applicant
- Admitted Student
- Enrolled
- Current Student
- First Year
- Sophomore
- Junior
- Senior
- Alumni
- Young Alumni
- Mature Alumni
- Senior Alumni

Making the Promise.

Delivering on our Promise

Engaging for the Future.
Residential Learning Experience

From “Know-What” to “Know-How”

- Academic knowledge important but today must know how to apply knowledge and create new knowledge
- This knowledge is deeply rooted in practice, action and experience

Customized Experience

Faculty and staff work individually with students over four years
- Assist in finding passion
- Build portfolio of knowledge, competencies and experiences
- High touch mentoring and coaching relationships
# Learning Architecture

## HIGH POTENTIAL DEVELOPMENT
- Walter Center for Strategic Leadership
- Emerging Leaders
- Foundations of Leadership in the Core
- Student Organizations

## LEADERSHIP POTENTIAL DEVELOPMENT
- Center for Entrepreneurship
- Center for International Business
- Ralph and Luci Schey Sales Centre
- Consumer Research Center
- Center for Sports Administration

## PROFESSIONAL DEVELOPMENT
- Business Core
- Integrated Business Cluster
- BA1000 & BA2000
- Required Internship
- Capstone Projects

# ACADEMICS
## Learning Architecture

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<tr>
<th>Business Core</th>
<th>Integrated Business Cluster</th>
<th>BA1000 &amp; BA2000</th>
<th>Required Internship</th>
<th>Capstone Projects</th>
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**ACADEMICS**
Learning Architecture

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<th>Walter Center for Strategic Leadership</th>
<th>Student Organizations</th>
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<td>Emerging Leaders</td>
<td>Foundations of Leadership in the Core</td>
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LEADERSHIP POTENTIAL DEVELOPMENT
Learning Architecture

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<th>Student Equity Management Group</th>
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<th>SOX Fellows</th>
<th>Honors Program</th>
<th>Consulting Fellows</th>
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HIGH POTENTIAL DEVELOPMENT
Business Bobcat Lifecycle

Alumni Relations
- recruiting
- coaching
- mentoring

Prospective Student
- Applicant
- Admitted Student
- Enrolled

Current Student
- First Year
- Sophomore
- Junior
- Senior

Alumni
- Young Alumni
- Mature Alumni
- Senior Alumni
What’s the Alumni Strategy?

EMBED: Leverage alumni relationships to connect faculty & students with corporate partners by embedding alumni into the College culture in meaningful ways.

FOSTER COMMUNITY: Foster a sense of community and continuity between current students and alumni of all generations.

CREATE CONNECTIVITY: Create opportunities to connect alums to the College that demonstrate commitment and investment to foster affinity.

ENRICH: Enrich the lives of alumni through a deeper connection with current and future Business Bobcats.
College of Business Dashboard

First-Year Retention
83%
Percentage of new freshman who return for a second year

Six-Year Graduation Rates
77%
Percentage of new Athens Campus freshman graduating within six years

Four-Year Graduation Rates
61%
Percentage of new Athens Campus freshman graduating within four years

Degrees Granted
569
Number of undergraduate degrees awarded

ACT Composite
25.0
Mean ACT score for new freshmen

Student-Faculty Interaction
20.9 & 28.8
National Survey of Student Engagement (NSSE)
Scaled score for four survey items related to student interaction with faculty beyond required class time by freshmen and seniors

Collaborative Learning (NSSE)
37.2 & 39.9
National Survey of Student Engagement (NSSE)
Comparison of average response to selected questions related to cooperation learning by freshmen and seniors

Quantitative Reasoning (NSSE)
32.3 & 38.9
National Survey of Student Engagement (NSSE)
Comparison of average response to selected questions related to critical and analytical thinking by freshmen and seniors

Four Fundamentals

- Enrollment
- Total Compensation
- Capital Campaign
- Financial Strength

Placement (at graduation and after three months)
73% 93%
Percent of students who either had jobs or were accepted to graduate school at the time of graduation and three months after graduation

Placement - Average Starting Salary
$48,000
Starting salaries reported by students at commencement

Internships
72%
Percent of students reporting at least one paid internship or an internship of either kind

Undergraduate and Graduate Fall Headcount
3,489 (+33% 5 yr growth)
Main campus headcount enrollment, fall term

Philanthropic Gifts
$27.8M Total Promise Lives
Charitable contributions of cash and property directed to the University and Foundation

Four-Year Graduation Rates (Undergraduate)
Past Performance

- 2010: 68%
- 2011: 65%
- 2012: 59%
- 2013: 64%
- 2014: 61%

Dashboard Key: Connections to 4x4 Strategic Plan
Questions?
REVIEW OF CENTERS AND INSTITUTES

RESOLUTION 2015 –

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

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

WHEREAS, the reviews are conducted in accordance with the provisions of University Policy 01.015 Establishment and Review of Centers and Institutes.

NOW, THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University accepts the 2014-2015 Reviews of Centers and Institutes, which recommends continuation of seven (7) institutes / centers and a one-year extension for two (2) institutes / centers as follows:

- African American Research and Service Institute - Continued
- Astrophysical Institute (ApI) - Continued
- Institute for International Journalism (IIJ) - Continued
- Center for Professional Development School Partnerships - Continued
- Center for Higher Education – Continued
- Center for the Study and Development of Literacy and Language – Continued
- Center for Electrochemical Engineering Research (CEER) – Continued
- Center for Law, Justice and Culture – One-year extension
- Institute for the African Child – One-year extension
Interoffice Communication

Date: September 28, 2015

To: The President, Executive Vice President and Provost, and Board of Trustees

From: Joseph Shields, Vice President for Research & Creative Activity and Dean of the Graduate College

Re: Review of Centers and Institute

Nine centers and institutes were slated for their five-year review during the 2014-15 academic year. Of these, seven institutes/centers completed their reviews and two received a one-year extension.

The attached materials include:
- Review of Centers and Institutes Resolution 2015-
- Review of Centers and Institutes 2014-2015, which includes a one-page summary for each center/institute

I concur with the recommendations associated with each of the reviewed centers and institutes, and recommend that the following action items be presented to the Board of Trustees at its October 15-16, 2015 meeting.

Recommend continuation:
- African American Research and Service Institute (AARSI)
- Astrophysical Institute (ApI)
- Institute for International Journalism (IIJ)
- Center for Professional Development School Partnerships
- Center for Higher Education
- Center for the Study and Development of Literacy and Language
- Center for Electrochemical Engineering Research (CEER)

Recommend one-year extension:
- Center for Law, Justice and Culture – to allow recently appointed director more time to assess the Center and prepare the report
- Institute for the African Child – to allow the director, who has taken on additional responsibilities this year, more time to prepare the report
African American Research & Service Institute
Established in 2003, the mission of AARSI is to bridge the scholarly work of faculty and students to the local community, and regional partners in the Ohio Valley to preserve, record, and disseminate the history, cultural production, and community activism of African Americans and their neighbors in rural and urban settings. Its four research emphases are (1) rural America, especially the Ohio River Valley; (2) the African Diaspora in the Americas; (3) constitutional law and social justice; and (4) popular culture and entertainment.

A major initiative is the African American Presence in the Ohio River Valley Oral History Project. The project is a large-scale, long-term research project designed to document the historic and current presence of African Americans and multi-ethnic communities in the rural regions of the Ohio River Valley.

The review committee commends AARSI for its work in creating relationships with African American communities in the Ohio Valley region. AARSI has also been a central participant in campus and community events, including Black Alumni Reunion weekends. However, due to budget cuts, the coordinator position was eliminated, resulting in a significant decrease in recent activity.

The review committee recommends the following to revitalize the Institute:

- Assess and catalogue the rich oral history resources currently archived in the Institute, perhaps with the assistance of former Director Vibert Cambridge and a graduate student, and with the support of the College of Arts and Sciences.
- Strengthen ties to faculty within and beyond African American Studies, to the end of creating an Advisory Board that could provide the current Director with feedback on the further revitalization of the Institute and assist with the composition of a longer term strategic plan.
- Continue discussions with the College about a Group I hire who could serve as a Director for the Institute when the current Director’s term ends. Relatedly, this would also involve decoupling the directorship of the Institute from the chair of the Department of African American Studies, recognizing the substantial amount of work required by both appointments.
- Increase the visibility of the Institute and its resources amongst faculty and graduate students working on topics related to the Institute’s mission in the areas of rural development, identity, and related topics.

The VPRCA and the Dean of Arts and Sciences agree with the review committee about the current status and potential of the Institute and the recommendations to revitalize the Institute. The Institute should be continued.
Astrophysical Institute
The Astrophysical Institute (ApI) was established in 2004 to advance the frontiers of knowledge in astrophysics, through seamless integration of forefront research and education at all levels. The ApI provides infrastructure and focus to efforts for acquiring external funding, enhancing OU’s national and international reputation in astrophysics, attracting talented students, and reaching out to the OU and Athens communities.

ApI-affiliated researchers have been actively involved in the planning of several large public survey projects using instrumentation such as the Large Synoptic Survey Telescope, the Wide Field Infrared Telescope, the Dark Energy Spectroscopic Instrument, and the James Webb Space Telescope. ApI members published 110 papers during the review period and have obtained external, peer-reviewed funding from federal agencies such as NASA and NSF. They have also maintained a high level of graduate and undergraduate training; in particular, the number of undergraduate students who pursued astrophysics increased more than three times during the review period. Although outreach and public-education activities have reduced to some extent due to faculty turnover, they have been sustained at a reasonable level. The Astrophysics Seminar series brings in 8–10 outside speakers per year, which exposes our students and faculty to a broad range of research areas and techniques.

Research productivity is anticipated to increase as several new instrumentations and public survey data become available in the near future. These opportunities will provide vital funding and publication sources for the institute as well as giving students experience in astrophysical data reduction, problem-solving techniques, and working with very large datasets. Two new initiatives—a new observatory site on the Ridges to house the 10’ Fecker refractor telescope that used to sit on the roof of the RTEC building, and a partnership with the Friends of the Hocking Hills State Park to build an astronomy education center near Old Man’s Cave—will also boost outreach activities of the institute. Greater stability of staffing for the ApI and funding for Ohio University’s share of the annual operating costs for the MDM observatory in Arizona would enhance recruitment, research productivity and outreach.

The review committee offers the following recommendations for continuation of the ApI:

- Another group I line should be added to the ApI to provide greater stability of staffing and boost research productivity.
- The OU community (university, college, and department level) should provide stable financial support for the MDM observatory, which is critical for teaching and recruitment of graduate and undergraduate students.
- A staff or graduate assistant position should be created to manage a new observatory on the Ridges, which would become a base for reviving the ApI’s public outreach activities.

(Note: To avoid a potential conflict of interest for Dr. Shields, who is a member of the ApI, this review has been conducted by the Office of the Executive Vice President and Provost.) The EVPP and the Dean of Arts and Sciences agree with the review committee regarding the Institute’s research productivity and the recommendations to increase its educational and outreach programs. The Institute should be continued.
Institute for International Journalism
IIJ was established in 1991 to provide coordination of the E.W. Scripps School of Journalism’s international journalism initiatives, as well as establish a brand name and identity that could facilitate fund raising on behalf of the school’s global initiatives. Through various programs, including SUSI (Study of the U.S. Institute) and YALI (Young African Leaders Initiative), and partnerships with global media institutions, study abroad and international internship opportunities, and sponsorship/co-organization of international conferences, IIJ helps to address the College’s strategic goal of providing international opportunities for students and a significant presence on an international stage.

Since 2009, the SUSI summer institute has been funded by an annual renewable grant of $280,000 from the Bureau of Educational and Cultural Affairs in the Office of Academic Exchange Programs. During the past five years, scholars from more than 60 countries have participated. YALI, initiated in 2014, will train 160 young entrepreneurs, leaders and professionals in the areas of innovation, entrepreneurship and governance in four countries for one week each Connect Camp. Through teaching, service, and advising, the IIJ prepared more than 230 journalism students and about 60 students from other departments across Ohio University to work as international journalists or in some Foreign Service occupation. Additionally, about 95 students have participated in international internships in Africa, East Asia, Europe, Latin America, the Middle East, and South Asia. The IIJ has administered several journalism study abroad programs and internships abroad and sponsored conferences, and is the home for the International Communication Research Journal.

The review committee believes that the Institute serves an extremely valuable function within the College and has the following recommendations for moving forward.

- Establish an internal (to the University) advisory board.
- Explore more interdisciplinary opportunities.
- Explore the development of a faculty fellowship program.
- Explore the possibility of an assistant administrator for the program.
- Routinize an open approach to hiring and supervising student employees.
- Provide the IIJ Director with at least a one course release.

The VPRCA and Dean concur that IIJ is performing at an extremely high level and that the amount of activity, both student development and research, makes it one of the most significant programs in the college. The Institute should be continued.
RUSS COLLEGE OF ENGINEERING AND TECHNOLOGY

Center for Electrochemical Engineering Research
CEER was established in 2009 with the mission to enhance research and scholarship in electrochemical engineering, educate future generations in electrochemical technologies, provide public awareness and disseminate scientific knowledge on topical issues related to electrochemistry, and contribute to economic development (local, regional, national, and international).

As excerpted from the Dean’s review, “CEER has exhibited an exceptional growth rate and a remarkable level of success. Scholarly and academic successes include the publication of 36 journal articles and 117 conference papers, and the creation of research opportunities for 27 undergraduate students, 21 graduate students, and 4 postdoctoral researchers. The 8 Ohio University faculty members associated with CEER have been successful in securing $6.5M in external research funding and have also clearly embraced the college's push toward entrepreneurship with 20 patents issued and 23 more pending. Since 2010, CEER has received advice and support from their external Industrial Advisory Board composed of 7 international leaders from industry and national labs. Most notable in CEER’s short history is its selection in 2014 as an NSF Industry University Cooperative Research Center (I/UCRC), one of only two such centers at the university, and the resulting formation of the Center for Electrochemical Processes and Technology (CEProTECH) consortium currently consisting of six industrial partners.”

The review committee was very satisfied with the CEER performance and future plans, and only had a few recommendations.

- It is important that the Center continue to promote itself both nationally and internationally. College/university support in this manner is recommended.
- Support the increase in staff by three senior positions. In discussion with CEER Director it is clear that the Center needs people who better understand what is going on in industry, rather than academic staff. The committee thinks that this is a viable approach to support CEProTECH and to seek further industry funding support to fund research and industry service contracts to offset operation costs.

The VPRCA and Dean are fully in support of CEER’s five-year goals including the hiring of an assistant director for business technical development and two senior research scientists, as recommended by the review committee. Since the submission of CEER’s self-study, the college has worked with the Vice President for Research to jointly provide much of the funding for those new positions. The Center should be continued.
PATTON COLLEGE OF EDUCATION

Center for Professional Development School Partnerships
The university has had a long history of partnerships with area schools, dating back to the mid-1980s. The Center for Cooperative Curriculum Development and Partnerships (CCCDP) was reactivated in 1992, following several years of inactivity, and renamed in 2009 to the Center for Professional Development School Partnerships. The central purpose of the Center, from the 1990s to present, has been to foster and support outreach activities that connect the College with regional schools.

The Center addresses five goals that focus on the improvement of classroom teaching, student engagement and student learning, mentoring, and inquiry: (1) improve P-12 education for all students; (2) provide increased opportunities and enhanced quality in field experience for prospective teachers in P-12 classrooms; (3) construct mentoring relationships for prospective teachers as they learn through teaching, in the company of experienced, mentor, cooperating teachers; (4) support and encourage continuing professional development for faculty and administration in Center-affiliated schools and in the Departments of Teacher Education, Human and Consumer Sciences, and Educational Studies at Ohio University; and (5) at an organizational level, learn through partnerships about how to best develop and strengthen the concept of partnerships at Ohio University, in order to best support and sustain teacher learning in the interests of student engagement and learning, P-16 and beyond.

The review committee felt that the Center was futuristic in its planning and had two recommendations.
- Emphasize professional development support for the teacher mentors.
- Encourage all partners to financially support the Center’s work.

The Dean concurs with the review committee that the Center is a strong vehicle for the college and the Department of Teacher Education with regard to its mission for outreach, partnership, service to the region and high quality preparation of teacher candidates.

The Dean has the following recommendations:
- Explore opportunities to seek additional external funds for research and programming.
- Expand programming to best meet student needs, such as intervention programming, after school programming and community involvement.
- Encourage greater involvement of adolescent to young adult (AYA) majors in center activities to enhance their teacher education curriculum experiences.
- Explore digital partnerships as a viable future activity and appropriate goal in the 21st century of teacher candidate education.
- Provide continued professional development for P-12 teacher mentors.

The VPRCA lauds the Center and the Athens City Schools for receiving the National Association of Professional Development Schools Exemplary PDS award in 2014. The Center should be continued.
Center for Higher Education
The Center was established in 1981. The mission is to enhance higher education in Southeastern Ohio and portions of Appalachia by assisting two-and four-year institutions in the region through instructional, research and service programs. To accomplish this mission, the Center partners with other higher education institutions, the state of Ohio, and higher education associations and organizations. Specifically, the Center focuses on the following goals and objectives: (1) conduct research and policy analysis devoted to topics relevant to higher education in the state of Ohio, the Appalachian region and the nation; (2) develop collaborative relationships that enhance capacity to meet challenges facing higher education in Southeastern Ohio and the Appalachian region; (3) engage in activities that support the strategic priorities of Ohio University; and (4) provide faculty and students at Ohio University with opportunities for professional experience and research.

The future viability of the Center will be influenced by its external funding strategies; careful consideration must be given towards balancing activities that have the potential to produce funding versus those that do not. From 2010 to 2015, the Center secured a total of $617,535, a significant decrease from the previous 5-year period, despite significant efforts to obtain external funding. The majority of these funds were generated by the ADVANCE-PAID grant involving a three-year study that seeks to increase the representation and advancement of women in academic scientific and engineering careers.

The review committee had several recommendations:
- Initiate a search for a full-time center director.
- Establish an Advisory Board for the Center.
- Revisit the Center’s mission statement and consider broadening its scope to include not only regional, rural issues in higher education but also give emphasis to national and international issues in the field.
- Assess those grant proposals that were not funded and adopt a strategy to revise, resubmit and re-position as appropriate.
- Engage in more effective collaboration both internally and externally.
- Develop a marketing plan to increase visibility within and outside of the University.
- Educate faculty in Recreation and Sport Pedagogy and Human and Consumer Sciences about the Center so that areas of common research activities and other interests may be explored.
- Continue to work closely with the Associate Dean for Research and College Grants Coordinator.

The Dean and VPRCA concur with these recommendations. With the commitment of the college, the Center has great potential to impact the region and state. The Center should be continued.
Established in 1998, the mission of Center is to research, develop and promote literacy across the life span. During the past five years, the Center has facilitated several programs, such as Adult Basic and Literacy Education (ABLE), Better Mathematics through Literacy (BMTL), ‘Riting to Assess Mathematical Practices (RAMP Up), and the Southeast Ohio Math Teachers Circle (SEOMTC), that support the faculty and students of the Teacher Education Department and have had a positive impact on Southeast Ohio K–12 teachers and community members.

However, the loss of the ABLE grant at the end of the 2013–2014 fiscal year severely damaged staffing and programmatic work. In addition, the long-time director retired in June 2015. There are many excellent aspects of the center, but the main issue, and the biggest need, is continued, sustainable funding. Future Center leadership needs to develop a strong strategy to move beyond the current level of funding from college and its departments (particularly Teacher Education), and devise a sustainable stream of grant and contract generated revenue.

The review committee has several recommendations:

1. Align and complement the mission of the Center with those of the departments and college.
2. Further develop the mission to encompass a broader definition of literacy (i.e., technological literacy, financial literacy).
3. Work with an accounting specialist to help manage specific monetary and budgeting issues.
4. Work with a faculty member who will serve as a Faculty Liaison to the Center.
5. Reopen the Tutoring Center and incorporate its operations into the curriculum of the college (Dean’s note: “The new director will be in a position to best determine the business plan, academic partnerships and outreach scope.”).
6. Explore the possibility of collaboration with other Patton College Centers to jointly further the mission of the college as opposed to working separately and in competition with one another for already-scarce resources.

In addition, the review committee made several recommendations on how to structure the management of the Center.

The Dean is committed to identifying focused leadership for the Center, including hiring a Director, and a new search is underway. She fully expects a smooth transition of the Center’s work, but anticipates substantial change and growth upon new leadership.

The VPRCA agrees that the Center will be undergoing significant transitions within the next few years, and with the commitment of the college has great potential to impact the region and state with respect to adult and other forms of literacy. The Center should be continued.
Recommend extension:

Center for Law, Justice & Culture
Dean Frank requested a one-year extension for the Institute’s review to allow the recently appointed director more time to assess the Center and prepare the report.

Institute for the African Child
Vice Provost Edmonds requested a one-year extension for the Institute to allow the director, who has taken on additional responsibilities this year, more time to prepare the report.
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost

Re: Methods of Assessment

Assessment uses data to improve student outcomes. This presentation provides the Board with background on assessment including the purpose and types of assessments. Comparisons are made between particular outcome based measures. Validity issues are examined in some detail. Finally, Ohio University’s approach to assessment is described for institution-wide and program-specific assessment.

The following are key points from this presentation:

- The goal of assessment is to improve student learning and must be faculty driven
- Standardized tests can provide comparative data but raise a number of validity issues
- Ohio University has approached assessment through a multiple methods approach. Institution-wide assessment includes follow-up surveys of graduates, data reported in the Voluntary System of Accountability, and additional student surveys. Program specific surveys include learning objective assessments.
Methods of Assessment
Assessment Defined

- Assessment is the systematic collection, review, and use of information about educational programs undertaken for the purpose of improving student learning and development (Palomba & Banta)
Purposes of Assessment

- Different from Evaluation
- Demonstrate Student Success
  - Faculty driven
  - Improve student learning
  - Improve teaching & student services
  - Internal, authentic purposes
- Demonstrate Accountability
  - External purposes
  - Largely symbolic and PR
  - Little faculty engagement
Types of Assessments

- Institution-wide / Program-specific
- Direct / Indirect Methods - examples:
  - Outcomes Surveys
  - Student Satisfaction Surveys
  - Course-embedded assessments
  - Major Competency/skills
  - Capstone Experience Assessment
  - Portfolios
  - Licensing exams
  - Use of rubrics—related to an objective
  - Standardized Tests
    - Norm referenced—comparative results
    - Criterion-referenced—related to an objective
- Assessment Required by Outside Agency
  - Prescriptive / Open Choice
Standardized Tests for Admissions

- ACT, SAT, GRE, MCAT, LSAT . . .
  - Designed to predict student success
  - Norm-referenced--comparative
  - Academic achievement and/or aptitude
  - Validity studies and issues
  - Accuracy issues (standard error)
  - Usage Declining: Test-Optional Increasing

Ohio University
1804
Standardized Tests for Outcomes Assessments

- ACT CAAP, ETS Proficiency Profile; Major Field Tests, Council for Aid to (Financial) Education CLA
  - Norm referenced--comparative
  - Validity studies and issues
  - Value-Added Claims
# Standardized Tests

<table>
<thead>
<tr>
<th>Publisher</th>
<th>Proficiency Profile</th>
<th>Collegiate Assessment of Academic Proficiency</th>
<th>Collegiate Learning Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publisher</td>
<td>Educational Testing</td>
<td>American College Testing</td>
<td>Council for Aid to Education</td>
</tr>
<tr>
<td>Format</td>
<td>2-hour modules online/paper</td>
<td>40-minute modules paper</td>
<td>4.5 Hour online</td>
</tr>
<tr>
<td>Content/</td>
<td>Math</td>
<td>Math</td>
<td>Value added Critical Thinking</td>
</tr>
<tr>
<td>Scores</td>
<td>Reading</td>
<td>Reading</td>
<td>Writing (machine scored)</td>
</tr>
<tr>
<td></td>
<td>Writing</td>
<td>Science</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Critical Thinking</td>
<td>Writing Skills</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Score</td>
<td>Writing Essay (human scored)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Critical Thinking</td>
<td></td>
</tr>
<tr>
<td>Validity Testing</td>
<td>Extensive</td>
<td>Extensive</td>
<td>Minimal</td>
</tr>
<tr>
<td>Ohio U. Experience</td>
<td>X</td>
<td>Helped Pilot</td>
<td></td>
</tr>
</tbody>
</table>
Standardized Testing

Issues with Outcomes Assessments

- Validity issues
  - Student Effect / Institution Effect
  - What cognitive domains are measured?
  - Do we teach them?
    - Critical thinking—What is it?
    - General education—choices, combinations
      - 2000+ general education courses
      - 700+ faculty
      - No single student experience
  - Tests Generic Skills at Best
  - Student Participation Difficult
  - Expense: time, $$, effort
  - Experiences of Other Institutions:
    - High Cost, Little Student Interest, Little Internal Value

- Inappropriate Usage: Institutional Comparisons
Ohio University’s Approach: Institution-Wide Examples

- Follow-Up Surveys of Graduates
  - Career & Further Education Survey
  - Survey of Alumni

- Voluntary System of Accountability
  - NSSE
  - ACT CAAP Test
  - Graduation Rates

- Student Surveys
  - Freshman/Senior Involvement Survey
  - Freshman Treatment Survey
Ohio University’s Approach: Program Specific - Learning Objective Assessment

- Assessment by faculty
- Direct results & actions
  - Promotes learning
  - Enhances student success
  - Curriculum development
  - Internal continuous improvement
  - Demonstrate benefits to students
- Authentic, useful internally
Ohio University’s Approach: Program Specific - Learning Objective Examples

- College of Business—Assurance of Learning
- English—Freshman Writing Essay & Rubric
- Biological Sciences--Capstone
- Osteopathic Medicine/PT/Nursing—Competency & Licensing Exams
- Engineering, IR, CLDC—Outcomes Surveys
- Education—NCATE/CAEP Standards
- Fine Arts--Portfolios
- Communication—Electronic Portfolios
Conclusion: Assessment

- Must be faculty-driven and occur at source of learning to be authentic
- Must be tied to learning objectives
- Must lead to action
Interoffice Communication

Date:    September 28, 2015
To:    The President and Board of Trustees
From:    Pamela J. Benoit, Executive Vice President and Provost
Re:    Enrollment Update

Student-based revenue from tuition and subsidy drives the budget of the institution. Craig Cornell, Senior Vice Provost for Enrollment Management, will provide up-to-date information for the Fall Semester and how OHIOs multi-modal education strategy has led to many significant milestones.

- New student enrollments remain strong and set many new records in alignment with the Strategic Enrollment Management Plan (SEMP).

- Overall enrollment growth is set to cross a very significant threshold this year with an anticipated 40,000+ students by the end of the fall term.

- OHIOs overall strategy to grow enrollments through various educational opportunities have been significant in maintaining our counter-cultural growth pattern over the recent past causing us to see the largest growth in the State compared to our peer institutions in enrollment growth as well as being recognized in the Chronicle of Higher Education as the 18th fastest growing institution in the US.
Enrollment Update

Tab
What is Strategic Enrollment Management?

Strategic Enrollment Management
- A definition

A comprehensive approach to integrating all of the University’s programs, practices, policies, and planning related to achieving the optimal recruitment, retention, and graduation of students with “optimal” defined by the mission, academic vision, and strategic plan of the institution.

Enrollment management becomes *Strategic Enrollment Management* when it actively integrates planning, strategies and structures in the formal enrollment management units with the institution’s evolving strategic planning, its academic vision and its fundamental mission.
Ohio University’s Multi-Modal Educational Strategy Has Driven Our Enrollment Success
University Applications Across All Modalities

All Applications Processed for Fall 2015 – 40,303

FRESHMAN RECORD - 21,000
56.8% increase since low point in 2011

- Freshman Applications
- Transfer Applications
- Non-Degree Student Applications
- Graduate Applications
- RHE Applications
- Medical Applications
- eLearning

Freshman and Other New Student Enrollments at the Athens Campus

New Freshman Enrollments
- 4,423, a new Record
- +540, 13.9% increase since low point in 2011
- 1.0% increase over last year

New Transfer Students
- 563, highest in 3 years
- +18 students
- 3.3% increase over last year

New College Credit Plus, Athens Campus
- 55 new students
- +5 students
- 10% increase over last year
New Freshman Highlights

Multi-Cultural Student Enrollment as a Percent of Freshman Class

Record – 618 students, 14.0% of Freshman Class
56% increase since 2008

Out-of-State Enrollments in Freshman Class

Record – 667, 15.1% of Freshman Class
43% increase since low point in 2008

Freshman Student Quality

Record, Average Combined ACT of 24.1 and Average High School GPA of 3.46

Composite ACT Average
High School GPA Average
Undergraduate eLearning Enrollments

- 5,707 students so far
- 5,900+ anticipated by end of Fall term.
- +39 over last year
- 0.7% increase over last year
- 20 signed partnerships
- 7 online undergraduate degree completion programs currently being recruited for
- Additional programs being discussed
- Beginning first phase of larger marketing campaign for these programs.
Graduate, Graduate Outreach and Medical Enrollments

Graduate
• 2,613 Students
• Down 125 from last year
• Down 4.6%
• Lowest enrollments since 2008 for on-campus graduate programs

Graduate Outreach
• 2,364 Students
• Up 66 from last year, new Record
• Up 2.9%
• Up 300% since 2008

Heritage College of Osteopathic Medicine
• 711 Students
• Up 101 from last year, a new Record
• Up 16.7%
• Up 59.4% since 2008
Regional Higher Education
- 10,304 students
- +394, increase over last year
- 4% increase over last year

- Includes approximately 799 College Credit Plus students, of whom 242 are new students
- Skews actual headcount as each CC+ student only takes one to two classes per term
- We have fared well compared to some community colleges and branch campuses, but still seeing enrollment declines in FTE
Total University Enrollments

RECORD - currently at 39,664, anticipated to eclipse 40,000 by end of Fall term; Record Enrollment Each and Every Year Since 2006
2008-2014 Undergraduate Enrollment Percentage Growth (Loss) Change per Common Data Set H2(a) - “Number of Degree-Seeking Undergraduates”

- **OHIO**: 36.67%
- **Miami**: 5.57%
- **OSU**: 12.95%
- **UC**: 17.26%
- **BGSU***: -4.09%
- **KSU**: 11.45%

*BGSU based on website information, CDS not available
### Fastest-Growing Colleges, 2003-13

All of the top 20 two-year public colleges and private nonprofit master's institutions at least doubled their enrollment over the 10-year span, while no public doctoral institution did so.

<table>
<thead>
<tr>
<th>Rank for size of increase</th>
<th>Institution</th>
<th>Enrollment, fall 2003</th>
<th>Enrollment, fall 2013</th>
<th>Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public doctoral institutions</td>
<td>Texas A&amp;M U. at Kingsville*</td>
<td>6,856</td>
<td>12,229</td>
<td>78.4%</td>
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<tr>
<td>2.</td>
<td>U. of Alabama at Tuscaloosa</td>
<td>20,290</td>
<td>34,752</td>
<td>71.3%</td>
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<td>3.</td>
<td>Utah State U.</td>
<td>16,460</td>
<td>27,812</td>
<td>69.0%</td>
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<td>4.</td>
<td>City U. of New York Graduate Center†</td>
<td>4,108</td>
<td>6,736</td>
<td>64.0%</td>
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<td>5.</td>
<td>Texas Woman's U.</td>
<td>9,709</td>
<td>15,058</td>
<td>55.1%</td>
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<tr>
<td>6.</td>
<td>U. of Texas at Dallas</td>
<td>13,718</td>
<td>21,193</td>
<td>54.5%</td>
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<tr>
<td>7.</td>
<td>U. of Arkansas at Fayetteville</td>
<td>16,405</td>
<td>25,341</td>
<td>54.5%</td>
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<td>8.</td>
<td>Missouri U. of Science and Technology</td>
<td>5,459</td>
<td>8,129</td>
<td>48.9%</td>
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<td>9.</td>
<td>Oregon State U.</td>
<td>18,958</td>
<td>27,002</td>
<td>47.2%</td>
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<td>10.</td>
<td>U. of Massachusetts at Lowell</td>
<td>11,706</td>
<td>16,932</td>
<td>44.6%</td>
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<td>11.</td>
<td>U. of Central Florida</td>
<td>41,559</td>
<td>59,589</td>
<td>43.5%</td>
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<tr>
<td>12.</td>
<td>Florida International U.</td>
<td>33,228</td>
<td>47,663</td>
<td>43.4%</td>
</tr>
<tr>
<td>13.</td>
<td>Colorado School of Mines</td>
<td>4,050</td>
<td>5,700</td>
<td>43.0%</td>
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<tr>
<td>14.</td>
<td>Sam Houston State U.</td>
<td>13,460</td>
<td>19,210</td>
<td>42.7%</td>
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<td>15.</td>
<td>Northern Arizona U.</td>
<td>18,820</td>
<td>26,584</td>
<td>41.3%</td>
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<tr>
<td>16.</td>
<td>U. of Colorado at Denver</td>
<td>15,746</td>
<td>22,206</td>
<td>41.0%</td>
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<tr>
<td>17.</td>
<td>U. of Mississippi</td>
<td>13,780</td>
<td>19,431</td>
<td>41.0%</td>
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<tr>
<td>18.</td>
<td>Ohio U.</td>
<td>20,452</td>
<td>28,786</td>
<td>40.8%</td>
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<tr>
<td>19.</td>
<td>Texas A&amp;M U. at Corpus Christi</td>
<td>7,861</td>
<td>10,913</td>
<td>38.8%</td>
</tr>
<tr>
<td>20.</td>
<td>Texas A&amp;M U. at Commerce</td>
<td>8,391</td>
<td>11,591</td>
<td>38.1%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Rank for size of increase</th>
<th>Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td>Saint Joseph's College (N.Y.)</td>
</tr>
<tr>
<td>6.</td>
<td>Concordia U. (Ore.)</td>
</tr>
<tr>
<td>7.</td>
<td>Davenport U.</td>
</tr>
<tr>
<td>8.</td>
<td>Tiffin U.</td>
</tr>
<tr>
<td>9.</td>
<td>King U. (Tenn.)</td>
</tr>
<tr>
<td>10.</td>
<td>Baker U.</td>
</tr>
<tr>
<td>11.</td>
<td>Colorado Christian U.</td>
</tr>
<tr>
<td>12.</td>
<td>Concordia U. Chicago</td>
</tr>
<tr>
<td>13.</td>
<td>California Baptist U.</td>
</tr>
<tr>
<td>14.</td>
<td>Russell Sage College</td>
</tr>
<tr>
<td>15.</td>
<td>U. of the Cumberlands</td>
</tr>
<tr>
<td>16.</td>
<td>Endicott College</td>
</tr>
<tr>
<td>17.</td>
<td>Concordia U. (Calif.)</td>
</tr>
<tr>
<td>18.</td>
<td>American International College</td>
</tr>
<tr>
<td>19.</td>
<td>Concordia U. Texas</td>
</tr>
<tr>
<td>20.</td>
<td>Bellevue U.</td>
</tr>
</tbody>
</table>

**Private baccalaureate institutions**

1. Mid-America Christian U.
2. Keiser U. at Ft. Lauderdale
3. Mid-Continent U.
4. Bryan College (Tenn.)
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost

Re: Public Face: External Reporting and Publically Available University Data

The quantity of university data and information that is publically available continues to proliferate. It is important that OHIO be aware of information that is being shared with external entities as well as to understand how the information is shared with the public.

The attached presentation contains a summary of reporting requirements from the federal and state governments as well as highlights of some of the voluntary reports in which OHIO participates. Summary points to take away from the presentation include:

- Federal reporting requirements have recently expanded.
- The National Center for Education Statistics recent release of the National College Scorecard increased interest in publically available data.
- The State of Ohio recently made available a reporting tool to explore the income of public university graduates by academic discipline.
- OHIO makes a significant effort to participate in numerous voluntary reporting systems that contribute to building the public face of the University through data sharing as well as to provide the University with valuable peer comparison and benchmarking information.
Public Face

External Reporting and Publicly Available Data

Tab
Federal Reporting Requirements: IPEDS and HLC-AQIP

**Requirement:** IPEDS* requires 12 annual reports to be submitted during three collection periods. AQIP* Requires one annual data update in addition to action projects, systems portfolio, and federal compliance.

**IPEDS:**
- Institutional Characteristics
- Completions
- 12-Month Enrollment
- Finances
- Financial Aid
- Graduation Rates (2 reports)
- Student Persistence and Success
- Human Resources
- Fall Enrollment

**3 New IPEDS Requirements Since 2014**
- Library Report
- Outcomes Report
- Admissions Report

**HLC**
- Action Projects
- Federal Compliance Reports
- Systems Portfolio
- Annual Data Update

---

*National Center for Educational Statistics Integrated Postsecondary Data System (IPEDS)
*Higher Learning Commission Academic Quality Improvement Program (AQIP)
Public Availability of Required Federal Data

Public websites to access IPEDS and HLC

**IPEDS Data Center**
- Published by NCES, allows users to download entire national dataset from peers or use reporting templates to produce reports.

**College Navigator**
- Published by NCES, allows lookup of individual institutions and displays a full array of IPEDS data.

**Delta Cost Project**
- Reports cost indices based on IPEDS data with interface to explore and compare institutions. Funded by the American Institutes for Research.

**College Scorecard**
- Published by NCES, displays IPEDS information combined with salary data from ten years after start of attendance.

**Higher Learning Commission**
- Website lists accreditation status and any current actions with individual institutions.
College Scorecard – NEW in fall 2015.

• Published by NCES and contains IPEDS information combined with salary data from the IRS.
• Salary after attending: The median earnings of former students who received federal financial aid, at 10 years after entering the school.

Sample of Ohio University – Main Campus College Scorecard [https://collegescorecard.ed.gov](https://collegescorecard.ed.gov)
State Board of Regents Reporting Requirements

Several files submitted throughout the year:
- Academic Programs
- Enrollment
- Facilities
- Faculty
- Financial
- Financial Aid

Summary information due periodically:
- Enrollment estimates
- Course completion projections
Ohio Board of Regents website:
• Summary reports on student enrollment, staff, and budget summaries.
• Query builder allows institutions limited access to data for comparative reports.

Regents ‘what degrees pay’ website:
• Based on degree data submitted to the state
• Combines with Ohio Department of Job and Family Services data on income. Includes data only for those employed in Ohio in non-federal jobs who are not self-employed.

https://public.tableau.com/profile/joshh8541#!/vizhome/OBRDashboard_updated_091114/WhatDegreesPay
Example of Publically Available State Data

Regents ‘what degrees pay’ website:

https://public.tableau.com/profile/joshh8541#!/vizhome/OBRDashboard_updated_091114/WhatDegreesPay

<table>
<thead>
<tr>
<th>Program Graduates and Average First Year Earnings (2010$)</th>
<th>Average Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Nursing, Administration, Research and Clinical Nursing</td>
<td>$65,780</td>
</tr>
<tr>
<td>Mechanical Engineering</td>
<td>$45,008</td>
</tr>
<tr>
<td>Management Information Systems and Services</td>
<td>$42,742</td>
</tr>
<tr>
<td>Accounting and Related Services</td>
<td>$41,204</td>
</tr>
<tr>
<td>Industrial Production Tech.</td>
<td>$38,084</td>
</tr>
<tr>
<td>Finance and Financial Management Services</td>
<td>$38,575</td>
</tr>
<tr>
<td>Computer Systems Networking and Telecommunications</td>
<td>$36,732</td>
</tr>
<tr>
<td>Civil Engineering</td>
<td>$34,653</td>
</tr>
<tr>
<td>Marketing</td>
<td>$34,271</td>
</tr>
<tr>
<td>Business/Managerial Economics</td>
<td>$32,383</td>
</tr>
<tr>
<td>Business Administration, Management and Operations</td>
<td>$32,231</td>
</tr>
<tr>
<td>Human Resources Management and Services</td>
<td>$29,408</td>
</tr>
</tbody>
</table>
Sidebar on Alumni Data: Sources

- National Student Clearinghouse
- Alumni Surveys
- Discipline Specific Alumni Surveys
- Social Media
- State of Ohio Alumni Employment Website
- Federal College Scorecard
- Federal Reporting
- State Reporting
- State Data Availability
- Alumni Data Sidebar
- Voluntary Reporting
- Voluntary Availability
- Resources

- Continued Education
- Satisfaction
- Employment
- Earnings (Ohio U)
Sidebar on Alumni Data: Challenges

How many mechanical engineering graduates are employed in Ohio?
• Survey says 33%
• State of Ohio says 67%
• Social Media says 85%

How many graduates go on to continue their education?
• Survey says 23%
• Clearinghouse says 27%

What is the 1st year average salary for nursing majors?
• Survey says $62,828
• State of Ohio website says $55,760
Description: The opportunity to provide data to external sources that result in publicity or provide peer comparison information. Some examples include:

Participation in Voluntary Accountability Efforts:

- Student Achievement Measure (SAM)
  - Improved method of reporting student progress and completions by including transfer students.

- Voluntary System of Accountability (VSA)
  - The VSA and College Portrait are sponsored by two nonprofit organizations in Washington DC – the American Association of State Colleges and Universities (AASCU) and the Association of Public and Land-grant Universities (APLU). Universities voluntarily provide information to build a college portrait.

Guidebooks: Peterson’s Guide, College Board

Rankings: US News, Sierra Magazine
Voluntary Consortiums and Surveys

**Consortiums:** Non-profit organizations or groups of institutions that agree to share information to allow for peer comparisons or promote research.

**Consortium Examples:**
- Delaware Cost Study: Provides peer information on cost by discipline.
- CSRDE: Provides peer information on retention by subpopulations.
- CUPA-HR and AAUPE: Provide peer information on salaries and benefits.

**Surveys:** Externally administered surveys for which OHIO provides student contact information so students can participate.

**Survey Examples:**
- National Survey of Student Engagement (NSSE)
- Cooperative Institutional Research Program (CIRP)
- Map-Works

Typically, data that identify the university are not made public from consortium and survey participation, with the exception of AAUPE.
Example of Publically Available Voluntary Reporting

Student Achievement Measures (SAM)

This image is from the Ohio University-Athens Campus first-time students report published by SAM.

Previously, publically available data from the federal government would have shown only that the 6-year graduation rate was 66%.

With SAM, it can be seen that 87% of these students had a ‘successful’ outcome with 80% earning a bachelor’s degree and 7% still enrolled in higher education.
Resources

IPEDS Data Center
    http://nces.ed.gov/ipeds/datacenter/
College Navigator
    http://nces.ed.gov/collegenavigator/
Federal College Scorecard
    https://collegescorecard.ed.gov/
Ohio board of regents
    https://www.ohiohighered.org/data-reports
Ohio Board of Regents “What Degrees Pay”
    https://public.tableau.com/profile/joshh8541#!/vizhome/OBRDashboard_updated_091114/WhatDegreesPay
Student Achievement Measures (SAM)
    http://studentachievementmeasure.org/
Voluntary System of Accountability (VSA)
    http://www.voluntarysystem.org/
Interoffice Communication

Date:    September 28, 2015

To:      The President and Board of Trustees

From:    Pamela J. Benoit, Executive Vice President and Provost

Re:      OHIO in the College Rankings

There are numerous college rankings that contribute to how OHIO is viewed by the general public as well as by prospective students and their families. This report reviews the methodology for some of the more popular rankings. Understanding this methodology helps interpret our performance and determine how closely various rankings align with our institutional goals. The attached PowerPoint slides outline information about each ranking and where OHIO rated.

This presentation will help to demonstrate:
  • how OHIO currently performs in some of the more popular rankings including US News & World Report, Washington Monthly, Forbes, and Sierra Magazine
  • how rankings are determined based on formulas, methodology, and data sources
  • the areas where OHIO performs well, opportunities for improvement, and the alignment of the rankings with our mission.
OHIO in the College Rankings
US News & World Report and More
US News Rankings Overview

- Universities elect to participate in the rankings through response to surveys from U.S. News.

- There is a one-year or greater lag in the data. Current (2016) rankings are based on 2014-15 or on multi-year averages.

- 280 National universities, 173 public, 100 private, 7 for-profit (not all schools are ranked).

- Ohio University ranked 135th overall and 68th among public universities.
US News Rankings Criteria

22.5% Academic reputation
   Peer assessment; high school counselor ratings

22.5% Graduation and retention rates
   Freshmen retention; 6-year graduation rate

20% Faculty resources
   Class size; faculty compensation; faculty with terminal degrees; student/faculty ratio, percent of full-time faculty

12.5% Student selectivity
   Test scores; high school ranking; acceptance rate

10% Financial resources
   Educational expenditures per student

7.5% Graduation rate performance
   Difference between predicted and actual graduation rate

5% Alumni giving
   Percent of alumni making donations
22.5% of ranking based on Academic Reputation

**Peer assessment**: surveys of presidents, provosts, admissions directors (42% current response rate)

**Counselor assessment**: two-year average scores from survey of high school counselors (9% current response rate)

**Rating scale**: 5-point 1=marginal to 5= distinguished

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<tbody>
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<td>Peer Assessment</td>
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<td>2.9</td>
<td>2.9</td>
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<td>Counselor Assessment</td>
<td>3.6</td>
<td>3.8</td>
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<td>Peer Rank</td>
<td>97</td>
<td>94</td>
<td>101</td>
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<td>Counselor Rank</td>
<td>100</td>
<td>83</td>
<td>104</td>
<td>115</td>
<td>126</td>
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</tbody>
</table>
22.5% of ranking based on Graduation & Retention

Retention: Based on a four-year average of first-year retention for full-time first-year entering cohorts.

Graduation: Based on a four-year average of six-year graduation of new full-time, first-year entering cohorts.

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<tr>
<td>Retention (4-year average)</td>
<td>80</td>
<td>81</td>
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<td>6-year Grad Rate (4-year average)</td>
<td>69</td>
<td>65</td>
<td>64</td>
<td>67</td>
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<tr>
<td>Retention/Graduation Rank</td>
<td>110</td>
<td>124</td>
<td>132</td>
<td>135</td>
<td>133</td>
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</table>
20% of ranking based on **Faculty Resources**

- **Classes<20**: Percent of undergrad classes with fewer than 20 students
- **Classes>50**: Percent of undergrad classes with 50 or more students
- **Compensation**: Faculty average compensation (2-year average)
- **Terminal Degrees**: Percent full-time faculty with terminal degrees
- **Student/faculty ratio**: Number of students per faculty member
- **Full-time Faculty Percent**: Percent of faculty who are full time

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<tbody>
<tr>
<td>Classes &lt;20</td>
<td>42%</td>
<td>41%</td>
<td>37%</td>
<td>35%</td>
<td>33%</td>
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<tr>
<td>Classes&gt;50</td>
<td>11%</td>
<td>14%</td>
<td>15%</td>
<td>16%</td>
<td>18%</td>
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<tr>
<td>Compensation (in thousands)</td>
<td>103.2</td>
<td>105.2</td>
<td>107.1</td>
<td>109.7</td>
<td>113.1</td>
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<td>Terminal Degrees</td>
<td>85%</td>
<td>86%</td>
<td>81%</td>
<td>80%</td>
<td>78%</td>
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<tr>
<td>Student/Faculty Ratio</td>
<td>19:1</td>
<td>20:1</td>
<td>19:1</td>
<td>18:1</td>
<td>18:1</td>
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<td>Full-time Faculty Percent</td>
<td>91%</td>
<td>90%</td>
<td>87%</td>
<td>86%</td>
<td>88%</td>
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<td>Faculty Resource Rank</td>
<td>169</td>
<td>174</td>
<td>201</td>
<td>219</td>
<td>219</td>
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</table>
12.5% of ranking based on

**Student Selectivity**

- **SAT/ACT Scores:** Middle 50% range for ACT scores of new first-time students.
- **Top 10% of HS Class:** Percent of first-time students in top 10% of high school graduating class.
- **Acceptance rate:** Percent of first-time freshmen applicants that are accepted for admission.

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<td>SAT/ACT Scores</td>
<td>21-26</td>
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<td>22-26</td>
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<tr>
<td>Top 10% of HS Class</td>
<td>14%</td>
<td>15%</td>
<td>16%</td>
<td>17%</td>
<td>15%</td>
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<tr>
<td>Acceptance Rate</td>
<td>85%</td>
<td>86%</td>
<td>78%</td>
<td>73%</td>
<td>74%</td>
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<td>Student Selectivity Rank</td>
<td>169</td>
<td>171</td>
<td>153</td>
<td>151</td>
<td>156</td>
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</table>
10% of ranking based on

Financial Resources

Expenditures per Student: Two-year average of educational and general expenditures per student.

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<td>Expenditures per Student (in thousands)</td>
<td>$18.7</td>
<td>$19.3</td>
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<td>Financial Resources Rank</td>
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<td>196</td>
<td>201</td>
<td>192</td>
<td>187</td>
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</table>
7.5% of ranking based on
Graduation Rate Performance

**Graduation Rate Performance:** The difference between the estimated graduation rate for an institution (based on incoming student characteristics) and the actual graduation rate.

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<tr>
<td>Predicted Graduation Rate</td>
<td>58</td>
<td>53</td>
<td>53</td>
<td>52</td>
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<tr>
<td>Actual Graduation Rate</td>
<td>69</td>
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<tr>
<td>Difference</td>
<td>+11%</td>
<td>+12%</td>
<td>+11%</td>
<td>+15%</td>
<td>+11%</td>
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<td>Graduation Performance Rank</td>
<td>16</td>
<td>8</td>
<td>12</td>
<td>5</td>
<td>15</td>
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</table>
5% of ranking based on Alumni Giving

Alumni Giving: A two-year average of the percent of alumni who made a donation.

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</thead>
<tbody>
<tr>
<td>Alumni Giving</td>
<td>8%</td>
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<td>7%</td>
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<td>Alumni Giving Rank</td>
<td>167</td>
<td>168</td>
<td>173</td>
<td>178</td>
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## Overall Ranking Trend

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<tbody>
<tr>
<td>Overall</td>
<td>124</td>
<td>131</td>
<td>135</td>
<td>129</td>
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<tr>
<td>Public Institutions</td>
<td>59</td>
<td>65</td>
<td>68</td>
<td>63</td>
<td>68</td>
</tr>
</tbody>
</table>
# US News Ohio Public Ranks

<table>
<thead>
<tr>
<th>Rank</th>
<th>Institution</th>
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</thead>
<tbody>
<tr>
<td>#52</td>
<td>Ohio State University</td>
</tr>
<tr>
<td>#82</td>
<td>Miami University</td>
</tr>
<tr>
<td>#135</td>
<td>Ohio University</td>
</tr>
<tr>
<td>#140</td>
<td>University of Cincinnati</td>
</tr>
<tr>
<td>#175</td>
<td>Kent State University</td>
</tr>
<tr>
<td>#185</td>
<td>Bowling Green State University</td>
</tr>
</tbody>
</table>

Not Ranked

Cleveland State University, University of Akron, University of Toledo, Wright State University
• Ranking based on three indices:
  • **Social Mobility**: Percent of Pell recipients and graduation rate.
  • **Service**: Peace Corps, ROTC, Federal work study spent on service.
  • **Research**: expenditures, bachelor’s to PhD’s awarded, faculty awards, faculty in national academies.

• OHIO Ranked #239 of #279 National Universities
Washington Monthly

Social Mobility

- #123 on social mobility

Service

- #100 ROTC rank, #137 peace corps, #172 Community service, #174 Federal work-study funds spent on service, #186 Service staff, courses, and financial aid support.

Research

- #111 Faculty receiving significant awards, #154 on Research expenditure, #157 bachelors to PhD, #159 science and engineering PhDs awarded, #159 Faculty in national academies
Based on sustainability measures and OHIOs participation in the Sustainability Tracking, Assessment & Rating System (STARS).

- #94 of 152 schools overall
- Received a higher proportion of available points in Co-curricular, waste, and innovation.
- Received a lower proportion of available points in Purchasing, water, and transportation.
- Other Ohio Schools Include: Miami #123, Kent State #144.
Forbes

Based on:

• Student Satisfaction (25%) using ratemyprofessor.com (7.5%) and the transfer out rate (17.5%).
• Post-Graduate Success (32.5%) using payscale.com (10%), and the Forbes compiled America’s Leaders List (22.5%).
• Student Debt (25%) based on average debt (10%), default rate (12.5%), and percent taking loans (2.5%).
• Graduation Rate (7.5%) based on both actual (5%) and predicted vs. actual (2.5%).
• Academic Success (10%) based on nationally competitive awards (7.5%) and alumni receiving PhDs (2.5%)

• OHIO ranked #407 out of 650, and #4 in Ohio public institutions
WHEREAS, the Ohio University Board of Trustees adopted the amended Constitution of the Edwin L. and Ruth E. Kennedy Museum of Art at its June 18, 2008 meeting, and

WHEREAS, Article III of the Constitution outlines the process for appointment to the Museum’s Advisory Board, and

WHEREAS, the Dean of the College of Fine Art in consultation with the President has recommended a minimum of five and no more than nine qualified members to serve on the Museum’s Board.

NOW, THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees approves the following additional appointments to the Advisory Board which will bring the number of members currently serving to six members.

Three-Year Term

John Rheinscheld
Art Collector, Retired Attorney and Ohio University Alum

Sherry Sivo
Painter and Ohio University Alum
Interoffice Communication

Date: September 28, 2015

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost

Re: Kennedy Museum of Art Appointments

Dean of the College of Fine Arts, Margaret Kennedy-Dygas, has requested board approval of two appointments to the Kennedy Museum of Art Advisory Board. Each term will be for three-years.

- John Rheinscheld
  Art Collector, Retired Attorney and Ohio University Alum

- Sherry Sivo
  Painter and Ohio University Alum

Brief biographies and a resolution facilitating board approval of the appointments are attached.
John H. Rheinscheld

PREPARATION
Logan High School, Logan, Ohio, graduated 1957
University of Maryland, Tokyo branch, 1958-1960
Ohio University, Athens, Ohio, A.B. 1963
Ohio University, Athens, Ohio, M.A. 1967
University of Southern California, MPA, 1977
University of Southern California, DPA (all but dissertation) 1977-1978
St. Mary’s University, San Antonio, Texas, JD, 1990
Admitted to practice of law before all courts of Texas, the U.S. District Court of the Northern District of Texas and the Supreme Court of the United States

PROFESSIONAL
United States Air Force, Health Care Administrative Specialist (enlisted) 1957-1960
United States Air Force Health Care Administrator 1964-1982, retired as lieutenant colonel
Health Economics Corporation, Dallas, Texas, 1983-1985, President
Hamby, Mouton and Rheinscheld, P.C., Attorney and Mediator, 1990-1995
Retired from the practice of law 2007
Sherry Sivo Bio

Sherry Sivo earned her BFA, Art History at Ohio University and MAFIS, Accounting and Financial Systems at Cleveland State University. After graduation, she worked in the Trust Department, National City Bank. While raising her family, she continued her art education in Ohio, Florida and Minnesota, experimenting with many media, including drawing, textiles, print, mosaic, sculpture and painting. Sherry has served the community through various volunteer opportunities, including dramaturgy at the History Theatre in Saint Paul, English as a second language (ESL) tutoring, school lunchroom and nutrition advocacy, and assistance to families in need. Sherry enjoys research, travel, learning languages, music, and outdoor activities.

As a self taught realist portrait and figure painter, Sherry delights in capturing details with acrylic or oil paint. As a story teller, she explores the visual clues that reveal her subjects’ humanity. She is currently developing a series of painted vignettes, each featuring a portrait of a real or imagined character, accompanied by several smaller paintings hinting at their stories. Sherry has been selected to participate in the 2015/2016 Women’s Art Resources of Minnesota (WARM) mentorship program.
Date:         September 25, 2015
To:           The President and Board of Trustees
From:         Jeffrey Davis, Chief Audit Executive
Re:           Audit Committee Meeting

Internal Audit will present an update on office activities at the October 15, 2015 Audit Committee meeting. The status of the FY16 audit plan, construction auditing, audit report ratings, external assessment of the office, recent program reviews, continuous auditing, the audit process and charters will be addressed.

I will be pleased to answer any questions.
Audit Committee

Trustee Victor Goodman
Audit Committee Chair
October 15, 2015
Chief Audit Executive Report

Jeff Davis, CPA
Agenda

- FY16 Audit Plan Status
- Construction Auditing Update
- Proposed Report Rating System
- External Assessment
- Recent Program Reviews
- Continuous Auditing
- Summary of the Audit Process
- Charters
## FY16 Audit Plan Status

<table>
<thead>
<tr>
<th>Audit</th>
<th>Auditor</th>
<th>Status</th>
<th>Report Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Affairs - The Post Business Operations</td>
<td>Ennis</td>
<td>In Progress</td>
<td></td>
</tr>
<tr>
<td>External Audit Support – NCAA Agreed Upon Procedures</td>
<td>Boyle/Saunier/Jago</td>
<td>In Progress</td>
<td></td>
</tr>
<tr>
<td>One Card Office</td>
<td>Ennis/Saunier/Tong</td>
<td>In Progress</td>
<td></td>
</tr>
<tr>
<td>Russ College of Engineering and Technology</td>
<td>Boyle/Tong</td>
<td>Planned</td>
<td></td>
</tr>
<tr>
<td>College of Fine Arts</td>
<td>Ennis/Tong</td>
<td>Planned</td>
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<tr>
<td>Kids on Campus</td>
<td>Ennis/Saunier</td>
<td>Planned</td>
<td></td>
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<tr>
<td>Facilities Management</td>
<td>Boyle</td>
<td>Planned</td>
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</tr>
<tr>
<td>Capital Assets (Equipment)</td>
<td>All</td>
<td>Planned</td>
<td></td>
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<tr>
<td>Continuous Auditing/Monitoring</td>
<td>Jago/Saunier</td>
<td>In Progress</td>
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## FY16 Audit Plan Status (cont’d)

<table>
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<th>Auditor</th>
<th>Status</th>
<th>Report Date</th>
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<tbody>
<tr>
<td>Registrar</td>
<td>Boyle</td>
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<tr>
<td>Regional Campuses</td>
<td>Ennis/Tong</td>
<td>Planned</td>
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<tr>
<td>Culinary Services</td>
<td>Ennis/Boyle</td>
<td>Planned</td>
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<tr>
<td>OIT – Network Infrastructure</td>
<td>Tong</td>
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<tr>
<td>OIT – Student Information System</td>
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## FY16 Audit Schedule

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<td>NCAA Agreed Upon Procedures</td>
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<td>Kids on Campus</td>
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<td>Registrar</td>
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Construction Auditing Update
Construction Auditing Update

- Final closeout audit of Phase I Housing is scheduled for October/November 2015 (Baker Tilly)
- McCracken Hall construction audit has been approved and is underway (Baker Tilly)
- Performance Contract audit ongoing (CBIZ)
- Construction training is being organized for the offices of Design and Construction and the Capital Projects Finance Group – October 21st and 22nd (Baker Tilly)
Construction Projects - Budget

<table>
<thead>
<tr>
<th>Project</th>
<th>Charged to date</th>
<th>Budget</th>
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</thead>
<tbody>
<tr>
<td>Walter Fieldhouse</td>
<td>$16,000</td>
<td>$16,000</td>
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<tr>
<td>Housing Development Phase I</td>
<td>$74,576</td>
<td>$135,000</td>
</tr>
<tr>
<td>6 Year CIP Risk Assessment</td>
<td>$17,000</td>
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<tr>
<td>Contract Risk Assessment</td>
<td>$13,981</td>
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<tr>
<td>McCracken Hall Renovation</td>
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Proposed Report Rating System
# Proposed Rating System - Results from Survey of 13 Other Organizations

<table>
<thead>
<tr>
<th>Category</th>
<th>Result</th>
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</thead>
<tbody>
<tr>
<td>Overall Report Ratings</td>
<td>Overall ratings (5)</td>
</tr>
<tr>
<td>Ratings for Audit Objectives (ex. Pcard, Travel, Cash Control)</td>
<td>Ratings - individual audit objectives (8)</td>
</tr>
<tr>
<td>Frequency of Reporting of the Status of Outstanding Recommendations</td>
<td>Quarterly (5), annually (2), bi-annual (2), as needed (4)</td>
</tr>
<tr>
<td>Timing of Follow-Up Audit</td>
<td>Quarterly (1), semi-annually to annually (5), managements expected date of completion (4)</td>
</tr>
</tbody>
</table>
Proposed Report Rating System (con’t)

<table>
<thead>
<tr>
<th>OVERALL RATING</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Well-Controlled</td>
<td>The processes are appropriately designed and/or are operating effectively to manage risks.</td>
</tr>
<tr>
<td>Well-Controlled with Opportunities</td>
<td>The processes have design or operating effectiveness deficiencies but do not compromise achievement of important objectives.</td>
</tr>
<tr>
<td>for Improvement</td>
<td></td>
</tr>
<tr>
<td>Improvement Needed</td>
<td>Weaknesses are present that compromise achievement of one or more control objectives but do not prevent the unit from achieving its overall purpose. While important weaknesses exist, their impact is not widespread.</td>
</tr>
<tr>
<td>Major Improvement Needed</td>
<td>Weaknesses are present that could potentially compromise achievement of its overall purpose. The impact of weaknesses on management of risks is widespread due to the number or nature of the weaknesses.</td>
</tr>
</tbody>
</table>
Proposed Report Rating System (con’t)

- The final rating is subjective and is based on the audit teams overall assessment based on the work performed
  - The scope of audits are determined primarily based on discussions with management and the audit teams judgement.
External Assessment
External Assessment

- The standards of the Institute of Internal Auditors states that “External assessments must be conducted at least every five years by a qualified, independent assessor or assessment team from outside the organization”
- The form and frequency must also be periodically discussed with audit committee
- Assessments can be in the form of a full assessment, or self assessment with independent external validation
External Assessment (con’t)

- The last external assessment for Ohio University Internal Audit was completed April 4, 2011
- Our most recent assessment was performed by the University of Toledo
- This was a self assessment with independent validation.
- At the end of FY16 we will be beyond 5 years since the last external review
Recent Program Reviews
Recent Program Reviews

- Annual Board of Regents review completed August 2015
  - Evaluated compliance with federal and state reporting standards
  - 100 student records were reviewed
  - No errors were identified
Recent Program Reviews (con’t)

- U.S Department of Education Title IV, HEA Program Review
  - Report received May 27, 2015
  - Six findings, three corrected immediately
  - University provided responses to open findings on June 25, 2015, as required
Continuous Auditing
Continuous Auditing

- Continuous Auditing Program
  - PCARD/Travel
    - Random Sample Audits
    - Individual Cardholder Audits
    - Duplicate Transaction Audits
  - Bobcat Buy
  - Grant/Contract Expenditures
  - Cash Collection Points
  - Annual W2/1099 Comparisons
  - Other as requested by Finance
Continuous Auditing

- **PCARD**
  - FY15 approximately 83,000 transactions totaling approximately $19.5 Million
    - 56% of transactions less than $100
    - 40% of transactions between $100 and $1,000
  - Approximately 2,500 employees have Pcards across the University
  - Many cards are restricted to travel only
Continuous Auditing

- PCard (Continued)
  - Recently began college/departmental PCard specific audits
  - IA provides feedback through recommendations and data to management such as PCard limits, documentation inadequacies, training needs, and approval processes
  - Executive PCard transactions reviewed monthly
  - Developing training for Departmental Approvers
Summary of the Audit Process
<table>
<thead>
<tr>
<th>Types of Services</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audits</td>
<td>Board approved audits of academic/business units and processes</td>
</tr>
<tr>
<td>Consulting</td>
<td>Planned and requested consulting activities to assist management</td>
</tr>
<tr>
<td>Investigations</td>
<td>Investigate allegations of financial impropriety</td>
</tr>
</tbody>
</table>
Audit Process - Internal Audit
Plan Objectives

- Address significant financial, operational and compliance risks
- Assist others to identify, evaluate and mitigate risks
- Promote stronger internal controls
## Audit Process - Key Audit Areas

<table>
<thead>
<tr>
<th>Financial</th>
<th>IT</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Cash Handling</td>
<td>• Sensitive Data</td>
<td>• University Policy</td>
</tr>
<tr>
<td>• Segregation of Duties</td>
<td>• Backups</td>
<td>• Tax Issues</td>
</tr>
<tr>
<td>• Payroll/Compensation</td>
<td>• Inventory Control</td>
<td>• NCAA Guidelines</td>
</tr>
<tr>
<td>• Account Reconciliations</td>
<td>• Access</td>
<td>• Privacy – HIPAA/PCI</td>
</tr>
<tr>
<td>• Contracts</td>
<td>• Change Management</td>
<td>• Grants/Contracts</td>
</tr>
<tr>
<td>• Billings</td>
<td>• Segregation of Duties</td>
<td>• Effort Reporting</td>
</tr>
<tr>
<td>• Travel and Entertainment</td>
<td>• Business Continuity</td>
<td>• Conflict of Interest</td>
</tr>
<tr>
<td>• PCards</td>
<td>• Disaster Recovery</td>
<td>• Leave/FMLA</td>
</tr>
<tr>
<td>• Procurement</td>
<td>• Acquisition/Disposal</td>
<td>• Human Resources</td>
</tr>
<tr>
<td>• Capital Assets and Inventory</td>
<td>• Security</td>
<td>• State Compliance</td>
</tr>
</tbody>
</table>
Charters
(Audit Committee and Internal Audit)
Audit Committee Charter

Summary of Oversight Responsibilities (Approved January 2009):

- External auditor recommendation process
- External audits of financial operations
- Internal audit function
- Effectiveness of the University’s internal control and risk management system and its compliance monitoring process
- Whistleblower reporting mechanism
Summary (Approved February 2011):

- Defines Role of the office
- Expected Professionalism and Authority
- Responsibility and Independence of the Office
- Scope of the Internal Audit Function
- Reporting requirements/procedures and Audit Planning
- Accountability
- Cooperation with External Auditors
- Periodic Assessment
Conclusion

- Questions?
OHIO UNIVERSITY AUDIT COMMITTEE
APPROVAL OF JUNE 30, 2015 FINANCIAL STATEMENT AUDIT

RESOLUTION 2015 --

BE IT RESOLVED, that the recommendation of the Audit Committee on
October 8, 2015, to accept the annual financial statements and footnotes as
presented by management of the University, Foundation, and subsidiaries
including Plante Moran’s audit opinions and reports thereon as of and for the
year ended June 30, 2015, be approved.