



**OHIO**  
UNIVERSITY

# Board of Trustees

Ohio University

Athens, Ohio

## Agenda

October 20 – 21, 2016



**BOARD ACTIVITIES FOR October 20<sup>th</sup> and 21<sup>st</sup>, 2016**  
**Ohio University – Athens, Ohio**  
**Activity & Committee Meeting Schedule**

**Thursday, October 20, 2016**

- 8:30 a.m. Trustee Group and Individual Photos; Margaret M. Walter Hall Rotunda
- 9:00 a.m. Shuttle to pick up Trustees for Small House Tour
- 10:00 a.m. Joint Committee Meeting: Academics and Resources, Margaret M. Walter Hall, Governance Room
- 11:45 p.m. Depart for Research Facilities Tour and Lunch
- 1:40 p.m. Return to Margaret M. Walter Hall
- 1:45 p.m. Academics Committee, Margaret M. Walter Hall, Room 125/127
- 1:45 p.m. Resources Committee, Margaret M. Walter Hall, Governance Room 104
- 3:45 p.m. Audit Committee, Margaret M. Walter Hall, Governance Room 104
- 3:45 p.m. Governance Committee, Margaret M. Walter Hall, Room 125/127
- 6:30 p.m. Dinner – Trustees, President, Board Secretary, Executive Staff and Guests

**Friday, October 21, 2016**

- 8:00 a.m. Trustee Breakfast - Executive Committee; Ohio University Inn, Lindley Room
- 10:15 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**  
**Margaret M. Walter Hall, Governance Room 104**  
**Friday, October 21, 2016 – 10:15 a.m.**  
**Athens Campus**

**OPEN SESSION**

Roll Call

Approval of Agenda

1. Minutes of Board of Trustees' Meeting of August 25, 2016.

- Comments from the Chair of the Board of Trustees

2. Report from the President

3. College Rankings

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

- Joint Resources & Academics Committee
- University Academics Committee
- University Resources Committee
- Audit Committee
- Governance 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**, Review of Centers and Institutes

Tab 14 - **Resolution**, New Programs CHSP - Master of Global Health

Tab 17 - **Resolution**, Establishment of University Quasi-Endowments

Tab 18 - **Resolution**, Local Administration Certification

Tab 19 - **Resolution**, Facility Projects – Construction

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**  
**Thursday, October 20, 2016 – 10 a.m.**

4. Advancement Strategy
5. Title IX Review and Update
6. Small House Planning Strategy
7. Housing Development Plan Strategy Update

**AGENDA**  
**University Academics Committee**  
**Margaret M. Walter Hall, Room 125/127**  
**Thursday, October 20, 2016 - 1:45 p.m.**

8. Scripps College of Communication Dashboard
9. **Consent Agenda**, Review of Centers and Institutes
10. Enrollment Update
11. Global Strategy
12. Innovation Strategy Update
13. Academic Quality Points of Pride – Arts & Sciences Curricular Themes Initiative
14. **Consent Agenda**, New Programs CHSP - Master of Global Health

**AGENDA**  
**University Resources Committee**  
**Margaret M. Walter Hall, Governance Room, 104**  
**Thursday, October 20, 2016– 1:45 p.m.**

15. Financial Update
16. Student Investment Program Update
17. **Consent Agenda**, Establishment of University Quasi-Endowments
18. **Consent Agenda**, Local Administration Certification
19. **Consent Agenda**, Facility Projects – Construction
20. Utilities Planning Update
21. Campus Signage and Wayfinding
22. Facility Project Status Update

**Information Items:**

23. Park Place Planning Strategy Update
24. Treasury Report
25. Annual Risk and Insurance Program Report
26. Annual Clery Reports – Fire
27. Annual Clery Reports – Police

**AGENDA**  
**Audit Committee**  
**Margaret M. Walter Hall, Governance Room 104**  
**Thursday, October 20, 2016 - 3:45 p.m.**

28. External Audit Update – Plante Moran
29. Chief Audit Executive Report
30. FY17 Audit Plan Update
31. **Resolution**, Audit Committee Charter
32. **Resolution**, Approval of June 30, 2016 Financial Audit Statement

**EXECUTIVE SESSION**

**AGENDA**  
**Governance Committee Meeting**  
**Margaret M. Walter Hall, Room 125/127**  
**Thursday, October 20, 2016 – 3:45 p.m.**

- Committee Structure
33. Recommend Changes to Bylaws

**AGENDA**  
**Executive Committee**  
**Lindley Room, Ohio University Inn**  
**Friday, October 21, 2016 – 8:00 a.m.**

**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.



OHIO  
UNIVERSITY

# Board of Trustees

Ohio University

Dublin, Ohio

## Minutes

August 25, 2016

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**Ohio University Board of Trustees  
Board Meeting  
August 25, 2016, Thursday  
Dublin Integrated Education Center, Dublin OH**

**Present:** Chair David A. Wolfort, Vice Chair Janetta King, Trustees Cary R. Cooper, N. Victor Goodman, Kevin B. Lake, Dave Scholl, Janelle N. Simmons, Diane Smullen, Peggy Viehweger, National Trustees Laura Brege and David W. Pidwell, Student Trustees Brooke Mauro and Patrick J. Roden, Alumni Representative Ron Teplitzky, Secretary David Richard Moore, President Roderick McDavis.

Chair Wolfort called the meeting to order at 3:21pm

Secretary Moore called roll.

Chair Wolfort called for a motion to approve the agenda. Vice Chair King moved the motion. With all in favor, the agenda was approved.

Chair Wolfort called for a motion to approve the June 2016 minutes. Vice Chair King moved the motion. With all in favor, the June 2016 minutes were approved.

Chair Wolfort introduced and welcomed the new board members – Student Trustee Brooke Mauro, Alumni Representative Ronald Teplitzsky, and National Trustee Diane Smullen.

Chair Wolfort introduced Dr. Beardon, who would be leading the Trustees' retreat on Friday.

President McDavis then delivered his President's Report, which provided updates regarding:

- First Year Student Convocation
- Faculty/Staff Convocation: President McDavis gave a copy of the Faculty/Staff program to the Trustees
- Ohio Town Gown Summit – Inaugural – Ohio university hosted at Pickerington. Encourages greater collaboration and communication between universities and the towns in which they are set.
- Staffing Update- Kimberly Castor – new Survivor Advocacy director
- Annual Federal Government Luncheon – September 22<sup>nd</sup>
- In memoriam – Dick Linke, George Voinovich, Alan Riedel
- Advancement travel – Denver, Austin, Dallas
- President McDavis then presented his University points of pride, which included:

- The recent Heritage College white coat ceremony
- Chronicle highlighted OHIO's diversity.
- WOUB, recently nominated for multiple Emmys
- Ohio University Professor Alycia Stigall, who was recently named "best paleontologist under 40."
- Ohio University's recent award for technology commercialization excellence
- Russ College's high school engineering camp
- Scripps College's recent ranking as being #1 in affordability
- Ohio University's award for sustainability and environmental excellence
- Schoonover Center's LEED gold certification
- The College of Health Sciences and Professions' Summer Camp in Dublin
- The OHIO Swimming and Diving Team's recognition as a Scholar All-American team
- The McCracken Hall renovation, which is estimated to be completed ahead of schedule
- The 20<sup>th</sup> Anniversary of Kids on Campus
- Patton College professor Leena Landmark's winning of a grant to help students with disabilities

President McDavis then introduced the University Spotlight: Tantrum Theater, presented by Interim Dean of the College of Fine Arts Elizabeth Sayrs and theater students Colin Cardille, and Sana Sellemon.

Dean Sayrs reported that the recently opened Tantrum Theater had already given 57 performances since its inaugural performance of the "Little Shop of Horrors" on June 18, 2016. Dean Sayrs stated that the purpose of the theater was to allow fine arts students to learn through apprenticeship: You learn theater by doing theater. This past summer, 24 guest artists had taught or mentored 47 students. She indicated that studies have found that there is better job placement and recruitment for students who have access to metropolitan arts experiences. The first three shows produced had all received rave reviews. Dean Sayrs reported on the quality of the mentors and teachers at the theater, noting that the puppet master for the plant Audrey 2 in "Little Shop" had worked for three years on the hit Broadway show "Warhorse." Of the play "Tammy Faye's Last Audition," Tammy Faye Bakker's former personal assistant told Ohio University Associate Professor Shelley Delaney (the show's titular star), how "eerily accurate" her impression of Ms. Bakker was. Dean Sayrs then shared a video about the creation of the theater, which highlighted the collaboration, types of experience available, and opportunities that are opened up for students.

Ohio University student Sana Sellemon spoke about her experience onstage and behind the curtains in "Little Shop" and "Dancing at Lughnasa," and how the experience made her a better theater artist. Ms. Sellemon said she developed accent training for "Dancing at Lughnasa," and worked with a professor who shared her interest in accents.

Ohio University student Collin Cardille said he had previously done work with Monomoy Theater (which previously had a relationship with Ohio University), and in theaters in New York and Houston. He said was originally interested in behind-the-scenes work, but

then developed a much stronger relationship to acting while working on “Little Shop of Horrors,” where he played a customer who was interested in the plant. Mr. Cardille stated that meeting actors who are able to do what they love while being able to earn a living doing so had inspired him. He described the experience as essential to his development as an actor.

President McDavis spoke about the colleges putting “stakes in the ground” in Dublin: The Heritage College of Osteopathic Medicine, the College of Health Sciences and Professions, and, now, the College of Fine Arts. He said that providing these experiences are why Ohio University has moved into Dublin. Chair Wolfort said that he adores the arts, and sees it as the thin line between civility and anarchy. He stated that the arts are important to society. The Board thanked the presenters for their presentation.

Chair Wolfort invited University Planner (UP) Shawna Bolin to present on the Dublin Framework Plan. UP Bolin began by emphasizing that the Framework Plan is a *draft* plan, and that she would like to hear the Board’s feedback and suggestions. She said that the Dublin Plan will not take effect in the next 5-10 years, and that the financial framework has not yet been set.

UP Bolin said that Ohio University is a major engine of innovation in its community, the region and the state, and described the process for developing the Dublin Framework Plan. She described the reports the Board has heard on Dublin framework (October 2014, January 2016, March 2016, June 2016, August 2016), and laid out what the Board could expect in future meetings. She said the Board had received a book regarding the Dublin Framework Plan. She said the planners had been engaging various stakeholders in Dublin.

UP Bolin provided a brief history and outline of the Dublin Framework Plan, which included:

- The guiding principles for Dublin
- The physical environment of Dublin – the areas that were given to Ohio University by Dublin for development.
- A potential “Innovation District” – great streets, innovation program, flexible space, and parking.
- The establishment of a “Vibrant Community” (identity, sharing of resources)
- Encouragement of proximity and walkability
- Creating Connections (open spaces in a city)
- Develop a mixed use environment. (live/learn/work/play) – Not that Ohio University would build the businesses, but that we would develop the area with potential private business possibilities in mind.
- Accommodate Varying Initiatives
- West Innovation District in Dublin – OHIO’s land is in northern section.
- Initial planning concepts, which were developed with the following ideals in mind:
  - Main Street Concept
  - Major Street Network – promotes pedestrian movement.
  - Open space network

- Development parcels
- Building Frontages
- Visibility and Views
- Parking and Service – parking garages will be required
- Programmatic Themes
- Flexible Phasing

Trustee Scholl asked about the various subareas listed in the supporting documents.

UP Bolin asked for approval to refine the plan, and gave examples of refinements that need to be made, such as revising language associated with the current plan to be clearer about future financial obligations that Ohio University Boards would or would not have in enacting the plan. She thanked the Board for allowing her to present, and thanked the many stakeholders, committees, and planners who made the work possible. Chair Wolford thanked UP Bolin for her report. He noted that the Dublin campus is transformational, and that transformational journeys can be scary. He thanked UP Bolin and her team for their hard work, the result of which was the initial resolution coming before the Board of Trustees for Passage, today.

Trustee Goodman said that he had been hesitant to vote in favor of the resolution because he saw the potential for mandates that would affect and burden his successors down the road. He stated that he sees the Dublin campus as an extension of the medical school, and other activities that cannot be done in Athens. Trustee Goodman noted the importance for precise language modification that removes that burden that would force Ohio University to end up as a commercial real estate developer. He said he appreciated the planners' hearing his concerns, and indicated that their attention to this future language modification would change his vote from a 'no' to a 'yes.

**APPROVAL OF DRAFT DUBLIN FRAMEWORK  
PLAN FOR SUBMISSION TO CITY OF DUBLIN**

**RESOLUTION 2016 - 3580**

**WHEREAS**, in 2012 the University acquired approximately 15 acres for the development of the Ohio University Heritage College of Osteopathic Medicine (OU-HCOM) Dublin Extension campus; and

**WHEREAS**, upon this acquisition, a gift of approximately 97 additional acres was made available to the University by the City of Dublin through an economic development agreement signed by the parties in 2012; and

**WHEREAS**, under that agreement, the University will acquire an additional 25.9 acres from the City of Dublin (Subarea 2) upon the University's completion and City's approval of a Framework Plan for the Dublin campus; and

**WHEREAS**, completion and approval of the Framework Plan also will allow the University and City jointly to develop an additional 25.2-acre parcel adjacent to the campus (Subarea 3); and

**WHEREAS**, the Board of Trustees authorized the development of a master plan for the Dublin campus by Resolution 2014-3407; and

**WHEREAS**, both steering and advisory committees, which included representation from each academic unit of the campus, participated in the development of the plan as well as reviewed and approved the draft Framework Plan; and

**WHEREAS**, the planning team engaged with faculty, staff, and stakeholders throughout the process; and

**WHEREAS**, the planning team engaged with the Board of Trustees throughout the process to gather feedback and input, generating consensus on the direction of the plan; and

**WHEREAS**, the planning team presented the draft Framework Plan at the June 2016 Board Meeting and now has submitted it for the Board's formal review; and

**WHEREAS**, the Capital Funding and Priorities Committee approved the draft Framework Plan and recommended its adoption to the President, and

**WHEREAS**, the draft Dublin Framework Plan has been approved by the President.

**NOW THEREFORE, BE IT RESOLVED** that the Ohio University Board of Trustees does hereby approve the draft Dublin Framework Plan and approves its submission to the City of Dublin.

Chair Wolfort asked for a motion to approve the resolution for the Dublin Draft Framework Plan. Trustee Goodman so moved. Trustee King seconded. With all in favor, the resolution passed.

## **Committee Resolutions and Highlights**

Prior to beginning committee reports and committee highlights, EVPP Benoit asked to introduce Dr. Tom Davis, who had recently been named the new interim dean at the Zanesville campus, and Sarah Trower, the executive director of the civil rights and equity. The Board welcomed the two with applause.

Audit Committee Chair Janelle Simmons reported on the results of the Audit Committee, which had received an external audit update from auditing company, Plante Moran, and an internal audit update from University Auditor Jeff Davis. She said that edits were made to audit charter.

Governance Committee Chair Cary Cooper reported on the results of the Governance Committee. He stated that the committee had discussed potential changes to update the Ohio University Board of Trustees bylaws, and that no resolutions had been presented to the Governance Committee.

Academics Committee Chair N. Victor Goodman reported on the results of the Academics Committee. He said that the Committee had heard from Craig Cornell regarding increased student retention at Ohio University (up 2 percent from last year), bringing Ohio University up to nearly an 80 percent retention rate. He noted that the same enrollment update revealed that enrollment was slightly down from the previous year. He stated that the Academics Committee had heard a presentation from Heritage College of Osteopathic Medicine Executive Dean Kenneth Johnson highlighting cultural competence efforts at the medical school.

President McDavis interjected to point out that despite this year's slight enrollment decrease, Ohio University's current year enrollment figures still marked Ohio University's third largest freshmen class in the University's 212 year history, and stated that 2% increase in retention "is huge." Provost Benoit added that while ACT scores are down slightly, grade point averages went up slightly. Vice Chair King noted that OHIO is up 10% on Appalachian students. Finally, Vice Provost Craig Cornell added that in addition to the previously mentioned statistics, Ohio University is setting itself up for another record in the coming year.

Resources Committee Chair Dave Scholl reported on the results of the Resources Committee. He said that the Committee heard reports on endowment, long-term fundraising objectives, and spending. He indicated that the Resource Committee recommended that Resource Committee consent agenda items remain on consent agenda.

**OHIO TASK FORCE ON AFFORDABILITY AND EFFICIENCY IN HIGHER  
EDUCATION REPORT  
IMPLEMENTATION PLAN APPROVAL**

**RESOLUTION 2016 - 3581**

**WHEREAS**, on June 24, 2016 and in compliance with Section 369.560 of Am. Sub. H. B. No. 64 of the 131<sup>st</sup> General Assembly, this Board adopted a five-year goal of sixty million dollars (\$60M) for efficiency savings and new resources to be generated through fiscal year 2021, along with a framework for investing those dollars in student affordability while maintaining or improving academic quality; and

**WHEREAS**, the Board directed the President to develop a five-year implementation plan to achieve the cost saving goal and to submit this plan to the Chancellor of the Department of Higher Education no later than August 1, 2016, conditional upon final Board approval at the August 25, 2016 meeting; and

**WHEREAS**, the University's implementation plan was submitted to the Department of Higher Education on August 1, 2016, subject to this Board's review and approval.

**NOW THEREFORE, BE IT RESOLVED**, that this Board hereby approves the Affordability and Efficiency Five Year Implementation Plan and related documentation as submitted to the Department of Higher Education on August 1, 2016 and attached hereto.

Trustee Scholl moved for approval of the Affordability and Efficiency Resolution. Trustee King seconded. Chair Wolfort called for a vote. With all in favor, the resolution passed.

## RESOLUTION 2016 - 3582

Providing for the authorization, issuance and sale of not to exceed \$50,000,000 in aggregate, maximum principal amount of General Receipts Obligations of The Ohio University, authorizing a Supplemental Trust Agreement or Trust Agreement securing such obligations, and authorizing matters related thereto

WHEREAS, The Ohio University (herein called the “University”), a state university of the State of Ohio created and existing under Chapter 3337 of the Ohio Revised Code, by Resolution No. 2000-1744 adopted by its Board of Trustees (herein called the “Board”) on December 8, 2000 (herein called the “General Bond Resolution”) and by a Trust Agreement dated May 1, 2001 (together with amendments and supplements thereto, the “Trust Agreement”), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the General Bond Resolution) of the University, each such issue to be authorized by a Series Resolution adopted by the Board pursuant to the Trust Agreement; and

WHEREAS, the General Bond Resolution was adopted and the Trust Agreement was authorized by the Board pursuant to Sections 3345.11 and 3345.12 of the Ohio Revised Code, enacted by the General Assembly of Ohio under authority of the Constitution of Ohio, particularly Section 2i of Article VIII thereof, which authorizes the University to issue its Obligations from time to time to pay costs of certain capital facilities, defined as “auxiliary facilities” or “education facilities” in Section 3345.12 of the Ohio Revised Code and called “University Facilities” in the General Bond Resolution and in this Series Resolution, and to refund, fund or retire such Obligations or other obligations previously issued for such purpose; and

WHEREAS, the University has heretofore authorized, issued or entered into various Obligations under such Trust Agreement (collectively referred to herein as the “Prior Obligations”); and

WHEREAS, the University has previously determined, and does hereby confirm, that it is necessary to acquire, construct, equip, furnish, reconstruct, alter, enlarge, remodel, renovate, rehabilitate or improve University Facilities, including but not limited to the University Facilities listed in the Six-Year Capital Improvement Plan for Fiscal Year 2017 to Fiscal Year 2022 submitted to this Board (being collectively referred to herein as the “Line of Credit Projects”), such projects to be financed in part, from time to time, by a line of credit in an amount not exceeding \$50,000,000 at any time; and

WHEREAS, pursuant to the Trust Agreement, the University may incur obligations other than pursuant to the General Bond Resolution and the Trust Agreement provided that any such obligations are Subordinated Obligations, as defined in the Trust Agreement; and

WHEREAS, the University has determined to issue not to exceed \$50,000,000 in aggregate, maximum principal amount of Obligations under the Trust Agreement, or of Subordinated Obligations under the Trust Agreement or under a separate instrument (the “Subordinate Agreement”), in one or more series, to be designated “General Receipts Obligations, Series 2016,” or such other designation as authorized hereby (the “Line of Credit Obligations”), to finance all or part of the costs of, including the reimbursement of such costs of, the Line of Credit Projects, in anticipation of the issuance of general receipts bonds of the University under the Trust Agreement, and desires to provide therefor by this Resolution; and

WHEREAS, there are no Superior Obligations, or any other bonds, notes or other obligations, presently outstanding under the Prior Indenture, and the Prior Indenture and the lien grant thereby have been released, satisfied and discharged; and

WHEREAS, the Board finds that all conditions precedent to the authorization and sale of the Line of Credit Obligations have been or will be met by the time the Line of Credit Obligations are issued;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE OHIO UNIVERSITY, as follows:

Section 1. Definitions and Interpretations. All words and terms defined in the General Bond Resolution and elsewhere in the Trust Agreement and all interpretations therein provided shall have the meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the “Line of Credit Resolution,” the Obligations or Subordinate Obligations authorized by this Resolution are referred to herein as the “Line of Credit Obligations,” and the terms “hereof,” “herein,” “hereby,” “hereto” and “hereunder,” and similar terms, mean this Resolution. All words and terms defined in the preambles hereto shall have the respective meanings provided in the preambles hereto.

In addition, when used in this Resolution and in the Line of Credit Supplemental Trust Agreement or the Subordinate Agreement, the following words shall have the indicated meanings:

“Authorized Denominations” means with respect to a series of Line of Credit Obligations, the denominations designated as such in the related Line of Credit Certificate of Award.

“Beneficial Owner” means with respect to a series of Line of Credit Obligations, the Person owning the Beneficial Ownership Interest therein, as evidenced to the satisfaction of the Trustee.

“Beneficial Ownership Interest” means the right to receive payments and notices with respect to Line of Credit Obligations held in a book entry system for which the Depository does not act on behalf of a Beneficial Owner with respect to the optional or

mandatory tender for purchase of the Line of Credit Obligations pursuant to the Trust Agreement.

“Book entry form” or “book entry system” means, with respect to the Line of Credit Obligations, a form or system, as applicable, under which (i) the ownership of beneficial interests in such Obligations and Debt Service Charges may be transferred only through a book entry and (ii) physical Line of Credit Obligation certificates in fully registered form are registered only in the name of a Depository or its nominee as Bondholder, with the physical Line of Credit Obligation certificates “immobilized” in the custody of the Depository. The book entry system maintained by and the responsibility of the Depository and not maintained by or the responsibility of the University or the Trustee is the record that identifies, and records the transfer of the interests of, the owners of beneficial (book entry) interests in such Line of Credit Obligations.

“Depository” means any securities depository that is a clearing agency under federal law operating and maintaining, with its participants or otherwise, a book entry system to record ownership of beneficial interest in the Line of Credit Obligations, and to effect transfers of book entry interests in such obligations, and includes and means initially The Depository Trust Company (a limited purpose trust company), New York, New York.

“Federal Tax Documents” means the Certificate Under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as Amended, and the Certificate Regarding Issuance, Use of Proceeds and Arbitrage Compliance, both delivered by the University at the time of the issuance and delivery of Tax-Exempt Line of Credit Obligations, as the same may be amended or supplemented in accordance with their respective terms.

“Fixed Rate Obligations” means Line of Credit Obligations that are not “Variable Rate Obligations,” as defined in the General Bond Resolution.

“Interest Payment Date” means, as to each series of the Line of Credit Obligations, each of the dates set forth as such in the related Line of Credit Certificate of Award.

“Interest Rate Mode” means any of those modes of interest with respect to the Line of Credit Obligations permitted by the Supplemental Trust Agreement related thereto and specified in the Line of Credit Certificate of Award.

“Line of Credit Certificate of Award” means with respect to each series of Line of Credit Obligations, the certificate of the Fiscal Officer establishing certain terms of that series of the Line of Credit Obligations and authorized in Section 5 hereof, including any supplements thereto.

“Line of Credit Closing Date” means the initial date on which any series of the Line of Credit Obligations are delivered to the Original Purchaser thereof for payment.

“Line of Credit Projects Account” means the account by that name created in the Facilities Fund or in a Subordinate Agreement pursuant to Section 6 hereof.

“Line of Credit Supplemental Trust Agreement” means a Supplemental Trust Agreement styled and dated as determined in a Line of Credit Certificate of Award, by and between the University and the Trustee supplementing the Trust Agreement and securing one or more series of the Line of Credit Obligations, as the same may be supplemented and amended as provided herein and therein.

“Mandatory Redemption Date” means, as to each series of the Line of Credit Obligations, each of the dates set forth in the related Line of Credit Certificate of Award for the retirement of a portion of the principal of the Line of Credit Obligations pursuant to any Mandatory Sinking Fund Requirements set forth therein.

“Mandatory Sinking Fund Requirements” means, as to each series of the Line of Credit Obligations, the amounts required to be deposited in the Debt Service Fund for the purpose of redeeming related Line of Credit Obligations (less the amount of any credit as provided in Section 4(c) of this Resolution) on each Mandatory Redemption Date, as may be set forth in the related Line of Credit Certificate of Award.

“Maximum Rate” means for each series of the Line of Credit Obligations, six percent (6%) per annum or such lesser rate designated as such in the related Line of Credit Certificate of Award.

“Original Purchaser” means, as to each series of the Line of Credit Obligations, the purchaser or purchasers of that series of the Line of Credit Obligations designated as such in the related Line of Credit Certificate of Award.

“Prior Obligations” means the Series 2001 Bonds, Series 2001 Swap Agreement, the Series 2003 Bonds, the Notes heretofore issued, the Series 2004 Bonds, the Series 2006A Bonds, the Series 2006B Bonds, the Series 2006C Bonds, the Series 2008A Bonds, the Series 2008B Bonds, the Series 2009 Bonds, the Series 2012 Bonds, the Series 2012 OAQDA Bonds, the Housing For Ohio Guaranty Bonds, the Series 2013 Bonds and the Series 2014 Bonds.

“Rebate Fund” means the fund by that name referred to in Section 10 hereof.

“Subordinate Agreement” means an instrument, indenture or other document or agreement evidencing, or providing for the issuance of, obligations of the University and containing provisions for the subordination of such obligations to the pledge and lien of the Trust Agreement.

“Subordinated Obligations” means obligations issued pursuant to the Act (other than Bonds or Notes as defined in the Trust Agreement) which, with respect to any issue thereof, are evidenced by instruments, or issued under an indenture or other document, containing provisions for the subordination of such obligations (to which appropriate reference shall be made in the instruments evidencing such obligations) to the pledge and lien of the Trust Agreement.

“Taxable Line of Credit Obligations” means any Line of Credit Obligations other than Tax-Exempt Line of Credit Obligations.

“Tax-Exempt Line of Credit Obligations” means Line of Credit Obligations the interest on which is intended by the University at the time of initial issuance to be exempt from federal income taxation under the Code, such intent to be conclusively evidenced by a determination to that effect contained in a Line of Credit Certificate of Award.

Section 2. Determinations by Board. The Board hereby finds and determines that (a) the Line of Credit Projects will constitute “auxiliary facilities” or “education facilities” as defined in the Act; (b) the issuance of the Line of Credit Obligations will be in the best interests of the University; and (c) this Resolution is adopted pursuant to the General Bond Resolution, the Trust Agreement, the Act and Section 2i of Article VIII of the Ohio Constitution.

The Board finds that the conditions stated in numbered subparagraphs (1) and (2) of Section 3(a) of the General Bond Resolution will be satisfied by the time of authentication of the Line of Credit Obligations. The Fiscal Officer shall confirm these findings by a certificate in form satisfactory to, and to be filed with, the Trustee prior to the authentication of the Line of Credit Obligations, and the Fiscal Officer may provide such other evidence with respect thereto as the Trustee may reasonably request.

Section 3. Authorization, Designation and Purpose of Line of Credit Obligations. It is hereby declared to be necessary and in the best interests of the University to, and the University shall, issue, sell and deliver, as provided and authorized herein, (i) Obligations of the University on a parity with all other outstanding Obligations from time to time, or in the alternative, Subordinated Obligations, which shall be designated “General Receipts Obligations, Series 2016,” or such other designation as may be specified in the related Line of Credit Certificate of Award (the “Line of Credit Obligations”), for the purposes of (a) paying Costs of University Facilities (as defined in the General Bond Resolution) related to the Line of Credit Projects, and (b) paying Costs of University Facilities related to the Line of Credit Obligations, all upon the terms set forth herein, which Line of Credit Obligations may be issued on an interim basis in anticipation of the issuance of general receipts bonds; and (ii) general receipts bonds of the University as anticipated by the Line of Credit Obligations, in a principal amount not to exceed \$50,000,000, bearing interest at the rate of approximately six per cent (6%) per annum, maturing in substantially equal annual or semiannual installments of principal and interest over a period not exceeding thirty (30) years after their issuance, and having an estimated annual principal and interest payment of approximately \$3,650,000.

For such purposes, the proceeds from the sale of the Line of Credit Obligations shall be allocated and deposited as provided in Section 6 hereof. Proceeds of the Line of Credit Obligations may be allocated among the Line of Credit Projects other than as shown in the preambles to this Resolution (even if doing so results in a reduction or elimination of one or more of the Series Line of Credit Projects), and deviations from the descriptions of particular Series Line of Credit Projects as shown in the preambles to this Resolution, or the scope thereof, may be made, if the Fiscal Officer in consultation with the Resources Committee of the Board determines that doing so is in the best interest of the University. The principal amount of each series of Line of Credit Obligations able to be issued and Outstanding from time to time shall be determined by the Fiscal Officer

and specified in a Line of Credit Certificate of Award, provided that the aggregate maximum principal amount of all Line of Credit Obligations Outstanding at any time shall not exceed \$50,000,000. The Line of Credit Obligations may be issued in one or more separate series of (i) Fixed Rate Obligations, (ii) Variable Rate Obligations bearing interest at one or more Interest Rate Modes, and any such Variable Rate Obligations may be convertible to one or more Interest Rate Modes, or (iii) Subordinated Obligations, all as the Fiscal Officer may determine in a Line of Credit Certificate of Award and as described herein and in the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement, as applicable. Any series of the Line of Credit Obligations may be issued in separate series of Tax-Exempt Line of Credit Obligations and Taxable Line of Credit Obligations as the Fiscal Officer may determine in a Line of Credit Certificate of Award.

Section 4. Terms and Provisions Applicable to the Line of Credit Obligations.

(a) Forms, Denominations, Dates and Numbering. The Line of Credit Obligations shall be negotiable instruments in accordance with the Act, shall be issued only in fully registered form, without coupons, shall be substantially in the respective forms thereof set forth in the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement, shall be in Authorized Denominations and shall express upon their faces the purpose for which they are issued and that they are issued pursuant to the Act. Each Line of Credit Obligation shall have only one principal maturity date, subject to extension pursuant to the Line of Credit Supplemental Trust Agreement or Subordinate Agreement, but to not later than December 1, 2019. The Line of Credit Obligations shall be dated and numbered as set forth in the related Line of Credit Certificate of Award.

Subject to the provisions of this Resolution for the use of a book entry system, the Line of Credit Obligations shall be exchangeable for other Line of Credit Obligations in the manner and upon the terms set forth in the Trust Agreement, as the same may be varied by provisions set forth in the Certificate of Award.

(b) Execution, Interest Rates and Maturities. (i) The Line of Credit Obligations shall be executed by any two of the Chairman of the Board, the President of the University, the Fiscal Officer or the Secretary of the Board, and may have the seal of the University affixed or printed thereon; provided that all of such signatures and such seal may be facsimiles.

(ii) Each series of the Line of Credit Obligations shall mature on the date or dates, subject to extension, and in the amounts set forth in the related Line of Credit Certificate of Award, provided that the final maturity of the Line of Credit Obligations shall be not later than December 1, 2019. Interest on each series of the Line of Credit Obligations shall be calculated and payable as provided in the related Line of Credit Certificate of Award. The net interest cost payable by the University on any series of the Line of Credit Obligations over their stated terms shall not exceed the Maximum Rate.

(iii) At the University's option, some or all of the Line of Credit Obligations may be converted to or from one Interest Rate Mode to another as provided in the related Line of Credit Certificate of Award and Line of Credit Supplemental Trust Agreement or Subordinate Agreement.

(c) Mandatory Sinking Fund Redemption. Each series of the Line of Credit Obligations shall be subject to mandatory sinking fund redemption in part on each Mandatory Redemption Date, in the manner provided in the Trust Agreement or Subordinate Agreement, at a redemption price of 100% of the principal amount thereof to be redeemed plus accrued interest to the redemption date in such amounts and in the manner as may be set forth in the related Line of Credit Certificate of Award and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement.

(d) Optional Redemption. The Line of Credit Obligations shall be callable for redemption at the option of the University, in the manner provided in the Trust Agreement or Subordinate Agreement, in whole or in part, at such price or prices and at such times and in the manner as may be set forth in the related Line of Credit Certificate of Award and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement.

(e) Method and Notice of Redemption. If less than all of the outstanding Line of Credit Obligations of one maturity are to be called, the selection of such Line of Credit Obligations of such maturity to be called shall be made in the manner provided in the related Line of Credit Certificate of Award and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement. Notice of call for redemption of Line of Credit Obligations shall be given at the times and in the manner provided in the related Line of Credit Certificate of Award and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement.

(f) Place of Payment; Record Dates. Debt Service Charges on each series of the Line of Credit Obligations when due shall be payable to the registered holders thereof at the places and in the manner provided in the related Line of Credit Certificate of Award and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement. The Fiscal Officer may establish a Regular Record Date and a Special Record Date for a series of the Line of Credit Obligations which shall be set forth in the related Line of Credit Certificate of Award.

(g) Paying Agent and Registrar. The Trustee or the Fiscal Officer shall serve as Paying Agent and Registrar for the Line of Credit Obligations, as determined in the Certificate of Award.

(h) Payment. Debt Service Charges with respect to any series of the Line of Credit Obligations shall be payable in lawful money of the United States of America without deduction for the services of the Trustee or the Paying Agent, in the manner provided in the Trust Agreement or Subordinate Agreement.

(i) Book Entry System. If so specified in a Line of Credit Certificate of Award, any or all of the related Line of Credit Obligations shall be originally issued to a Depository for use in a book entry system and: (i) such Line of Credit Obligations shall be registered in the name of the Depository or its nominee, as Bondholder, and immobilized in the custody of the Depository; (ii) there shall be a single Line of Credit Obligation representing each maturity; and (iii) such Line of Credit Obligations shall not be transferable or exchangeable, except for transfer to another Depository or another nominee of a Depository. If issued to a Depository, the Beneficial Owners shall not have any right to receive Line of Credit Obligations in the form of physical certificates.

So long as a book entry system is in effect for any of the Line of Credit Obligations, the University and Trustee shall recognize and treat the Depository, or its nominee, as the Holder of such Line of Credit Obligations for all purposes, including payment of Debt Service Charges, giving of notices, and enforcement of remedies. The crediting of payments of Debt Service Charges on such Line of Credit Obligations and the transmittal of notices and other communications by the Depository to Beneficial Owners are the responsibility of the Depository and are not the responsibility of the University or the Trustee; provided, however, that the University and the Trustee understand that neither the Depository or its nominee shall provide any consent requested of Holders of such Line of Credit Obligations pursuant to the Trust Agreement, and that the Depository will mail an omnibus proxy (including a list identifying the owners of the book entry interests in such Line of Credit Obligations) to the University which assigns the Depository's, or its nominee's, voting rights to the owners of the book entry interests in such Line of Credit Obligations (as credited to their accounts at the Depository as of the record date for mailing of requests for such consents). Upon receipt of such omnibus proxy, the University shall promptly provide such omnibus proxy (including the list identifying the owners of the book entry interests in such Line of Credit Obligations attached thereto) to the Trustee, who shall then treat such owners as Holders of such Line of Credit Obligations for purposes of obtaining any consents pursuant to the terms of the Trust Agreement.

As long as any of the Line of Credit Obligations are registered in the name of a Depository, or its nominee, the University and the Trustee agree to comply with the terms and provisions of their agreement with the Depository including the provisions thereof with respect to any delivery of such Line of Credit Obligations to the Trustee which shall supersede the provisions of the Trust Agreement with respect thereto.

Notwithstanding any other provision of this Resolution or any provision of the General Bond Resolution, the Trust Agreement, any Line of Credit Supplemental Trust Agreement or any Line of Credit Obligation to the contrary, with the approval of the Fiscal Officer, the Trustee may enter into an agreement with a Depository, or the nominee of a Depository, that is the registered owner of a Line of Credit Obligation in the custody of that Depository providing for making all payments to that registered owner of principal of and interest and any premium on that Line of Credit Obligation or any portion of that Line of Credit Obligation (other than any payment of its entire unpaid principal amount) at a place and in a manner (including wire transfer of federal funds) other than as provided above in this Resolution, without prior presentation or surrender of

that Line of Credit Obligation, upon any conditions which shall be satisfactory to the Trustee and the Fiscal Officer. That payment in any event shall be made to the person who is the registered owner of that Line of Credit Obligation on the date that principal and premium is due, or, with respect to the payment of interest, as of the applicable Regular Record Date or Special Record Date or other date agreed upon, as the case may be. The Trustee will furnish a copy of each of those agreements, certified to be correct by an officer of the Trustee, to other Authenticating Agents and Paying Agents for Line of Credit Obligations, if any, and to the University. Any payment of principal, premium, or interest pursuant to such an agreement shall constitute payment thereof pursuant to, and for all purposes of, this Resolution and Trust Agreement.

If any Depository determines not to continue to act as a Depository for any Line of Credit Obligations for use in a book entry system, the University may attempt to have established a securities depository/book entry system relationship with another qualified Depository under the Trust Agreement. If the University does not or is unable to do so, the University and the Trustee, after the Trustee has made provision for notification of the owners of book entry interests in such Line of Credit Obligations by appropriate notice to the then Depository, shall permit withdrawal of such Line of Credit Obligations from the Depository, and authenticate and deliver Line of Credit Obligation certificates in fully registered form to the assignees of the Depository or its nominee. If the event is not the result of University action or inaction, such withdrawal, authentication and delivery shall be at the cost and expense (including costs of printing or otherwise preparing, and delivering, such replacement Line of Credit Obligations), of those persons requesting that authentication and delivery unless University action or inaction shall have been the cause of the termination of the book entry system in which event such cost and expense shall be borne by the University. Such replacement Line of Credit Obligations shall be in Authorized Denominations.

(j) Tender Options. Each Holder and Beneficial Owner shall have the option to tender Line of Credit Obligations for purchase upon such terms as may be set forth in the Line of Credit Certificate of Award and the Line of Credit Supplemental Trust Agreement or Subordinate Agreement.

(k) Mandatory Tender. The Line of Credit Obligations may be subject to mandatory tender by the Holders and Beneficial Owners thereof for purchase upon such terms as may be set forth in the Line of Credit Certificate of Award and the Line of Credit Supplemental Trust Agreement or Subordinate Agreement. The Line of Credit Certificate of Award may include provisions regarding whether any obligation on the part of the University to purchase Line of Credit Obligations from their Holders shall be treated for purposes of the third paragraph of Section 2 of the General Bond Resolution as the conclusion of the term of Line of Credit Obligations, and/or whether the University may exercise a right to purchase such Obligations in lieu of redemption and continue the term of such Line of Credit Obligations.

Section 5. Sale of the Line of Credit Obligations; Line of Credit Certificate of Award.

Each series of the Line of Credit Obligations shall be awarded and sold to the Original

Purchaser at the price set forth in the related Line of Credit Certificate of Award; such price for any maturity of such Line of Credit Obligations shall be not less than 95% of the principal amount thereof, plus accrued interest on the aggregate principal amount of such Line of Credit Obligations from their dates to the date of delivery to and payment by the Original Purchaser for such Line of Credit Obligations, all in accordance with, and subject to the terms and conditions of, an Original Purchaser's proposal contained in a hereinafter described Line of Credit Obligation Purchase Agreement. Such award and sale shall be evidenced by the execution of a Line of Credit Certificate of Award by the Fiscal Officer and by either the Chair of the Board or the Chair of the Resources Committee of the Board, setting forth such award and sale, the other matters to be set forth therein referred to in this Resolution, and such other matters as such officers determine are consistent with this Resolution, the Trust Agreement and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement. That the matters contained in a Line of Credit Certificate of Award are consistent with this Resolution, the Trust Agreement and the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement shall be conclusively evidenced by the execution of such Line of Credit Certificate of Award by such officers. Each Line of Credit Certificate of Award shall be and hereby is incorporated into this Resolution and shall be incorporated in the related Line of Credit Supplemental Trust Agreement or Subordinate Agreement.

The Fiscal Officer is hereby further authorized and directed to execute and deliver, in the name and on behalf of the University, a bond purchase agreement with the Original Purchaser for a series of Line of Credit Obligations (a "Line of Credit Obligation Purchase Agreement") upon such terms as approved by such officer not inconsistent with this Bond Legislation and not substantially adverse to the University. The approval of such officer, and that a Line of Credit Obligation Purchase Agreement is consistent with this Resolution and not substantially adverse to the University, shall be conclusively evidenced by the execution of such Line of Credit Obligation Purchase Agreement by such officer. Subject to receiving any necessary appointment by the attorney general of the State, the Fiscal Officer is hereby authorized to make arrangements with Peck, Shaffer & Williams, A Division of Dinsmore & Shohl LLP to serve as bond counsel for the Line of Credit Obligations, and such firm is hereby appointed to serve in such capacities.

The Fiscal Officer, and any other appropriate officer of the University, are each hereby separately authorized to make arrangements for the delivery of each series of the Line of Credit Obligations to, and payment therefor by, the related Original Purchaser. It is hereby determined that the prices for and the terms of the Line of Credit Obligations, and the sale thereof, all as provided in this Resolution, each Line of Credit Supplemental Trust Agreement or Subordinate Agreement and each Line of Credit Certificate of Award are in the best interest of the University and in compliance with all legal requirements.

Section 6. Allocation of Proceeds of Line of Credit Obligations. If not issued as a Subordinated Obligation: (a) All of the proceeds received by on behalf of the University from the sale of the Line of Credit Obligations shall be received and receipted for by the Fiscal Officer or the Trustee, and shall be deposited and allocated as follows:

(i) To the Debt Service Account of the Debt Service Fund, the portion of such proceeds representing accrued interest and any capitalized interest directed to be deposited in the Debt Service Account by the related Line of Credit Certificate of Award; and

(ii) To the Line of Credit Projects Account which is hereby created as a separate deposit account within the Facilities Fund (except when invested as hereinafter provided) in the custody of the University or the Trustee or other entity, as the Fiscal Officer shall determine, such portion of such proceeds as may be specified in the related Line of Credit Certificate of Award.

(b) Any such capitalized interest may be deposited in a separate sub-account of the Debt Service Account of the Debt Service Fund as the Fiscal Officer may determine. Upon a determination by the Fiscal Officer that any portion of such amount designated to be used for capitalized interest is not needed for such purpose, such portion may be transferred to the Line of Credit Projects Account as the Fiscal Officer may direct.

(c) Such proceeds are hereby appropriated for the purposes of the respective funds and accounts into which such proceeds are deposited.

(d) No provision shall be made for a Debt Service Reserve Account with respect to the Line of Credit Obligations, and there shall be no Required Reserve for the Line of Credit Obligations. The Line of Credit Obligations shall not be payable from, and the Line of Credit Obligations shall not be secured by, any moneys in or investments credited to the Debt Service Reserve Account, and therefore, Debt Service Charges on the Line of Credit Obligations shall not have access to or claims upon the Debt Service Reserve Account.

Provided that, if the Line of Credit Obligations are issued as Subordinated Obligations under a Subordinate Agreement, the Subordinate Agreement shall provide for the establishment of funds and accounts and deposits and disbursements therefrom as shall be authorized by the Act and consistent with this Resolution and the policies and procedures of the University with respect to its funds and accounts.

Section 7. Line of Credit Projects Account; Recordkeeping; Application of Moneys. A record of each deposit into and disbursement from the Line of Credit Projects Account shall be made and maintained by the party having custody of such account.

Moneys in the Line of Credit Projects Account shall be used to pay Costs of University Facilities related to the Line of Credit Projects, capitalized interest to a date as may be set forth in a Line of Credit Certificate of Award and any Costs of University Facilities associated with the issuance of the Line of Credit Obligations, and shall be disbursed upon the written request of the Fiscal Officer on behalf of the University. The University covenants that it will proceed with due diligence to pay such costs and complete the Line of Credit Projects. Upon the final payment of such costs, the University shall deliver to the Trustee a certificate of the Fiscal Officer on behalf of the University stating that fact and setting forth the amount, if any, then remaining in the

Line of Credit Projects Account, which shall be transferred to the Debt Service Account of the Debt Service Fund pursuant to this Section.

Upon such certification, any moneys remaining in the Line of Credit Projects Account and certified pursuant to the preceding paragraph shall be transferred by the party having custody of such Account to the Debt Service Account of the Debt Service Fund as set forth in the immediately preceding paragraph.

Moneys in the Line of Credit Projects Account may be invested in any lawful University investments in amounts maturing not later than the times when such amounts in the Line of Credit Projects Account are required to pay any costs payable from such Fund. Any investment made by the Trustee shall be at the written or oral (and, if oral, promptly confirmed in writing) direction of the Fiscal Officer. The term “lawful University investments” shall mean those investments made in accordance with the *Statement of Objectives and Policies for Non-Endowment Invested Funds*, approved by the Board on September 21, 2005, as the same may be amended or supplemented from time to time. Such investments may include qualifying money market mutual funds for which the Trustee or any of its affiliates provide services for a fee, whether as an investment advisor, custodian, transfer agent, registrar, sponsor, distributor, manager or otherwise.

Any investment of moneys in the Line of Credit Projects Account shall constitute a part of the Line of Credit Projects Account and the Line of Credit Projects Account shall be credited with all proceeds of sale, and gain or loss, from such investment. Interest earnings on moneys in the Line of Credit Projects Account shall be credited when received to the Line of Credit Projects Account. For investment purposes only, moneys in the Line of Credit Projects Account may be commingled with moneys from one or more funds held by the Trustee pursuant to the Trust Agreement; provided that separate records are maintained for each such fund, the investments made therefrom, and the interest earnings credited thereto.

Section 8. Line of Credit Supplemental Trust Agreement; Subordinate Agreement. The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, a Line of Credit Supplemental Trust Agreement pursuant to the Trust Agreement or a Subordinate Agreement in connection with the issuance of each series of the Line of Credit Obligations, in such forms not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer or officers executing the same on behalf of the University. The approval of such forms by the Board and such officer or officers, and the fact that such forms are not substantially adverse to the University, shall be conclusively evidenced by the execution of each Line of Credit Supplemental Trust Agreement or Subordinate Agreement by such officer or officers.

Consistent with Section 8.02 of the Original Trust Agreement, the University and the Trustee, without the consent of or notice to any of the Bondholders, may enter into

agreements supplemental to the Trust Agreement and the Line of Credit Supplemental Trust Agreements to the extent necessary or desirable to permit (i) the transfer of Line of Credit Obligations from one Depository to another, and the succession of Depositories or (ii) the withdrawal of Line of Credit Obligations from a Depository in connection with a book entry system and the issuance of Line of Credit Obligations or of replacement Line of Credit Obligations in fully registered form to others than a Depository.

The Chairman of the Board, the Chair of the Resources Committee of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer are each separately authorized to execute and deliver, on behalf of the University, such other certificates, documents and instruments as are necessary in connection with the transactions authorized in this Resolution, and to do all other things required of them or the University pursuant to the Trust Agreement and this Resolution.

The appropriate officers of the University shall do all things necessary or proper to implement and carry out the orders and agreements set forth in or approved in this Resolution for the proper fulfillment of the purposes of the General Bond Resolution and this Resolution. The Secretary of the Board shall furnish to the Original Purchaser a true and certified transcript of all proceedings taken with reference to the authorization and issuance of the Line of Credit Obligations along with other information as is necessary or proper with respect to the Line of Credit Obligations.

Section 9. Tax Matters. The University hereby covenants that it will not take any action, or fail to take any action, if any such action or failure to take action would adversely affect the exclusion from gross income of the interest on the Tax-Exempt Line of Credit Obligations under Section 103(a) of the Code. Without limiting the generality of the foregoing, the University hereby covenants as follows:

(a) The University will not directly or indirectly use or permit the use of any proceeds of the Tax-Exempt Line of Credit Obligations or any other funds of the University, or take or omit to take any action that would cause the Tax-Exempt Line of Credit Obligations to be “arbitrage bonds” within the meaning of Sections 103(b)(2) and 148 of the Code. To that end, the University will comply with all requirements of Sections 103(b)(2) and 148 of the Code to the extent applicable to the Tax-Exempt Line of Credit Obligations. In the event that at any time the University is of the opinion that for purposes of this sub-section (a) it is necessary to restrict or limit the yield on the investment of any moneys held by the Trustee under the Trust Agreement, the Fiscal Officer shall so instruct the Trustee in writing, and the Trustee shall take such action as may be necessary in accordance with such instructions. The Fiscal Officer, or any other officer having responsibility with respect to the issuance of the Tax-Exempt Line of Credit Obligations, is authorized and directed to give an appropriate certificate on behalf of the University, on the date of delivery of the Tax-Exempt Line of Credit Obligations for inclusion in the transcript of proceedings, setting forth the facts, estimates and circumstances and reasonable expectations pertaining to the use of the proceeds thereof and the provisions of such Sections 103(b)(2) and 148, and to execute and deliver on behalf of the University an IRS Form 8038G in connection with the issuance of the Tax-Exempt Line of Credit Obligations.

Without limiting the generality of the foregoing, the University agrees that there shall be paid from time to time all amounts required to be rebated to the United States pursuant to Section 148(f) of the Code. This covenant shall survive payment in full or defeasance of the Tax-Exempt Line of Credit Obligations. The University specifically covenants to pay or cause to be paid to the United States at the times and in the amounts determined under Section 10 hereof the Rebate Amounts, as described in the Federal Tax Documents. The Trustee agrees to perform all tasks required of it in the Federal Tax Documents.

Notwithstanding any provision of this sub-section (a), if the University shall provide to the Trustee an opinion of nationally recognized bond counsel to the effect that any action required under this Section and Section 10 of this Resolution is no longer required, or to the effect that some further action is required, to maintain the exclusion from gross income of the interest on the Tax-Exempt Line of Credit Obligations pursuant to Section 103(a) of the Code, the University and the Trustee may rely conclusively on such opinion in complying with the provisions hereof.

(b) So long as any of the Tax-Exempt Line of Credit Obligations, or any obligations issued to refund the Tax-Exempt Line of Credit Obligations, remain unpaid, the University will not operate or use, or permit the operation or use of, the Line of Credit Projects or any part thereof in any trade or business carried on by any person within the meaning of the Code which would (i) cause the Tax-Exempt Line of Credit Obligations to be “private activity bonds” within the meaning of Section 141 of the Code, and (ii) result in the interest payable on the Tax-Exempt Line of Credit Obligations to be not exempt from federal income taxation under the Code.

#### Section 10. Rebate Fund.

(a) There has previously been created and ordered maintained in the custody of the Trustee (except when invested as herein provided), the Rebate Fund, which shall not constitute a Special Fund or Account securing the Line of Credit Obligations or other Obligations. There shall be deposited in the Rebate Fund such amounts as are required to be deposited therein pursuant to the Federal Tax Documents. Subject to the transfer provisions provided in paragraph (d) below, all money at any time deposited in the Rebate Fund shall be held by the Trustee in trust, to the extent required to satisfy the Rebate Amount (as defined in the Federal Tax Documents), for payment to the United States of America, and neither the University nor the owner of any Bonds shall have any rights in or claim to such money. All amounts deposited into or on deposit in the Rebate Fund shall be governed by this Section, by Section 9 of this Resolution and by the Federal Tax Documents (which is incorporated herein by reference).

(b) The Trustee shall have no obligations to rebate any amounts required to be rebated pursuant to this Section, other than from moneys held in the funds created under the Trust Agreement or from other moneys provided to it by the University upon its request for said moneys from the University as set forth in the Federal Tax Documents.

(c) The Trustee shall, at the direction of the University, invest amounts held in the Rebate Fund and deposit all earnings on such amounts as provided in the Federal Tax Documents.

(d) The Trustee shall remit moneys in the Rebate Fund to the United States, as directed in the Federal Tax Documents. Any funds remaining in the Rebate Fund after redemption and payment of all of the Bonds and payment and satisfaction of any Rebate Amount, or provision made therefor satisfactory to the Trustee shall be withdrawn and remitted to the University.

(e) Notwithstanding any other provision of this Resolution or the Trust Agreement, the obligation to remit the Rebate Amounts to the United States and to comply with all other requirements of this Section, Section 9 of this Resolution and the Federal Tax Documents shall survive the defeasance or payment in full of the Bonds.

Section 11. Temporary Line of Credit Obligations. Pending the preparation of definitive Line of Credit Obligations the University may execute and the Trustee shall authenticate and deliver temporary Line of Credit Obligations in printed or typewritten form. Temporary Line of Credit Obligations shall be issuable in fully registered form, of any denomination, and substantially in the form of the definitive Line of Credit Obligations but with such omissions, insertions and variations as may be appropriate for temporary Line of Credit Obligations, all as may be determined by the Fiscal Officer. Every temporary Line of Credit Obligation shall be executed on behalf of the University, and be authenticated by the Trustee upon the same conditions and in substantially the same manner, and with like effect, as the definitive Line of Credit Obligations. If one or more temporary Line of Credit Obligations are issued, then without unnecessary delay the University shall execute and furnish to the Trustee in exchange therefor without charge, and the Trustee shall authenticate and deliver in exchange for such temporary Line of Credit Obligations an equal aggregate principal amount of definitive Line of Credit Obligations. Until so exchanged the temporary Line of Credit Obligations shall be entitled to the same benefits under the Trust Agreement as definitive Line of Credit Obligations.

Section 12. Prior Actions Approved. All actions hereto taken by officers and employees of the Board and the University in connection with the approval, authorization, sale, execution, delivery and issuance of the Prior Obligations or the security therefor, or any Interest Rate Hedge or Credit Support Instrument related thereto or to the Line of Credit Obligations, are hereby approved, ratified and confirmed.

Section 13. Additional Special Funds and Accounts. The Fiscal Officer is hereby authorized to create such additional Special Funds and Special Accounts in connection with the Line of Credit Obligations and the security therefor as the Fiscal Officer deems necessary. Any such Special Funds and Accounts and the permitted investment thereof shall be described in a Line of Credit Certificate of Award.

Section 14. Relationship of this Resolution to General Bond Resolution. It is understood and acknowledged by the University that unless the Line of Credit

Obligations are issued as Subordinated Obligations, the Line of Credit Obligations are being issued pursuant to the terms of the General Bond Resolution, as amended and supplemented by the terms of this Resolution; that the Line of Credit Obligations are subject to all of the terms and conditions of the General Bond Resolution, as amended, except as otherwise provided herein; and that all of the terms, conditions, covenants and warranties contained in the General Bond Resolution, as amended, except as otherwise provided herein, shall apply with like force and effect to the Line of Credit Obligations as if originally made in connection therewith. The General Bond Resolution and the Trust Agreement, as amended and supplemented to date including by this Resolution, and the Obligations issued to date thereunder, including the Prior Obligations, are hereby approved, ratified and confirmed.

Section 15. General. This Resolution is adopted pursuant to the General Bond Resolution and the Trust Agreement. The appropriate officers of the University shall do all things necessary and proper to implement and carry out the orders and agreements set forth in or approved in the General Bond Resolution and this Resolution for the proper fulfillment of the purposes thereof. Without limiting the generality of the foregoing, the Fiscal Officer and other appropriate officers of the University are hereby authorized to apply to the Chancellor of the Ohio Board of Regents for any required approvals with respect to the Line of Credit Projects or the Line of Credit Obligations. Should all the Series Line of Credit Projects or the Line of Credit Obligations not receive such approvals by the time the Line of Credit Obligations to fund the Line of Credit Projects are sold, the related Line of Credit Certificate of Award shall set forth the Line of Credit Projects and the amount of such Line of Credit Obligations that have received such approvals. Thereupon, such Line of Credit Obligations shall be issued in a principal amount not exceeding the amount approved by the Chancellor of the Ohio Board of Regents and the Line of Credit Projects shall include only the projects approved by the Chancellor of the Ohio Board of Regents.

Section 16. Inconsistencies. All orders, resolutions and other official actions, or parts thereof, inconsistent herewith or with the documents hereby authorized, approved, ratified or confirmed are hereby repealed, but only to the extent of such inconsistency. This Resolution shall not be construed as otherwise revising any order, resolution or other official action, or part thereof.

Section 17. Open Meeting Determination. It is found and determined that all formal actions of the Board concerning and relating to the adoption of this Resolution were adopted in an open meeting of the Board, and that all deliberations of the Board and of any of its committees that resulted in such formal actions were in meetings open to the public, in compliance with all legal requirements, including Section 121.22 of the Revised Code of Ohio.

Section 18. Effective Date. This Resolution shall take effect and be in force immediately upon its adoption.

Adopted: August 25, 2016

Trustee Scholl moved for approval of the Bridge Financing/Capital Access resolution (Tab 9). Trustee Viehweger seconded. Chair Wolfort called for a vote. With all in favor, the resolution passed.

## **SERIES 2017 RESOLUTION**

### **RESOLUTION 2016 - 3583**

Providing for the authorization, issuance and sale of not to exceed \$170,000,000 in aggregate principal amount of General Receipts Bonds of The Ohio University, authorizing a Supplemental Trust Agreement securing such bonds, and authorizing matters related thereto

WHEREAS, The Ohio University (herein called the “University”), a state university of the State of Ohio created and existing under Chapter 3337 of the Ohio Revised Code, by Resolution No. 2000-1744 adopted by its Board of Trustees (herein called the “Board”) on December 8, 2000 (herein called the “General Bond Resolution”) and by a Trust Agreement dated May 1, 2001 (together with amendments and supplements thereto, the “Trust Agreement”), comprised in part of the General Bond Resolution, has provided for the issuance from time to time of Obligations (as defined in the General Bond Resolution) of the University, each such issue to be authorized by a Series Resolution adopted by the Board pursuant to the Trust Agreement; and

WHEREAS, the General Bond Resolution was adopted and the Trust Agreement was authorized by the Board pursuant to Sections 3345.11 and 3345.12 of the Ohio Revised Code, enacted by the General Assembly of Ohio under authority of the Constitution of Ohio, particularly Section 2i of Article VIII thereof, which authorizes the University to issue its Obligations from time to time to pay costs of certain capital facilities, defined as “auxiliary facilities” or “education facilities” in Section 3345.12 of the Ohio Revised Code and called “University Facilities” in the General Bond Resolution and in this Series Resolution, and to refund, fund or retire such Obligations or other obligations previously issued for such purpose; and

WHEREAS, the University has heretofore authorized, issued or entered into the following Obligations under such Trust Agreement (collectively referred to herein as the “Prior Obligations”):

- \$48,025,000 principal amount of Bonds (as defined in the General Bond Resolution) designated “Subordinated Variable Rate General Receipts Bonds, Series 2001” (the “Series 2001 Bonds”), pursuant to a First Supplemental Trust Agreement dated as of May 1, 2001 (the “First Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities;
- an Interest Rate Hedge (as defined in Section 9.98 of the Ohio Revised Code) for a portion of the Series 2001 Bonds in the form of an ISDA Master Agreement, dated December 1, 2001 (which, together with the schedule and confirmations related thereto, are collectively referred to as the “Series 2001 Swap Agreement”) in a maximum notional amount of \$31,020,000 with Morgan Guaranty Trust Company of New York, under

the Trust Agreement with respect to amounts payable by the University under the Series 2001 Swap Agreement (other than any Early Termination Amount, as defined in the Series 2001 Swap Agreement, and any amounts payable pursuant to Section 11 of the Series 2001 Swap Agreement by the University);

- \$47,860,000 principal amount of Bonds designated “Subordinated General Receipts Bonds, Series 2003” dated September 3, 2003 and maturing through December 1, 2023 (the “Series 2003 Bonds”), pursuant to a Second Supplemental Trust Agreement dated as of September 1, 2003 (the “Second Supplemental Trust Agreement”) for the purpose of retiring certain bond anticipation notes and refunding the University’s General Receipts Bonds, Series 1993 dated as of December 1, 1993, which were issued to finance the cost of certain University Facilities;
- Notes (as defined in the General Bond Resolution) from time to time and in varying principal amounts pursuant to a Third Supplemental Trust Agreement dated as of October 1, 2003 (the “Third Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities; however, there are no Notes presently outstanding under the Third Supplemental Trust Agreement;
- \$52,885,000 principal amount of Bonds designated “Subordinated General Receipts Bonds, Series 2004” dated as of March 15, 2004 and maturing through December 1, 2031 (the “Series 2004 Bonds”), pursuant to a Fourth Supplemental Trust Agreement dated as of March 15, 2004 (the “Fourth Supplemental Trust Agreement”) for the purpose of retiring certain bond anticipation notes and paying part of the cost of certain University Facilities;
- \$28,145,000 principal amount of Bonds designated “Subordinated General Receipts Refunding Bonds, Series 2006A” dated as of February 16, 2006 and maturing through December 1, 2024 (the “Series 2006A Bonds”), pursuant to a Fifth Supplemental Trust Agreement dated as of February 1, 2006 (the “Fifth Supplemental Trust Agreement”) for the purpose of refunding all or a portion of the University’s outstanding General Receipts Bonds, Series 1999 dated as of March 15, 1999 issued pursuant to the Prior Indenture, as defined in the General Bond Resolution, for the purpose of paying part of the cost of certain University Facilities; and
- \$29,170,000 principal amount of Bonds designated “Subordinated General Receipts Bonds, Series 2006B” dated as of April 6, 2006 and maturing through December 1, 2036 (the “Series 2006B Bonds”) and \$8,025,000 principal amount of Bonds designated “Subordinated Variable Rate General Receipts Bonds, Series 2006C” dated as of April 6, 2006 and maturing through December 1, 2016 (the “Series 2006C Bonds”), both pursuant to a Sixth Supplemental Trust Agreement dated as of April 1,

2006 (the “Sixth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities; and

- \$15,350,000 principal amount of Bonds comprised of \$13,345,000 principal amount of Bonds designated “Tax Exempt General Receipts Bonds, Series 2008A” dated July 10, 2008 and maturing through December 1, 2033 (the “Series 2008A Bonds”) and \$2,005,000 principal amount of Bonds designated “Taxable General Receipts Bonds, Series 2008B” dated July 10, 2008 and maturing through December 1, 2015 (the “Series 2008B Bonds”), both pursuant to a Seventh Supplemental Trust Agreement dated as of July 1, 2008 (the “Seventh Supplemental Trust Agreement”) for the purpose of retiring certain bond anticipation notes and paying part of the cost of certain University Facilities; and
- \$26,645,000 principal amount of Bonds designated “General Receipts Bonds, Series 2009” dated June 3, 2009 and maturing through December 1, 2019 (the “Series 2009 Bonds”), pursuant to an Eighth Supplemental Trust Agreement dated as of May 1, 2009 (the “Eighth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities; and
- \$76,470,000 principal amount of Bonds designated “General Receipts Bonds, Series 2012” dated February 29, 2012 and maturing through December 1, 2042 (the “Series 2012 Bonds”), pursuant to a Ninth Supplemental Trust Agreement dated as of February 1, 2012 (the “Ninth Supplemental Trust Agreement”) for the purposes of paying part of the cost of certain University Facilities and refunding certain of the Series 2003 Bonds and Series 2004 Bonds; and
- \$28,640,370 principal amount of Bonds designated “General Receipts Notes, OAQDA Series 2012” dated July 31, 2012 and maturing through December 1, 2023 (the “Series 2012 OAQDA Bonds”), pursuant to a Tenth Supplemental Trust Agreement dated as of July 1, 2012 (the “Tenth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities constitutes “energy conservation measures” as defined in Section 3345.61 of the Ohio Revised Code, through the Ohio Air Quality Development Authority (the “OAQDA”); and
- \$27,204,750 principal amount of Bonds designated “General Receipts Bonds, Series 2011” dated as of October 1, 2012 and maturing through June 1, 2032 (the “Housing For Ohio Guaranty Bonds”), pursuant to an Eleventh Supplemental Trust Agreement dated as of October 1, 2012 (the “Eleventh Supplemental Trust Agreement”) for the purpose of providing security for the letter of credit reimbursement obligations of Housing for Ohio, Inc., a non-profit corporation which has developed a facility on real property owned by the University and located adjacent to the University’s main campus in the City of Athens, Ohio providing housing for the use of

the University's students, faculty members, officers, and employees, and their spouses and families and known as "University Courtyard"; and

- \$145,170,000 principal amount of Bonds designated "General Receipts Bonds, Series 2013" dated June 5, 2013 and maturing through December 1, 2043 (the "Series 2013 Bonds") pursuant to a Twelfth Supplemental Trust Agreement dated as of June 1, 2013 (the "Twelfth Supplemental Trust Agreement") for the purpose of paying part of the cost of certain University Facilities and refunding all of the Series 2001 Bonds and certain of the Series 2004 Bonds; and
- \$250,000,000 principal amount of Bonds designated "General Receipts Bonds, Series 2014 (Federally Taxable)" dated November 14, 2014 and maturing through December 1, 2044 (the "Series 2014 Bonds") pursuant to a Thirteenth Supplemental Trust Agreement dated as of November 1, 2014 (the "Thirteenth Supplemental Trust Agreement") for the purpose of paying part of the cost of certain University Facilities; and
- \$50,000,000 maximum principal amount of Obligations tentatively designated "General Receipts Notes, Series 2016" (the "Series 2016 Notes"), maturing through December 1, 2019, subject to extension, pursuant to a Supplemental Trust Agreement (the "Series 2016 Supplemental Trust Agreement") for the purpose of paying part of the cost of certain University Facilities; and

WHEREAS, the University has previously determined, and does hereby confirm, that it is necessary to acquire, construct, equip, furnish, reconstruct, alter, enlarge, remodel, renovate, rehabilitate or improve the following University Facilities at the respective currently estimated amounts to be financed (being collectively referred to herein as the "2017 Projects"):

<u>Project Name</u>	<u>Description</u>	<u>Currently Estimated Amount to be Financed</u>
Academic Facilities	Acquisition, construction, renovation, rehabilitation, improvements and upgrades to academic buildings and related facilities, including, but not limited to, the McCracken Hall renovation and addition, Grover Center expansion, Alden Library renovation, Clippinger Renovation Phase I, Engineering Research/Consolidation and expansion, Facilities/RMS/Administrative relocation, HCOM Athens, and Ellis Hall upgrades.	\$125,000,000
Student Housing	Acquisition, construction, renovation, rehabilitation, improvements and upgrades to student housing facilities included in the University's capital plan, including, but not limited to, Tanaka Hall, Luchs Hall, Sowle Hall, Carr Hall and Jefferson Hall,.	\$80,000,000
Student Dining	Acquisition, construction, renovation, rehabilitation, improvements and upgrades to student dining facilities included in the University's capital plan, including, but not limited to, Jefferson Dining Hall, Shively Dining Hall, and Nelson Dining Hall.	\$30,000,000

; and

WHEREAS, the University has determined to issue Bonds in an aggregate principal amount of not to exceed \$170,000,000, in one or more series under the Trust Agreement, to be designated "General Receipts Bonds, Series 2017," or such other designation as authorized hereby (the "Series 2017 Bonds"), to:

- (i) refund all or part of one or more of the Series 2006A Bonds, the Series 2006B Bonds, the Series 2008A Bonds and the Series 2016 Notes; and

- (ii) finance all or part of the costs of, including the reimbursement of such costs of, the 2017 Projects in an aggregate principal amount of such Projects not to exceed \$125,000,000;

and desires to provide therefor by this Resolution; and

WHEREAS, there are no Superior Obligations, or any other bonds, notes or other obligations, presently outstanding under the Prior Indenture, and the Prior Indenture and the lien grant thereby have been released, satisfied and discharged; and

WHEREAS, the Board finds that all conditions precedent to the authorization and sale of the Series 2017 Bonds have been or will be met by the time the Series 2017 Bonds are issued;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE OHIO UNIVERSITY, as follows:

Section 1. Definitions and Interpretations. All words and terms defined in the General Bond Resolution and elsewhere in the Trust Agreement and all interpretations therein provided shall have the meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the “Series 2017 Resolution,” the Bonds authorized by this Resolution are referred to herein and in the Series 2017 Supplemental Trust Agreement hereby authorized as the “Series 2017 Bonds,” and the terms “hereof,” “herein,” “hereby,” “hereto” and “hereunder,” and similar terms, mean this Resolution. All words and terms defined in the preambles hereto shall have the respective meanings provided in the preambles hereto.

In addition, when used in this Resolution and the Series 2017 Supplemental Trust Agreement, the following words shall have the indicated meanings:

“Authorized Denominations” means with respect to each series of the Series 2017 Bonds, the denominations designated as such in the related Series 2017 Certificate of Award.

“Beneficial Owner” means with respect to the each series of the Series 2017 Bonds, the Person owning the Beneficial Ownership Interest therein, as evidenced to the satisfaction of the Trustee.

“Beneficial Ownership Interest” means the right to receive payments and notices with respect to the Series 2017 Bonds held in a book entry system for which the Depository does not act on behalf of a Beneficial Owner with respect to the optional or mandatory tender for purchase of the Series 2017 Bonds pursuant to the Trust Agreement.

“Book entry form” or “book entry system” means, with respect to the Series 2017 Bonds, a form or system, as applicable, under which (i) the ownership of beneficial

interests in such Bonds and Debt Service Charges may be transferred only through a book entry and (ii) physical Series 2017 Bond certificates in fully registered form are registered only in the name of a Depository or its nominee as Bondholder, with the physical Series 2017 Bond certificates “immobilized” in the custody of the Depository. The book entry system maintained by and the responsibility of the Depository and not maintained by or the responsibility of the University or the Trustee is the record that identifies, and records the transfer of the interests of, the owners of beneficial (book entry) interests in such Series 2017 Bonds.

“Depository” means any securities depository that is a clearing agency under federal law operating and maintaining, with its participants or otherwise, a book entry system to record ownership of beneficial interest in the Series 2017 Bonds, and to effect transfers of book entry interests in such Bonds, and includes and means initially The Depository Trust Company (a limited purpose trust company), New York, New York.

“Federal Tax Documents” means the Certificate Under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as Amended, and the Certificate Regarding Issuance, Use of Proceeds and Arbitrage Compliance, both delivered by the University at the time of the issuance and delivery of each series of Tax-Exempt Series 2017 Bonds, as the same may be amended or supplemented in accordance with their respective terms.

“Fixed Rate Bonds” means Series 2017 Bonds that are not “Variable Rate Obligations,” as defined in the General Bond Resolution.

“Interest Payment Date” means, as to each series of the Series 2017 Bonds, each of the dates set forth as such in the related Series 2017 Certificate of Award.

“Interest Rate Hedge” means an “interest rate hedge” as defined in Section 9.98 of the Ohio Revised Code.

“Interest Rate Mode” means any of those modes of interest with respect to the Series 2017 Bonds permitted by the Supplemental Trust Agreement related thereto and specified in the Series 2017 Certificate of Award.

“Mandatory Redemption Date” means, as to each series of the Series 2017 Bonds, each of the dates set forth in the related Series 2017 Certificate of Award for the retirement of a portion of the principal of the Series 2017 Bonds pursuant to any Mandatory Sinking Fund Requirements set forth therein.

“Mandatory Sinking Fund Requirements” means, as to each series of the Series 2017 Bonds, the amounts required to be deposited in the Debt Service Fund for the purpose of redeeming related Series 2017 Bonds (less the amount of any credit as provided in Section 4(c) of this Resolution) on each Mandatory Redemption Date, as may be set forth in the related Series 2017 Certificate of Award.

“Maximum Rate” means for each series of the Series 2017 Bonds, twelve percent (12%) per annum or such lesser rate designated as such in the related Series 2017 Certificate of Award.

“Original Purchaser” means, as to each series of the Series 2017 Bonds, the purchaser or purchasers of that series of the Series 2017 Bonds designated as such in the related Series 2017 Certificate of Award.

“Pledged Bonds” means Series 2017 Bonds or Beneficial Ownership Interests registered in the name of the Series 2017 Financial Institution and securing the obligations of the University to reimburse the Series 2017 Financial Institution for advances made pursuant to a Series 2017 Credit Support Instrument as may be provided in the related Series 2017 Certificate of Award and Series 2017 Supplemental Trust Agreement.

“Prior Obligations” means the Series 2001 Bonds, Series 2001 Swap Agreement, the Series 2003 Bonds, the Notes heretofore issued, the Series 2004 Bonds, the Series 2006A Bonds, the Series 2006B Bonds, the Series 2006C Bonds, the Series 2008A Bonds, the Series 2008B Bonds, the Series 2009 Bonds, the Series 2012 Bonds, the Series 2012 OAQDA Bonds, the Housing For Ohio Guaranty Bonds, the Series 2013 Bonds, the Series 2014 Bonds and the Series 2016 Notes.

“Rebate Fund” means the fund by that name referred to in Section 10 hereof.

“Refunded Bonds” means the Series 2006A Bonds, the Series 2006B Bonds, the Series 2008A Bonds or the Series 2016 Notes, or portions thereof, if any, refunded with a portion of the proceeds of the Series 2017 Bonds, as specified in a Series 2017 Certificate of Award, and deemed to be paid and discharged under the Trust Agreement.

“Refunded Bonds Defeasance Obligations” means the investments defined as such in a Refunded Bonds Escrow Agreement sufficient to cause the related Refunded Bonds to be no longer outstanding pursuant to the Trust Agreement.

“Refunded Bonds Escrow Agreement” means one or more Escrow Deposit Agreements between the University and the Refunded Bonds Escrow Trustee of even date with the related Series 2017 Supplemental Trust Agreement, securing one or more series of the Refunded Bonds.

“Refunded Bonds Escrow Fund” means for any of the Refunded Bonds, the escrow fund created by the related Refunded Bonds Escrow Agreement in the custody of the Refunded Bonds Escrow Trustee as security for the related Refunded Bonds. A Refunded Bonds Escrow Fund may be a sub-account in the Debt Service Account of the Debt Service Fund.

“Refunded Bond Escrow Trustee” means the bank or trust company serving as Escrow Trustee under the Refunded Bonds Escrow Agreement, being initially designated in a Series 2017 Certificate of Award.

“Series 2017 Certificate of Award” means with respect to each series of Series 2017 Bonds, the certificate of the Fiscal Officer establishing certain terms of that series of the Series 2017 Bonds and authorized in Section 5 hereof, including any supplements thereto.

“Series 2017 Closing Date” means each date on which any series of the Series 2017 Bonds are delivered to the Original Purchaser thereof for payment.

“Series 2017 Credit Support Instrument” means any Credit Support Instruments relating to some or all of the Series 2017 Bonds described in a Series 2017 Certificate of Award and issued by a Series 2017 Financial Institution for the benefit of the holders of Series 2017 Bonds.

“Series 2017 Financial Institution” means a Financial Institution issuing a Series 2017 Credit Support Instrument described in a Series 2017 Certificate of Award.

“Series 2017 Projects Account” means the account by that name created in the Facilities Fund pursuant to Section 6 hereof.

“Series 2017 Remarketing Agent” means the Remarketing Agent designated as such in the Series 2017 Certificate of Award.

“Series 2017 Supplemental Trust Agreement” means a Supplemental Trust Agreement styled and dated as determined in a Series 2017 Certificate of Award, by and between the University and the Trustee supplementing the Trust Agreement and securing one or more series of the Series 2017 Bonds, as the same may be supplemented and amended as provided herein and therein.

“Taxable Series 2017 Bonds” means any Series 2017 Bonds other than Tax-Exempt Series 2017 Bonds.

“Tax-Exempt Series 2017 Bonds” means Series 2017 Bonds the interest on which is intended by the University at the time of initial issuance to be exempt from federal income taxation under the Code, such intent to be conclusively evidenced by a determination to that effect contained in a Series 2017 Certificate of Award.

Section 2. Determinations by Board. The Board hereby finds and determines that (a) the 2017 Projects will constitute “auxiliary facilities” or “education facilities” as defined in the Act; (b) the issuance of the Series 2017 Bonds and the refunding of the Refunded Bonds, if any, will be in the best interests of the University; and (c) this Resolution is adopted pursuant to the General Bond Resolution, the Trust Agreement, the Act and Section 2i of Article VIII of the Ohio Constitution.

The Board finds that the conditions stated in numbered subparagraphs (1) and (2) of Section 3(a) of the General Bond Resolution will be satisfied by the time of authentication of the Series 2017 Bonds. The Fiscal Officer shall confirm these findings by a certificate in form satisfactory to, and to be filed with, the Trustee prior to the authentication of the Series 2017 Bonds, and the Fiscal Officer may provide such other evidence with respect thereto as the Trustee may reasonably request.

Section 3. Authorization, Designation and Purpose of Series 2017 Bonds. It is hereby declared to be necessary and in the best interests of the University to, and the University shall, issue, sell and deliver, as provided and authorized herein, Bonds of the

University, on a parity with all other outstanding Obligations from time to time, which shall be designated “General Receipts Bonds, Series 2017,” or such other designation as may be specified in the related Series 2017 Certificate of Award (the “Series 2017 Bonds”), for the purposes of (i) paying Costs of University Facilities, as defined in the General Bond Resolution, related to the 2017 Projects, (ii) refunding the Refunded Bonds, if any, and (iii) paying Costs of University Facilities related to the Series 2017 Bonds and the refunding of the Refunded Bonds, all upon the terms set forth herein. For such purposes, the proceeds from the sale of the Series 2017 Bonds shall be allocated and deposited as provided in Section 6 hereof. Proceeds of the Series 2017 Bonds may be allocated among the 2017 Projects other than as shown in the preambles to this Resolution (even if doing so results in a reduction or elimination of one or more of the Series 2017 Projects), and deviations from the descriptions of particular Series 2017 Projects as shown in the preambles to this Resolution, or the scope thereof, may be made, if the Fiscal Officer in consultation with the Resources Committee of the Board determines that doing so is in the best interest of the University. The principal amount of each series of Series 2017 Bonds to be issued shall be determined by the Fiscal Officer and specified in a Series 2017 Certificate of Award, provided that the aggregate principal amount of all Series 2017 Bonds Outstanding at any time shall not exceed \$170,000,000. The Series 2017 Bonds may be issued in one or more separate series of (i) Fixed Rate Bonds or (ii) Variable Rate Obligations bearing interest at one or more Interest Rate Modes, and any such Variable Rate Obligations may be convertible to one or more Interest Rate Modes, all as the Fiscal Officer may determine in a Series 2017 Certificate of Award and as described herein and in the related Series 2017 Supplemental Trust Agreement. Any series of the Series 2017 Bonds may be issued in separate series of Tax-Exempt Series 2017 Bonds and Taxable Series 2017 Bonds as the Fiscal Officer may determine in a Series 2017 Certificate of Award.

#### Section 4. Terms and Provisions Applicable to the Series 2017 Bonds.

(a) Forms, Denominations, Dates and Numbering. The Series 2017 Bonds shall be negotiable instruments in accordance with the Act, shall be issued only in fully registered form, without coupons, shall be substantially in the respective forms thereof set forth in the related Series 2017 Supplemental Trust Agreement, shall be in Authorized Denominations and shall express upon their faces the purpose for which they are issued and that they are issued pursuant to the Act. Each Series 2017 Bond shall have only one principal maturity date, except for interim certificates, receipts or temporary Series 2017 Bonds which may be issued pending preparation of definitive Series 2017 Bonds. The Series 2017 Bonds shall be dated and numbered as set forth in the related Series 2017 Certificate of Award.

Subject to the provisions of this Resolution for the use of a book entry system, the Series 2017 Bonds shall be exchangeable for other Series 2017 Bonds in the manner and upon the terms set forth in the Trust Agreement.

(b) Execution, Interest Rates and Maturities. (i) The Series 2017 Bonds shall be executed by any two of the Chairman of the Board, the President of the University, the Fiscal Officer or the Secretary of the Board, and may have the seal

of the University affixed or printed thereon; provided that all of such signatures and such seal may be facsimiles.

(ii) Each series of the Series 2017 Bonds shall mature on the date or dates and in the amounts set forth in the related Series 2017 Certificate of Award, provided that the final maturity of the Series 2017 Bonds shall be not later than December 1, 2047. Interest on each series of the Series 2017 Bonds shall be calculated and payable as provided in the related Series 2017 Certificate of Award. The net interest cost payable by the University on any series of the Series 2017 Bonds over their stated terms shall not exceed the Maximum Rate except that Pledged Bonds (or the economic equivalent thereof as may be determined in the related Series 2017 Certificate of Award) may bear interest at a rate greater than the Maximum Rate as provided in the related Series 2017 Certificate of Award and Series 2017 Supplemental Trust Agreement.

(iii) At the University's option, some or all of the Series 2017 Bonds may be converted to or from one Interest Rate Mode to another as provided in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement.

(c) Mandatory Sinking Fund Redemption. Each series of the Series 2017 Bonds shall be subject to mandatory sinking fund redemption in part on each Mandatory Redemption Date, in the manner provided in the Trust Agreement, at a redemption price of 100% of the principal amount thereof to be redeemed plus accrued interest to the redemption date in such amounts and in the manner as may be set forth in the related Series 2017 Certificate of Award and the related Series 2017 Supplemental Trust Agreement.

(d) Optional Redemption. The Series 2017 Bonds shall be callable for redemption at the option of the University, in the manner provided in the Trust Agreement, in whole or in part, at such price or prices and at such times and in the manner as may be set forth in the related Series 2017 Certificate of Award and the related Series 2017 Supplemental Trust Agreement.

(e) Method and Notice of Redemption. If less than all of the outstanding Series 2017 Bonds of one maturity are to be called, the selection of such Series 2017 Bonds of such maturity to be called shall be made in the manner provided in the related Series 2017 Certificate of Award and the related Series 2017 Supplemental Trust Agreement. Notice of call for redemption of Series 2017 Bonds shall be given at the times and in the manner provided in the related Series 2017 Certificate of Award and the related Series 2017 Supplemental Trust Agreement.

(f) Place of Payment; Record Dates. Debt Service Charges on each series of the Series 2017 Bonds when due shall be payable to the registered holders thereof at the places and in the manner provided in the related Series 2017 Certificate of Award and the related Series 2017 Supplemental Trust Agreement. The Fiscal Officer may establish a

Regular Record Date and a Special Record Date for a series of the Series 2017 Bonds which shall be set forth in the related Series 2017 Certificate of Award.

(g) Paying Agent and Registrar. The Trustee shall serve as Paying Agent and Registrar for the Series 2017 Bonds.

(h) Payment. Debt Service Charges with respect to any series of the Series 2017 Bonds shall be payable in lawful money of the United States of America without deduction for the services of the Trustee or the Paying Agent, in the manner provided in the related Trust Agreement.

(i) Book Entry System. If so specified in a Series 2017 Certificate of Award, any or all of the related Series 2017 Bonds shall only be originally issued to a Depository for use in a book entry system and: (i) such Series 2017 Bonds shall be registered in the name of the Depository or its nominee, as Bondholder, and immobilized in the custody of the Depository; (ii) there shall be a single Series 2017 Bond representing each maturity; and (iii) such Series 2017 Bonds shall not be transferable or exchangeable, except for transfer to another Depository or another nominee of a Depository or to the Series 2017 Financial Institution in order to obtain payment of principal of Series 2017 Bonds in accordance with the Trust Agreement and in exchange for any Series 2017 Bonds so transferred without further action by the University. The Beneficial Owners shall not have any right to receive Series 2017 Bonds in the form of physical certificates.

So long as a book entry system is in effect for any of the Series 2017 Bonds, the University and Trustee shall recognize and treat the Depository, or its nominee, as the Holder of such Series 2017 Bonds for all purposes, including payment of Debt Service Charges, giving of notices, and enforcement of remedies. The crediting of payments of Debt Service Charges on such Series 2017 Bonds and the transmittal of notices and other communications by the Depository to Beneficial Owners are the responsibility of the Depository and are not the responsibility of the University or the Trustee; provided, however, that the University and the Trustee understand that neither the Depository or its nominee shall provide any consent requested of Holders of such Series 2017 Bonds pursuant to the Trust Agreement, and that the Depository will mail an omnibus proxy (including a list identifying the owners of the book entry interests in such Series 2017 Bonds) to the University which assigns the Depository's, or its nominee's, voting rights to the owners of the book entry interests in such Series 2017 Bonds (as credited to their accounts at the Depository as of the record date for mailing of requests for such consents). Upon receipt of such omnibus proxy, the University shall promptly provide such omnibus proxy (including the list identifying the owners of the book entry interests in such Series 2017 Bonds attached thereto) to the Trustee, who shall then treat such owners as Holders of such Series 2017 Bonds for purposes of obtaining any consents pursuant to the terms of the Trust Agreement.

As long as any of the Series 2017 Bonds are registered in the name of a Depository, or its nominee, the University and the Trustee agree to comply with the terms and provisions of their agreement with the Depository including the provisions thereof

with respect to any delivery of such Series 2017 Bonds to the Trustee which shall supersede the provisions of the Trust Agreement with respect thereto.

Notwithstanding any other provision of this Resolution or any provision of the General Bond Resolution, the Trust Agreement, any Series 2017 Supplemental Trust Agreement or any Series 2017 Bond to the contrary, with the approval of the Fiscal Officer, the Trustee may enter into an agreement with a Depository, or the nominee of a Depository, that is the registered owner of a Series 2017 Bond in the custody of that Depository providing for making all payments to that registered owner of principal of and interest and any premium on that Series 2017 Bond or any portion of that Series 2017 Bond (other than any payment of its entire unpaid principal amount) at a place and in a manner (including wire transfer of federal funds) other than as provided above in this Resolution, without prior presentation or surrender of that Series 2017 Bond, upon any conditions which shall be satisfactory to the Trustee and the Fiscal Officer. That payment in any event shall be made to the person who is the registered owner of that Series 2017 Bond on the date that principal and premium is due, or, with respect to the payment of interest, as of the applicable Regular Record Date or Special Record Date or other date agreed upon, as the case may be. The Trustee will furnish a copy of each of those agreements, certified to be correct by an officer of the Trustee, to other Authenticating Agents and Paying Agents for Series 2017 Bonds, if any, and to the University. Any payment of principal, premium, or interest pursuant to such an agreement shall constitute payment thereof pursuant to, and for all purposes of, this Resolution and Trust Agreement.

(j) Change of Depository and Replacement Series 2017 Bonds. If any Depository determines not to continue to act as a Depository for any Series 2017 Bonds for use in a book entry system, the University may attempt to have established a securities depository/book entry system relationship with another qualified Depository under the Trust Agreement. If the University does not or is unable to do so, the University and the Trustee, after the Trustee has made provision for notification of the owners of book entry interests in such Series 2017 Bonds by appropriate notice to the then Depository, shall permit withdrawal of such Series 2017 Bonds from the Depository, and authenticate and deliver Series 2017 Bond certificates in fully registered form to the assignees of the Depository or its nominee. If the event is not the result of University action or inaction, such withdrawal, authentication and delivery shall be at the cost and expense (including costs of printing or otherwise preparing, and delivering, such replacement Series 2017 Bonds), of those persons requesting that authentication and delivery unless University action or inaction shall have been the cause of the termination of the book entry system in which event such cost and expense shall be borne by the University. Such replacement Series 2017 Bonds shall be in Authorized Denominations.

(k) Tender Options. Each Holder and Beneficial Owner shall have the option to tender Series 2017 Bonds for purchase upon such terms as may be set forth in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement.

(l) Mandatory Tender. The Series 2017 Bonds may be subject to mandatory tender by the Holders and Beneficial Owners thereof for purchase upon such terms as

may be set forth in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement. The Series 2017 Certificate of Award may include provisions regarding whether any obligation on the part of the University to purchase Series 2017 Bonds from their Holders shall be treated for purposes of the third paragraph of Section 2 of the General Bond Resolution as the conclusion of the term of Series 2017 Bonds, and/or whether the University may exercise a right to purchase in lieu of redemption and continue the term of such Series 2017 Bonds.

(m) Remarketing of Series 2017 Bonds. Series 2017 Bonds which have been tendered for purchase may be remarketed by the Series 2017 Remarketing Agent in the manner set forth or provided for in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement.

Section 5. Sale of the Series 2017 Bonds; Series 2017 Certificate of Award. Each series of the Series 2017 Bonds shall be awarded and sold to the Original Purchaser at the price set forth in the related Series 2017 Certificate of Award; such price for any maturity of such Series 2017 Bonds shall be not less than 95% of the principal amount thereof, plus accrued interest on the aggregate principal amount of such Series 2017 Bonds from their dates to the date of delivery to and payment by the Original Purchaser for such Series 2017 Bonds, all in accordance with, and subject to the terms and conditions of, an Original Purchaser's proposal contained in a hereinafter described Series 2017 Bond Purchase Agreement. Such award and sale shall be evidenced by the execution of a Series 2017 Certificate of Award by the Fiscal Officer and by either the Chair of the Board or the Chair of the Resources Committee of the Board, setting forth such award and sale, the other matters to be set forth therein referred to in this Resolution, and such other matters as such officers determine are consistent with this Resolution, the Trust Agreement and the related Series 2017 Supplemental Trust Agreement. That the matters contained in a Series 2017 Certificate of Award are consistent with this Resolution, the Trust Agreement and the related Series 2017 Supplemental Trust Agreement shall be conclusively evidenced by the execution of such Series 2017 Certificate of Award by such officers. Each Series 2017 Certificate of Award shall be and hereby is incorporated into this Resolution and the related Series 2017 Supplemental Trust Agreement.

The Fiscal Officer is hereby further authorized and directed to execute and deliver, in the name and on behalf of the University, a bond purchase agreement with the Original Purchaser for a series of Series 2017 Bonds (a "Series 2017 Bond Purchase Agreement") upon such terms as approved by such officer not inconsistent with this Bond Legislation and not substantially adverse to the University. The approval of such officer, and that a Series 2017 Bond Purchase Agreement is consistent with this Resolution and not substantially adverse to the University, shall be conclusively evidenced by the execution of such Series 2017 Bond Purchase Agreement by such officer. Subject to receiving any necessary appointment by the attorney general of the State, the Fiscal Officer is hereby authorized to make arrangements with Peck, Shaffer & Williams, A Division of Dinsmore & Shohl LLP to serve as bond counsel for the Series 2017 Bonds, and such firm is hereby appointed to serve in such capacities.

The Fiscal Officer, and any other appropriate officer of the University, are each hereby separately authorized to make arrangements for the delivery of each series of the Series 2017 Bonds to, and payment therefor by, the related Original Purchaser. It is hereby determined that the prices for and the terms of the Series 2017 Bonds, and the sale thereof, all as provided in this Resolution, each Series 2017 Supplemental Trust Agreement and each Series 2017 Certificate of Award are in the best interest of the University and in compliance with all legal requirements.

Section 6. Allocation of Proceeds of Series 2017 Bonds. (a) All of the proceeds received by on behalf of the University from the sale of the Series 2017 Bonds shall be received and receipted for by the Fiscal Officer or the Trustee, and shall be deposited and allocated as follows:

(i) To the Debt Service Account of the Debt Service Fund, the portion of such proceeds representing accrued interest and any capitalized interest directed to be deposited in the Debt Service Account by the related Series 2017 Certificate of Award; and

(ii) To a Refunded Bonds Escrow Fund such amount as set forth in the related Series 2017 Certificate of Award as is necessary to provide for cash and the purchase of Refunded Bonds Defeasance Obligations sufficient to refund the related Refunded Bonds as set forth in the related Refunded Bonds Escrow Agreement; and

(iii) To the Series 2017 Projects Account which is hereby created as a separate deposit account within the Facilities Fund (except when invested as hereinafter provided) in the custody of the University or the Trustee or other entity, as the Fiscal Officer shall determine, such portion of such proceeds as may be specified in the related Series 2017 Certificate of Award.

(b) Any such capitalized interest may be deposited in a separate sub-account of the Debt Service Account of the Debt Service Fund as the Fiscal Officer may determine. Upon a determination by the Fiscal Officer that any portion of such amount designated to be used for capitalized interest is not needed for such purpose, such portion may be transferred to a Refunded Bonds Escrow Fund or the Series 2017 Projects Account as the Fiscal Officer may direct.

(c) Such proceeds are hereby appropriated for the purposes of the respective funds and accounts into which such proceeds are deposited.

(d) No provision shall be made for a Debt Service Reserve Account with respect to the Series 2017 Bonds, and there shall be no Required Reserve for the Series 2017 Bonds. The Series 2017 Bonds shall not be payable from, and the Series 2017 Bonds shall not be secured by, any moneys in or investments credited to the Debt Service Reserve Account, and therefore, Debt Service Charges on the Series 2017 Bonds shall not have access to or claims upon the Debt Service Reserve Account.

Section 7. Series 2017 Projects Account; Refunded Bonds Escrow Fund; Recordkeeping; Application of Moneys. A record of each deposit into and disbursement from the Series 2017 Projects Account and the Refunded Bonds Escrow Fund shall be made and maintained by the party having custody of such account.

Moneys in a Refunded Bonds Escrow Fund shall be applied to payment of the principal of, and interest and any redemption premium on, the related Refunded Bonds and invested, and any investment earnings credited, as provided in the related Refunded Bonds Escrow Agreement.

Moneys in the Series 2017 Projects Account shall be used to pay Costs of University Facilities related to the 2017 Projects, capitalized interest to a date as may be set forth in a Series 2017 Certificate of Award and any Costs of University Facilities associated with the issuance of the Series 2017 Bonds and the refunding of the Refunded Bonds to the extent not paid from moneys in a Refunded Bonds Escrow Fund, and shall be disbursed upon the written request of the Fiscal Officer on behalf of the University. The University covenants that it will proceed with due diligence to pay such costs and complete the 2017 Projects. Upon the final payment of such costs, the University shall deliver to the Trustee a certificate of the Fiscal Officer on behalf of the University stating that fact and setting forth the amount, if any, then remaining in the Series 2017 Projects Account which shall be transferred to the Debt Service Account of the Debt Service Fund pursuant to this Section.

Upon such certification, any moneys remaining in the Series 2017 Projects Account and certified pursuant to the preceding paragraph shall be transferred by the party having custody of such Account to the Debt Service Account of the Debt Service Fund as set forth in the immediately preceding paragraph.

Moneys in the Series 2017 Projects Account may be invested in any lawful University investments in amounts maturing not later than the times when such amounts in the Series 2017 Projects Account are required to pay any costs payable from such Fund. Any investment made by the Trustee shall be at the written or oral (and, if oral, promptly confirmed in writing) direction of the Fiscal Officer. The term “lawful University investments” shall mean those investments made in accordance with the *Statement of Objectives and Policies for Non-Endowment Invested Funds*, approved by the Board on September 21, 2005, as the same may be amended or supplemented from time to time. Such investments may include qualifying money market mutual funds for which the Trustee or any of its affiliates provide services for a fee, whether as an investment advisor, custodian, transfer agent, registrar, sponsor, distributor, manager or otherwise.

Any investment of moneys in the Series 2017 Projects Account shall constitute a part of the Series 2017 Projects Account and the Series 2017 Projects Account shall be credited with all proceeds of sale, and gain or loss, from such investment. Interest earnings on moneys in the Series 2017 Projects Account shall be credited when received to the Series 2017 Projects Account. For investment purposes only, moneys in the Series 2017 Projects Account may be commingled with moneys from one or more funds held by

the Trustee pursuant to the Trust Agreement; provided that separate records are maintained for each such fund, the investments made therefrom, and the interest earnings credited thereto.

Section 8. Series 2017 Supplemental Trust Agreement; Refunded Bonds Escrow Agreement. The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, a Series 2017 Supplemental Trust Agreement pursuant to the Trust Agreement in connection with the issuance of each series of the Series 2017 Bonds and, if applicable, a related Refunded Bonds Escrow Agreement, in such forms not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer or officers executing the same on behalf of the University. The approval of such forms by the Board and such officer or officers, and the fact that such forms are not substantially adverse to the University, shall be conclusively evidenced by the execution of each Series 2017 Supplemental Trust Agreement and Refunded Bonds Escrow Agreement by such officer or officers.

Consistent with Section 8.02 of the Original Trust Agreement, the University and the Trustee, without the consent of or notice to any of the Bondholders, may enter into agreements supplemental to the Trust Agreement and the Series 2017 Supplemental Trust Agreements to the extent necessary or desirable to permit (i) the transfer of Series 2017 Bonds from one Depository to another, and the succession of Depositories or (ii) the withdrawal of Series 2017 Bonds from a Depository in connection with a book entry system and the issuance of Series 2017 Bonds or of replacement Series 2017 Bonds in fully registered form to others than a Depository.

The Chairman of the Board, the Chair of the Resources Committee of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer are each separately authorized to execute and deliver, on behalf of the University, such other certificates, documents and instruments as are necessary in connection with the transactions authorized in this Resolution, and to do all other things required of them or the University pursuant to the Trust Agreement, this Resolution and any Refunded Bonds Escrow Agreement.

The appropriate officers of the University shall do all things necessary or proper to implement and carry out the orders and agreements set forth in or approved in this Resolution for the proper fulfillment of the purposes of the General Bond Resolution and this Resolution. The Secretary of the Board shall furnish to the Original Purchaser a true and certified transcript of all proceedings taken with reference to the authorization and issuance of the Series 2017 Bonds along with other information as is necessary or proper with respect to the Series 2017 Bonds.

The Refunded Bonds shall be and hereby are ordered called for optional redemption according to their terms on the first optional redemption date following the issuance of the related Series 2017 Bonds at the redemption prices set forth therein. The Fiscal Officer and other appropriate officers and employees of the University are each

hereby separately authorized to engage a firm of certified public accountants to verify the sufficiency of the moneys and investments in a Refunded Bonds Escrow Fund and to subscribe for and purchase such United States Treasury obligations, including such obligations of the State and Local Government Series, as shall be required by such Refunded Bonds Escrow Agreement, and to pay for the services of such accountants and for such obligations with the proceeds of the related Series 2017 Bonds, and any such actions heretofore taken by such officers or the Original Purchaser of the related Series 2017 Bonds or bond counsel in connection with such subscription and purchase are hereby approved, ratified and confirmed.

Section 9. Tax Matters. The University hereby covenants that it will not take any action, or fail to take any action, if any such action or failure to take action would adversely affect the exclusion from gross income of the interest on the Tax-Exempt Series 2017 Bonds under Section 103(a) of the Code. Without limiting the generality of the foregoing, the University hereby covenants as follows:

(a) The University will not directly or indirectly use or permit the use of any proceeds of the Tax-Exempt Series 2017 Bonds or any other funds of the University, or take or omit to take any action that would cause the Tax-Exempt Series 2017 Bonds to be “arbitrage bonds” within the meaning of Sections 103(b)(2) and 148 of the Code. To that end, the University will comply with all requirements of Sections 103(b)(2) and 148 of the Code to the extent applicable to the Tax-Exempt Series 2017 Bonds. In the event that at any time the University is of the opinion that for purposes of this sub-section (a) it is necessary to restrict or limit the yield on the investment of any moneys held by the Trustee under the Trust Agreement, the Fiscal Officer shall so instruct the Trustee in writing, and the Trustee shall take such action as may be necessary in accordance with such instructions. The Fiscal Officer, or any other officer having responsibility with respect to the issuance of the Tax-Exempt Series 2017 Bonds, is authorized and directed to give an appropriate certificate on behalf of the University, on the date of delivery of the Tax-Exempt Series 2017 Bonds for inclusion in the transcript of proceedings, setting forth the facts, estimates and circumstances and reasonable expectations pertaining to the use of the proceeds thereof and the provisions of such Sections 103(b)(2) and 148, and to execute and deliver on behalf of the University an IRS Form 8038G in connection with the issuance of the Tax-Exempt Series 2017 Bonds.

Without limiting the generality of the foregoing, the University agrees that there shall be paid from time to time all amounts required to be rebated to the United States pursuant to Section 148(f) of the Code. This covenant shall survive payment in full or defeasance of the Tax-Exempt Series 2017 Bonds. The University specifically covenants to pay or cause to be paid to the United States at the times and in the amounts determined under Section 10 hereof the Rebate Amounts, as described in the Federal Tax Documents. The Trustee agrees to perform all tasks required of it in the Federal Tax Documents.

Notwithstanding any provision of this sub-section (a), if the University shall provide to the Trustee an opinion of nationally recognized bond counsel to the effect that any action required under this Section and Section 10 of this Resolution is no longer

required, or to the effect that some further action is required, to maintain the exclusion from gross income of the interest on the Tax-Exempt Series 2017 Bonds pursuant to Section 103(a) of the Code, the University and the Trustee may rely conclusively on such opinion in complying with the provisions hereof.

(b) So long as any of the Tax-Exempt Series 2017 Bonds, or any obligations issued to refund the Tax-Exempt Series 2017 Bonds, remain unpaid, the University will not operate or use, or permit the operation or use of, the 2017 Projects, the improvements financed with the Refunded Bonds, or any part thereof in any trade or business carried on by any person within the meaning of the Code which would (i) cause the Tax-Exempt Series 2017 Bonds to be “private activity bonds” within the meaning of Section 141 of the Code, and (ii) result in the interest payable on the Tax-Exempt Series 2017 Bonds to be not exempt from federal income taxation under the Code.

#### Section 10. Rebate Fund.

(a) There has previously been created and ordered maintained in the custody of the Trustee (except when invested as herein provided), the Rebate Fund, which shall not constitute a Special Fund or Account securing the Series 2017 Bonds or other Obligations. There shall be deposited in the Rebate Fund such amounts as are required to be deposited therein pursuant to the Federal Tax Documents. Subject to the transfer provisions provided in paragraph (d) below, all money at any time deposited in the Rebate Fund shall be held by the Trustee in trust, to the extent required to satisfy the Rebate Amount (as defined in the Federal Tax Documents), for payment to the United States of America, and neither the University nor the owner of any Bonds shall have any rights in or claim to such money. All amounts deposited into or on deposit in the Rebate Fund shall be governed by this Section, by Section 9 of this Resolution and by the Federal Tax Documents (which is incorporated herein by reference).

(b) The Trustee shall have no obligations to rebate any amounts required to be rebated pursuant to this Section, other than from moneys held in the funds created under the Trust Agreement or from other moneys provided to it by the University upon its request for said moneys from the University as set forth in the Federal Tax Documents.

(c) The Trustee shall, at the direction of the University, invest amounts held in the Rebate Fund and deposit all earnings on such amounts as provided in the Federal Tax Documents.

(d) The Trustee shall remit moneys in the Rebate Fund to the United States, as directed in the Federal Tax Documents. Any funds remaining in the Rebate Fund after redemption and payment of all of the Bonds and payment and satisfaction of any Rebate Amount, or provision made therefor satisfactory to the Trustee shall be withdrawn and remitted to the University.

(e) Notwithstanding any other provision of this Resolution or the Trust Agreement, the obligation to remit the Rebate Amounts to the United States and to

comply with all other requirements of this Section, Section 9 of this Resolution and the Federal Tax Documents shall survive the defeasance or payment in full of the Bonds.

Section 11. Official Statement. The Fiscal Officer is hereby authorized to execute and deliver preliminary and final official statements on behalf of the University for any or all series of the Series 2017 Bonds, in such forms as such officer may approve, and to deem such official statements to be “final” for purposes of Securities and Exchange Commission Rule 15c2-12, such officer’s execution thereof on behalf of the University to be conclusive evidence of such authorization, approval and deeming, and copies thereof are hereby authorized to be prepared and furnished to the Original Purchaser for distribution to prospective purchasers of the Series 2017 Bonds and other interested persons.

The Fiscal Officer on behalf of the University is hereby authorized to execute and deliver continuing disclosure certificates or agreements dated as set forth in a Series 2017 Certificate of Award (a “Continuing Disclosure Certificate”) in connection with the issuance of the related Series 2017 Bonds in such forms as such officer may approve. The University hereby covenants and agrees that it will execute, comply with and carry out all of the provisions of each Continuing Disclosure Certificate. Failure to comply with any such provisions of a Continuing Disclosure Certificate shall not constitute a default on the Series 2017 Bonds; however, any holder or owner of the Series 2017 Bonds may take such action as may be necessary and appropriate, including seeking specific performance, to cause the University to comply with its obligations under this paragraph and such Continuing Disclosure Certificate.

The Fiscal Officer on behalf of the University is hereby authorized to furnish such information, to execute such instruments and to take such other actions in cooperation with the Original Purchaser as may be reasonably requested to qualify the Series 2017 Bonds for offer and sale under the Blue Sky or other securities laws and regulations and to determine their eligibility for investment under the laws and regulations of such states and other jurisdictions of the United States of America as may be designated by the Original Purchaser; provided however, that the University shall not be required to register as a dealer or broker in any such state or jurisdiction or become subject to the service of process in any jurisdiction in which the University is not now subject to such service.

Section 12. Series 2017 Credit Support Instrument and Interest Rate Hedges.  
(a) The Fiscal Officer is hereby authorized, but shall not be required, to establish or apply for one or more Series 2017 Credit Support Instruments which may, but need not, include self-liquidity or the obligation of the University to purchase Series 2017 Bonds in lieu of redemption. The Fiscal Officer is hereby authorized to select one or more Financial Institutions having qualifications and duties as may be set forth in a Series 2017 Certificate of Award and a Series 2017 Supplemental Trust Agreement to serve as a Series 2017 Financial Institution and to provide a Series 2017 Credit Support Instrument, and to accept the commitment of a Series 2017 Financial Institution therefor, and the payment of the fees, premiums and expenses relating to any Series 2017 Credit Support Instrument from sources as may be described in the related Series 2017 Certificate of Award and the related Series 2017 Supplemental Trust Agreement is hereby authorized.

The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, a reimbursement agreement or other agreement with each Series 2017 Financial Institution providing for the payment of the fees and expenses of such Series 2017 Financial Institution and the reimbursement, and security for the reimbursement, of such Series 2017 Financial Institution for advances made pursuant to any Series 2017 Credit Support Instrument, in such form as may be permitted by the Act and approved by the officer or officers executing the same on behalf of the University. The approval of such form by the Board and such officer or officers shall be conclusively evidenced by the execution of such agreement by such officer or officers.

(b) The Fiscal Officer is hereby authorized to (i) apply for one or more Interest Rate Hedges with respect to all or a portion of the Series 2017 Bonds, (ii) select a provider of such Interest Rate Hedge by negotiation or by a bidding process, based on the Fiscal Officer's best judgment as to which approach best serves the interest of the University, and (iii) accept the commitment of such provider therefor. The Fiscal Officer is authorized to retain such consultants and professional advisors as the Fiscal Officer deems necessary to accomplish the Interest Rate Hedge in the manner most beneficial to the University, and if a negotiated process is to be used, to select the counterparty and to approve the market-based terms for such Interest Rate Hedge. The payment of the fees and expenses of such consultants and advisors or otherwise related to any Interest Rate Hedge from the moneys in the Series 2017 Projects Account, or other sources described in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement is hereby authorized.

Any Interest Rate Hedge may be secured by a pledge of the General Receipts, either on a parity basis with the outstanding Obligations payable from the same sources as the Series 2017 Bonds, or on a subordinated basis payable as provided in the documentation for the Interest Rate Hedge (the "Hedge Documents"). The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, any Hedge Documents, in such form as may be permitted by the Act and approved by the officer or officers executing the same on behalf of the University. The approval of such form by the Board and such officer or officers shall be conclusively evidenced by the execution of such Hedge Documents by such officer or officers.

Consistent with Sections 8.02 and 10.02 of the Original Trust Agreement, the University and the Trustee, without the consent of or notice to any of the Bondholders but with the consent of any applicable Financial Institutions, may enter into agreements supplemental or amendatory to the Trust Agreement and the Series 2017 Supplemental Trust Agreement to the extent necessary or desirable to permit an Interest Rate Hedge to take place upon terms acceptable to the University, particularly with respect to how the amounts to be paid by the University pursuant to the Hedge Documents are to be treated for calculating annual amounts payable on the Obligations. Any Authorized Officer is hereby authorized and directed, in the name and on behalf of the University, and as its

corporate act and deed, to negotiate, execute and deliver amendments or supplements to the Trust Agreement and the Series 2017 Supplemental Trust Agreement determined by the Authorized Officer to be necessary and appropriate to accomplish any Interest Rate Hedge in such forms not substantially adverse to the University as may be permitted by the Act and approved by the Authorized Officer executing the same on behalf of the University. The approval of such forms by the Board and such officer or officers, and the fact that such forms are not substantially adverse to the University, shall be conclusively evidenced by the execution of such amendments or supplements by such Authorized Officer.

Section 13. Series 2017 Remarketing Agent. The Fiscal Officer is hereby authorized to select a Remarketing Agent having qualifications and duties as set forth in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement to serve as the Series 2017 Remarketing Agent for the Series 2017 Bonds, and the payment of the fees and expenses relating to the remarketing of the Series 2017 Bonds from sources described in the Series 2017 Certificate of Award and the Series 2017 Supplemental Trust Agreement is hereby authorized. The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, an agreement with the Series 2017 Remarketing Agent providing for its services and the payment of the fees and expenses of the Series 2017 Remarketing Agent, in such form as may be permitted by the Act and approved by the officer or officers executing the same on behalf of the University. The approval of such form by the Board and such officer or officers shall be conclusively evidenced by the execution of such agreement by such officer or officers.

Section 14. Temporary Series 2017 Bonds. Pending the preparation of definitive Series 2017 Bonds the University may execute and the Trustee shall authenticate and deliver temporary Series 2017 Bonds in printed or typewritten form. Temporary Series 2017 Bonds shall be issuable in fully registered form, of any denomination, and substantially in the form of the definitive Series 2017 Bonds but with such omissions, insertions and variations as may be appropriate for temporary Series 2017 Bonds, all as may be determined by the Fiscal Officer. Every temporary Series 2017 Bond shall be executed on behalf of the University, and be authenticated by the Trustee upon the same conditions and in substantially the same manner, and with like effect, as the definitive Series 2017 Bonds. If one or more temporary Series 2017 Bonds are issued, then without unnecessary delay the University shall execute and furnish to the Trustee in exchange therefor without charge, and the Trustee shall authenticate and deliver in exchange for such temporary Series 2017 Bonds an equal aggregate principal amount of definitive Series 2017 Bonds. Until so exchanged the temporary Series 2017 Bonds shall be entitled to the same benefits under the Trust Agreement as definitive Series 2017 Bonds.

Section 15. Prior Actions Approved. All actions hereto taken by officers and employees of the Board and the University in connection with the approval, authorization, sale, execution, delivery and issuance of the Prior Obligations or the security therefor, or any Interest Rate Hedge or Credit Support Instrument related thereto or to the Series 2017 Bonds, are hereby approved, ratified and confirmed.

Section 16. Additional Special Funds and Accounts. The Fiscal Officer is hereby authorized to create such additional Special Funds and Special Accounts in connection with the Series 2017 Bonds and the security therefor and the remarketing thereof as the Fiscal Officer deems necessary. Any such Special Funds and Accounts and the permitted investment thereof shall be described in a Series 2017 Certificate of Award.

Section 17. Relationship of this Resolution to General Bond Resolution. It is understood and acknowledged by the University that the Series 2017 Bonds are being issued pursuant to the terms of the General Bond Resolution, as amended and supplemented by the terms of this Resolution; that the Series 2017 Bonds are subject to all of the terms and conditions of the General Bond Resolution, as amended, except as otherwise provided herein; and that all of the terms, conditions, covenants and warranties contained in the General Bond Resolution, as amended, except as otherwise provided herein, shall apply with like force and effect to the Series 2017 Bonds as if originally made in connection therewith. The General Bond Resolution and the Trust Agreement, as amended and supplemented to date including by this Resolution, and the Obligations issued to date thereunder, including the Prior Obligations, are hereby approved, ratified and confirmed.

Section 18. General. This Resolution is adopted pursuant to the General Bond Resolution and the Trust Agreement. The appropriate officers of the University shall do all things necessary and proper to implement and carry out the orders and agreements set forth in or approved in the General Bond Resolution and this Resolution for the proper fulfillment of the purposes thereof. Without limiting the generality of the foregoing, the Fiscal Officer and other appropriate officers of the University are hereby authorized to apply to the Chancellor of the Ohio Board of Regents for any required approvals with respect to the 2017 Projects or the Series 2017 Bonds. Should all the Series 2017 Projects or the Series 2017 Bonds not receive such approvals by the time the Series 2017 Bonds to fund the 2017 Projects are sold, the Series related 2017 Certificate of Award shall set forth the 2017 Projects and the amount of such Series 2017 Bonds that have received such approvals. Thereupon, such Series 2017 Bonds shall be issued in a principal amount not exceeding the amount approved by the Chancellor of the Ohio Board of Regents and the 2017 Projects shall include only the projects approved by the Chancellor of the Ohio Board of Regents.

Section 19. Inconsistencies. All orders, resolutions and other official actions, or parts thereof, inconsistent herewith or with the documents hereby authorized, approved, ratified or confirmed are hereby repealed, but only to the extent of such inconsistency. This Resolution shall not be construed as otherwise revising any order, resolution or other official action, or part thereof.

Section 20. Open Meeting Determination. It is found and determined that all formal actions of the Board concerning and relating to the adoption of this Resolution were adopted in an open meeting of the Board, and that all deliberations of the Board and of any of its committees that resulted in such formal actions were in meetings open to the public, in compliance with all legal requirements, including Section 121.22 of the Revised Code of Ohio.

Section 21. Effective Date. This Resolution shall take effect and be in force immediately upon its adoption.

Adopted: August 25, 2016

Trustee Scholl moved for approval of the Debt Financing Resolution (Tab 10). Trustee King seconded. Chair Wolfort called for a vote. With all in favor, the resolution passed.

**APPROVAL OF THE OHIO UNIVERSITY FY2017–FY2022  
SIX YEAR CAPITAL IMPROVEMENT PLAN**

**RESOLUTION 2016 - 3584**

**WHEREAS**, the University’s Capital Planning Team has undertaken the update of the University’s six-year capital improvement plan within a comprehensive campus context, and

**WHEREAS**, this FY2017-FY2022 Six Year Capital Improvement Plan is an update to the Board of Trustees approved FY2015-FY2020 Six Year Capital Improvement Plan and embodies the concepts incorporated with in it, and

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

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

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

**WHEREAS**, the FY2017–FY2022 Six Year Capital Improvement Plan has been approved by the President.

**NOW THEREFORE, BE IT RESOLVED** that the Ohio University Board of Trustees does hereby approve the attached FY2017–FY2022 Six Year Capital Improvement Plan.

Trustee Scholl presented the 6-Year Capital Improvement Plan Resolution, though he noted the Board asks for flexibility for future adjustments of the resolution. Trustee Scholl moved for approval of the 6-Year Capital Improvement Plan Resolution. Trustee Simmons seconded. With all in favor, the resolution passed.

**APPROVAL OF THE OHIO UNIVERSITY  
FY17 CAPITAL BUDGET**

**RESOLUTION 2016 - 3585**

**WHEREAS**, the University has undertaken the development of a FY17 Capital Budget, and

**WHEREAS**, this FY17 Capital Budget has been developed in the context of the FY2017-FY2022 Six Year Capital Improvement Plan, to be approved by the Board of Trustees during their August 25, 2016 meeting, and embodies the concepts incorporated within it, and

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

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

**WHEREAS**, the FY17 Capital Budget has been approved by the President.

**NOW THEREFORE, BE IT RESOLVED** that the Ohio University Board of Trustees does hereby approve the attached FY17 Capital Budget.

Trustee Scholl moved for approval of the FY2017 Budget Approval Resolution. Trustee Simmons seconded. Chair Wolfort called for a vote. With all in favor, the resolution passed.

Trustee Scholl added that VPFA Shaffer told the committee that the easements would reappear in an upcoming meeting.

President McDavis said that the resolutions approved today were landmark decisions by the board to make a transformative difference in OHIO's future. He thanked the Board for making the tough decisions to make OHIO the best transformative learning community in the world.

Chair Wolfort said that the Joint Committee heard about the 6-year CIP, Century Bond, and the Park Place Corridor.

Chair Wolfort commented that a number of the internal publications that had been made by planners for the Board would be great to send to past board members and gubernatorial appointments to highlight the great work going forward at Ohio University that their past service and support helped to make happen.

Chair Wolfort said that the Executive Committee considered faculty/staff benefits, and a property for sale.

CONSENT AGENDA

**APPROVAL TO PROCEED WITH DESIGN THROUGH CONTRACT  
ADMINISTRATION FOR THE  
CLIPPINGER HALL RENOVATION,  
EAST GREEN BUILDING BASED DOMESTIC HOT WATER,  
GAMERTSFELDER HALL LOBBY RENOVATIONS,  
JAMES HALL HEATING AND WINDOW UPGRADES,  
SCOTT QUAD WINDOW REPLACEMENTS,  
WASHINGTON HALL DOMESTIC WATER AND RESTROOM UPGRADES**

**RESOLUTION 2016 - 3586**

**WHEREAS**, for the Clippinger Hall Renovation project, University administration requests approval for the total project budget of \$42,600,000 and seeks approval for authorized expenditures of \$4,300,000 to undertake design through contract administration to be funded by State Appropriations (\$10,000,000), Future Debt Issued (\$18,000,000), Century Bonds (\$14,600,000);

**WHEREAS**, for the East Green Building Based Hot Water project, University administration requests approval for the total project budget of \$1,600,000 and seeks approval for authorized expenditures of \$250,000 to undertake design through contract administration to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the Gamertsfelder Hall Lobby Renovations project, University administration requests approval for the total project budget of \$827,000 and seeks approval for authorized expenditures of \$101,400 to undertake design through contract administration to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the James Hall Heating and Window Upgrades project, University administration requests approval for the total project budget of \$2,000,000 and seeks approval for authorized expenditures of \$333,600 to undertake design through contract administration to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the Scott Quad Window Replacements project, University administration requests approval for the total project budget of \$900,000 and seeks approval for authorized expenditures of \$102,750 to undertake design through contract administration to be funded by Housing and Residence Life Reserves (\$675,000) and Century Bonds (\$225,000);

**WHEREAS**, for the Washington Hall Domestic Water and Restroom Upgrade project, University administration requests approval for the total project budget of \$3,200,000 and seeks approval for authorized expenditures of \$350,500 to undertake design through contract administration to be funded by Housing and Residence Life 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.

**APPROVAL TO PROCEED WITH CONSTRUCTION FOR THE OUC  
BENNETT HALL ELECTRICAL UPGRADE PHASE I – CONSTRUCTION  
PHASE AND BUDGET AMENDMENT,  
OUC BENNETT HALL ELECTRICAL UPGRADE PHASE II – DESIGN  
THROUGH CONSTRUCTION PHASES,  
OUHCOM DUBLIN MEB2 ROOM 100 RENOVATION/BUILDOUT – DESIGN  
THROUGH CONSTRUCTION PHASES,  
PERMANENT CAMPUS BOILERS –  
SITE PLAN APPROVAL AND CONSTRUCTION PHASE,  
RESIDENTIAL HOUSING ACCESS CONTROL PHASE IV –  
DESIGN THROUGH CONSTRUCTION PHASES**

**RESOLUTION 2016 - 3587**

**WHEREAS**, for the OUC Bennett Hall Electrical Upgrade Phase I project, the Board of Trustees previously approved a total project budget and authorized expenditures of \$950,000 (2015-3468), and University administration seeks to amend the total project budget and authorized expenditure amount by an additional \$181,300 for a new total budget and total authorized expenditure amount of \$1,131,300 to undertake construction and complete the project to be funded by State Appropriations;

**WHEREAS**, for the OUC Bennett Hall Phase II project, University Administration requests approval for the total project budget and authorized expenditures of \$768,700 to undertake construction and complete the project to be funded by State Appropriations;

**WHEREAS**, for the OUHCOM Dublin MEB2 Room 100 Renovation/Buildout project, University Administration requests approval for the total project budget and authorized expenditures of \$650,000 to undertake construction and complete the project to be funded by OUHCOM Reserves (\$350,000) and University Advancement Reserves (\$300,000);

**WHEREAS**, for the Permanent Campus Boilers project, the Board of Trustees previously approved a total project budget of \$15,000,000 (2015-3505) and authorized expenditures of \$5,750,000 (2015-3468 & 2015-3505), and University administration seeks to increase the previously authorized expenditure amount of \$5,750,000 by an additional \$9,250,000 for total authorized expenditures of \$15,000,000 to undertake construction and complete the project to be funded by the Energy Infrastructure Project Initiative;

**WHEREAS**, for the Residential Housing Access Control Phase IV project, University administration requests approval for the total project budget and authorized expenditures of \$1,000,000 to undertake construction and complete the project to be funded by Housing and Residence Life 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.

**RESOLUTION TO APPROVE EASEMENT FOR  
CONSTRUCTION OF ELECTRIC FACILITIES**

**RESOLUTION 2016 - 3588**

**WHEREAS**, the University's Southern campus has asked American Electric Power (AEP) to construct and upgrade electric facilities serving the Ohio Horse Park, which will accommodate new electric loads in the horse barn; and

**WHEREAS**, this construction and related improvements to the Horse Park are in the interest of the University and the surrounding community;

**NOW THEREFORE, BE IT RESOLVED**, that the Board of Trustees hereby approves the granting of an easement to AEP or its affiliate to allow for construction and maintenance of electric lines and related equipment in the area depicted in the attached map, 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 easement and related documents in accordance with Ohio law.

Chair Wolfort asked for motion to approve the consent agenda. Trustee Scholl moved. Trustee Goodman seconded. With all in favor, the motion passed.

There was no unfinished business.

There was no new business.

Chair Wolfort asked if there were any memorials or matrimonial plans to announce. President McDavis and Chair Wolfort then congratulated Trustee Simmons on her upcoming marriage. She thanked everyone for their congratulations, and said that two great things had happened in 2016: There had been a Cleveland sports championship (Cleveland Cavaliers), and she was getting married. The Board presented Trustee Simmons with a gift basket.

Chair Wolfort reminded the Board and audience of the upcoming Presidential Search Open Forum on August 30, 2016, where the public was invited to bring their suggestions for leadership qualities they would like to see in the next Ohio University President.

Finally, Chair Wolfort thanked the Dublin campus for hosting the Board, and Secretary Moore announced that the next meeting of the Board of Trustees would be October 20-21, 2016, on the Athens Campus.

Chair Wolfort adjourned the Main Meeting of the Ohio University Board of Trustees at 4:52pm.

## APPENDIX



**Ohio University Board of Trustees  
Joint Academics and Resources Committee  
August 25, 2016, Thursday  
Dublin Integrated Education Center, Dublin OH**

**Present:** Chair David A. Wolfort, Vice Chair Janetta King, Trustees Cary R. Cooper, N. Victor Goodman, Kevin B. Lake, Dave Scholl, Janelle N. Simmons, Diane Smullen, Peggy Viehweger, National Trustees Laura Brege and David W. Pidwell, Student Trustees Brooke Mauro and Patrick J. Roden, Alumni Representative Ron Teplitzky, Secretary David Richard Moore, President Roderick McDavis.

Chair Wolfort opened the meeting of the Joint Committee at 10:01am.

Chair Wolfort introduced new National Trustee Dianne Smullen, new Alumni Representative Ronald Teplitzky, and new Faculty Representative Susan Williams.

### **Affordability and Efficiency Implementation Plan**

Vice President for Finance and Administration (VPFA) Deb Shaffer and Executive Vice President and Provost (EVPP) Pam Benoit updated the Board on the Affordability and Efficiency Implementation Plan, a draft of which was sent to the Governor on August 1, 2016 in draft format, pending Board approval. The Implementation Plan will center on administrative cost reform, textbook affordability, reduction of time to degree, reduction of duplicative programs, and the possibility of co-located campuses.

VPFA Shaffer provided an update on the 5-year goals for Master Plan savings. She stated that the numbers in the report do not represent “checks in the bank,” but projected savings over the next five years based on current investment and budgeting. She noted that under the asset review section, the energy savings reported represent the projected water savings due to the Lausche Heating Plant upgrades. Associate Vice President of Facilities Joe Lalley said that repairs to stop water leaks would account for some of the savings, and said that the university is registering of energy rebates, which were, he said, essentially the industrial equivalent of consumer energy rebates.

Chair Wolfort asked if any of the projected saving take into account the sustainability efforts already made to date. VPFA Shaffer said that they had not yet determined how to capture those past metrics. Vice Chair King asked if it was a possibility to do a post-implementation inventory of energy savings, to which VPFA Shaffer said that they had

not sorted out what past metrics they should use to accurately determine the energy savings.

VPFA Shaffer reported on credit-hour savings, in which Ohio University offers a fixed-rate per credit hour starting at 12 credit hours, as opposed to the fixed rate that begins at 15 credit hours at many other institutions. She said that approximately 90 percent of Ohio University students make use of these savings.

VPFA Shaffer reported that, over five years, the multi-year budget would be \$2 million dollars in excess of Board goals, and that Finance and Administration would continue to evaluate whether or not Ohio University would be able to continue to afford the plan. Chair Wolfort asked that VPFA Shaffer add a line item on the chart that showed that Ohio University surpassed its \$200 million goal by \$60 million dollars.

Trustee Scholl asked if Ohio University was telling the government that the \$60 million surplus would occur, to which President McDavis replied “yes.” Trustee Scholl asked when the report was due to the Governor, to which VPFA Shaffer replied that the implementation strategy was due on August 1, 2016, and said that Ohio University had submitted the document in draft format, pending Board approval. President McDavis noted that VPFA Shaffer had been trying to collect information from other higher education peers, but that the information had not been forthcoming.

Trustee Viehweger asked if Ohio University was submitting the enhanced information to the State, and if that meant that the University was committing to going ahead with the specific, proposed reductions. VPFA Shaffer stated that the document was not a commitment, and that the entire document was predicated on the University’s ability to afford it. She added that the administration had made it very clear to the State that Ohio University’s ability to implement the plan would be directly linked to earned revenue and any further future State budget cuts to higher education.

Chair Wolfort said that he felt it would be important to highlight in the plan that Ohio University is being an excellent steward, financially, and would be deserving of a greater percentage of government financial distributions. VPFA Shaffer said that Finance and Administration had suggested as much, and added that many other institutions had not been able to meet the challenge’s goals.

EVPP Benoit responded that it was important to note that some higher education programs are better than others, and that schools frequently come to Ohio University for collaboration.

EVPP Benoit discussed the next steps. She reported that Ohio University could not be certain what to expect from the state, but stated that there will be a government review, and that Ohio University can choose how and in what areas to execute implementation of the Affordability and Efficiency goals. She stated that, once the strategy was implemented, the Provost’s Office and the Finance and Administration office would provide updates to the Board of Trustees on an annual basis. EVPP Benoit then presented the Implementation Strategy that she and VPFA Shaffer would be asking the Board to approve.

## **Six Year Capital Improvement Plan**

VPFA Shaffer introduced University Planner Shawna Bolin, who presented an update on the Capital Improvement Plan (CIP) 2017-2022, stating that she wished to provide more details regarding the thinking that went into the plan. She said that the CIP was a robust, engaging, complicated thing to put together, and, as a result, completing the plans had been delayed.

She reported that the comprehensive process takes into consideration deferred maintenance priorities and programmatic priorities. She noted the extensive collaboration that had been required to put together the plan, which focuses on the following functional area priorities, which have been organized into high level “buckets”:

1. Seigfred Hall, Ellis Hall, and Clippinger Laboratories, which require both academic and programmatic renewal.
2. Deferred Maintenance
3. University Initiatives, such as making the campus more user-friendly
4. Utility System Upgrades
5. Regional Campuses
6. Auxiliaries, like the dining halls and airport
7. The Office of Instructional Technology
8. Student Affairs and Residential Housing

UP Bolin reported that the Ohio University Heritage College of Osteopathic Medicine (HCOM), which is currently located in an old dormitory, needs more space for its expanding medical education programs. She said that the CIP proposes that HCOM facilities could be built utilizing the West Union Street corridor. She also noted that the Russ College of Engineering currently has limited space for research, and that it has been renting space from the city for its faculty research.

UP Bolin reported that surplus funds from a previous construction project could be repurposed for programmatic investments, like a classroom sandbox, Seigfred Hall, C Suite space, and Phase one of the Alden Library renovation. Trustee Scholl asked if those funds had been part of state re-appropriations, to which Ms. Bolin replied yes.

Regarding energy infrastructure projects, UP Bolin said that the planning team had to re-strategize after finding a significant need for repair and renovation in unexpected areas.

UP Bolin also went over the development of deferred maintenance prioritization, relaying that, over time, \$60 million in Century Bonds and \$22 million in projected state appropriations would be used for critical repair and renovation. She reported that \$2.5 million in previously reserved emergency funds would be used by Facilities to patch “must-do” repair work.

VPFA Shaffer added that a “herculean effort” went into the presentation, and pointed out that it showed both what Ohio University is doing and not doing, and lays out the trade-offs that have been made, as well as the savings involved. VPFA Shaffer also noted that depreciation will go up each year as Ohio University brings new buildings online.

Chair Wolfort stated that the Board would like to have a way to know when and how capital expenditures, deferred maintenance, and depreciation would balance. VPFA Shaffer said that her department was working on a model that would show how Ohio University will be paying down debt over time. Chair Wolfort asked about how Ohio University might show that balanced intersection in Board materials, and how people might rate the university financially as a result. VPFA Shaffer announced that the university now had enough metrics and data to be able to estimate the time to balance, and noted that her team was already thinking ahead to try to foretell the kind of metrics that might be needed in the future. UP Bolin added that planners are looking at developing metrics that will allow Ohio University to renovate before deferred maintenance is needed on specific infrastructure. Trustee Scholl asked if planners and Finance and Administration are, based on accounting of all the individual strategic priorities versus financial realities, comfortable with how the university is presenting the ability to repay the Century Bond loans. VPFA Shaffer said that while they are currently not entirely sure, they would be evaluating the 5-10-year budget to take these matters into consideration. She said she felt that the Heritage College's budgeting schedule, in which Ohio University has measured and exceeded goals for repayment, is a good example of what other funding strategies should look like.

EVPP Benoit added that those kinds of questions and evaluations often help start a conversation about what kind of buildings the University can build based on the scope and projected repayment abilities. She said that such conversations had helped to develop the plans that she, VPFA Shaffer and UP Bolin were currently presenting. Trustee Scholl said that he felt the Heritage College example was an excellent one, and that he would like to see the example laid out visually, so that Ohio University could show the State its already-established commitment to accountability. Chair Wolfort agreed with Trustee Scholl, and added that it would be confidence-building for the State to see successes prior to voting on new funding. VPFA Shaffer responded that Trustee Scholl's suggestion was great feedback, and certainly something that she and her team could put together.

Trustee Viehweger said that providing a very detailed explanation would also be very important to the groups who were evaluating which strategic priorities to promote and go forth with in the first place.

VPFA Shaffer reported on the impact of the CIP on Ohio University's debt portfolio, and stated that Ohio University is asking to take on new debt. She said that in evaluating the proposal, the administration looked at whether Ohio University remains, and would remain financially healthy. Finance and Administration charted its Senate Bill 6 health and strength in light of the potential new debt added. She stated they are conducting sensitivity analyses regarding what different paths might look like going forward.

Trustee Goodman asked if these analyses took into account GASB 68 (Governmental Accounting Standards Board Statement Number 68, which "revises and establishes financial reporting requirements for most state and local governments that provide their employees with pension benefits... State 68 requires governments providing defined benefit pensions to recognize their long-term obligation for pension benefits as a liability for the first time, and to more comprehensively and comparably measure the annual costs

of pension costs.”

<http://www.gasb.org/jsp/GASB/Page/GASBSectionPage&cid=1176163527868>)

VPFA Shaffer said that Ohio University currently reports Senate Bill 6 (SB 6) based on pre-GASB regulations. She said that SB6 ratios must continue to be reported. She stated that the University had strong liquidity, and was avoiding any financial health issues.

UP Bolin continued her report on the CIP Financial Review. She reported that the third major area in the prioritized CIP planning began with a sound strategic plan that shares each potential project’s impact on the debt backlog. She stated that some “bridge funding” from the University may be needed while awaiting deposit of Ohio University Foundation gifts in their entirety.

Chair Wolfort stated that the United States will, statistically, be well overdue for a recession by 2021, and asked if planners, and Finance and Administration, had a “fail-safe” renovation plan in case of a recession. UP Bolin said that they are currently undertaking such research, and will return to the Board with a review of those metrics. She reminded the Board that all construction and renovation projects costing over \$500,000 would return to them for review and approval. VPFA Shaffer stated that once Ohio University begins a project, it can’t stop mid-construction, so Finance and Administration takes that into account moving forward. EVPP Benoit added that phasing renovation projects will help alleviate the impact of any unforeseen recession, and gave the proposed Clippinger Laboratories phased-renovation plan as an example.

Trustee Scholl noted that he did not see anything about Dublin in the CIP, and that the CIP only primarily laid out the Athens and regional campus priorities. VPFA Shaffer responded that Ohio University does not yet have any definite priorities laid out for Dublin and that the premise they had been working with was that Ohio University would engage in partnerships in Dublin to bring in outside revenue that would help to execute the Dublin Plan.

Trustee Scholl added that he did not see any Athletics priorities listed, and asked if those initiatives would be entirely funded by Athletics’ revenue stream. UP Bolin indicated that Athletic priorities were included under one of the larger buckets of funding for programmatic initiatives, and noted that the Sook Center was listed. Trustee Scholl continued that he wondered about already existing facilities, and where they fell with regard to repairs of facilities. VPFA Shaffer said they were embedded in the larger buckets of maintenance funding, but that they were also funded with Ohio University revenue stream.

UP Bolin continued that measuring the impact of the CIP was “the fun part,” and that the charts presented to the Board show where the institutional impact would be made at the University. She outlined a chart that showed past versus future investments, which mapped out funding sources pre- and post-Century Bond implementation. She noted that the potential positive impact on strategic priorities goes up “exponentially” with the addition of the Century Bond. UP Bolin noted that a “building age balance” of 50% would be essential. Staggering construction of buildings will prevent the unmanageable need for future renovation that would be slated to occur all at the same time. She stated,

for example, that “it would be a disaster” if all buildings turned fifty years old at the same time.

VPFA Shaffer went over the deferred maintenance inventory. She reported that past projections projected that Ohio University would be paying approximately \$82 per square foot for various deferred maintenance projects. However, she stated, based on most recent analysis of improved strategic planning, Ohio University is currently paying approximately \$74 per square foot for deferred maintenance projects. She added that, by the end of the backlog, Ohio University would be paying \$54 per square foot, due to the fine debt management by Ohio University Facilities.

Trustee Scholl asked if there was hard data available to show that estimate, and asked if that reduction was part of state government mandates to the university. VPFA Shaffer said that there was not hard data available, and indicated that many other institutions are not recording that specific data, so it is not possible to conduct a comparative analysis.

Chair Wolfort praised EVPP Benoit, VPFA Shaffer, and UP Bolin for their work, and said that the documentation was “outstanding.” UP Bolin said that the impact of strategic investments approved by the Board on the deferred maintenance backlog meant that the cost and the backlog were both going down significantly. UP Bolin then presented her request for Board Action, and outlined the resolution that they would be voting on, approval for the 6-year Capital Investment Plan, which would be presented more thoroughly in the Resources Committee.

Trustee Scholl asked if there were clear-cut donors for the proposed improvements for regional campuses. Ms. Bolin stated that Regional Higher Education is currently fundraising for projects, and that planners were asking for funds to conduct a study that evaluated whether Ohio University is accurately setting targets for future works.

### **Park Place Corridor Update**

Vice President for Student Affairs (VPSA) Pina and UP Bolin then provided an update regarding the current planning process for the proposed Park Place Corridor. They said that they saw the Park Place Corridor as a central spine for student activity, and that they had reached out to students and staff for requests about student needs. They stated that students had indicated a need for more opportunities for student outdoor space. Recommendations had also been made that the area should be made a pedestrian-only corridor. UP Bolin indicated that planners would need to work with the city on that matter, because Park Place is currently a city street. VPSA Pina added that Park Place was not just a roadway, but an integral part of Ohio University’s campus. He and UP Bolin reported that as they developed plans, they were taking into consideration how to maximize transparency and communication and the benefit to both the campus and the community. VPSA Pina and UP Bolin stated that they had been appointed by President McDavis to chair the Park Place working group, and would choose a mixture of faculty, staff, students, and city officials for membership in the group. They added that President McDavis would be responsible for approving and inviting the members once they were identified.

Chair Wolford conclude the meeting of the Ohio University Board of Trustees Joint Committee at 12:02pm.



**Ohio University Board of Trustees  
Resources Committee Meeting  
August 25, 2016, Thursday  
Dublin Integrated Education Center, Dublin OH**

Committee Chair David Scholl called the meeting to order at 1:30pm. Other board members present included Trustee Cary Cooper, Trustee Peggy Viehweger, Trustee Diane Smullen, Board Chair David Wolfort, Student Trustee Patrick Roden, National Trustee Laura Brege, Faculty Representative Susan Williams, and President Roderick J. McDavis.

- **Resolution, Affordability and Efficiency Implementation Plan**

Committee Chair Scholl reminded the committee that there was a full discussion of the Affordability and Efficiency Plan during the Joint Committee meeting. This resolution approves the implementation plan presented to achieve the University's \$60M five-year revenue growth / cost reduction / cost avoidance goal set by the Board at the July, 2016 meeting. Vice President for Finance and Administration (VPFA) Deb Shaffer reminded the trustees that although management has identified an implementation plan, the \$60M goal is ambitious and is dependent upon existing levels of external support and current budget assumptions. Annual reports will be presented to the Board which evaluate progress, challenges, and opportunities as we move into implementation.

**Committee Chair Scholl will move the resolution for approval of the Affordability and Efficiency Implementation Plan, as amended per the discussion at the Joint Committee, to the full board.**

- **Resolution, Six Year Capital Improvement Plan (CIP) FY2017-FY2022**

Committee Chair Scholl reminded the committee members that Director of University Planning and Space Management, Shawna Bolin, led a full discussion of the Six Year CIP during the Joint Committee meeting. This resolution approves the FY2017-FY2022 CIP. He applauded the comprehensiveness and transparency of the plan as a roadmap for the future capital and deferred maintenance priority projects.

**Committee Chair Scholl will move the resolution for approval of the Six Year CIP FY2017-FY2022 to the full board.**

- **Resolution, FY17 Capital Budget**

This resolution approves the capital budget for FY17 as detailed in the first year of the Six Year CIP FY2017-FY2022. VPFA Shaffer stated that the board has approved many components of the FY17 capital budget as part of their prior acceptance of the FY2017-FY2018 State Biennial Capital Plan and the Century Bond Deferred Maintenance Projects.

**Committee Chair Scholl will move the resolution for approval of the FY17 Capital Budget to the full board.**

- **Resolution, Capital Financing Strategy: Bridge Financing Strategy**
- **Resolution, Capital Financing Strategy: New Money Debt and Refunding**

VPFA Shaffer discussed a financing strategy that includes borrowing to fund capital projects already approved by the Board and a portion of the FY17-FY22 Capital Improvement Plan (“CIP”), potential refinancing of existing debt, and establishing a bridge financing program. The Capital Financing Strategy (CFS) discussion was built upon presentations included in the June 2016 Resource Committee materials. Representatives from Prager & Co., LLC, Rob Kanzer and James Stills, were also in attendance. Two resolutions will follow the discussion for board approval.

VPFA Shaffer reviewed the analyses that the Treasury Team (collectively the University Treasury Management and our external partners of Prager & Co LLC) that evaluated the University’s debt capacity, the current interest rate environment and volatility, the environment in the state of Ohio with regard to fiscal health and issues of unfunded pension liabilities, and other factors relevant to timing of a future debt issuance. The rating agencies look at all the above factors as well as the University’s discipline surrounding its current debt obligations as evidenced by the recent Century Bond Deferred Maintenance program guidelines.

VPFA Shaffer explained that the Treasury Team has been looking at varying debt structures which might be advantageous to the University. Prager has assisted with analyzing existing tranches to evaluate which would be advantageous for refunding in the current market. In order to limit going to market to once during the fiscal year and due to the time involved to accomplish state requirements for bond issues, it has been determined that the refunding will be combined with a new debt issue

early in calendar year 2017. Assuming current rates hold into early next year, the current refunding projection is estimated to result in a total debt service savings of \$9.2 million and Net Present Savings of \$5.8 million.

The Resources Committee Chair will be involved in discussions as an issue date approaches, and the Treasury Team will provide regular updates to the Board. The pending Presidential search is not seen as a concern given the rating agencies have previously recognized the strength of our Executive Leadership team and Board in their rating analyses, citing stability and thoughtful succession planning.

Regarding the first CFS resolution for board consideration, VPFA Shaffer discussed a bridge financing strategy which would provide liquidity assurance as the University executes against the FY17-FY22 Capital Improvement Plan (“CIP”). Providing short-term capital access relieves pressure associated with market timing of tax-exempt bond issues. A resolution seeking Board approval to establish a \$50 million bank line of credit (LOC) is included. A competitive RFP process, looking at various terms and costs, will be employed to secure the line. The line itself will only be considered in future credit rating considerations to the extent of draws against the LOC.

Regarding the second CFS resolution for board consideration, VPFA Shaffer discussed the request for approval to issue tax exempt bonds not exceeding \$170 million to refund all or part of one or more of the Series 2006A Bonds, the Series 2006B Bonds, and the Series 2008A Bonds, as well as to finance all or part of the costs of capital projects in an aggregate principal amount not to exceed \$125 million.

Trustees asked what were the bond funds to be used for. VPFA Shaffer assured the Trustees that verbiage in these debt resolutions limits the cash use to facilities. The inclusion of ‘not limited to’ is intentionally more flexible language than has typically been used in the past to allow for optimal use of our internal central bank model. This language will allow for a reduction of a significant amount of redundant bookkeeping and allow us to optimize the use of available cash.

**Committee Chair Scholl will move both Capital Financing Strategy resolutions to the full board:**

- **\$50 Million Bridge Financing Strategy, and**
- **\$170 Million New Money Debt and Refunding**

- **Endowment Update**

VPFA Shaffer introduced Chief Finance and Investment Officer (CFIO), Candice Casto, to present the Endowment Update. The Foundation employs a Chief Investment Officer (CIO) model. The CIO work was bid in 2009 and Hirtle Callaghan

(HC) was the successful bidder. HC is in the process of a self-review and the Foundation Investment Sub-committee will be conducting their own review and assessment of HC this fiscal year. Also in process is the development of an Advancement Strategic Plan to determine the future course of fundraising activities necessary to achieve annual giving levels of \$50 million.

CFIO Casto's Endowment Update described the structure within the Foundation Board for oversight of the assets of the Foundation and the investment policy. The assets managed include the endowments and a portion of working capital of both the Foundation and University – current market value of ~\$612M with positive investment returns fiscal year to date. She reviewed the asset allocation targets and current positions, 1-, 3-, and 5-year performance, and performance versus peers.

In the recent past, investment returns have lagged benchmarks. This underperformance is primarily attributable to value-based asset allocation decisions. While these positions have been out of favor in the investment markets, HC believes that the value-focused long-term strategy is appropriate for our investment objectives and will ultimately perform well. HC and the Foundation's Investment Sub-Committee have begun a formal review process, which will include HC providing a self-evaluation and the Investment Sub-Committee providing an evaluation of HC. Committee Chair Scholl will also participate in the review process as a University representative. As part of the overall assessment, HC will also be asked to note whether our self-directed and legacy investments, which are outside of HC's discretion, have contributed to the recent lag in performance. The Century Bond investments and performance were also reviewed. The long-term Century bond portfolio is invested in a strategy that is very similar to the endowment portfolio, so performance is lagging the benchmark due to the same value-based asset allocation decisions noted above. The trustees were reminded that half of the debt reserve is invested in the long-term endowment pool, while the other half is invested in a 30-year Treasury bond. In total, the debt reserve market value is greater than the minimum level required by the Century Bond Guiding Principles. The Century Bond Advisory Committee reviews the assets and performance in regular conference calls, occurring before most University board meetings.

- **Consent, Facility Projects – Design**

Associate Vice President for Architecture, Design and Construction (AVP), Greg Robertson, provided a brief summary of and requested approval to undertake design through contract administration for six projects –Clippinger Hall Renovation, East Green Building Based Domestic Hot Water, Gamertsfelder Hall Lobby Renovations, James Hall Heating and Window Upgrades, Scott Quad Window Replacements, and Washington Hall Domestic Water and Restroom Upgrades.

- **Consent, Facility Projects – Construction**

Senior Associate Vice President Joe Lalley provided updates and information on the five projects for construction approval - OUE Bennet Hall Electrical Upgrade Phase I, OUE Bennet Hall Electrical Upgrade Phase II, the Heritage College Osteopathic Medicine (HCOM) Medical Education Building 2 (MEB2) Room 100 Renovation and Buildout, Permanent Campus Boilers, and Residential Housing Access Control Phase IV. The high cost/gsf for the Dublin MEB2 renovation was discussed and is attributed in large part to the high cost of replacing windows to address leaks, repairs to the aging HVAC systems, and space upgrades on the first floor of the 30+year old developer-built building that was acquired as part of establishing the Dublin expansion campus. SAVP Lalley also provided some detail on the permanent campus boiler project including information on boiler placement, fuel sources, and a rendering of how the heating plant might look following removal of the existing stack and baghouse and placement of the new stacks, all part of the \$79M EIP project.

- **Consent, OU-Southern Horse Park AEP Easement**

SAVP Lalley brought forward a resolution to approve an easement to AEP to construct and upgrade electric facilities at the Southern campus Horse Park.

**The Committee recommended that the three Consent resolutions be retained on the Consent Agenda for the August 25, 2016 Board of Trustee meeting.**

- **Facility Projects – Construction**
- **Facility Projects - Design**
- **OU-Southern Horse Park AEP Easement**

- **East State Street Ground Lease Amendments**

VPFA Shaffer explained that we are in negotiation to potentially revise ground leases for several East State Street properties which the board previously approved as surplus, to be marketed for sale. An action will be brought forward once negotiations are final.

As a closing comment to the Board, President McDavis applauded the Board's past decisions and foresight to transform the campus and aggressively invest in campus facilities. He heard many accolades from parents and students during last week's student move-in.

At 3:10 pm meeting was adjourned.

**University Academics Committee**  
**Dublin Integrated Education Center, Room 245**  
**Thursday, August 25, 2016**

Present were Trustees Victor Goodman (Chair), Janetta King, K.B. Lake, Ronald J. Teplitzky, Brooke Mauro, David Pidwell, Janelle Simmons, David Thomas

Trustee Goodman called the meeting to order at 1:17 PM.

***Academic Quality – University Dashboard***

Pam Benoit, Executive Vice President and Provost (EVPP), presented, the updated University Dashboard, which provides current information about high priority operations of OHIO and indices of performance in key areas to the Board and other stakeholders. The dashboard provides a snapshot of current performance tied to strategic priorities and goals, such as student headcount, graduation rates, philanthropic gifts, etc. In addition, the dashboard measures OHIO's performance compared to other four-year public institutions in Ohio. The Dashboard represents the key performance indicators, selected from many possible measures.

As highlights, a couple of points are of particular interest:

- OHIO is experiencing strong retention rates
- Six year graduation rates remain steady at 67% and OHIO is third in the state for public four-year institutions. Only first time, first enrolled students are counted, excluding transfer students, which means the measure is not a complete picture of graduation rates. Four-year graduation rates remain steady at 44%. OHIO is third in the state for public four year institutions.
  - Trustee Goodman asked whether students who transfer to another institution “count against” OHIO's completion rate. Provost Benoit answered that the measure is an understatement of the number of students who do graduate, but may have transferred and graduate from another institution. Part of the way to address the misinformation is to encourage the development of better measurement tools.
- OHIO is competitive within the state, and created many programs to increase graduation rates. We are second in the state in terms of numbers of degrees granted, second to The Ohio State University.
- OHIO has decreased the student-faculty ratio to 18:1, a decrease from 20:1 five years ago.
- Group I faculty have declined slightly from last year, but are on par with peer institutions.

- OHIO has continued steady growth in undergraduate enrollment, with a 10.6% increase over the last five years (from 21,655 to 23,943) while the average enrollment for Ohio 4-year public institutions has decreased slightly during the same time period.
- Positive quality indicators on input and output measures including ACT scores, student faculty interaction, and expo participation.
  - Trustee Pidwell asked if we can track post-graduation employment. Imants Jaunarajs, who serves as the Assistant Dean for the Career & Leadership Development Center (CLDC), described some career services available to students and that the OHIO model is integrated across the campus. Academic programs work with the CLDC to develop career readiness for students.
  - Barbara Wharton, Associate Provost for Institutional Research explained that student response rate to employment and compensation surveys are very low. Provost Benoit explained that many colleges and departments collect this data more successfully because they work directly with their students to capture the data and maintain post-graduation relationships to track students.
  - Dean Hugh Sherman explained the intensive efforts by the College of Business to meet with students and now have a 97% response rate.
  - Trustee David Thomas questioned whether all quality indicators of an OHIO education are appropriately measured by the indicators required.

### ***Standing Reports***

#### ***Community Standards Update***

- Vice President for Student Affairs Jason Pina and Martha Compton explained the process that students follow when conduct potentially violates the Student Code of Conduct Process
  - Trustee Ronald Teplinsky asked if a volunteer program Students Defending Students (SDS) was still active. Director Compton explained that SDS is used by approximately 15% of students. The program helps students understand what to expect and how to navigate the process.
- Overall conduct cases have declined 30% since 2005-2006. The proportion of case dispositions remains consistent. The proportion of cases resulting in appeal remains consistent – between 1.8 and 2.2%
- Vice President Pina explained the Student Sexual Misconduct Process  
There were 31 cases that involved allegations of sexual misconduct. This is ten more than last year.

- Trustee King, Trustee Thomas, and Student Trustee Mauro asked about services for survivors of sexual assault, and how the services are made known to freshman
  - Vice President Pina explained that OHIO begins addressing these issues from Bobcat Student Orientation, to both students and their families in very open, candid ways.
  - Executive Director of Equity and Civil Rights Compliance/Title IX Coordinator Sara Trower explained that ECRC will be working to increase its visibility to students, faculty, staff, and the community.
- ***Update on Policies and Procedures and Programs***  
 EVPP Benoit and Vice President for Student Affairs Jason Pina presented an overview of university policies that protect and regulate expression at Ohio University.
    - The University of Chicago has developed a Statement on Free Speech that has received national attention. By comparison, OHIO does not have a single policy but has an integrated approach that includes clear reference to protected speech across many policies. Some advantages of OHIO's approach:
      - Focuses on academic environment
      - Places emphasis on learning, principled inquiry and research, diversity of thought and civility in classroom and co-curricular activities
      - Provides specific guidance for use of facilities and outdoor spaces
      - Assumes all expression is lawful and protected unless regulated for specific health, safety, and well-being of students, faculty, staff, and visitors; or to protect university property.
      - Many educational opportunities to inform and encourage students are planned for Fall Semester 2016.
      - Campus Conversations, specifically, is designed to be flexible and timely, choosing topics that are current and salient to students and reflective of national and campus topics.
    - Trustee Goodman acknowledged the timely response to the questions raised in the June Board meeting.
  - ***Enrollment Update***
    - Craig Cornell, Senior Vice Provost for Strategic Enrollment Management (SVPSEM) , provided this update. SVPSEM Cornell cautioned that the numbers are preliminary, but very promising. Preliminary enrollment data at OHIO remains robust, competitive, and in line with strategic enrollment objectives. The Athens Freshman class is slightly smaller, at 4,332, but still the third highest in school history. Retention has increased this year, in part due to the OHIO

guarantee and in part due to investment in first year retention efforts and advising.

- Multicultural students, overall, are at 614, down 4 from last year's record.
- First Generation students and students from Appalachian counties are up by 6% and 9.7%, respectively.
- Student academic quality were steady, with 24.0 ACT Composite and 3.48 High School GPA.
- Overall enrollment is 43,752 unduplicated, all-campus headcount – which accounts for students who are in non-standard start date programs.
- Retention is expected to rise at least 2%; this has implications for increased graduation rates in the future. SVPSEM Cornell explained that in addition to the efforts of his team, each dean is working on specific, targeted areas to increase student success, and thereby, student retention.
- SVPSEM Cornell anticipates new record milestones in in-state, Appalachian student, and African-American students.
- New Enrollment Initiatives include launch of a new Strategic Enrollment Management Plan Advisory Committee; adoption of Common Application for Fall 2017 class, The OHIO Guarantee has advanced its first cohort to its second year, and International Student recruitment is being revamped in conjunction with Vice Provost for Global Affairs Lorna Jean Edmonds.

### ***Academic Quality – Points of Pride: HCOM Dublin***

Executive Dean Kenneth Johnson presented a summary of the Heritage College's focus on Doctor-Patient Communication. On the first day of medical school, students interact with patients who give them feedback on their experiences with doctors and healthcare systems. Dean Johnson gave an overview of the patient-focused programs. Dean Johnson introduced Dr. Page Gutheil and student physician Tina Drake-Williams. Dr. Gutheil is the founder of Ohio Women in Medicine. Dr. Gutheil presented about student physician experiences with "standardized patient" learning model. The program motto is "It's All About The Patient." Student physician Drake-Williams described her experiences with learning how to interact with students, how to learn to display empathy and be communicative and caring and played a video of a simulated patient lifestyle counseling session ("Smoking Cessation").

There were no consent agenda items.

Trustee Goodman adjourned the meeting at 3:04 PM

**Ohio University Board of Trustees  
Governance Committee  
August 25, 2016, Thursday  
Dublin Integrated Education Center, Dublin OH**

Present were Chair Cooper, Trustees King, Goodman, Lake, Smullen and Pidwell, Student Trustee Mauro, Secretary to the Board David Richard Moore and General Counsel John Biancamano.

The meeting was called to order at 10:05 AM.

1. Board Bylaws

The Committee reviewed the Board By-laws and agreed to recommend three changes as indicated in the attached draft. The amendments will be presented to the full Board at the October, 2016 meeting.

2. Board of Trustees Website

The Committee discussed updates to the Board of Trustees website. No significant changes were recommended.

The Committee adjourned at 10:15 AM.

**Ohio University Board of Trustees  
Audit Committee Meeting  
Dublin Integrated Education Center, Dublin OH  
August 25, 2016, Friday**

**Present:** Audit Committee Chair Janelle Simmons, Trustees Dave Scholl, Peggy Viehweger and David Wolfort, National Trustee Laura Brege, Alumni Representative Ronald Teplitzky, Student Trustee Patrick Roden and President Roderick McDavis. Audit Committee Chair Simmons called the meeting to order at 10:03 am.

**FY 2016 External Audit Update**

Danny Sklenicka from Plante Moran provided the Audit Committee with an update on the status of the FY16 audit. There were no audit findings to report as a result of their audit work to date. Trustee Wolfort asked if the audit was on track to be completed by the deadline. Mr. Sklenicka stated that progress is being made and the October 15<sup>th</sup> deadline will be met.

**FY17 Audit Plan Status**

Jeff Davis, Chief Audit Executive discussed the FY17 audit plan. The NCAA Agreed Upon Procedures and an audit of Campus Recreation are underway. Mr. Davis also stated that three FY16 audit reports were recently issued. A final report for the Facilities Management audit is expected in the next few weeks. Trustee Simmons asked if the audits were progressing as expected. Mr. Davis stated that progress in completing the audit plan has been made. Mr. Davis mentioned that one of his staff is currently serving as the interim accounts payable manager and that this was having some impact on the audit plan. Trustee Scholl asked about the status of the recommendations from the quality assessment review the internal audit office recently completed. Mr. Davis stated that of the four recommendations made by the assessor, corrective action had been implemented by the office for two of the recommendations. Those recommendations related to the coordination of the IA and external audit plans and audit planning. Mr. Davis explained that he had met with Plante Moran and they have established a process to document IA's understanding of Plante Moran's audit approach. Mr. Davis also mentioned that he had produced a five year strategic audit plan and had shared that document with the Audit Committee and senior management. Options to correct the final two recommendations are being evaluated. Those recommendations are for the development of a quality assessment and improvement program that is required by auditing standards and the reporting of the program annually to the Audit Committee. Mr. Davis stated he would discuss this at the October meeting.

### **Audit Committee Charter**

Mr. Davis provided a summary of the proposed changes to the Audit Committee Charter. The changes were also discussed in the June 2016 meeting. The charter outlines the committee's responsibilities related to oversight of the external audit, the Internal Audit Office and compliance matters. Trustee Wolfort proposed a change related to Legal Affairs. He suggested rather than taking the reference to Legal Affairs out of the charter, perhaps the charter could state Legal Affairs would present to the committee as needed. Mr. Davis will bring the charter back to the committee in October for consideration.

There was no unfinished business. Audit Committee Chair Simmons adjourned the Audit Committee meeting at 10:13 am.

**Ohio University Board of Trustees**  
**Executive Committee**  
**August 25, 2016, Thursday**  
**Dublin Integrated Education Center, Dublin OH**

**Present:** Chair David A. Wolfort, Vice Chair Janetta King, Trustees Cary R. Cooper, N. Victor Goodman, Kevin B. Lake, Dave Scholl, Janelle N. Simmons, Diane Smullen, Peggy Viehweger, National Trustees Laura Brege and David W. Pidwell, Student Trustees Brooke Mauro and Patrick J. Roden, Alumni Representative Ron Teplitzky, Secretary David Richard Moore, President Roderick McDavis.

Chair Wolfort called the meeting to order at 8:30am.

Chair Wolfort suggested that the committee move into Executive Session to consider the employment or compensation of a public employee and to consider the purchase or sale of property for public purposes. Trustee Scholl moved to adjourn to Executive Session; Trustee Viehweger provided a second. Chair Wolfort called asked for the role to be called. The Executive Committee adjourned into Executive Session by unanimous vote at 8:31am.

At 9:25am Trustee Scholl motioned to adjourn out of Executive Session; Vice Chair King provided a second; Chair Wolfort asked for a roll call. The motion was passed unanimously and the Executive Session was adjourned.

Chair Wolfort adjourned the Executive Committee meeting at 9:26am.

**Ohio University Board of Trustees  
Executive Committee  
August 26, 2016, Friday  
Dublin Integrated Education Center, Dublin OH**

**Present:** Chair David A. Wolfort, Vice Chair Janetta King, Trustees Cary R. Cooper, N. Victor Goodman, Kevin B. Lake, Dave Scholl, Janelle N. Simmons, Diane Smullen, Peggy Viehweger, National Trustees David W. Pidwell and Laura Brege, Student Trustees Brooke Mauro and Patrick J. Roden, Alumni Representative Ron Teplitzky, Secretary David Richard Moore.

Chair Wolfort called the meeting to order at 8:05am.

Representing the Search Firm, Witt/Kieffer, John Thornburgh, Dennis Barden, and Melissa Fincher, joined the Trustees and provided an overview of their general process for assisting with a Presidential Search. Trustees provided commentary on the needs of Ohio University.

Chair Wolfort adjourned the Executive Committee meeting at 8:56am.

# PRESIDENT'S REPORT

presented to  
Ohio University Board of Trustees  
October 21, 2016

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# Overview

- **Vision, Values & Priorities**
- **OHIO for Ohio**
- **Homecoming 2016**
- **Federal Government Alumni Luncheon**
- **Cutler Hall Bicentennial**
- **University Fundraising**
- **Points of Pride**
- **University Spotlight**



# 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.

# Core Values

**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.

# Strategic Priorities



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# OHIO for Ohio



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# 5<sup>th</sup> Annual Federal Government Alumni Luncheon

The event, which took place in Washington, D.C., attracted 88 Ohio University alumni and friends. This year's award winner was Senator George Voinovich. Ohio Senators Rob Portman and Sherrod Brown, Ohio Representative Steve Chabot, and close friend of the Voinovich family, Delaware Senator Tom Carper, all paid tribute to the late senator.

When it was all said and done, there was not a dry eye in the room.



# Cutler Hall Bicentennial Celebration

To highlight Ohio University's humble beginnings and the amazing transformation we have experienced since 1804, the Office of the President will be honoring the 200<sup>th</sup> anniversary of the Cutler Hall cornerstone being laid later today. A groundbreaking also will occur this afternoon where a time capsule will later be buried.

Everyone is invited!

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# Points of Pride

## SMART Lab Inaugurated into Scripps College of Communication



**The Social Media Analytics Research Team (SMART) Lab will teach students to analyze trends in social media and journalism**

# Points of Pride

## OHIO Professor Rajko Grlić Wins Big at The Montreal World Film Festival



Photo: Saša Huzjak

**Professor Grlić won the Grand Prize of the Americas for his film *The Constitution*, which he directed and co-wrote**

# Points of Pride



**OHIO Professor Lawrence Witmer was on a team that recently discovered and classified a 230 million year old species of reptile. The new species, named *Triopticus primus*, pre-dated the dinosaurs.**

# Points of Pride

**Ohio University named one of the top 20  
“most beautiful public college campuses in America”**



**Thrillist, a digital media company that covers food, entertainment and travel, described Ohio University as “a masterpiece of red brick, dotted with white columned-buildings and lush foliage.”**

# University Spotlight

## ACCESSIBLE OHIO: Inspiring Inclusion at Ohio University

**Presenters:**  
**Sara Trower**

Executive Director, University Equity & Civil Rights Compliance

**Dianne Bouvier**

Director for Equal Opportunity & Accessibility and ADA/504 Coordinator

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# PRESIDENT'S REPORT

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## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

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

**Re:** **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. More importantly, what do college rankings actually measure and are these the qualities that we value? 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 ranked.

This presentation will facilitate a discussion of:

- how OHIO currently performs in some of the more popular rankings including US News & World Report, Washington Monthly, Forbes, Sierra Magazine, and the Wall Street Journal/Times Higher Education College ranking in addition to some program specific rankings.
- 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 and values.

# College Rankings

Tab



**OHIO**  
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# Question 1

Which of the following are included in the USN&WR rankings? If there is more than one, indicate all that would apply

- A. Retention rate
- B. Student satisfaction
- C. Level of student engagement
- D. Number of accredited programs
- E. Student diversity



# Question 2

Which of the following counts the **most** in the USN&WR rankings?

- A. The affordability of the college / university
- B. The percentage of students who engage in enrichment experiences
- C. The quality of the faculty
- D. The reputation of the college / university



# Question 3

Which of the following statements best describe the Athens campus?

- A. Ohio University is an elite institution that is highly selective
- B. Ohio University is a selective institution that balances access and excellence in recruiting students
- C. Ohio University is an open enrollment institution that admits any student who applies



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“The rankings nourish the myth that the richest, most selective colleges have some corner on superior education; don’t adequately recognize public institutions that prioritize access and affordability, and do insufficient justice to the particular virtues of individual campuses.

Frank Bruni, Why College Rankings are a Joke, NYT, September 17, 2016



# 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 (2017) rankings are based on 2015-16 or on multi-year averages
- 310 National universities, 189 public, 114 private, 7 for-profit (not all schools are ranked)
- Ohio University ranked 146<sup>th</sup> overall and 74<sup>th</sup> among public universities



# US News Methodology

- Rankings
- Weightings



# Overall Ranking Trend

Measures Trend	2013	2014	2015	2016	2017
Overall	131	135	129	135	146
Public Institutions	65	68	63	68	74



# US News Ohio Public Ranks

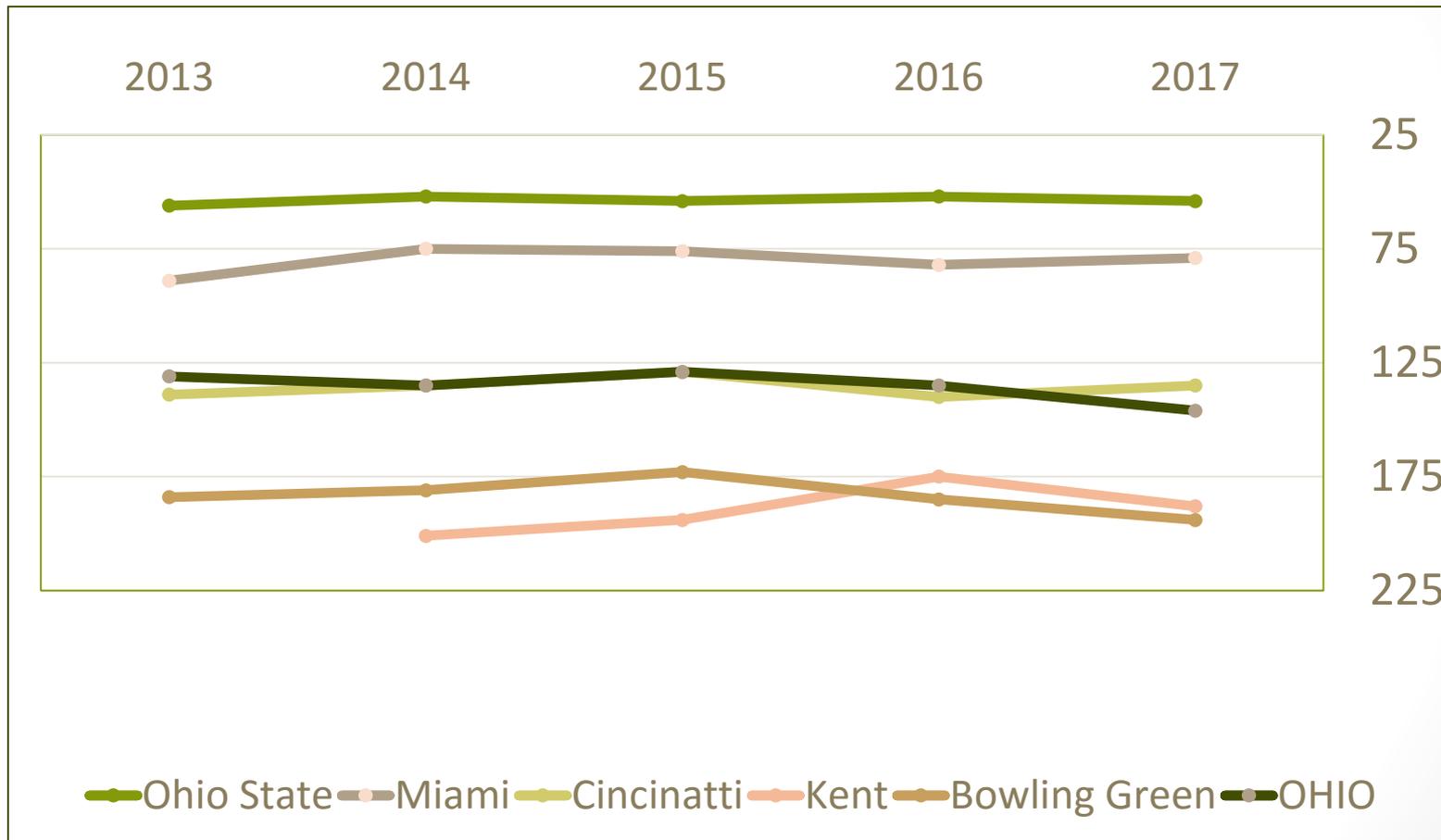
Rank	Institution
#54	Ohio State University
#79	Miami University
#135	University of Cincinnati
#146	Ohio University
#188	Kent State University
#194	Bowling Green State University

Not Ranked: Cleveland State University, University of Akron, University of Toledo, Wright State University



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# US News Ohio Public Ranks



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# Washington Monthly

- 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.



# Washington Monthly

**Overall OHIO Rank #239**

## **Social Mobility**

- #123 on social mobility

## **Service**

- #100 ROTC rank, #137 peace corps, #172 Community service, #174 Federal work-study funds spent on service.

## **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



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# Sierra Magazine

Based on sustainability measures and OHIOs participation in the Sustainability Tracking, Assessment & Rating System (STARS).

- #145 of 201 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: Ohio State #120, Miami #101, Kent State #191.



# 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 #414 out of 660, #4 of 10 Ohio Public Institutions.**



# Wall Street Journal/Times Higher Education

- Engagement (20%)
  - Tied for #3 out of 100 public schools in the Midwest
- Resources (30%)
  - Tied for #23 out of 100 public schools in the Midwest
- Outcomes (40%)
  - #24 out of 100 public schools in the Midwest
- Environment (10%)
  - Tied for #22 out of 100 public schools in the Midwest



# Individual Programs

- RN to B.S.N. ranked 5<sup>th</sup> by Best College Reviews.
- College of Business ranked 15<sup>th</sup>- best among public undergraduate business schools (Bloomberg Business week).
- Scripps School of Journalism ranked in top ten by college magazine.
- Best Online Bachelor's in Communication and Public Relations (Nonprofit Colleges Online)



# Activities not Considered in Rankings

- Top producer in Fulbright Award-winning students nationwide
- 1<sup>st</sup> in nation for overall student satisfaction based on a myplan.com survey of over 600 colleges and universities.
- Ohio University Innovation Center that has incubated about 100 companies and created over 1,000 jobs.



# DESCRIPTIONS OF RESOLUTIONS

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OCTOBER 21, 2016



OHIO  
UNIVERSITY



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** J. Bryan Benchoff, Vice President for University Advancement & President & CEO,  
The Ohio University Foundation

**Re: Advancement Strategic Plan: Advancing OHIO**

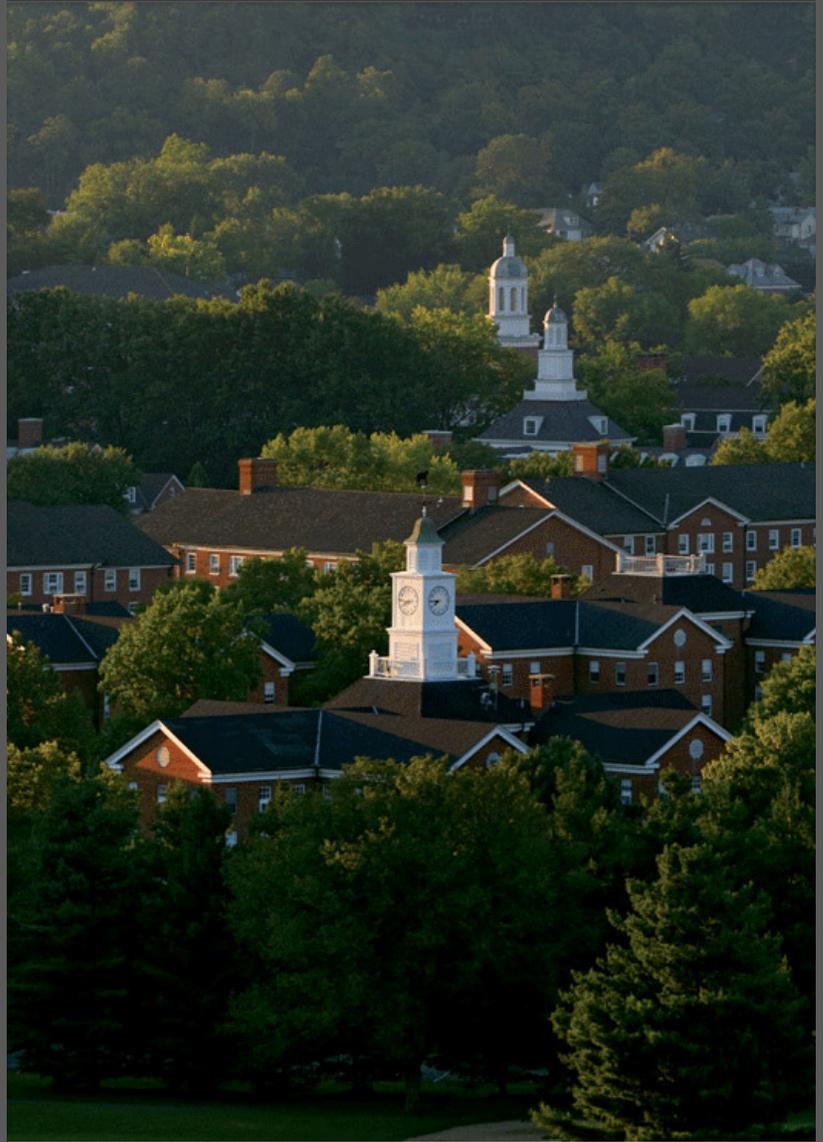
Ohio University's Division of Advancement has arrived at an important moment in the time and evolution of our engagement and development programs. In September of 2014, Advancement, Foundation and University leadership convened to explore what could come next for OHIO's advancement efforts. What came out of that meeting was a singular focus, which is to grow fundraising capacity to an average three year run rate of \$50 million per year and ultimately grow our endowment to \$1 billion.

This strategic plan has been developed to drive these goals forward in three phases with Phase I ending in 2021 and Phases II & III ending in 2025 & 2029. It has been built upon a platform of three overarching goals: FUNDRAISING, ENGAGEMENT AND INFRASTRUCTURE. Under these three overarching goals, thirteen strategic objectives were established that represent "WHAT" we must achieve to realize our goals. Each objective is accompanied by key performance indicators (KPI's) that provide the metrics to measure success over the three phases. In turn, operational/tactical strategic initiatives are presented that define "HOW" we will achieve these objectives as well as the resources required to do so.

All that we have done and will do is designed to serve the greater University's vision and mission. This strategic plan is a commitment for the long term to ensure that Ohio University's next generation of donors and leadership volunteers will continue to grow year over year and decade over decade. As our alumni base and donor pipeline mature, so too will their gifts and involvement. What we put in motion now will ensure that we will be building long-term relationships essential to realizing OHIO's philanthropic capacity.

# Advancement Strategic Plan

2017 - 2029



# ADVANCING OHIO

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## Ohio University Mission

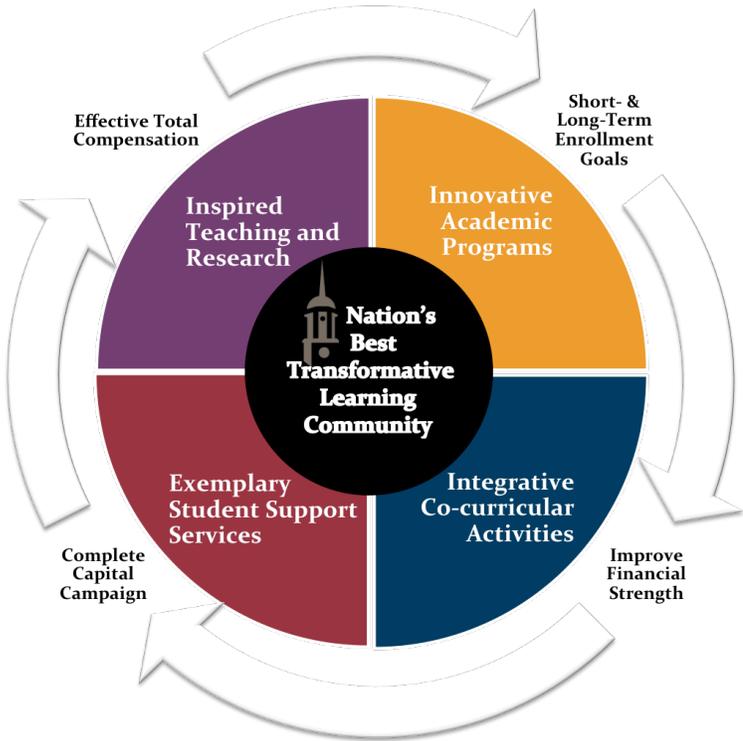
Ohio University holds as its central purpose the intellectual and personal development of its students. Distinguished by its rich history, diverse campus, international community, and beautiful Appalachian setting, Ohio University is known as well for its outstanding faculty of accomplished teachers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

## Ohio University Vision

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.



# Ohio University Strategic Priorities and Core Values



**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.

## Advancement Overview

When President John Baker established the Ohio University Fund in 1946, he was continuing a tradition of philanthropy at Ohio University which had its beginnings more than a century before.

- The first gift to Ohio University came in 1816 when Christopher and Daniel Herrold forgave the University's debt on the purchase of the lumber to build Cutler Hall.
- Another early major gift came when William D. Emerson, class of 1833, provided \$1,000 through his estate. The funds were used to create an endowment, which provided "a prize to the student or alumnus who produced the best original poem."
- In the 1920s, Ohio University sought private funds to build Memorial Auditorium and more than 2,000 alumni responded with a gift during the eight-year campaign. The building was completed in 1928 and dedicated in 1929 and remains an Ohio University landmark. It was renamed Templeton-Blackburn Alumni Memorial Auditorium in the fall of 1999 following major renovations, funded in part with private gifts. The auditorium's new name honors Ohio University's first male and female African-American graduates, John Newton Templeton, class of 1838 and Martha Jane Hunley Blackburn, class of 1916.

Establishing a private foundation to support a public university was a visionary endeavor in 1945 when the process of its creation began. The History of Ohio University by Thomas Nathanael Hoover states: "The establishment of the Ohio University Fund, Incorporated, in January 1946, was the direct result of Baker's recommendation that there be a working fund over which the university would have control, and which, being supplied entirely by private contributors, would serve many purposes for which the use of state monies would be inappropriate or impossible." The officers of the fund were Arthur C. Johnson, President; Paul R. O'Brien, '32, Secretary-Treasurer; John G. Case, Jr., '13, Director; and Harold E. Wise, Associate Director. President Baker and John W. Galbreath, '20 served as trustees along with Johnson, O'Brien, and Case. John Galbreath would join President Baker in playing a major role in the life and spirit of Ohio University for many years to come.

In its first year, the Ohio University Fund generated more than \$35,000 in private gifts, which President Baker considered a solid beginning. When gifts declined to \$2,000 to the following year, (many alumni believed that the 1946 campaign was a one-time effort), President Baker realized that creating a steady base of annual support would require an education in philanthropy for Ohio's alumni.

When the University's sesquicentennial approached, President Baker recognized the opportunity to establish broad-based support for Ohio University. His goal was to raise \$1,000 for the Sesquicentennial Scholarship Fund for each year of the University's life by commencement in June 1954.

The primary method for generating these funds was a form letter, sent to all alumni for whom the university had addresses. From this mailing emerged two of Ohio University's most generous benefactors, Edwin and Ruth Kennedy. The mailing prompted Ed Kennedy, who had had no contact with Ohio University since he graduated from Ohio University in 1926, to contribute more than \$7,000, the largest gift to the campaign.

Philanthropy continued to be a high priority for Ohio University in the years that followed. In 1961, President Vernon R. Alden founded the Trustees Academy, a gift society to recognize Ohio University's most generous benefactors. President Alden and his wife Marion became the Academy's first members, beginning a tradition which continues to this day. Private support continued to grow under President Alden's management. In 1963, gifts totaled \$1.4 million. By 1968, support had grown to \$3 million.

The subsequent decades have seen continued growth in philanthropic support to Ohio University. Snapshots of our most recent comprehensive capital campaigns follow:

**Campaign:** *The Third Century Campaign*

**Goal:** \$100 million

**Time Period:** 7/1/1987 – 12/31/1993

**Attainment:** \$132.7M

**President:** Dr. Charles J. Ping

The Third Century Campaign saw the advent of constituent fundraisers in each college or unit and the assistance of professional campaign counsel throughout. Twenty-two gifts of \$1M or more were received, including a gift of \$10 million and 2 gifts of \$5 million+. Both a Gala Kick-Off and a Grand Celebration were held to launch and close the institution's first \$100 million campaign. Gifts into Endowment during the campaign totaled \$18.1 million.

**Campaign:** *The Bicentennial Campaign***Goal:** \$200 million**Time Period:** 7/1/1997 – 6/30/2004**Attainment:** \$212.4M**President:** Dr. Robert B. Glidden

The Bicentennial Campaign sought to position Ohio University as the “best in class” in celebration of its Bicentennial in 2004. At the campaign’s inception, the University stood on the threshold of being one of the finest, state-assisted, medium-sized, research universities committed to superior undergraduate education in the nation. Investment in people and programs would dominate the fundraising efforts. Specific campaign goals included \$70 million for Endowments and Professorships, \$41 million for Scholarships and Fellowships, \$18 million for Technological Advancements, \$20 million for Innovative Programs and \$92 million for Capital Facilities. Forty-two commitments of \$1 million or more were received, including 6 gifts of \$5 million+, and the largest gift in the institution’s history to that point. As highlights, new gift commitments of \$23.1 million supported 8 new endowed chairs and 35 new Named Professorships. Gifts into Endowment during the campaign totaled \$41.3 million.

**Campaign:** *The Promise Lives Campaign***Goal:** \$450 million (Goal surpassed in the spring of 2014)**Time Period:** 7/1/2007 – 6/30/2015**Attainment:** \$500.1M**President:** Dr. Roderick J. McDavis

*The Promise Lives Campaign* for Ohio University has supported the University’s quest to provide the nation’s best transformative learning experience. The Campaign endeavored to bridge the gap between state funds and tuition costs. In order to prevent the burden of dwindling state support from falling on our students’ shoulders, *The Promise Lives Campaign* sought to raise at least \$450 million to support students, faculty, programs, outreach and facilities. The Campaign secured \$500,127,012 in gifts and commitments from 81,215 donors. These donors committed \$173.3 million for academic programs, \$73.8 million for student aid, \$113.9 million for capital projects, \$78.8 million for faculty and research, and \$60 million-plus for other University programs and initiatives.

## Executive Summary

Ohio University’s Division of Advancement has arrived at an important moment in the time and evolution of our engagement and development programs. In September of 2014, Advancement, Foundation and University leadership convened to explore what could come next for OHIO’s advancement efforts. What came out of that meeting was a singular focus: grow fundraising capacity to an average three year run rate of \$50 million per year and ultimately grow our endowment to \$1 billion.

This strategic plan has been developed to drive these goals forward in three phases with Phase I ending in 2021 and phases II & III ending in 2025 & 2029. It has been built upon a platform of three overarching goals: FUNDRAISING, ENGAGEMENT AND INFRASTRUCTURE.

## Goals

<b>FUNDRAISING</b>	Double philanthropic support for the University to an average annual run rate of \$50 million by building the long-term foundation for future growth and securing OHIO’s next generation of major gift donors.
<b>ENGAGEMENT</b>	Expand the breadth, depth, and quality of engagement among alumni, friends, faculty, staff, and students to enable transformation of institutional affinity to institutional philanthropy.
<b>INFRASTRUCTURE</b>	Build the infrastructure required to support our fundraising and engagement goals essential to becoming a nationally recognized, integrated and sustainable advancement organization.

Under these three overarching goals thirteen strategic objectives were established that represent “WHAT” we must achieve to realize our goals as follows:

## Objectives

1. Increase overall fundraising attainment	2. Increase annual cash in the door	3. Increase visit production
4. Increase first time commitments	5. Drive alumni participation rate	6. Drive attainment in targeted gift bands
7. Increase event participant giving	8. Increase event attendance (unique attendees)	9. Increase student engagement
10. Increase affinity participation	11. Increase donor retention	12. Improve data quality and access
13. Develop a robust talent management program		

Each objective is accompanied by key performance indicators (KPIs) that provide the metrics to measure success over the three phases. In turn, operational/tactical strategic initiatives are presented that define “HOW” we will achieve these objectives as well as the resources required to do so.

This plan is built upon the resources required and actions it will take to drive the metrics necessary to achieve our goals. This is a commitment for the long term to ensure that Ohio University’s next generation of donors and leadership volunteers will continue to grow year after year and decade after decade.

## Strategic Goals, Objectives, and Key Performance Indicators (KPIs)

Strategic Goals (2016 – 2029)				
<b>Fundraising</b>	Double philanthropic support for the University to an average annual run rate of \$50 million by building the long-term foundation for future growth and securing OHIO’s next generation of major gift donors.			
<b>Engagement</b>	Expand the breadth, depth, and quality of engagement among alumni, friends, faculty, staff, and students to enable the transformation of institutional affinity to institutional philanthropy.			
<b>Infrastructure</b>	Build the infrastructure required to support our fundraising and engagement goals essential to becoming a nationally recognized, integrated, and sustainable advancement organization.			
Objectives and KPIs	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Obj. 1. Increase overall fundraising attainment</b>	\$30,454,916	\$35,000,000	\$45,000,000	\$50,000,000
a. Cash – excludes Pledge Payments (45%)	\$12,706,211	\$15,750,000	\$20,250,000	\$22,500,000
b. Pledges (35%)	\$5,149,059	\$12,250,000	\$15,750,000	\$17,500,000
c. Planned Gifts (20%)	\$12,611,000	\$7,000,000	\$9,000,000	\$10,000,000
<b>Obj. 2. Increase annual cash in the door</b>	\$ 26,500,00	\$32,210,916	\$39,152,569	\$47,590,193
<b>Obj. 3. Increase visit production</b>				
a. Total visits	2,095	3,000	4,000	4,500
b. First time visits	833	1,200	1,600	1,485
c. Visit frequency (New/Developing/Existing)	41%/32%/26%	40%/35%/25%	40%/35%/25%	34%/33%/33%
<b>Obj. 4. Increase first time commitments</b>				
a. First time commitments of \$10,000 & up	108	150	200	185
<b>Obj. 5. Drive alumni participation rate</b>	5.1%	5.3%	5.5%	6.0%

Objectives and KPIs	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Obj. 6. Drive attainment in targeted gift bands</b>				
a. Cash gifts \$0 - \$99	\$507,185	\$493,411	\$534,528	\$575,646
i. Number of gifts	9,251	9,000	9,750	10,500
b. Cash gifts \$100 - \$999	\$1,857,001	\$2,263,136	\$2,428,717	\$2,532,669
i. Number of gifts	8,533	10,200	10,650	11,000
c. Cash gifts \$1,000 - \$9,999	\$2,462,356	\$3,107,662	\$3,648,038	\$4,115,633
i. Number of gifts	1,134	1,450	1,650	1,800
d. Total attainment \$10,000 - \$49,999	\$3,133,970	\$4,374,214	\$4,374,214	\$4,374,214
i. Number of gifts	170	225	225	225
e. Total attainment \$50,000 - \$499,999	\$6,507,287	\$6,688,302	\$7,714,395	\$10,332,278
i. Number of gifts	56	65	68	90
f. Total Attainment \$500,000 & up	\$17,590,437	\$18,105,837	\$26,852,447	\$28,471,538
i. Number of gifts	11	13	17	18
<b>Obj. 7. Increase event participant giving</b>				
a. Giving rate 12 months prior/12 months post	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
<b>Obj. 8. Increase event attendance (unique attendees)</b>				
a. Total participation	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
b. Attendees with MG EVI 75 and above	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
c. First time event attendees	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
d. Number of events	295	406	470	527
<b>Obj. 9. Increase student engagement</b>	4,930	5,374	7,868	7,499
<b>Obj. 10. Increase affinity participation</b>				
a. Corporate affinity group participants	3,337	5,374	7,868	11,520
b. Bobcat Store customers	1,892	2,080	2,290	2,515

Objectives and KPIs	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Obj. 11. Increase donor retention</b>				
a. Year to year retention rate	55.80%	58.00%	60.00%	62.00%
<b>Obj. 12. Improve data quality and access</b>				
a. Alumni with good mailing address	95%	95%	96%	96%
b. Alumni with good phone number	85%	88%	90%	90%
c. Alumni with good email address	73%	75%	80%	80%
d. Alumni with good mailing address, phone number, and email address	64%	68%	70%	72%
<b>Obj. 13. Develop a robust talent management program</b>				
a. Staff retention rate	78%	80%	82%	84%
b. Average tenure of employee	38 months	44 months	50 months	56 months

## Resources

	Baseline	Phase I						Phase II				Phase III			
	FY15	FY16	FY17	FY18	FY19	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27	FY28	FY29
<b>Projected Raised (in millions)</b>	\$ 35.6	\$ 30.5	\$ 31.0	\$ 32.0	\$ 33.0	\$ 34.0	\$ 35.0	\$ 38.0	\$ 41.0	\$ 43.0	\$ 45.0	\$ 46.0	\$ 48.0	\$ 49.0	\$ 50.0
<b>ALL DEPARTMENTS</b>															
Salaries and benefits	\$ 8.3	\$ 8.5	\$ 9.7	\$ 10.6	\$ 10.6	\$ 10.8	\$ 11.1	\$ 11.8	\$ 12.1	\$ 12.3	\$ 12.4	\$ 12.6	\$ 12.8	\$ 12.9	\$ 13.1
Professional services	1.1	1.2	0.9	0.9	0.9	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1
Supplies	0.2	0.3	0.3	0.2	0.2	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3	0.3
Travel and entertainment	1.3	1.5	1.7	2.5	2.7	2.9	3.0	3.1	3.4	3.5	3.6	3.8	3.8	4.0	4.3
Information and communication	1.5	1.5	2.0	1.9	1.8	1.9	1.9	1.9	2.0	2.0	2.0	2.1	2.1	2.2	2.2
Repairs and maintenance	0.2	0.3	0.4	0.4	0.4	0.4	0.4	0.4	0.4	0.4	0.5	0.5	0.5	0.5	0.5
Miscellaneous expenses	0.2	0.2	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.2	0.2	0.2
Cost of goods sold	0.1	0.2	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
<b>Total uses</b>	<b>\$ 12.9</b>	<b>\$ 13.7</b>	<b>\$ 15.3</b>	<b>\$ 16.8</b>	<b>\$ 17.0</b>	<b>\$ 17.5</b>	<b>\$ 17.9</b>	<b>\$ 18.8</b>	<b>\$ 19.5</b>	<b>\$ 19.8</b>	<b>\$ 20.2</b>	<b>\$ 20.7</b>	<b>\$ 20.9</b>	<b>\$ 21.3</b>	<b>\$ 21.9</b>
<b>Fundraising</b>	\$ 9.1	\$ 9.2	\$ 10.9	\$ 11.7	\$ 11.6	\$ 11.9	\$ 12.1	\$ 12.7	\$ 13.1	\$ 13.3	\$ 13.5	\$ 13.6	\$ 13.8	\$ 13.9	\$ 14.1
<b>Alumni Relations</b>	2.9	3.3	3.4	4.1	4.3	4.6	4.7	5.0	5.3	5.4	5.6	6.0	6.0	6.2	6.6
<b>Fund Administration</b>	0.8	1.1	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2
<b>Total uses</b>	<b>\$ 12.9</b>	<b>\$ 13.7</b>	<b>\$ 15.3</b>	<b>\$ 16.8</b>	<b>\$ 17.0</b>	<b>\$ 17.5</b>	<b>\$ 17.9</b>	<b>\$ 18.8</b>	<b>\$ 19.5</b>	<b>\$ 19.8</b>	<b>\$ 20.2</b>	<b>\$ 20.7</b>	<b>\$ 20.9</b>	<b>\$ 21.3</b>	<b>\$ 21.9</b>
<b>Budgeted</b>	\$ 13.5	\$ 14.9													
<b>Advancement Staffing Projections</b>															
VP Advancement	5	5	8	17	17	17	17	19	19	19	19	19	19	19	19
Development	26	30	27	43	42	43	44	45	48	48	48	47	47	47	47
Advancement Services	28	31	27	32	32	33	33	34	37	37	37	37	37	37	37
Alumni Relations	15	13	14	15	15	15	15	20	20	20	20	21	21	21	21
Fund Administration	8	7	8	8	8	8	8	8	8	8	8	8	8	8	8
<b>Total Advancement FTEs*</b>	<b>82</b>	<b>86</b>	<b>84</b>	<b>115</b>	<b>114</b>	<b>116</b>	<b>117</b>	<b>126</b>	<b>132</b>						
<b>Budgeted**</b>	105	104	109												
<b>Maximum Advancement FTE***</b>	92	93	93												

\* FTE count as of the end of FY16

\*\* FTE's budgeted for FY16

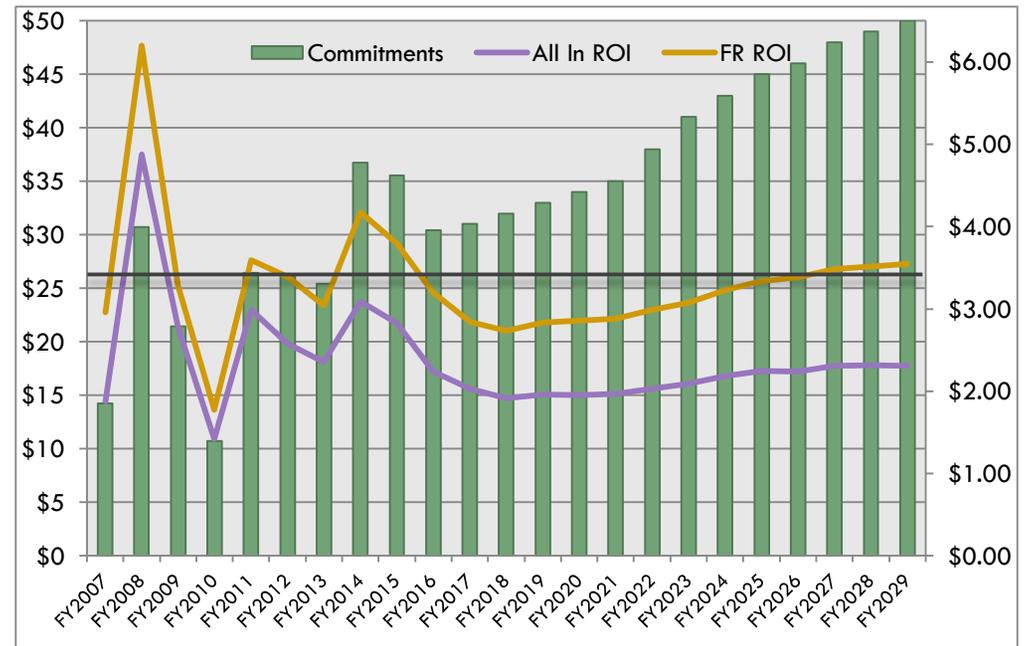
\*\*\* The maximum number of filled positions in the given Fiscal Year

## Fundraising Milestones and Return on Investment

The AdvancingOHIO strategy represents an organization in aggressive growth – responding to both present and projected future needs of Ohio University.

### The strategy focusses on addressing:

- Aggressive donor acquisition
- Stewardship of donors
- Strategic engagement
- Maturation & development of the Advancement Program
- Fundraising Resources
- Rapidly growing alumni population/demographic
  - Age
  - Donor capacity growth



The chart represents the total commitments by fiscal year and the return on investment (ROI) in those years looking at All in ROI (the entire advancement organization) and Fundraising ROI (development and advancement services). The black line represents the cumulative average FR ROI of the organization from 2007 to 2016 (\$3.51). (Does not include transformational gifts.)

### Factors Affecting Return on Investment & Cost to Raise a Dollar

- ✓ Type of organization
- ✓ Primary and current fundraising targets
- ✓ Size and wealth of the target donor audience
- ✓ Number of new prospects identified
- ✓ Number of existing donors upgraded
- ✓ Size, nature and overall income levels of the local economy
- ✓ Age and history of the organization
- ✓ Age and history of the fundraising program
- ✓ Number and type of fundraising staff employed
- ✓ Experience and longevity of the fundraising staff
- ✓ Extent and focus of the fundraising strategy (both numbers and types of engagement for direct mail, special events, annual fund, major gifts, planned/deferred gifts, etc.)

# Appendix A: Gift Bands

## Targeted Goal Gift Band

Giving Level	Averages			Phase I Goal		Phase II Goal		Phase III Goal	
	Donors	Dollars	Avg. Gift	Donors	Dollars	Donors	Dollars	Donors	Dollars
Less than \$100	9,251	\$507,185	\$55	9,000	\$493,411	9,750	\$534,528	10,500	\$575,646
\$100 to \$499	7,610	\$1,288,309	\$169	9,000	\$1,523,574	9,250	\$1,565,895	9,500	\$1,608,217
\$500 to \$999	923	\$568,692	\$616	1,200	\$739,562	1,400	\$862,822	1,500	\$924,452
\$1,000 to \$4,999	972	\$1,414,140	\$1,456	1,250	\$1,819,531	1,400	\$2,037,875	1,500	\$2,183,437
\$5,000 to \$9,999	163	\$1,048,216	\$6,441	200	\$1,288,131	250	\$1,610,163	300	\$1,932,196
\$10,000 to \$24,999	124	\$1,677,034	\$13,579	150	\$2,036,883	150	\$2,036,883	150	\$2,036,883
\$25,000 to \$49,999	47	\$1,456,936	\$31,164	75	\$2,337,330	75	\$2,337,330	75	\$2,337,330
\$50,000 to \$99,999	26	\$1,711,233	\$65,817	35	\$2,303,583	35	\$2,303,583	40	\$2,632,667
\$100,000 to \$249,999	23	\$2,487,344	\$106,983	25	\$2,674,563	25	\$2,674,563	40	\$4,279,301
\$250,000 to \$499,999	7	\$2,308,710	\$342,031	5	\$1,710,155	8	\$2,736,248	10	\$3,420,310
\$500,000 to \$999,999	4	\$2,306,291	\$576,573	7	\$4,036,009	9	\$5,189,155	9	\$5,189,155
\$1,000,000 to \$4,999,999	6	\$9,309,772	\$1,619,091	5	\$8,095,454	6	\$9,714,545	7	\$11,333,636
\$5,000,000+	1	\$5,974,374	\$5,974,374	1	\$5,974,374	2	\$11,948,747	2	\$11,948,747
<b>Total</b>	<b>19,155</b>	<b>\$32,058,236</b>	<b>\$1,674</b>	<b>20,953</b>	<b>\$35,032,560</b>	<b>22,360</b>	<b>\$45,552,339</b>	<b>23,633</b>	<b>\$50,401,977</b>

Historical Gift Band Detail: Part 1 of 2

Giving Level	FY 2013			FY 2014		
	Donors	Dollars	Average	Donors	Dollars	Average
Less than \$100	11,488	\$607,280	\$53	9,590	\$545,797	\$57
\$100 to \$499	7,971	\$1,288,422	\$162	8,048	\$1,351,839	\$168
\$500 to \$999	832	\$531,282	\$639	946	\$570,697	\$603
\$1,000 to \$4,999	939	\$1,257,125	\$1,339	979	\$1,463,342	\$1,495
\$5,000 to \$9,999	149	\$908,328	\$6,096	169	\$1,018,099	\$6,024
\$10,000 to \$24,999	106	\$1,393,249	\$13,144	119	\$1,654,689	\$13,905
\$25,000 to \$49,999	29	\$950,684	\$32,782	47	\$1,432,806	\$30,485
\$50,000 to \$99,999	19	\$1,746,170	\$91,904	31	\$1,567,730	\$50,572
\$100,000 to \$249,999	16	\$1,659,917	\$103,745	20	\$2,084,029	\$104,201
\$250,000 to \$499,999	3	\$831,383	\$277,128	8	\$2,322,371	\$290,296
\$500,000 to \$999,999	2	\$1,100,250	\$550,125	4	\$2,154,296	\$538,574
\$1,000,000 to \$4,999,999	6	\$13,154,660	\$2,192,443	1	\$2,000,167	\$2,000,167
\$5,000,000+	-	\$0	\$0	2	\$18,597,494	\$9,298,747
<b>Total</b>	<b>21,560</b>	<b>\$25,428,751</b>	<b>\$1,179</b>	<b>19,964</b>	<b>\$36,763,357</b>	<b>\$1,841</b>

Historical Gift Band Detail: Part 2 of 2

Giving Level	FY 2015			FY 2016			Averages		
	Donors	Dollars	Average	Donors	Dollars	Average	Donors	Dollars	Avg. Gift
Less than \$100	8,944	\$478,646	\$54	6,983	\$397,018	\$57	9,251	\$507,185	\$55
\$100 to \$499	7,275	\$1,246,035	\$171	7,147	\$1,266,938	\$177	7,610	\$1,288,309	\$169
\$500 to \$999	909	\$556,857	\$613	1,004	\$615,933	\$613	923	\$568,692	\$616
\$1,000 to \$4,999	972	\$1,434,237	\$1,476	996	\$1,501,854	\$1,508	972	\$1,414,140	\$1,456
\$5,000 to \$9,999	157	\$1,146,472	\$7,302	176	\$1,119,966	\$6,363	163	\$1,048,216	\$6,441
\$10,000 to \$24,999	126	\$1,920,183	\$15,240	143	\$1,740,014	\$12,168	124	\$1,677,034	\$13,579
\$25,000 to \$49,999	61	\$2,135,258	\$35,004	50	\$1,308,996	\$26,180	47	\$1,456,936	\$31,164
\$50,000 to \$99,999	34	\$1,878,825	\$55,260	20	\$1,652,208	\$82,610	26	\$1,711,233	\$65,817
\$100,000 to \$249,999	26	\$2,784,197	\$107,085	31	\$3,421,232	\$110,362	23	\$2,487,344	\$106,983
\$250,000 to \$499,999	7	\$3,440,647	\$491,521	9	\$2,640,437	\$293,382	7	\$2,308,710	\$342,031
\$500,000 to \$999,999	5	\$2,918,917	\$583,783	5	\$3,051,701	\$610,340	4	\$2,306,291	\$576,573
\$1,000,000 to \$4,999,999	11	\$15,636,856	\$1,421,532	5	\$6,447,406	\$1,289,481	6	\$9,309,772	\$1,619,091
\$5,000,000+	-	\$0	\$0	1	\$5,300,000	\$5,300,000	1	\$5,974,374	\$7,965,831
<b>Total</b>	<b>18,527</b>	<b>\$35,577,130</b>	<b>\$1,920</b>	<b>16,570</b>	<b>\$30,463,705</b>	<b>\$1,838</b>	<b>19,155</b>	<b>\$32,058,236</b>	<b>\$1,674</b>

# Appendix B: Strategic Plans per Objective

**Objective 1: Increase overall fundraising attainment**  
**Objective 2: Increase annual cash in the door**

**Strategic Initiatives in Support of Objectives 1 & 2**

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<ul style="list-style-type: none"> <li>• Overall attainment: \$30,454,916</li> <li>• Annual cash: \$26,500,000</li> <li>• Deployment of specialized staff to meet immediate university priorities &amp; needs                             <ul style="list-style-type: none"> <li>• Specialized projects have required temporary/dedicated staff in order to meet the needs and objective of new university priorities</li> </ul> </li> <li>• Advancement has provided staffing allocations to fulfill university obligations towards the mission and vision of new strategic priorities</li> <li>• Specialized staffing has been deployed for the following:                             <ul style="list-style-type: none"> <li>▪ HCOM Dublin</li> <li>▪ HCOM Cleveland (In Process)</li> <li>▪ Tantrum Theater Project</li> <li>▪ Dublin Campus Fundraising/Awareness</li> </ul> </li> <li>• Development organizational restructure                             <ul style="list-style-type: none"> <li>• Complete restructure plan of the development department in order to promote and enhance:                                     <ul style="list-style-type: none"> <li>▪ Productivity</li> <li>▪ Organizational efficiency</li> <li>▪ Mentorship and</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Overall attainment: \$35,000,000</li> <li>• Annual cash: \$32,210,916</li> <li>• Regionalized development officer deployment                             <ul style="list-style-type: none"> <li>• Grow regionalized development coverage through strategic deployment of gift officer staff in target markets</li> </ul> </li> <li>• Continue quarterly review of travel and engagement activities across the country and the deployment of development staff</li> <li>• Align regional strategy with Alumni Engagement Strategy and the Integrated Advancement Planning Model</li> <li>• Grow centralized model for development in order to efficiently and effectively build new relationships for the university</li> <li>• Dublin campus advancement office                             <ul style="list-style-type: none"> <li>• Grow our regional presence</li> <li>• Improve talent acquisition pool</li> <li>• Align Organizational Giving office in the corporate corridor of Central Ohio</li> <li>• Transfer regionally based staff living in the Central Ohio region to this office</li> </ul> </li> <li>• Gift officer performance metrics                             <ul style="list-style-type: none"> <li>• Align gift officer goals to</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Overall attainment: \$45,000,000</li> <li>• Annual cash: \$39,152,569</li> <li>• Regionalized development officer deployment                             <ul style="list-style-type: none"> <li>• Grow regionalized development coverage through strategic deployment of gift officer staff in target markets</li> </ul> </li> <li>• Continue quarterly review of travel and engagement activities across the country and the deployment of development staff</li> <li>• Align regional strategy with Alumni Engagement Strategy and the Integrated Advancement Planning Model</li> <li>• Grow centralized model for development in order to efficiently and effectively build new relationships for the university</li> <li>• Improve solicitation strategy                             <ul style="list-style-type: none"> <li>• Work to increase solicitation/ask of each donor</li> <li>• Work close gifts in a timely manner; not to exceed 180 days</li> <li>• Work to improve close ratio of submitted proposals</li> <li>• Use wealth screening data to enhance targeted solicitation and close</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Overall attainment: \$50,000,000</li> <li>• Annual cash: \$47,590,193</li> <li>• Regionalized development officer deployment                             <ul style="list-style-type: none"> <li>• Grow regionalized development coverage through strategic deployment of gift officer staff in target markets</li> </ul> </li> <li>• Continue quarterly review of travel and engagement activities across the country and the deployment of development staff</li> <li>• Align regional strategy with Alumni Engagement Strategy and the Integrated Advancement Planning Model</li> <li>• Grow centralized model for development in order to efficiently and effectively build new relationships for the university</li> <li>• Improve solicitation strategy                             <ul style="list-style-type: none"> <li>• Work to increase solicitation/ask of each donor</li> <li>• Work close gifts in a timely manner; not to exceed 180 days</li> <li>• Work to improve close ratio of submitted proposals</li> <li>• Use wealth screening data to enhance targeted solicitation</li> </ul> </li> </ul>

<p>leadership depth for the staffing model</p> <ul style="list-style-type: none"> <li>▪ Appropriate staffing levels for goals and objectives             <ul style="list-style-type: none"> <li>• Organizational Giving</li> <li>• Major Giving</li> <li>• Annual Giving</li> <li>• Planned Giving</li> <li>• Principal Giving</li> <li>• Special Fundraising Initiatives</li> <li>• Development Support</li> </ul> </li> <li>▪ Staffing resources for long term / short term growth</li> <li>▪ Begin hiring and recruitment process of staff</li> </ul> <ul style="list-style-type: none"> <li>• Develop comprehensive Case for Support (unit/university)             <ul style="list-style-type: none"> <li>• Define a process for annual review of all university priorities</li> <li>• Define a process for the introduction, review and determination of new university priorities</li> <li>• Maintain a comprehensive Case for Support for all priority funding areas of the university</li> <li>• Develop priorities that align with current capacity of the university/unit (refer to Gift Band performance)</li> </ul> </li> <li>• Implement improved &amp;</li> </ul>	<p>measure and achieve the goals of the plan</p> <ul style="list-style-type: none"> <li>• Develop individual goals that meet the specific position and objectives each team member is being asked to accomplish</li> <li>• Reward performance to promote retention and high level performance standards</li> </ul> <ul style="list-style-type: none"> <li>• Define the role of the gift officer             <ul style="list-style-type: none"> <li>• The Eduventures Study conducted in the discovery phase of the Advancement 2025 revealed that unit gift officers were spending less than 75% of their time focused on major gift fundraising. Any gift officer resource that is deployed for less than .75 FTE of fundraising produces at half of the capacity of a person dedicated to the role of the fundraiser. Through evaluation and analysis with unit leadership determine the “right” staffing model to increase fundraising capacity while maintaining engagement strategies of the unit.</li> <li>• Review ROI and efficiency of Frontline FTE based on the objectives to be accomplished</li> <li>• Evaluate the investment of each Frontline FTE type based on projected ROI</li> <li>• Convene meetings with unit leadership to discuss/analyze metrics</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Create regional presence on our Cleveland campus             <ul style="list-style-type: none"> <li>• Implement a regional staffing model Cleveland</li> <li>• Recruit and hire required staff                 <ul style="list-style-type: none"> <li>▪ Director of Development, Advancement/HCOM</li> <li>▪ Senior Director of Development, Advancement (UNW)</li> </ul> </li> <li>• Identify office/space needs on the campus</li> </ul> </li> </ul>	<p>and close</p>
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**Key  
Performance  
Indicators**  
  
**Resources  
Needed**

meaningful reporting measures to university partners <ul style="list-style-type: none"> <li>• Provide quarterly dashboard reports to units on performance and goal attainment</li> <li>• Communicate quarterly to unit leadership to provide                         <ul style="list-style-type: none"> <li>▪ Advancement and unit updates regarding priorities</li> <li>▪ Review staffing needs and performance</li> <li>▪ Review upcoming and past engagement opportunities</li> </ul> </li> </ul>			
<ul style="list-style-type: none"> <li>• Cash – excludes Pledge Payments: \$12,706,211</li> <li>• Pledges: \$5,149,059</li> <li>• Planned Gifts: \$12,611,000</li> </ul>	<ul style="list-style-type: none"> <li>• Cash – excludes Pledge Payments: \$15,750,000</li> <li>• Pledges: \$12,250,000</li> <li>• Planned Gifts: \$7,000,000</li> </ul>	<ul style="list-style-type: none"> <li>• Cash – excludes Pledge Payments: \$20,250,000</li> <li>• Pledges: \$15,750,000</li> <li>• Planned Gifts: \$9,000,000</li> </ul>	<ul style="list-style-type: none"> <li>• Cash – excludes Pledge Payments: \$22,500,000</li> <li>• Pledges: \$17,500,000</li> <li>• Planned Gifts: \$10,000,000</li> </ul>
<ul style="list-style-type: none"> <li>• Staffing: 30 FTE</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing: 44 FTE</li> <li>• \$300,000 for facilities</li> <li>• \$10k-\$15k Professional Services</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing: 48 FTE</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing: 47 FTE</li> </ul>

**Objective 3: Increase visit production**

	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Strategic Initiatives in Support of Objective 3</b>	<ul style="list-style-type: none"> <li>Increase average gift officer visit productivity</li> </ul>	<ul style="list-style-type: none"> <li>Increase average gift officer visit productivity</li> <li>Define specific staff to meet target goals for visit by visit type in order to maintain a healthy and stable development pipeline</li> </ul>	<ul style="list-style-type: none"> <li>Increase average gift officer visit productivity</li> <li>Define specific staff to meet target goals for visit by visit type in order to maintain a healthy and stable development pipeline</li> <li>See the study on the role of a gift officer to review efficiency and ROI to determine future staffing needs</li> </ul>	<ul style="list-style-type: none"> <li>Increase average gift officer visit productivity</li> <li>Define specific staff to meet target goals for visit by visit type in order to maintain a healthy and stable development pipeline</li> <li>See the study on the role of a gift officer to review efficiency and ROI to determine future staffing needs</li> </ul>
<b>Key Performance Indicators</b>	<ul style="list-style-type: none"> <li>Total visits: 2,095</li> <li>First time visits: 833</li> <li>Visit frequency (New/Developing/Existing): 41%/32%/26%</li> </ul>	<ul style="list-style-type: none"> <li>Total visits: 3,000</li> <li>First time visits: 1,200</li> <li>Visit frequency (New/Developing/Existing): 40%/35%/25%</li> </ul>	<ul style="list-style-type: none"> <li>Total visits: 4,000</li> <li>First time visits: 1,600</li> <li>Visit frequency (New/Developing/Existing): 40%/35%/25%</li> </ul>	<ul style="list-style-type: none"> <li>Total visits: 4,500</li> <li>First time visits: 1,485</li> <li>Visit frequency (New/Developing/Existing): 34%/33%/33%</li> </ul>
<b>Resources Needed</b>	<ul style="list-style-type: none"> <li>Staffing: 30 FTE</li> </ul>	<ul style="list-style-type: none"> <li>Staffing: 44 FTE</li> <li>Stabilize visit frequency to match project model and KPIs</li> </ul>	<ul style="list-style-type: none"> <li>Staffing: 48 FTE</li> <li>Stabilize visit frequency to match project model and KPIs</li> </ul>	<ul style="list-style-type: none"> <li>Staffing: 47 FTE</li> <li>Stabilize visit frequency to match project model and KPIs</li> </ul>

**Objective 4: Increase first time commitments**

	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Strategic Initiatives in Support of Objective 4</b>	<ul style="list-style-type: none"> <li>• Increase First Time Gifts of \$10k or more                             <ul style="list-style-type: none"> <li>• Increase new relationship visit type to drive first time gifts of \$10k+</li> </ul> </li> <li>• Maintain first time visits/new relationship with MGEVI &gt;90 (preferably MGEVI &gt;95)</li> <li>• Maximize solicitation opportunities to drive these first time gifts with aligned priorities/opportunities and maximization of the OHIO Match Scholarship Program</li> </ul>	<ul style="list-style-type: none"> <li>• Increase First Time Gifts of \$10k or more                             <ul style="list-style-type: none"> <li>• Increase new relationship visit type to drive first time gifts of \$10k+</li> </ul> </li> <li>• Maintain first time visits/new relationship with MGEVI &gt;90 (preferably MGEVI &gt;95)</li> <li>• Maximize solicitation opportunities to drive these first time gifts with aligned priorities/opportunities and maximization of the OHIO Match Scholarship Program</li> </ul>	<ul style="list-style-type: none"> <li>• Increase First Time Gifts of \$10k or more                             <ul style="list-style-type: none"> <li>• Increase new relationship visit type to drive first time gifts of \$10k+</li> </ul> </li> <li>• Maintain first time visits/new relationship with MGEVI &gt;90 (preferably MGEVI &gt;95)</li> <li>• Maximize solicitation opportunities to drive these first time gifts with aligned priorities/opportunities and maximization of the OHIO Match Scholarship Program</li> </ul>	<ul style="list-style-type: none"> <li>• Increase First Time Gifts of \$10k or more                             <ul style="list-style-type: none"> <li>• Increase new relationship visit type to drive first time gifts of \$10k+</li> </ul> </li> <li>• Maintain first time visits/new relationship with MGEVI &gt;90 (preferably MGEVI &gt;95)</li> <li>• Maximize solicitation opportunities to drive these first time gifts with aligned priorities/opportunities and maximization of the OHIO Match Scholarship Program</li> </ul>
<b>Key Performance Indicators</b>	<ul style="list-style-type: none"> <li>• First time commitments of \$10,000 &amp; up: 108</li> </ul>	<ul style="list-style-type: none"> <li>• First time commitments of \$10,000 &amp; up: 150</li> </ul>	<ul style="list-style-type: none"> <li>• First time commitments of \$10,000 &amp; up: 200</li> </ul>	<ul style="list-style-type: none"> <li>• First time commitments of \$10,000 &amp; up: 185</li> </ul>
<b>Resources Needed</b>	<ul style="list-style-type: none"> <li>• Staffing: 30 FTE</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing: 44 FTE</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing: 48 FTE</li> </ul>	<ul style="list-style-type: none"> <li>• Staffing: 47 FTE</li> </ul>

**Objective 5: Drive alumni participation rate**  
**Objective 6: Drive attainment in targeted gift bands**  
**Objective 7: Increase event participant giving**

**Strategic Initiatives in Support of Objectives 5, 6 & 7**

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<ul style="list-style-type: none"> <li>• Cash gifts \$0 - \$99</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$100 - \$999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$1,000 - \$9,999</li> <li>• Dedicate staffing to attain cash gifts to promote pipeline cultivation</li> <li>• Prepare and align targeted donors to increase cash giving in order to be ready to make a first major gift</li> <li>• Encourage shorter term pledge periods or outright gifts to the university to develop more immediate capacity of donor base while increasing cash gifts to the university</li> <li>• Total attainment \$10,000 - \$49,999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Total attainment \$50,000 - \$500,000</li> <li>• Dedicate staffing to attain commitments in the Gift Band level above</li> <li>• Define priorities that appeal to</li> </ul>	<ul style="list-style-type: none"> <li>• Cash gifts \$0 - \$99</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$100 - \$999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$1,000 - \$9,999</li> <li>• Dedicate staffing to attain cash gifts to promote pipeline cultivation</li> <li>• Prepare and align targeted donors to increase cash giving in order to be ready to make a first major gift</li> <li>• Encourage shorter term pledge periods or outright gifts to the university to develop more immediate capacity of donor base while increasing cash gifts to the university</li> <li>• Total attainment \$10,000 - \$49,999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Total attainment \$50,000 - \$500,000</li> <li>• Dedicate staffing to attain commitments in the Gift Band level above</li> <li>• Define priorities that appeal to donors and will encourage giving</li> </ul>	<ul style="list-style-type: none"> <li>• Cash gifts \$0 - \$99</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$100 - \$999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$1,000 - \$9,999</li> <li>• Dedicate staffing to attain cash gifts to promote pipeline cultivation</li> <li>• Prepare and align targeted donors to increase cash giving in order to be ready to make a first major gift</li> <li>• Encourage shorter term pledge periods or outright gifts to the university to develop more immediate capacity of donor base while increasing cash gifts to the university</li> <li>• Total attainment \$10,000 - \$49,999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Total attainment \$50,000 - \$500,000</li> <li>• Dedicate staffing to attain commitments in the Gift Band level above</li> <li>• Define priorities that appeal to donors and will encourage</li> </ul>	<ul style="list-style-type: none"> <li>• Cash gifts \$0 - \$99</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$100 - \$999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Cash gifts \$1,000 - \$9,999</li> <li>• Dedicate staffing to attain cash gifts to promote pipeline cultivation</li> <li>• Prepare and align targeted donors to increase cash giving in order to be ready to make a first major gift</li> <li>• Encourage shorter term pledge periods or outright gifts to the university to develop more immediate capacity of donor base while increasing cash gifts to the university</li> <li>• Total attainment \$10,000 - \$49,999</li> <li>• Sustain the current attainment levels to continue to build a strong pipeline</li> <li>• Total attainment \$50,000 - \$500,000</li> <li>• Dedicate staffing to attain commitments in the Gift Band level above</li> <li>• Define priorities that appeal to</li> </ul>

**Key Performance Indicators**

**Resources Needed**

<p>donors and will encourage giving through a well-defined Case for Support</p> <ul style="list-style-type: none"> <li>• Total attainment \$500,000 &amp; up</li> <li>• Develop the foundation for a Principal Gifts Program</li> <li>• Define and enhance processes around Principal Giving and Transformational Gifts</li> </ul>	<p>through a well-defined Case for Support</p> <ul style="list-style-type: none"> <li>• Total attainment \$500,000 &amp; up</li> <li>• Develop the foundation for a Principal Gifts Program</li> <li>• Define and enhance processes around Principal Giving and Transformational Gifts</li> </ul>	<p>giving through a well-defined Case for Support</p> <ul style="list-style-type: none"> <li>• Total attainment \$500,000 &amp; up</li> <li>• Develop the foundation for a Principal Gifts Program</li> <li>• Define and enhance processes around Principal Giving and Transformational Gifts</li> </ul>	<p>donors and will encourage giving through a well-defined Case for Support</p> <ul style="list-style-type: none"> <li>• Total attainment \$500,000 &amp; up</li> <li>• Develop the foundation for a Principal Gifts Program</li> <li>• Define and enhance processes around Principal Giving and Transformational Gifts</li> </ul>
<ul style="list-style-type: none"> <li>• Alumni participation rate: 5.1%</li> <li>• Cash gifts \$0 - \$99: \$507,185                             <ul style="list-style-type: none"> <li>• Number of gifts: 9,251</li> </ul> </li> <li>• Cash gifts \$100 - \$999: \$1,857,001                             <ul style="list-style-type: none"> <li>• Number of gifts: 8,533</li> </ul> </li> <li>• Cash gifts \$1,000 - \$9,999: \$2,462,356                             <ul style="list-style-type: none"> <li>• Number of gifts: 1,134</li> </ul> </li> <li>• Total attainment \$10,000 - \$49,999: \$3,133,970                             <ul style="list-style-type: none"> <li>• Number of gifts: 170</li> </ul> </li> <li>• Total attainment \$50,000 - \$499,999: \$6,507,287                             <ul style="list-style-type: none"> <li>• Number of gifts: 56</li> </ul> </li> <li>• Total attainment \$500,000 &amp; up: \$17,590,437                             <ul style="list-style-type: none"> <li>• Number of gifts: 11</li> </ul> </li> <li>• Event participant giving: Creating baseline</li> </ul>	<ul style="list-style-type: none"> <li>• Alumni participation rate: 5.3%</li> <li>• Cash gifts \$0 - \$99: \$493,411                             <ul style="list-style-type: none"> <li>• Number of gifts: 9,000</li> </ul> </li> <li>• Cash gifts \$100 - \$999: \$2,263,136                             <ul style="list-style-type: none"> <li>• Number of gifts: 10,200</li> </ul> </li> <li>• Cash gifts \$1,000 - \$9,999: \$3,107,662                             <ul style="list-style-type: none"> <li>• Number of gifts: 1,450</li> </ul> </li> <li>• Total attainment \$10,000 - \$49,999: \$4,374,214                             <ul style="list-style-type: none"> <li>• Number of gifts: 225</li> </ul> </li> <li>• Total attainment \$50,000 - \$499,999: \$6,688,302                             <ul style="list-style-type: none"> <li>• Number of gifts: 65</li> </ul> </li> <li>• Total attainment \$500,000 &amp; up: \$18,105,837                             <ul style="list-style-type: none"> <li>• Number of gifts: 13</li> </ul> </li> <li>• Event participant giving: 5-10% increase over baseline</li> </ul>	<ul style="list-style-type: none"> <li>• Alumni participation rate: 5.5%</li> <li>• Cash gifts \$0 - \$99: \$534,528                             <ul style="list-style-type: none"> <li>• Number of gifts: 9,750</li> </ul> </li> <li>• Cash gifts \$100 - \$999: \$2,428,717                             <ul style="list-style-type: none"> <li>• Number of gifts: 10,650</li> </ul> </li> <li>• Cash gifts \$1,000 - \$9,999: \$3,648,038                             <ul style="list-style-type: none"> <li>• Number of gifts: 1,650</li> </ul> </li> <li>• Total attainment \$10,000 - \$49,999: \$4,374,214                             <ul style="list-style-type: none"> <li>• Number of gifts: 225</li> </ul> </li> <li>• Total attainment \$50,000 - \$499,999: \$7,714,395                             <ul style="list-style-type: none"> <li>• Number of gifts: 68</li> </ul> </li> <li>• Total attainment \$500,000 &amp; up: \$26,852,447                             <ul style="list-style-type: none"> <li>• Number of gifts: 17</li> </ul> </li> <li>• Event participant giving: 5-10% increase over Phase I</li> </ul>	<ul style="list-style-type: none"> <li>• Alumni participation rate: 6.0%</li> <li>• Cash gifts \$0 - \$99: \$575,646                             <ul style="list-style-type: none"> <li>• Number of gifts: 10,500</li> </ul> </li> <li>• Cash gifts \$100 - \$999: \$2,532,669                             <ul style="list-style-type: none"> <li>• Number of gifts: 11,000</li> </ul> </li> <li>• Cash gifts \$1,000 - \$9,999: \$4,115,633                             <ul style="list-style-type: none"> <li>• Number of gifts: 1,800</li> </ul> </li> <li>• Total attainment \$10,000 - \$49,999: \$4,374,214                             <ul style="list-style-type: none"> <li>• Number of gifts: 225</li> </ul> </li> <li>• Total attainment \$50,000 - \$499,999: \$10,332,278                             <ul style="list-style-type: none"> <li>• Number of gifts: 90</li> </ul> </li> <li>• Total attainment \$500,000 &amp; up: \$28,471,538                             <ul style="list-style-type: none"> <li>• Number of gifts: 18</li> </ul> </li> <li>• Event participant giving: 5-10% increase over Phase II</li> </ul>
<ul style="list-style-type: none"> <li>• Consistent staffing levels</li> <li>• Efficient &amp; productive gift officers</li> <li>• Effective talent management program</li> <li>• Determine staffing needs for every gift band</li> </ul>	<ul style="list-style-type: none"> <li>• Consistent staffing levels</li> <li>• Efficient &amp; productive gift officers</li> <li>• Effective talent management program</li> <li>• Determine staffing needs for every gift band</li> <li>• Review Baseline performance to determine adjustments</li> </ul>	<ul style="list-style-type: none"> <li>• Consistent staffing levels</li> <li>• Efficient &amp; productive gift officers</li> <li>• Effective talent management program</li> <li>• Determine staffing needs for every gift band</li> <li>• Review Phase I performance to determine adjustments</li> </ul>	<ul style="list-style-type: none"> <li>• Consistent staffing levels</li> <li>• Efficient &amp; productive gift officers</li> <li>• Effective talent management program</li> <li>• Determine staffing needs for every gift band</li> <li>• Review Phase II performance to determine adjustments</li> </ul>

**Objective 8a: Increase Event Unique Attendance-On Campus Events**

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<p><u>Current Engagement Activities</u></p> <ul style="list-style-type: none"> <li>• Homecoming</li> <li>• On The Green</li> <li>• Black Alumni Reunion</li> <li>• Reunions</li> </ul> <p><i>Please note: All Baseline events will continue thru Phases I, II, III; Phase I events will continue in to Phases II, III; Phase II events will continue in to Phase III</i></p>	<ul style="list-style-type: none"> <li>• Identify/collaborate/promote college/departmental events</li> <li>• Identify/collaborate/promote existing on campus events including Athletics, the Fine Arts Series</li> <li>• Strategically position diversity priorities within OAA on campus events to broaden diversity representation in non-BAR years</li> <li>• Create Campus Alumni Relations team to promote collaboration across colleges</li> <li>• Create streamlined process to track unique attendees and capture data from colleges and departments</li> <li>• Feature university/academic leadership prominently at on-campus events</li> <li>• Replicate Alumni College program on regional campuses</li> </ul>	<ul style="list-style-type: none"> <li>• Increased programming during OTG</li> <li>• Better position volunteer leadership in a peer to peer marketing model</li> <li>• Seek to promote a stronger partnership within the broader region to encourage regional stakeholder participation in on campus events</li> <li>• Expand Alumni Colleges on regional campuses, seeking to create OtG hybrid for regionals</li> <li>• Identify capacity for growth within existing regional campus physical facilities</li> <li>• Increase programming during On the Green including college based/departmental reunions</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain Baseline, Phases I, II activity</li> </ul>
<p><i>Please note: Baseline for unique attendees in the categories of “total participants”, “attendees with MG EVI 75 and above”, “first time attendees” for events is not available at this time</i></p>	<ul style="list-style-type: none"> <li>• Homecoming: 5-10% increase</li> <li>• On the Green: 5-10% increase</li> <li>• BAR: 5-10% increase</li> <li>• Reunions: 5-10% increase</li> <li>• University events: 5-10% increase</li> <li>• College events: 5-10% increase</li> <li>• Athletic events: 5-10% increase</li> <li>• Fine Arts Series: 5-10% increase</li> <li>• Community events: 1-2% increase</li> <li>• Campus AR Team: Created</li> <li>• Tracking system: Created</li> </ul>	<ul style="list-style-type: none"> <li>• Homecoming: 5-10% increase</li> <li>• On the Green: 5-10% increase</li> <li>• BAR: 5-10% increase</li> <li>• Reunions: 5-10% increase</li> <li>• University events: 5-10% increase</li> <li>• College events: 5-10%increase</li> <li>• Athletic events: 5-10%increase</li> <li>• Fine Arts Series: 5-10% increase</li> <li>• Community events: 1-2%increase</li> <li>• Campus AR Team: Refine as necessary</li> <li>• Tracking system: Refine as necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Homecoming: 5-10% increase</li> <li>• On the Green: 5-10% increase</li> <li>• BAR: 5-10% increase</li> <li>• Reunions: 5-10% increase</li> <li>• University events: 5-10% increase</li> <li>• College events: 5-10% increase</li> <li>• Athletic events: 5-10% increase</li> <li>• Fine Arts Series: 5-10% increase</li> <li>• Community events: 1-2% increase</li> <li>• Campus AR Team: Refine as necessary</li> <li>• Tracking system: Refine as necessary</li> </ul>

Strategic Initiatives in Support of Objective 8a

Key Performance Indicators

**Resources  
Needed**

- |  |  |  |  |
|--|--|--|--|
| <ul style="list-style-type: none"> <li>Continued support at established financial and professional staff levels</li> </ul> | <ul style="list-style-type: none"> <li>Increased financial support to meet demands of RCM</li> <li>Increased financial support to better promote University/college/athletic/Fine Arts events</li> <li>Infrastructure funding to support enhanced tracking system for all University, OAA, College based/departmental alumni events</li> <li>Identify capacity for growth within existing campus physical facilities (i.e. Baker Center Ballroom)/Athens community (i.e. OU Inn, future hotel properties)</li> </ul> | <ul style="list-style-type: none"> <li>Increased financial support to meet demands of RCM</li> <li>Increased financial support to better promote University/college/athletic/Fine Arts events</li> </ul> | <ul style="list-style-type: none"> <li>Increased financial support to meet demands of RCM</li> <li>Increased financial support to better promote University/college/athletic/Fine Arts events</li> </ul> |
|--|--|--|--|

**Objective 8b: Increase Unique Event Attendance – 8 Priority Markets**

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<u>Identification of Target Markets</u> <ul style="list-style-type: none"> <li>• Cincinnati</li> <li>• Columbus</li> <li>• Cleveland</li> <li>• Chicago</li> <li>• Pittsburgh</li> <li>• DC</li> <li>• New York</li> <li>• Florida</li> </ul>	<ul style="list-style-type: none"> <li>• Establish Regional Volunteer Committees to foster greater collaboration between various volunteer stakeholders</li> <li>• Showcase OHIO regional impact through programming/events</li> <li>• Deploy regional demographic data in support of event content and marketing</li> <li>• Connect graduating seniors to target market base upon graduation to connect them to alumni network</li> <li>• Expand EBN/Pride Societies to each region</li> <li>• Develop/deploy young alumni professional development programs in each region</li> <li>• Expand Networking Weeks to 2 regions annually (with the exception of Florida)</li> <li>• Strategically populate OHIO Alumni Board with representation from each region</li> <li>• Create on-campus teams in support of each region with stakeholders from across campus to develop fully integrated Advancement Plans with inform/involve/invest KPI's attached</li> <li>• Expand college based programming as appropriate in each region</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain Baseline, Phase I activity</li> <li>• Continue to identify additional opportunities/needs/services</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain Baseline, Phase I activity</li> <li>• Continue to identify additional opportunities/needs/services</li> </ul>
<b>Key Performance</b> # Events Cincinnati      6	# Events Cincinnati      10	# Events Cincinnati      15	# Events Cincinnati      15

**Strategic Initiatives in Support of Objective 8b**

<b>Indicators</b>	Columbus	37	Columbus	30	Columbus	30	Columbus	30
	Cleveland	38	Cleveland	30	Cleveland	30	Cleveland	30
	Chicago	6	Chicago	10	Chicago	15	Chicago	15
	Pittsburgh	5	Pittsburgh	10	Pittsburgh	15	Pittsburgh	15
	DC	35	DC	30	DC	30	DC	30
	New York	4	New York	10	New York	15	New York	15
	Florida	11	Florida	10	Florida	15	Florida	15
	<u># Unique Attendees</u>		<u># Unique Attendees</u>		<u># Unique Attendees</u>		<u># Unique Attendees</u>	
	Please note: Baseline for unique attendees in the categories of “total participants”, “attendees with MG EVI 75 and above”, “first time attendees” for events is not available at this time		Cincinnati	5-10% increase	Cincinnati	5-10% increase	Cincinnati	5-10% increase
			Columbus	5-10% increase	Columbus	5-10% increase	Columbus	5-10% increase
		Cleveland	5-10% increase	Cleveland	5-10% increase	Cleveland	5-10% increase	
		Chicago	5-10% increase	Chicago	5-10% increase	Chicago	5-10% increase	
		Pittsburgh	5-10% increase	Pittsburgh	5-10% increase	Pittsburgh	5-10% increase	
		DC	5-10% increase	DC	5-10% increase	DC	5-10% increase	
		New York	5-10% increase	New York	5-10% increase	New York	5-10% increase	
		Florida	5-10% increase	Florida	5-10% increase	Florida	5-10% increase	
<b>Resources Needed</b>	<ul style="list-style-type: none"> <li>Continued support at established financial and professional staff levels</li> </ul>	<ul style="list-style-type: none"> <li>Financial resources for programs/marketing</li> <li>Financial resources to educate and support volunteers in the regions, either in person or using digital platforms</li> <li>Financial resources for regional specific communication tools.</li> <li>Increased financial support to meet demands of RCM</li> </ul>	<ul style="list-style-type: none"> <li>Financial resources for programs/marketing</li> <li>Financial resources to educate and support volunteers in the regions, either in person or using digital platforms</li> <li>Financial resources for regional specific communication tools.</li> <li>Increased financial support to meet demands of RCM</li> </ul>	<ul style="list-style-type: none"> <li>Financial resources for programs/marketing</li> <li>Financial resources to educate and support volunteers in the regions, either in person or using digital platforms</li> <li>Financial resources for regional specific communication tools.</li> <li>Increased financial support to meet demands of RCM</li> </ul>	<ul style="list-style-type: none"> <li>Financial resources for programs/marketing</li> <li>Financial resources to educate and support volunteers in the regions, either in person or using digital platforms</li> <li>Financial resources for regional specific communication tools.</li> <li>Increased financial support to meet demands of RCM</li> </ul>			

### Objective 8c: Increase Unique Event Attendance – Chapters & Societies

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<p><u>Current Engagement Activities</u></p> <ul style="list-style-type: none"> <li>• Alumni Networking</li> <li>• Alumni/Student Networking</li> <li>• Education/Professional Development</li> <li>• Community Service</li> <li>• Student Programming</li> <li>• Educational</li> </ul> <p><i>Please note: All Baseline events will continue thru Phases I, II, III; Phase I events will continue in to Phases II, III; Phase II events will continue in to Phase III</i></p>	<ul style="list-style-type: none"> <li>• Continue to refine Tier System for Chapters/Societies/Regional Networks &amp; Liaisons</li> <li>• Partner with diversity groups to provide a broader spectrum of programming to diverse populations</li> <li>• Partner with other higher education institutions to co-sponsor high level programs</li> <li>• Identify digital/online presence needs</li> <li>• Engage volunteers at a deeper level through ongoing training, education, stewardship</li> <li>• Take Alumni College programs on the road to key markets, engaging university leadership, faculty and showcasing university fundraising priorities</li> <li>• Expand regional chapters/networks/liaisons</li> <li>• Expand special interest societies/networking/liaisons</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain Baseline, Phase I activity</li> <li>• Continue expansion efforts for regional groups and special interest groups</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain Baseline, Phase I, Phase II activity</li> <li>• Continue expansion efforts for regional groups and special interest groups</li> </ul>
<p>Chapters/Networks/Liaisons 28</p> <p>Societies/Networks/Liaisons 18</p> <p>Total Events 295</p> <p><u># Unique Attendees</u> Please note: Baseline for unique attendees in the categories of “total participants”, “attendees with MG EVI 75 and above”, “first time</p>	<p>Chapters/Networks/Liaisons 35</p> <p>Societies/Networks/Liaisons 30</p> <p>Total Events 406</p> <p><u># Unique Attendees</u> 5-10% increase</p>	<p>Chapters/Networks/Liaisons 40</p> <p>Societies/Networks/Liaisons 35</p> <p>Total Events 470</p> <p><u># Unique Attendees</u> 5-10% increase</p>	<p>Chapters/Networks/Liaisons 45</p> <p>Societies/Networks/Liaisons 40</p> <p>Total Events 527</p> <p><u># Unique Attendees</u> 5-10% increase</p>

Strategic Initiatives in Support of Objective 8c

Key Performance Indicators

attendees” for events is not available at this time			
<ul style="list-style-type: none"> <li>Continued support at established financial and professional staff levels</li> </ul>	<ul style="list-style-type: none"> <li>Financial resources for programs/marketing</li> <li>Financial resources to educate and support volunteers in the regions, either in person or using digital platforms</li> <li>Financial resources for regional specific communication tools</li> <li>Additional tier system dollars to allow for expansion, including additional program, volunteer training and support</li> </ul>	<ul style="list-style-type: none"> <li>Additional 2 FTE’s to manage groups within expansion</li> <li>Increase of 2 support staff to account for the over 150 additional events</li> </ul>	<ul style="list-style-type: none"> <li>Incremental increases in funding support for the increased chapter and society groups and the tier dollars associated with the groups</li> </ul>

**Resources Needed**

**Objective 8d: Increase Unique Event Attendance – Diversity Programming**

**Strategic Initiatives in Support of Objective 8d**

**Key Performance Indicators**

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<ul style="list-style-type: none"> <li>• EBN Societies in: Cleveland; Columbus; Cincinnati; Washington, DC</li> <li>• Pride Society in Columbus</li> <li>• Black Alumni Reunion</li> <li>• Partnership w/ LGBTQ Center</li> <li>• Women’s Leadership Symposium</li> </ul> <p><i>Please note: All Baseline events will continue thru Phases I, II, III; Phase I events will continue in to Phases II, III; Phase II events will continue in to Phase III</i></p>	<ul style="list-style-type: none"> <li>• Expand EBN to all 8 priority markets</li> <li>• Expand Pride Society to all 8 priority Markets</li> <li>• Establish Latino Alumni Society</li> <li>• Establish connection with and support programming to Hillel</li> <li>• Digital development and presence</li> <li>• Hillel collaboration</li> <li>• Creating strategic relationships within OAA</li> <li>• Ensure appropriate diversity representation within OAA Board of Directors, Chapter, Society volunteer leadership</li> <li>• Deploy online platform to support opportunities for online networking and program streaming</li> <li>• Create diversity marketing plan to account for communication to all populations</li> </ul>	<ul style="list-style-type: none"> <li>• Create professional development and career networking opportunities for underrepresented populations</li> <li>• Where appropriate expand EBN and Pride Societies in to other markets</li> <li>• Enhance digital platform engagement opportunities in pace with technology</li> </ul>	<ul style="list-style-type: none"> <li>• Sustain Baseline, Phase I, II, III initiatives</li> <li>• Continue to identify additional opportunities</li> </ul>
<p><b># Events</b></p> <p>EBN 16</p> <p>Pride 6</p> <p><b># Unique Attendees</b></p> <p><i>Please note: Baseline for unique attendees in the categories of “total participants”, “attendees with MG EVI 75 and above”, “first time attendees” for events is not available at this time.</i></p>	<ul style="list-style-type: none"> <li>• Expand EBN Society to all 8 markets; realize 5-10% annual increase in members/events/ attendees annually</li> <li>• Expand Pride Society to all 8 markets; realize 5-10% annual increase in members/events/attendees annually</li> <li>• Latino Alumni Society established; baseline members/events/activities establishes; realize 5-10% increase annually</li> </ul>	<ul style="list-style-type: none"> <li>• BAR 5-10% increase</li> <li>• EBN activities 4 in each region</li> <li>• EBN members 10% in each region</li> <li>• Pride activities 4 in each region</li> <li>• Maintain 20-25% diversity on OAA Board of Directors</li> <li>• Women’s Leadership Symposium held annually in 1 of 8 priority regions</li> <li>• Continued EBN/Pride expansion as warranted by data</li> <li>• Continue to work closely with Hillel, sponsoring programming</li> </ul>	<ul style="list-style-type: none"> <li>• BAR 5-10 % increase</li> <li>• EBN activities 4 in each region</li> <li>• EBN members 10% in each region</li> <li>• Pride activities 4 in each region</li> <li>• Maintain 20-25% diversity on OAA Board of Directors</li> <li>• Women’s Leadership Symposium annually in 1 of 8 priority regions</li> <li>• Continued EBN/Pride expansion as warranted by data</li> <li>• Continue to work with Hillel, sponsoring programming as appropriate</li> </ul>

**Resources  
Needed**

	<ul style="list-style-type: none"> <li>• Hillel programming with and supported by the OHIO Alumni Association</li> <li>• Maintain 20-25% diversity OAA Board of Directors</li> <li>• Hold Women’s Leadership Symposium annually in 1 of 8 priority regions</li> <li>• Continue to hold BAR every 3 years w/5-10% increase in attendance</li> </ul>	as appropriate		
<ul style="list-style-type: none"> <li>• Continued support at established financial and professional staff levels</li> </ul>	<ul style="list-style-type: none"> <li>• Program dollars to support expansion of networks and activities</li> <li>• Program dollars to support RCM increases</li> </ul>	<ul style="list-style-type: none"> <li>• Program dollars to support expansion of networks and activities</li> <li>• Program dollars to support RCM increases</li> </ul>	<ul style="list-style-type: none"> <li>• Program dollars to support expansion of networks and activities</li> <li>• Program dollars to support RCM increases</li> </ul>	<ul style="list-style-type: none"> <li>• Program dollars to support expansion of networks and activities</li> <li>• Program dollars to support RCM increases</li> </ul>

### Objective 9: Increase Student Engagement

Strategic Initiatives in Support of Objective 9

Key Performance Indicators

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<p><u>Current Engagement Activities</u></p> <ul style="list-style-type: none"> <li>• Student Alumni Board (SAB)</li> <li>• BobcaThon (Dance Marathon)</li> <li>• Networking Week</li> <li>• Bare on the Bricks</li> <li>• Senior Week</li> <li>• Homecoming</li> <li>• Dinner with 12 Strangers (DW12S)</li> <li>• Bobcat to Bobcat Panels (BTB)</li> <li>• Student Send-Offs</li> <li>• Regional Campus Student Involvement</li> </ul>	<ul style="list-style-type: none"> <li>• Increase diversity within SAB</li> <li>• Expand participation in BobcaThon Dance Marathon</li> <li>• Increase dollars raised for BobcaThon</li> <li>• Hold 2 networking weeks annually in key markets</li> <li>• Increase participation in SAB sponsored events such as Bare on the Bricks, Senior Week, Homecoming, DW12S and BTB</li> <li>• Increase student send-offs in key markets</li> <li>• Expand student engagement opportunities to additional regional campuses                             <ul style="list-style-type: none"> <li>• Bobcat to Bobcat Panels</li> <li>• SAB Liaisons</li> </ul> </li> </ul> <p><b>*Items outlined in Baseline will continue in Phase I</b></p>	<ul style="list-style-type: none"> <li>• Establish college-based key market visits (alumni company visits, panel discussions, and career mentoring)</li> <li>• Establish SAB chapters on regional campuses</li> <li>• Establish Dean’s appointed leadership positions within SAB Executive Leadership</li> <li>• Utilize video-conferencing technology to bring together alumni and students for professional development opportunities</li> </ul> <p><b>*Items outlined in Phase I will continue in Phase II.</b></p>	<ul style="list-style-type: none"> <li>• Establish Networking Weeks in all key markets</li> <li>• Establish mini-dance marathons on the regional campuses benefitting charities in the regions</li> <li>• Increase student send-offs in all key markets</li> </ul> <p><b>*Items outlined in Phase II will continue in Phase III.</b></p>
<ul style="list-style-type: none"> <li>• <b>Total unique student participants - 4,930</b></li> </ul>	<ul style="list-style-type: none"> <li>• SAB membership 10% diverse</li> <li>• Increase BobcaThon student participation by 10%</li> <li>• Increase BobcaThon dollars raised by 5%</li> <li>• Two networking weeks held annually</li> <li>• Increased participation in SAB events by 5%</li> <li>• Expand student send-offs by 1 additional market</li> <li>• Expand student engagement opportunities to 2 additional campuses</li> <li>• <b>Total unique student participation - 5,374</b></li> </ul>	<ul style="list-style-type: none"> <li>• Collaborate with 2 colleges to establish to 2 niche based trips</li> <li>• Established SAB chapters on 2 regional campuses</li> <li>• Have Dean’s appointed representatives from each college on SAB Executive Leadership</li> <li>• Provide quarterly video conferencing professional development opportunities (4 per year)</li> <li>• <b>Total unique student participation - 7,868</b></li> </ul>	<ul style="list-style-type: none"> <li>• Collaborate with 2 colleges to establish to 2 niche based trips</li> <li>• Established SAB chapters on 2 regional campuses</li> <li>• Have Dean’s appointed representatives from each college on SAB Executive Leadership</li> <li>• Provide quarterly video conferencing professional development opportunities (4 per year)</li> <li>• <b>Total unique student participation - 7,868</b></li> </ul>

**Resources  
Needed**

- |  |   |   |  |
|--|---|---|--|
| <ul style="list-style-type: none"> <li>• Continued support at established financial and professional staff levels</li> </ul> | <ul style="list-style-type: none"> <li>• Increased financial support equivalent to 2 additional Networking Weeks, 1 additional Student Send-Off</li> <li>• Addition of a Graduate Assistant to co-advise BobcaThon</li> </ul> | <ul style="list-style-type: none"> <li>• Increased financial support equivalent to the cost of niche based trips, and technology needs</li> <li>• 1 additional staff member dedicated to working on regional campus expansion and student professional development</li> </ul> | <ul style="list-style-type: none"> <li>• 1 additional staff member to provide event support for Networking Weeks in all key markets and student send-offs</li> </ul> |
|--|---|---|--|

### Objective 10: Increase Affinity Participation

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<p><u>Current Affinity Initiatives</u></p> <ul style="list-style-type: none"> <li>Nationwide Partnership</li> <li>Balfour Ring Program</li> <li>CIR Insurance</li> <li>Bobcat Store</li> </ul>	<ul style="list-style-type: none"> <li>Analyze current insurance partnership for renewal or new partnership opportunities (Current contract ends in 2017)</li> <li>Expand sales of alumni rings</li> <li>Analyze and evaluate CIS Insurance partnership</li> <li>Increase revenue for Bobcat store and number of unique customers</li> <li>Increase opt-in list for Bobcat Store</li> <li>Establish customer surveying tool to be conducted on shopping experience</li> <li>Increase campus partner purchases</li> <li>Evaluate alumni industry for new and innovative affinity product offerings</li> <li>Benchmark against like and aspirational institutions to identify emerging trends and affinity partner programs</li> </ul> <p><b>*Items outlined in Baseline will continue in Phase I</b></p>	<ul style="list-style-type: none"> <li>Increase college specific product offerings on Bobcat Store</li> <li>Increase affinity revenue to offset Association expenses</li> <li>Establish corporate based alumni groups at key corporate partners</li> </ul> <p><b>*Items outlined in Baseline, Phase I will continue in Phase II</b></p>	<p><b>*Items outlined in Baseline, Phase I, Phase II will continue in Phase III</b></p>
<ul style="list-style-type: none"> <li>Number of Accounts with Nationwide Insurance (Auto, Boat, Motorcycle, RV) – 3,337</li> <li>Number of Rings sold – Not available</li> <li>Number of Accounts with CIR – Not available</li> <li>Bobcat Store Revenue - \$181,000</li> <li>Bobcat Store Unique Customers – 1,892</li> </ul>	<ul style="list-style-type: none"> <li>Number of Accounts with Nationwide Insurance (Auto, Boat, Motorcycle, RV) – 5,374</li> <li>Number of Rings sold – Not available</li> <li>Number of Accounts with CIR – Not available</li> <li>Bobcat Store Revenue – \$199,100</li> <li>Bobcat Store Unique Customers – 2,080</li> </ul>	<ul style="list-style-type: none"> <li>Number of Accounts with Nationwide Insurance (Auto, Boat, Motorcycle, RV) – 7,868</li> <li>Number of Rings sold – Not available</li> <li>Number of Accounts with CIR – Not available</li> <li>Bobcat Store Revenue - \$219,000</li> <li>Bobcat Store Unique Customers – 2,290</li> </ul>	<ul style="list-style-type: none"> <li>Number of Accounts with Nationwide Insurance (Auto, Boat, Motorcycle, RV) – 7,868</li> <li>Number of Rings sold – Not available</li> <li>Number of Accounts with CIR – Not available</li> <li>Bobcat Store Revenue - \$219,000</li> <li>Bobcat Store Unique Customers – 2,290</li> </ul>

Strategic Initiatives in Support of Objective 10

Key Performance Indicators

**Resources  
Needed**

- Continued support at established financial and professional staff levels
- Guidance and support from procurement when working through renewal or new partnership project
- Increased analytics on Bobcat Store to better understand customers
- Continued support from ACM for Bobcat Store and corporate partnership marketing

### Objective 11: Increase Donor Retention

	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Strategic Initiatives in Support of Objective 11</b>	<ul style="list-style-type: none"> <li>Current retention efforts include:                             <ul style="list-style-type: none"> <li>President’s box at home football games</li> <li>Events related to major way athletics events (such as bowl games, etc.)</li> <li>Current gift receipt and acknowledgement process</li> <li>Cutler Herrold Society</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Revise existing receipt and acknowledgement practices</li> <li>Develop and distribute a monthly “lapsing donor” report</li> <li>Collaborate with division and university colleagues to develop events targeted at likely major donors</li> <li>Develop individual stewardship plans for the university’s top 100 donors</li> </ul>	<ul style="list-style-type: none"> <li>Maintain Phase I changes</li> <li>Revise existing stewardship plans</li> <li>Increase developed stewardship plans to the top 250</li> </ul>	<ul style="list-style-type: none"> <li>Maintain Phase I and II changes</li> <li>Assess and make additional changes as needed</li> </ul>
<b>Key Performance Indicators</b>	<ul style="list-style-type: none"> <li>Annual retention rate: 55.8%</li> </ul>	<ul style="list-style-type: none"> <li>Annual retention rate: 58%</li> </ul>	<ul style="list-style-type: none"> <li>Annual retention rate: 60%</li> </ul>	<ul style="list-style-type: none"> <li>Annual retention rate: 62%</li> </ul>
<b>Resources Needed</b>		<ul style="list-style-type: none"> <li>Increased financial support for receipting and acknowledgement process</li> <li>Staffing reorganization and two additional staff (see attached) to support increased focus</li> </ul>	<ul style="list-style-type: none"> <li>One additional staff (see attached)</li> <li>Continued support at existing level</li> <li>Additional financial support for stewardship events if needed</li> </ul>	<ul style="list-style-type: none"> <li>Continued support at existing level</li> <li>Additional financial support for stewardship events if needed</li> </ul>

### Objective 12: Improve Data Quality and Access

	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Strategic Initiatives in Support of Objective 12</b>	Current efforts include: <ul style="list-style-type: none"> <li>• Data “cleansing” as-needed</li> <li>• Annual propensity model for entire database</li> <li>• Annual net wealth screening for entire database</li> <li>• Available capacity scoring for approximately 30,000 records annually</li> <li>• Distribution of quarterly dashboards to unit-heads</li> </ul>	<ul style="list-style-type: none"> <li>• Select and implement a new database-of-record and CRM system</li> <li>• Undertake a comprehensive database audit and “cleansing” of existing data</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain Phase I changes</li> <li>• Revise existing stewardship plans</li> <li>• Increase developed stewardship plans to the top 250</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain Phase I and II changes</li> <li>• Assess and make additional changes as needed</li> </ul>
<b>Key Performance Indicators</b>	<ul style="list-style-type: none"> <li>• Annual retention rate: 55.8%</li> </ul>	<ul style="list-style-type: none"> <li>• Annual retention rate: 58%</li> </ul>	<ul style="list-style-type: none"> <li>• Annual retention rate: 60%</li> </ul>	<ul style="list-style-type: none"> <li>• Annual retention rate: 62%</li> </ul>
<b>Resources Needed</b>		<ul style="list-style-type: none"> <li>• Increased financial support for receipting and acknowledgement process</li> <li>• Staffing reorganization and two additional staff (see attached) to support increased focus</li> </ul>	<ul style="list-style-type: none"> <li>• One additional staff (see attached)</li> <li>• Continued support at existing level</li> <li>• Additional financial support for stewardship events if needed</li> </ul>	<ul style="list-style-type: none"> <li>• Continued support at existing level</li> <li>• Additional financial support for stewardship events if needed</li> </ul>

### Objective 13: Develop a robust talent management program

**Strategic Initiatives in Support of Objective 13**

**Key Performance Indicators**

Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<ul style="list-style-type: none"> <li>• Fill vacancies and unit needs in an efficient time frame</li> <li>• Empower staff to reach personal and professional goals through effective coaching and performance management</li> <li>• Research and utilize new recruitment tools, trends, and technologies to be most effective in hiring</li> </ul>	<ul style="list-style-type: none"> <li>• Develop a holistic retention strategy to include both direct and indirect compensation packages</li> <li>• Develop a comprehensive training/orientation program for division staff as well as volunteers and University leadership</li> <li>• Create an in-house professional development curriculum</li> <li>• Create consistent and ongoing opportunities for Division-wide staff team building and social interaction</li> <li>• Empower staff to reach personal and professional goals through effective coaching and performance management</li> <li>• Research and utilize new recruitment tools, trends, and technologies to be most effective in hiring</li> <li>• Review retention strategies and update where necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Enhance and promote our staff incentive plan for personal involvement in the identification and recruitment of new employees</li> <li>• Formalize our externally focused professional development program across the Division to create opportunities for employee growth</li> <li>• Empower staff to reach personal and professional goals through effective coaching and performance management</li> <li>• Research and utilize new recruitment tools, trends, and technologies to be most effective in hiring</li> <li>• Review retention strategies and update where necessary</li> </ul>	<ul style="list-style-type: none"> <li>• Engage staff in identifying and implementing action steps that will make the division stronger</li> <li>• Empower staff to reach personal and professional goals through effective coaching and performance management</li> <li>• Research and utilize new recruitment tools, trends, and technologies to be most effective in hiring</li> <li>• Review retention strategies and update where necessary</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Staff retention rate: 78%</b></li> <li>• <b>Average tenure of employee: 38 months</b></li> <li>• Number of positions filled: 14</li> <li>• Number of incumbent reviews completed: 7</li> <li>• Number of resignations: 13</li> <li>• Number of retirements: 5</li> <li>• Number of abolished positions: 1</li> <li>• Number of failed searches: 4</li> <li>• Number of recruitment tools: 14</li> <li>• Number of incentive programs: 2</li> <li>• Number of division-wide social</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Staff retention rate: 80%</b></li> <li>• <b>Average tenure of employee: 44 months</b></li> <li>• Number of positions filled: 15</li> <li>• Number of incumbent reviews completed: 9</li> <li>• Number of resignations: 10</li> <li>• Number of retirements: 4</li> <li>• Number of abolished positions: 2</li> <li>• Number of failed searches: 3</li> <li>• Number of recruitment tools: 16</li> <li>• Number of incentive programs: 4</li> <li>• Number of division-wide social</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Staff retention rate: 82%</b></li> <li>• <b>Average tenure of employee: 50 months</b></li> <li>• Number of positions filled: 13</li> <li>• Number of incumbent reviews completed: 11</li> <li>• Number of resignations: 9</li> <li>• Number of retirements: 3</li> <li>• Number of abolished positions: 0</li> <li>• Number of failed searches: 2</li> <li>• Number of recruitment tools: 18</li> <li>• Number of incentive programs: 6</li> <li>• Number of division-wide social</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Staff retention rate: 84%</b></li> <li>• <b>Average tenure of employee: 56 months</b></li> <li>• Number of positions filled: 11</li> <li>• Number of incumbent reviews completed: 13</li> <li>• Number of resignations: 8</li> <li>• Number of retirements: 2</li> <li>• Number of abolished positions: 0</li> <li>• Number of failed searches: 1</li> <li>• Number of recruitment tools: 20</li> <li>• Number of incentive programs: 8</li> <li>• Number of division-wide social</li> </ul>

**Resources Needed**

<p>gatherings: 3</p> <ul style="list-style-type: none"> <li>• Number of division-wide professional development opportunities: 0</li> <li>• Number of employees exceeding goals: 19</li> <li>• Number of employees meeting goals: 52</li> <li>• Number of employees not meeting goals: 2</li> </ul>	<p>gatherings: 5</p> <ul style="list-style-type: none"> <li>• Number of division-wide professional development opportunities: 2</li> <li>• Number of employees exceeding goals: 22</li> <li>• Number of employees meeting goals: 76</li> <li>• Number of employees not meeting goals: 1</li> </ul>	<p>gatherings: 7</p> <ul style="list-style-type: none"> <li>• Number of division-wide professional development opportunities: 4</li> <li>• Number of employees exceeding goals: 25</li> <li>• Number of employees meeting goals: 90</li> <li>• Number of employees not meeting goals: 1</li> </ul>	<p>gatherings: 9</p> <ul style="list-style-type: none"> <li>• Number of division-wide professional development opportunities: 6</li> <li>• Number of employees exceeding goals: 30</li> <li>• Number of employees meeting goals: 90</li> <li>• Number of employees not meeting goals: 0</li> </ul>
<ul style="list-style-type: none"> <li>• Availability of leadership and search committee members in order to expedite decisions in the search process</li> <li>• Continued investment in recruitment tools, trends, and technologies</li> <li>• Fill the proposed Talent Acquisitions &amp; Management Specialist position that has been failed twice</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration with University Human Resources and University Advancement leadership on new programs</li> <li>• Connect with University-wide contacts on team building and social interaction options</li> <li>• Continued investment in recruitment tools, trends, and technologies</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration with University Advancement leadership on new policies and programs</li> <li>• Continued investment in recruitment tools, trends, and technologies</li> <li>• Hire a Talent Acquisitions &amp; Management Coordinator to assist with HR functions for the division due to the increase in staffing levels</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration with University Advancement staff on new ideas and initiatives</li> <li>• Continued investment in recruitment tools, trends, and technologies</li> </ul>

# ADVANCEMENT STRATEGIC PLAN

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ADVANCING **OHIO**

2017-2029



**OHIO**  
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# Agenda

- Context
- Plan
- Resources
- Benchmarks
- Key Performance Indicators
- Conclusion and Discussion
- Next Steps



# Context



OHIO  
UNIVERSITY

Established 1804



The Ohio University Foundation

Established 1945



OHIO  
UNIVERSITY

# Context



## 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.



# Context



*this is where  
everything connects*

Create for Good

**Make it known.**



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# ADVANCING OHIO

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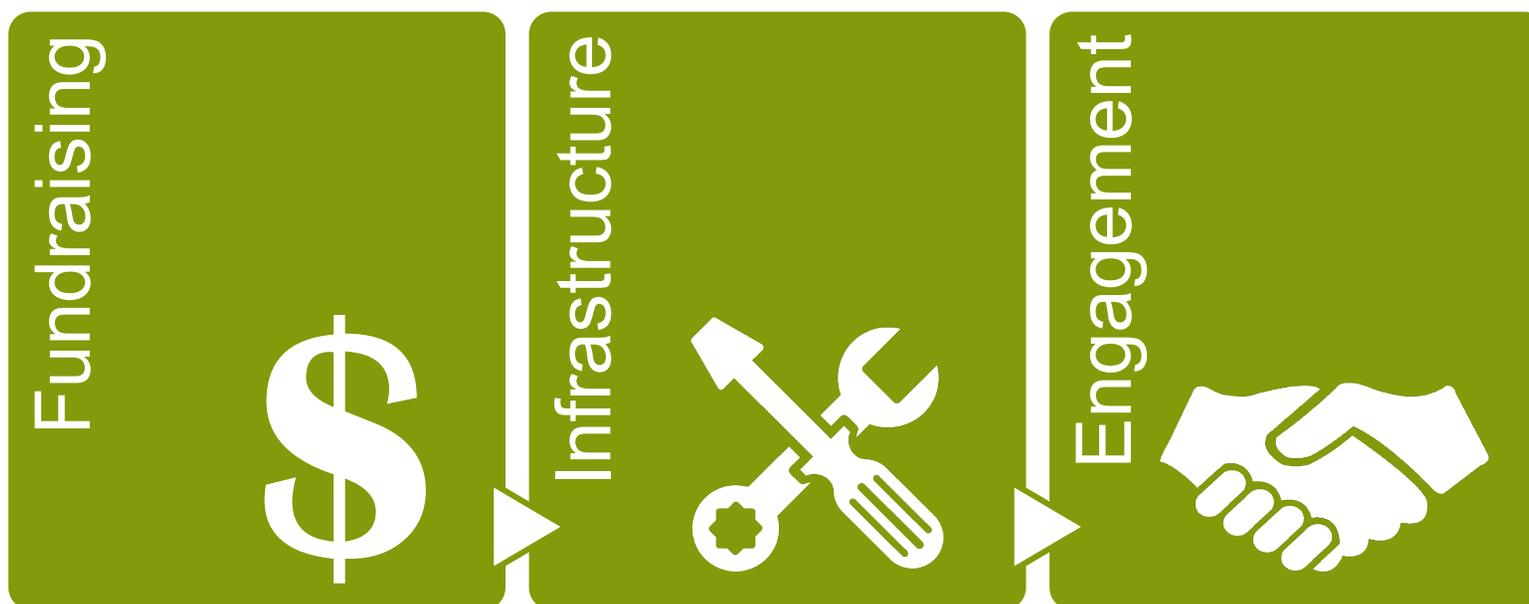


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# ADVANCING OHIO



# ADVANCING OHIO



# ADVANCING OHIO

## Strategic Objectives

### Fundraising

- ❖ Increase overall fundraising attainment
- ❖ Increase annual cash in the door
- ❖ Increase visit production
- ❖ Increase first time commitments
- ❖ Drive alumni participation rate
- ❖ Drive attainment in targeted gift bands

### Engagement

- ❖ Increase event participant giving
- ❖ Increase event attendance (unique attendees)
- ❖ Increase student engagement
- ❖ Increase affinity participation

### Infrastructure

- ❖ Increase donor retention
- ❖ Improve data quality and access
- ❖ Develop a robust talent management program



# ADVANCING OHIO

## Fundraising

**Phase I:**

**\$35m**



# ADVANCING OHIO

## Fundraising

### Fundraising

- ❖ Increase overall fundraising attainment
- ❖ Increase annual cash in the door
- ❖ Increase visit production
- ❖ Increase first time commitments
- ❖ Drive alumni participation rate
- ❖ Drive attainment in targeted gift bands



# ADVANCING OHIO

## Fundraising

**303 new gifts**

**8,000 calls**

**2,400 visits**

**500 solicitations**



# ADVANCING OHIO

## Engagement & Infrastructure

**OHIO Alumni  
Association**

**Data**

**Marketing**



**\$35m**

**Engagement**

**Support**

**Stewardship**

**Brand**

**Tools**

**OHIO Today**



# ADVANCING OHIO

## Engagement & Infrastructure

### Engagement

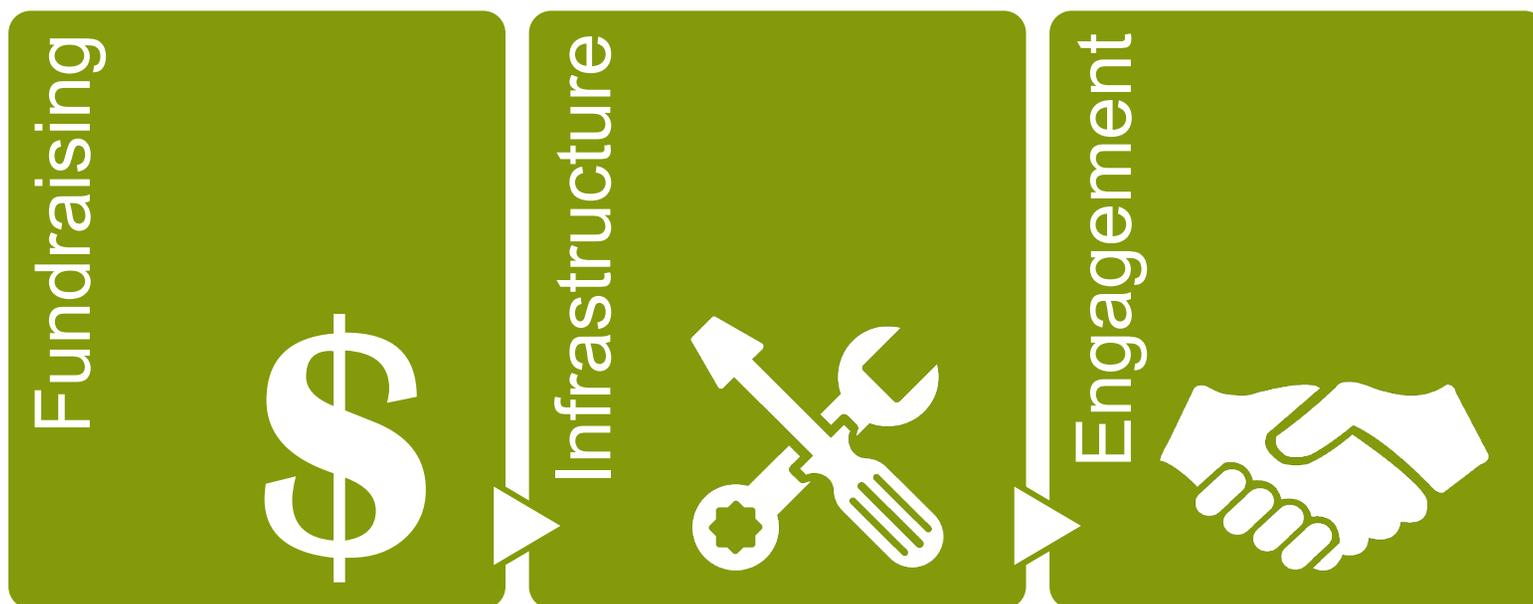
- ❖ Increase event participant giving
- ❖ Increase event attendance (unique attendees)
- ❖ Increase student engagement
- ❖ Increase affinity participation

### Infrastructure

- ❖ Increase donor retention
- ❖ Improve data quality and access
- ❖ Develop a robust talent management program



# ADVANCING OHIO



# Resources

	Baseline	Phase I						Phase II				Phase III			
	FY15	FY16	FY17	FY18	FY19	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27	FY28	FY29
<b>Projected Raised (in millions)</b>	\$ 35.6	\$ 30.5	\$ 31.0	\$ 32.0	\$ 33.0	\$ 34.0	\$ 35.0	\$ 38.0	\$ 41.0	\$ 43.0	\$ 45.0	\$ 46.0	\$ 48.0	\$ 49.0	\$ 50.0
<b>ALL DEPARTMENTS</b>															
Salaries and benefits	\$ 8.3	\$ 8.5	\$ 9.7	\$ 10.6	\$ 10.6	\$ 10.8	\$ 11.1	\$ 11.8	\$ 12.1	\$ 12.3	\$ 12.4	\$ 12.6	\$ 12.8	\$ 12.9	\$ 13.1
Professional services	1.1	1.2	0.9	0.9	0.9	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1
Supplies	0.2	0.3	0.3	0.2	0.2	0.2	0.2	0.2	0.2	0.3	0.3	0.3	0.3	0.3	0.3
Travel and entertainment	1.3	1.5	1.7	2.5	2.7	2.9	3.0	3.1	3.4	3.5	3.6	3.8	3.8	4.0	4.3
Information and communication	1.5	1.5	2.0	1.9	1.8	1.9	1.9	1.9	2.0	2.0	2.0	2.1	2.1	2.2	2.2
Repairs and maintenance	0.2	0.3	0.4	0.4	0.4	0.4	0.4	0.4	0.4	0.4	0.5	0.5	0.5	0.5	0.5
Miscellaneous expenses	0.2	0.2	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.2	0.2	0.2
Cost of goods sold	0.1	0.2	0.1	0.1	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
<b>Total uses</b>	<b>\$ 12.9</b>	<b>\$ 13.7</b>	<b>\$ 15.3</b>	<b>\$ 16.8</b>	<b>\$ 17.0</b>	<b>\$ 17.5</b>	<b>\$ 17.9</b>	<b>\$ 18.8</b>	<b>\$ 19.5</b>	<b>\$ 19.8</b>	<b>\$ 20.2</b>	<b>\$ 20.7</b>	<b>\$ 20.9</b>	<b>\$ 21.3</b>	<b>\$ 21.9</b>
<b>Fundraising</b>	\$ 9.1	\$ 9.2	\$ 10.9	\$ 11.7	\$ 11.6	\$ 11.9	\$ 12.1	\$ 12.7	\$ 13.1	\$ 13.3	\$ 13.5	\$ 13.6	\$ 13.8	\$ 13.9	\$ 14.1
<b>Alumni Relations</b>	2.9	3.3	3.4	4.1	4.3	4.6	4.7	5.0	5.3	5.4	5.6	6.0	6.0	6.2	6.6
<b>Fund Administration</b>	0.8	1.1	1.0	1.0	1.0	1.0	1.0	1.1	1.1	1.1	1.1	1.1	1.2	1.2	1.2
<b>Total uses</b>	<b>\$ 12.9</b>	<b>\$ 13.7</b>	<b>\$ 15.3</b>	<b>\$ 16.8</b>	<b>\$ 17.0</b>	<b>\$ 17.5</b>	<b>\$ 17.9</b>	<b>\$ 18.8</b>	<b>\$ 19.5</b>	<b>\$ 19.8</b>	<b>\$ 20.2</b>	<b>\$ 20.7</b>	<b>\$ 20.9</b>	<b>\$ 21.3</b>	<b>\$ 21.9</b>
<b>Budgeted</b>	\$ 13.5	\$ 14.9													
<b>Advancement Staffing Projections</b>															
VP Advancement	5	5	8	17	17	17	17	19	19	19	19	19	19	19	19
Development	26	30	27	43	42	43	44	45	48	48	48	47	47	47	47
Advancement Services	28	31	27	32	32	33	33	34	37	37	37	37	37	37	37
Alumni Relations	15	13	14	15	15	15	15	20	20	20	20	21	21	21	21
Fund Administration	8	7	8	8	8	8	8	8	8	8	8	8	8	8	8
<b>Total Advancement FTEs*</b>	<b>82</b>	<b>86</b>	<b>84</b>	<b>115</b>	<b>114</b>	<b>116</b>	<b>117</b>	<b>126</b>	<b>132</b>						
<b>Budgeted**</b>	105	104	109												
<b>Maximum Advancement FTE***</b>	92	93	93												

\* FTE count as of the end of FY16

\*\* FTE's budgeted for FY16

\*\*\* The maximum number of filled positions in the given Fiscal Year



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# Benchmarks

## Return on Investment



### Managing Returns

EDUVENTURES

#### Methodology

The 2013 *Managing Returns* study includes a diverse group of nearly 50 higher educational institutions reporting fiscal year 2012 figures. Participants reported their data using a Web-based survey.

#### Demographic Information

- 49 participating colleges and universities
- 51% private, 49% public
- 27% have an Institutionally-Related Foundation

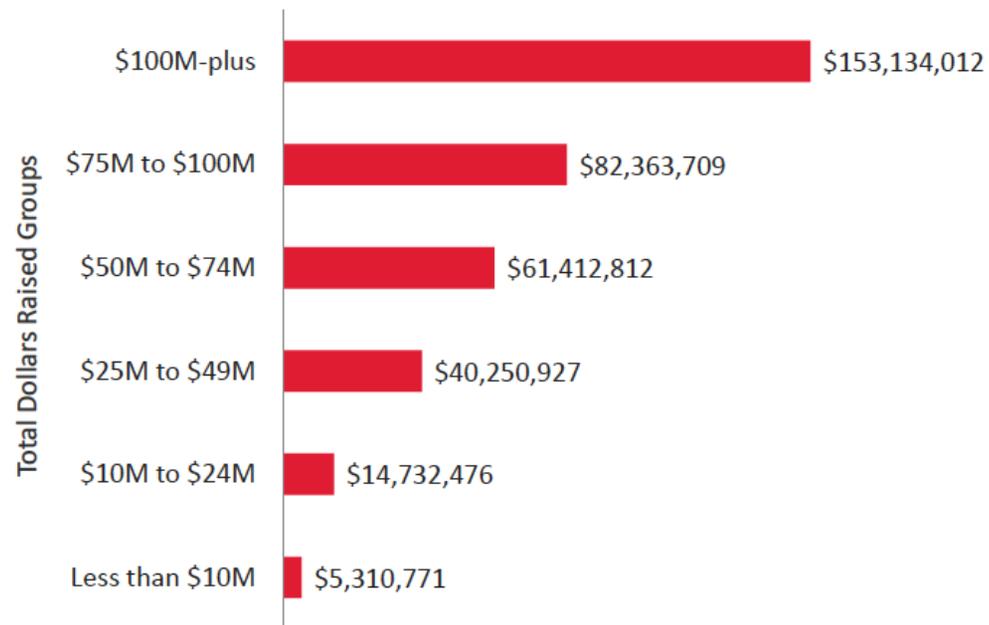


# Benchmarks

## Return on Investment



### Total Commitments\*



\*Total Commitments – Total dollar value of all new gifts, new pledges, and new irrevocable deferred expectancies for the fiscal year.



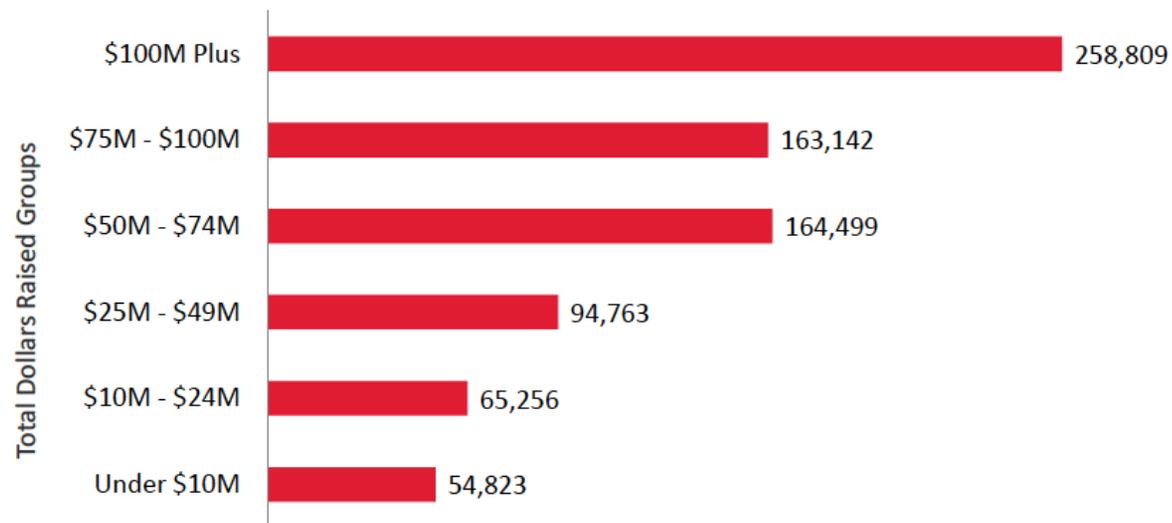
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# Benchmarks

## Return on Investment



### Number of Alumni



# Benchmarks

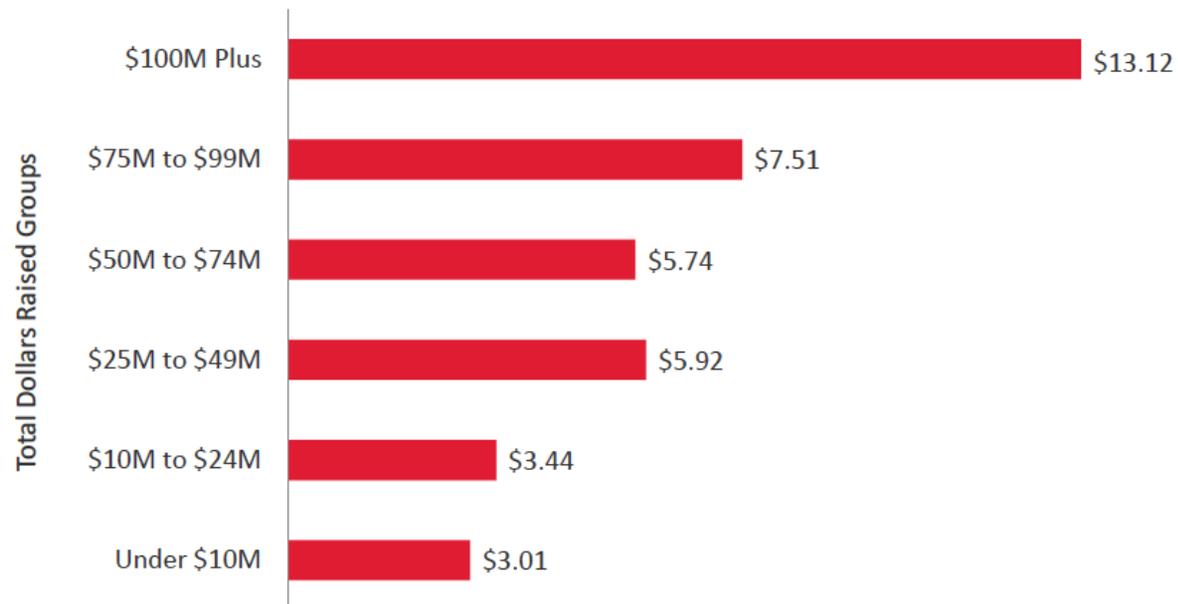
## Return on Investment



### Managing Returns

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Dollars Raised per Budget Dollar <sup>KPI</sup>



**KPI** As part of an organizational diagnostic, Eduventures recommends organizations include this metric among the key performance indicators (KPIs) used to track and evaluate performance on an ongoing basis. This and other KPIs should help guide decision-making and investment.



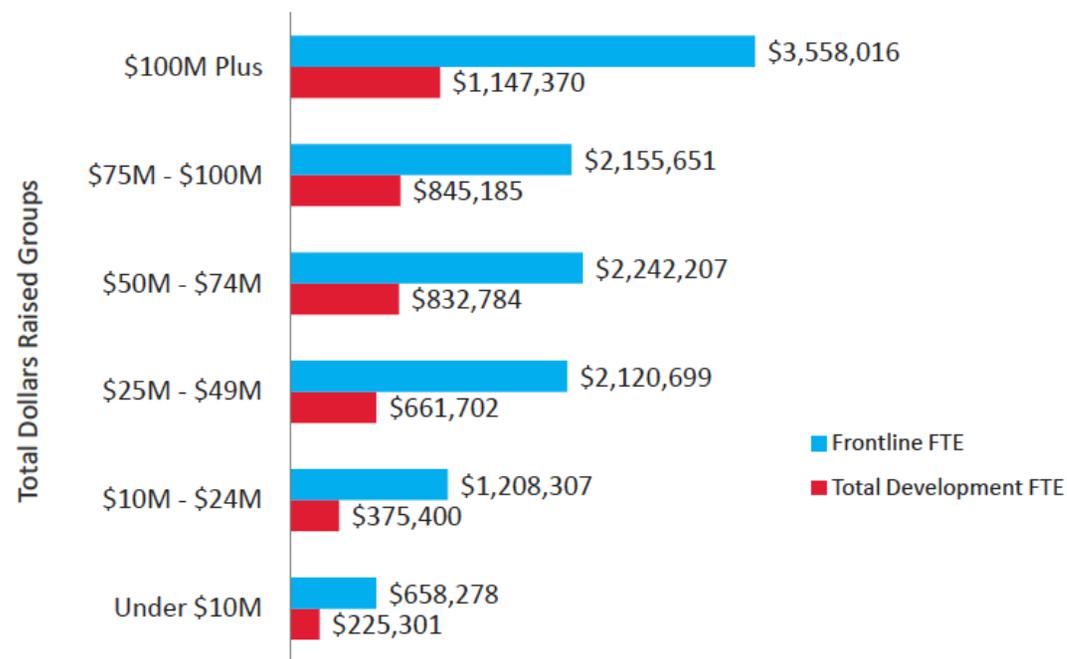
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# Benchmarks

## Return on Investment



### Dollars Raised per FTE <sup>KPI</sup>

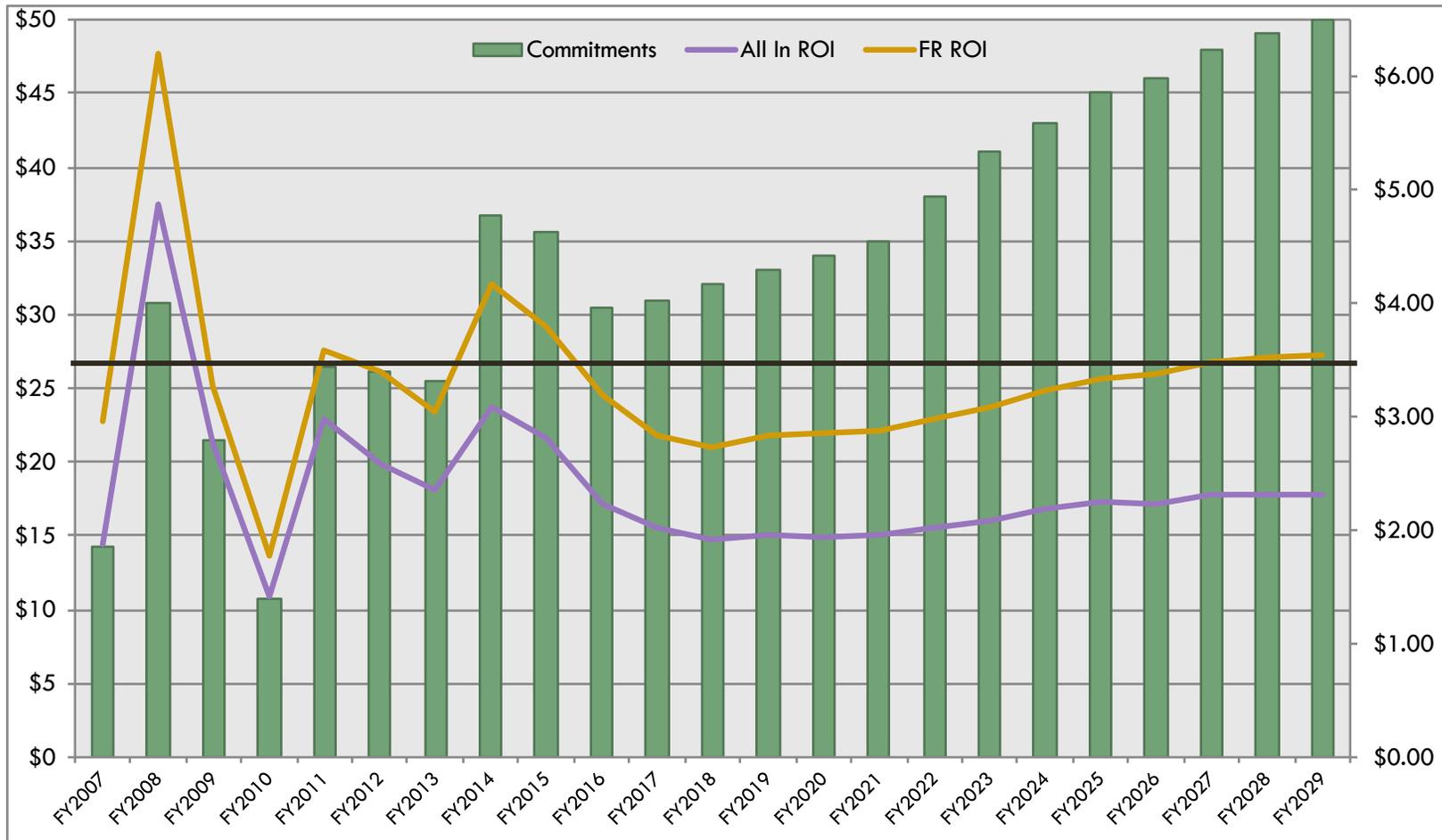


**KPI** As part of an organizational diagnostic, Eduventures recommends organizations include this metric among the key performance indicators (KPIs) used to track and evaluate performance on an ongoing basis. This and other KPIs should help guide decision-making and investment.



# Fundraising Milestones and Return on Investment

The AdvancingOHIO strategy represents an organization in aggressive growth – responding to both present and projected future needs of Ohio University.



The chart represents the total commitments by fiscal year and the return on investment (ROI) in those years looking at All in ROI (the entire advancement organization) and Fundraising ROI (development and advancement services). The black line represents the cumulative average FR ROI of the organization from 2007 to 2016 (\$3.51). (Does not include transformational gifts.)



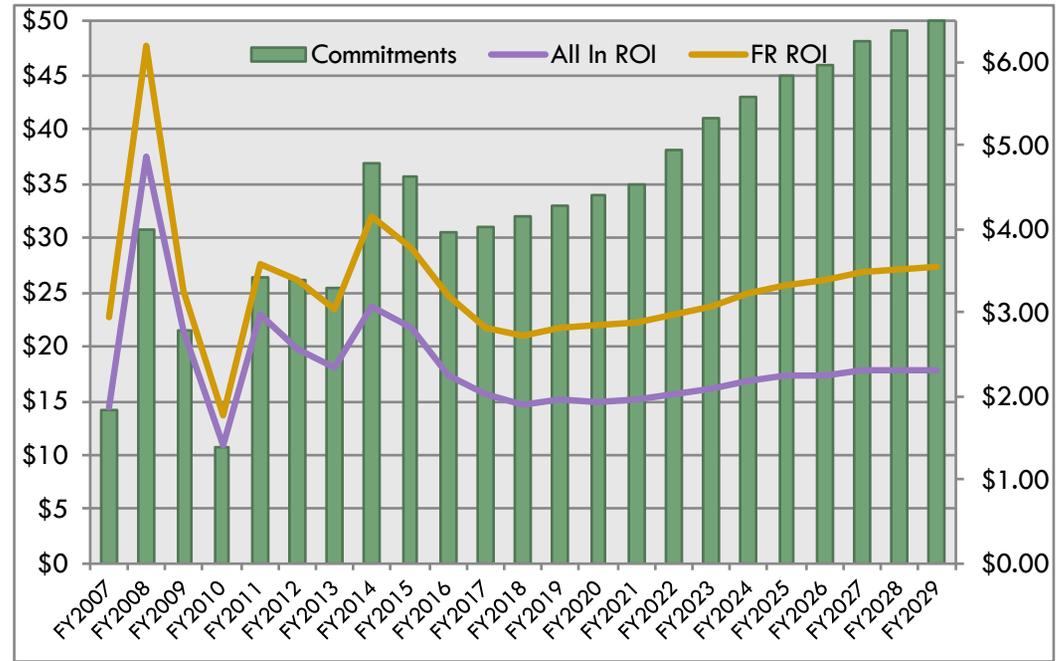
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# Fundraising Milestones and Return on Investment

The AdvancingOHIO strategy represents an organization in aggressive growth – responding to both present and projected future needs of Ohio University.

## The strategy focusses on addressing:

- Aggressive donor acquisition
- Stewardship of donors
- Strategic engagement
- Maturation & development of the Advancement Program
- Fundraising Resources
- Rapidly growing alumni population/demographic
  - Age
  - Donor capacity growth



## Factors Affecting Return on Investment & Cost to Raise a Dollar

- ✓ Type of organization
- ✓ Primary and current fundraising targets
- ✓ Size and wealth of the target donor audience
- ✓ Number of new prospects identified
- ✓ Number of existing donors upgraded
- ✓ Size, nature and overall income levels of the local economy
- ✓ Age and history of the organization
- ✓ Age and history of the fundraising program
- ✓ Number and type of fundraising staff employed
- ✓ Experience and longevity of the fundraising staff
- ✓ Extent and focus of the fundraising strategy (both numbers and types of engagement for direct mail, special events, annual fund, major gifts, planned/deferred gifts, etc.)



# ADVANCING OHIO



# Key Performance Indicators

Strategic Goals (2016 – 2029)				
<b>Fundraising</b>	Double philanthropic support for the University to an average annual run rate of \$50 million by building the long-term foundation for future growth and securing OHIO's next generation of major gift donors.			
<b>Engagement</b>	Expand the breadth, depth, and quality of engagement among alumni, friends, faculty, staff, and students to enable the transformation of institutional affinity to institutional philanthropy.			
<b>Infrastructure</b>	Build the infrastructure required to support our fundraising and engagement goals essential to becoming a nationally recognized, integrated, and sustainable advancement organization.			
Objectives and KPIs	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Obj. 1. Increase overall fundraising attainment</b>	\$30,454,916	\$35,000,000	\$45,000,000	\$50,000,000
a. Cash – excludes Pledge Payments (45%)	\$12,706,211	\$15,750,000	\$20,250,000	\$22,500,000
b. Pledges (35%)	\$5,149,059	\$12,250,000	\$15,750,000	\$17,500,000
c. Planned Gifts (20%)	\$12,611,000	\$7,000,000	\$9,000,000	\$10,000,000
<b>Obj. 2. Increase annual cash in the door</b>	\$ 26,500,00	\$32,210,916	\$39,152,569	\$47,590,193
<b>Obj. 3. Increase visit production</b>				
a. Total visits	2,095	3,000	4,000	4,500
b. First time visits	833	1,200	1,600	1,485
c. Visit frequency (New/Developing/Existing)	41%/32%/26%	40%/35%/25%	40%/35%/25%	34%/33%/33%
<b>Obj. 4. Increase first time commitments</b>				
a. First time commitments of \$10,000 & up	108	150	200	185
<b>Obj. 5. Drive alumni participation rate</b>	5.1%	5.3%	5.5%	6.0%



# Key Performance Indicators

Objectives and KPIs	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Obj. 6. Drive attainment in targeted gift bands</b>				
a. Cash gifts \$0 - \$99	\$507,185	\$493,411	\$534,528	\$575,646
i. Number of gifts	9,251	9,000	9,750	10,500
b. Cash gifts \$100 - \$999	\$1,857,001	\$2,263,136	\$2,428,717	\$2,532,669
i. Number of gifts	8,533	10,200	10,650	11,000
c. Cash gifts \$1,000 - \$9,999	\$2,462,356	\$3,107,662	\$3,648,038	\$4,115,633
i. Number of gifts	1,134	1,450	1,650	1,800
d. Total attainment \$10,000 - \$49,999	\$3,133,970	\$4,374,214	\$4,374,214	\$4,374,214
i. Number of gifts	170	225	225	225
e. Total attainment \$50,000 - \$499,999	\$6,507,287	\$6,688,302	\$7,714,395	\$10,332,278
i. Number of gifts	56	65	68	90
f. Total Attainment \$500,000 & up	\$17,590,437	\$18,105,837	\$26,852,447	\$28,471,538
i. Number of gifts	11	13	17	18
<b>Obj. 7. Increase event participant giving</b>				
a. Giving rate 12 months prior/12 months post	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
<b>Obj. 8. Increase event attendance (unique attendees)</b>				
a. Total participation	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
b. Attendees with MG EVI 75 and above	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
c. First time event attendees	Creating Baseline	5 - 10%	5 - 10%	5 - 10%
d. Number of events	295	406	470	527
<b>Obj. 9. Increase student engagement</b>	4,930	5,374	7,868	7,499
<b>Obj. 10. Increase affinity participation</b>				
a. Corporate affinity group participants	3,337	5,374	7,868	11,520
b. Bobcat Store customers	1,892	2,080	2,290	2,515



# Key Performance Indicators

Objectives and KPIs	Baseline (2016)	Phase I (2021)	Phase II (2025)	Phase III (2029)
<b>Obj. 11. Increase donor retention</b>				
a. Year to year retention rate	55.80%	58.00%	60.00%	62.00%
<b>Obj. 12. Improve data quality and access</b>				
a. Alumni with good mailing address	95%	95%	96%	96%
b. Alumni with good phone number	85%	88%	90%	90%
c. Alumni with good email address	73%	75%	80%	80%
d. Alumni with good mailing address, phone number, and email address	64%	68%	70%	72%
<b>Obj. 13. Develop a robust talent management program</b>				
a. Staff retention rate	78%	80%	82%	84%
b. Average tenure of employee	38 months	44 months	50 months	56 months



# Closing Remarks & Discussion

# Next Steps

## November, 2016 Foundation Board of Trustees

- Advancement Strategy presentation and discussion
- Joint Finance and Investment Committee meeting focusing on:
  - Review of historical practice and prospective options that considers benchmarking, current industry trends, institutional goals and priorities. Specific review of:
    - Spending formula: formula structure; collars and fluctuation; underwater accounts; 36-month averaging
    - Spending rate: impact on corpus and rate of growth; preservation of purchasing power
  - Investment Performance impact
    - Historical review of portfolio asset allocation and respective performance benchmarks
    - Short-term (5 year) outlook



# Next Steps

## October, 2016 – February, 2017 University Leadership discussion:

- Prioritization of university initiatives and respective implementation plans and funding timelines
- Advancement funding sources/model in RCM environment
  - Administrative fee on endowment
  - Direct funding from academic units
  - Foundation working capital investment income
  - Foundation unrestricted gifts
  - Allocated Costs (indirect costs to the academic units)
- Strategy Implementation – Balancing central and unit based resources and investments and culture shift

## OHIO Board of Trustees / OUF Board of Trustees

- January / February 2017 meetings – update
- June / June 2017 meetings – management recommendations





## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

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

**Re: Title IX Review and Update**

At the August 2016 meeting, Board members expressed a desire for an update concerning the University's Title IX compliance efforts in light of the continued national prominence of the issue of sexual assault on campus. Sara L. Trower, the new Executive Director for University Equity and Civil Rights Compliance (ECRC) and Title IX Coordinator, will provide a Title IX review and update at the October Joint Committee session.

Key takeaways from the Title IX Review and Update will include:

- A summary of institutional obligations and requirements under Title IX
- Actions taken by OHIO to meet its Title IX obligations and requirements
- University sexual violence data reported by OUPD, Community Standards, and University Equity and Civil Rights Compliance (ECRC)

We look forward to reviewing this information with you at the October board meeting.

# TITLE IX REVIEW AND UPDATE

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Tab

# Title IX – An Established Civil Right

“No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance.”

Title IX of the Higher Education Amendments of 1972  
20 U.S.C. § 1681 & 34 C.F.R. Part 106

# Title IX Applies To

- To Whom?

- Everyone – female, male, and gender non-conforming students, pregnant and parenting students, faculty, staff, visitors, and to third parties if there is an impact on access to the educational program or activities.

- To What?

- Everything – recruitment, admissions, financial assistance, employment, academics, discipline, residence life, athletics, field trips, study abroad, upward bound, summer camps/programs, etc.

- To Where?

- On campus and off campus

- Why?

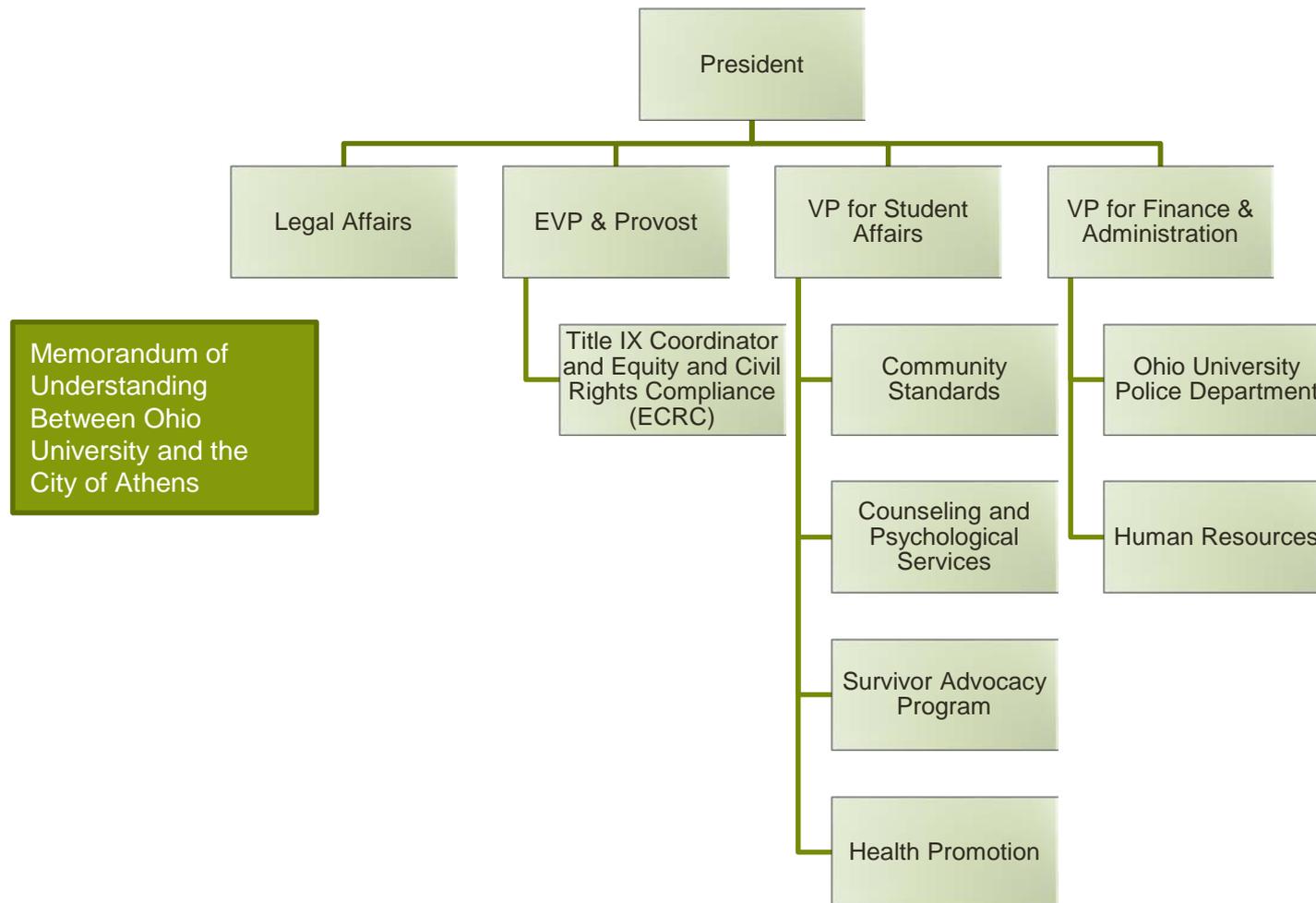
- Recognition that sex discrimination, including sexual harassment/violence, is a barrier to educational opportunities and programs

# Review - What Are A University's Title IX Obligations?

- Designate a Title IX Coordinator
- Publish and disseminate university notice of non-discrimination identifying Title IX Coordinator
- Adopt and publish grievance procedures providing for prompt, equitable resolution of student and employee sex discrimination complaints
- Establish a process for prompt, thorough, and impartial investigation of allegations of sex discrimination
- Establish appropriate remedies and enforcement mechanisms to address sex discrimination
- Provide ongoing training for the campus community
- Monitor and evaluate the university's efforts for continual improvement



# OHIO's Coordinated Response to Sexual Misconduct



# Process for Addressing Sexual Misconduct Complaints

## Student Process

- I. Initial Report - Equity and Civil Rights Compliance (ECRC):
  - Analyzes for gatekeeping
  - Evaluates need for interim measures
  - Conducts complainant resources and options meeting
  - Evaluates any request for confidentiality
- II. Notice - ECRC notifies respondent of the complaint and conducts a notice and resources meeting
- III. Investigation - Equity and Civil Rights Compliance (ECRC) / Community Standards Student Responsibility (CSSR) Joint Investigation:
  - Interviews complainant, respondent, witnesses and evaluate evidence gathered
  - Completes investigation report
  - Conducts a pre-hearing meeting with complainant and respondent

## Faculty/Staff Process

- I. Initial Report - Equity and Civil Rights Compliance (ECRC):
  - Analyzes for gatekeeping
  - Evaluates need for interim measures
  - Conducts complainant resources and options meeting
  - Evaluates any request for confidentiality
  - Informs Human Resources, the immediate supervisor, and the chief administrator with responsibility for the planning unit that a complaint has been received
- II. Notice Equity and Civil Rights Compliance (ECRC):
  - Notifies respondent of the complaint including the substance of the allegations
  - Conducts initial respondent meeting reviewing the ECRC grievance procedure and applicable policies, the substance of the complaint, and available resources



# Process for Addressing Sexual Misconduct Complaints - continued

## Student Process

- IV. Hearing - Equity and Civil Rights Compliance (ECRC) / Community Standards Student Responsibility (CSSR) Joint Hearing process:
  - Preponderance of evidence standard
  - Issues written finding and decides appropriate sanction if violation is found
- V. Appeal and Post-Hearing Actions
  - Appeal to the Vice President for Student Affairs (VPSA)
    - Both complainant and respondent have a right to appeal the decision and sanction(s) and to respond to any appeal filed
- VI. Equity and Civil Rights Compliance (ECRC) after a hearing will:
  - Evaluate need for continuation of interim measures or other remedial actions
  - Remains a resource for complainant, respondent, or any participant in the joint process

## Faculty/Staff Process

- III. Investigation and Findings - Equity and Civil Rights Compliance (ECRC):
  - Conducts a thorough and impartial investigation of the allegations
  - Issues a report with findings and recommendations for remedial action
  - Sends report to complainant, respondent, immediate supervisor and chief administrator in the planning unit
- IV. Disposition - Equity and Civil Rights Compliance (ECRC):
  - Coordinates with Human Resources and planning unit administrator to refer the matter for initiation of the applicable university process if a violation of policy is substantiated.
  - Remains a resource for complainant, respondent, or any participant in the ECRC process



# OHIO Sexual Misconduct Complaint Statistics

## FY 2015

### • OUPD

- 18 criminal sex offenses
- 8 menacing by stalking
- 1 domestic violence

### • Equity & Civil Rights Compliance:

#### • Faculty/Staff:

- 6 cases (cases may have more than one kind of misconduct involved)
- 5 hostile environment sexual harassment
- 1 quid pro quo sexual harassment

#### • Students (Equity & Civil Rights Compliance/ Community Standards Joint Process):

- 21 cases (cases may have more than one than one kind of misconduct involved)
- 1 sexual exploitation
- 11 sexual harassment by hostile environment
- 5 non-consensual sexual contact
- 8 non-consensual sexual intercourse

• **Note:** dating violence, domestic violence, and stalking were not separate charges in the 2014-15 academic year. Those cases were instead charged as sexual harassment by hostile environment.

## FY 2016

### • OUPD

- 29 criminal sex offenses
- 6 menacing by stalking
- 1 domestic violence

### • Equity & Civil Rights Compliance:

#### • Faculty/Staff:

- 14 cases (cases may have more than one kind of misconduct involved)
- 11 hostile environment
- 4 quid pro quo sexual harassment
- 1 relationship violence
- 4 non-consensual sexual contact

#### • Students (Equity & Civil Rights Compliance/ Community Standards Joint Process):

- 31 cases (cases may have more than one kind of misconduct involved)
- 1 sexual exploitation
- 15 sexual harassment by hostile environment
- 22 non-consensual sexual contact
- 13 non-consensual sexual intercourse
- 2 dating violence
- 1 domestic violence
- 1 stalking

## FY 2017 – (beginning July 1, 2016)

### • OUPD

- 3 criminal sex offenses
- 1 menacing by stalking

### • Equity & Civil Rights Compliance:

#### • Faculty/Staff:

- 3 cases (cases may have more than one kind of misconduct involved)
- 3 hostile environment sexual harassment
- 3 non-consensual sexual contact

#### • Students (Equity & Civil Rights Compliance/ Community Standards Joint Process):

- 5 pending cases (cases may have more than one kind of misconduct involved)
- 1 sexual exploitation
- 2 sexual harassment by hostile environment
- 1 dating violence
- 1 either non-consensual sexual intercourse or non-consensual sexual contact



# Areas of Concern Identified Most Often in Office of Civil Rights (OCR) Resolution Agreements and Litigation

- Failure to respond promptly and equitably to allegations of sexual misconduct
- Process deficiencies
- Failure to follow established process
- Lack of coordinated response

# If You Have Knowledge of Sexual Misconduct, Please Report to:

- Title IX Coordinator – Sara L. Trower [trower@Ohio.edu](mailto:trower@Ohio.edu)
  - University Equity and Civil Rights Compliance (ECRC)
  - Lindley Hall 006
  - Telephone: 740-593-9140
  - Fax: 740-593-9168
  - Website: <https://www.ohio.edu/equity-civil-rights/index.cfm>
    - Under tab:  

  - E-mail: [equity@ohio.edu](mailto:equity@ohio.edu)  
[titleIX@ohio.edu](mailto:titleIX@ohio.edu)



# THANK YOU.

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## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Pamela Benoit, Executive Vice President and Provost  
Deborah Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **Small House Planning Strategy**

Since its founding in 1804, Ohio University has always featured an eclectic mix between residential and educational buildings. In the original Athens plan in 1794, the plat contained a square for a college surrounded by house lots for staff and residents.

Over the years as the university has expanded, location and quantity of houses has changed, but there has always been a strong presence of residential houses on campus. This has contributed to the warm, village-like aesthetic of the Ohio University Athens campus.

Comprehensive Master Plan 2016 recognized the importance of preserving the historic core and the challenges in maintaining regulatory compliance in a tight budgetary environment.

Many of the remaining houses on campus have been repurposed over time to meet various programmatic needs. Some of them work well with their current use, others are in need of major maintenance or renovation as well as a re-evaluation of their current use.

At the October Board meeting, University Planner, Shawna Bolin will be sharing a planning study that seeks to gather important information on the houses and plan for their future at Ohio University.

# SMALL HOUSE PLANNING STRATEGY

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# AGENDA



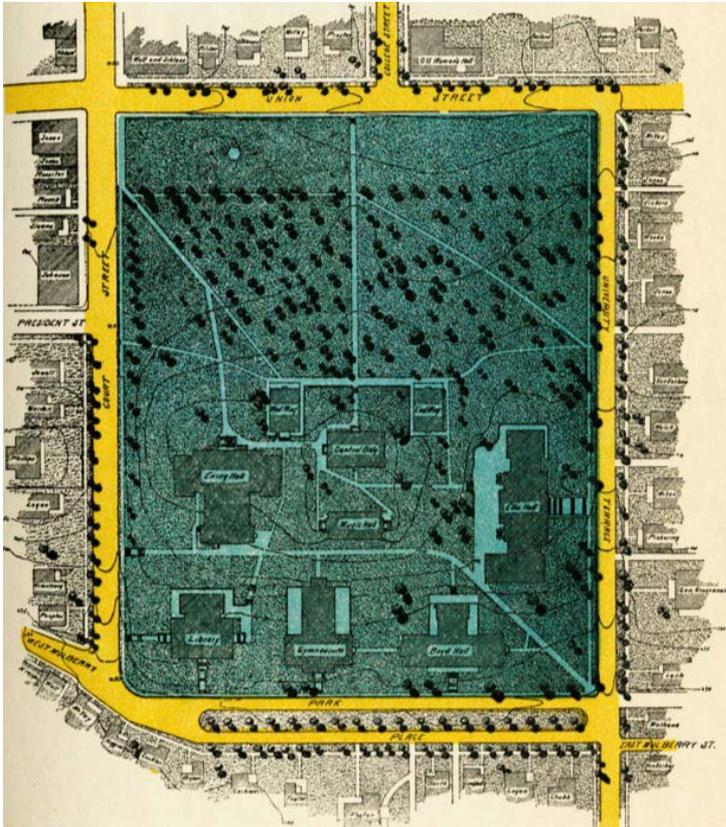
- **Background**
- **Comprehensive Master Plan (CMP) Recommendations**
- **Work Group**
- **Investment & Utilization Planning**
- **Next Steps**



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# BACKGROUND

## History of Small Houses



Above: Campus and surrounding small houses in 1908.

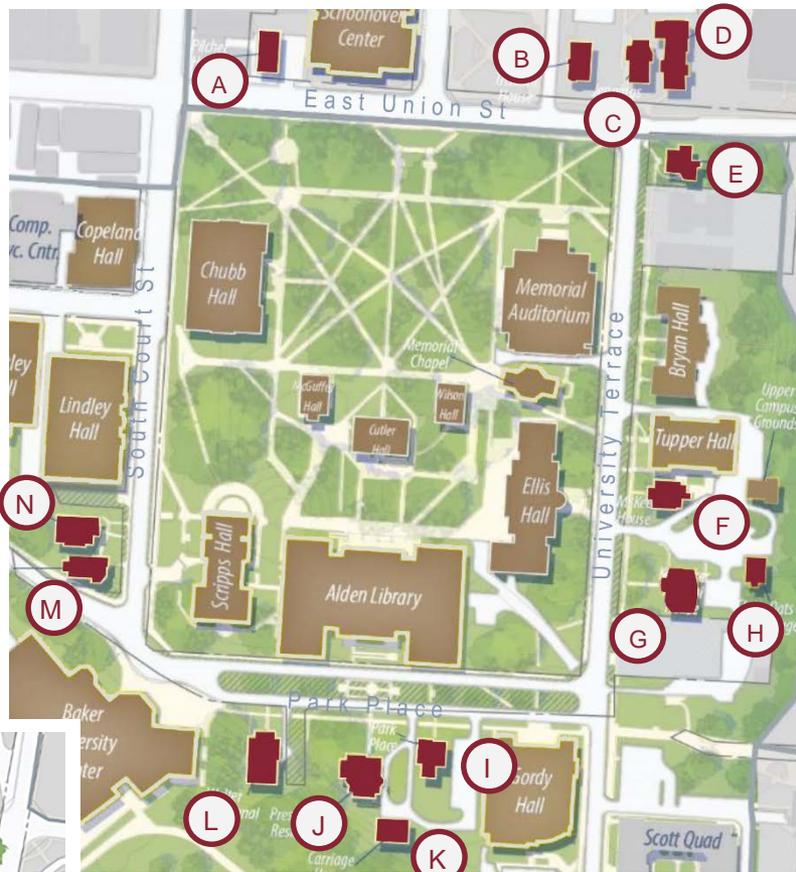
### Integral to Ohio University

- The 1794 plan for Athens showed the college square surrounded by house lots for a president and professors
- As the campus has expanded, there has remained a strong presence of residential houses
- Many small houses have been repurposed for programmatic needs with varying success
- Most are in need of significant deferred maintenance as well as a re-evaluation of their use



# BACKGROUND

## Inventory & Locations



- |                               |                                    |
|-------------------------------|------------------------------------|
| (A) Pilcher House             | (I) 35 Park Place                  |
| (B) Trisolini House           | (J) 29 Park Place                  |
| (C) Jennings House            | (K) 29 Park Place Carriage House   |
| (D) Yamada Inter. House       | (L) Walter Inter. Education Center |
| (E) Brown House               | (M) Crewson House                  |
| (F) Mckee House               | (N) Sing Tao House                 |
| (G) Konneker Alumni Center    | (O) Bingham House                  |
| (H) Claire Oates Ping Cottage |                                    |



# BACKGROUND

## Age & Condition



Small House Name	Age (Yrs)	Condition
Pilcher House	135	significant deferred maintenance
Trisolini House	156	significant deferred maintenance
Jennings House	162	significant deferred maintenance
Yamada International House	96	last renovated in 2003
Brown House	88	significant deferred maintenance
Mckee House	116	last renovated in 1996
Konneker Alumni Center	115	significant deferred maintenance
Claire Oates Ping Cottage	115	minor deferred maintenance
35 Park Place	141	addition added in 2011
29 Park Place	117	significant deferred maintenance
29 Park Place Carriage House	115	minor deferred maintenance
Walter Int'l Education Center	93	last renovated in 2011
Crewson House	96	significant deferred maintenance
Sing Tao House	20	constructed in 1996
Bingham House	219	significant deferred maintenance



# COMPREHENSIVE MASTER PLAN

## Recommendations



- College Green contributes to the University's distinctive setting
- The interrelated nature of campus buildings, small houses, trees, and City interface positively and contribute to the green
- Small houses surrounding College Green should be evaluated and preserved where feasible



# INVESTMENT & UTILIZATION PLANNING

## Impact of Limited Resources



- The small houses represent a significant deferred maintenance investment for the University
- In addition to maintenance, many houses lack fire suppression & ADA accessibility, which are costly
- Investment decisions must be prioritized in context of other programmatic and deferred maintenance needs on campus
- Some house layouts are more adaptable for efficient space utilization than others, which may also affect prioritization of funding



# WORK GROUP

## Structure & Goal



### Goal

- Gather additional information on the houses, university and community needs and develop a recommendation for future investments

### Structure

- Representation from University and City
- Planning assistance from consultant
- Report recommendations to President



# INVESTMENT & UTILIZATION PLANNING

## Tasks and Development Strategies



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- Each house should be evaluated
  - Condition
  - Highest and best use
- Recommendations will look at opportunities such as:
  - Retain houses that can be functional University facilities
    - Restore to student and/or faculty residential use
    - Rehabilitate for continued office use
    - Adapt for new office use
  - Consider divestment for houses that are impractical to restore, rehabilitate, or adapt
    - Remove for new site development
    - Sell to a private owner, with covenants
- Review financial strategies

# NEXT STEPS

## Process



- Organize the Work Group
- Finalize condition assessments
- Review University uses and needs in coordination with the Park Place Strategy
- Evaluate strategies for each house
- Present recommendations for further Board consideration
- Timing of Small House Planning Strategy will coincide with Park Place Strategy planning





## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Jason B. Pina, Vice President Student Affairs

**Re:** **Housing Development Plan Strategic Update**

In February 2011, the Board of Trustees approved the Housing Master Plan Update that outlined a ten-year Housing Development plan strategy to improve the learning community, make us competitive with our peer institutions and develop recommendations on financial needs, bed count, and mix of uses. Given the totality of the investments needed the Board recommended that the University review the total university picture as it relates to University debt capacity and capital project needs including investments in academic facilities, power plant infrastructure and campus deferred maintenance. From that period to today, the University has completed various planning initiatives from the campus Comprehensive Master plan, to the institution's Capital Improvement plans that include resource needs and priorities of all areas of the University.

At the January 2013 Board Meeting, University leadership shared an update on the housing development plan design including a request to move forward with phase one which was completed Fall 2015.

More than one year after the completion of Phase 1 of the Housing Development Plan, we are seeking board approval to issue a Request for Proposal (RFP) to hire a consulting firm that specializes in housing and university campus planning. The work of the consultant will provide an update to the 2012 Housing Development Plan. This update will accomplish the following:

- Align the 2012 Housing Development Plan with the
  - Strategies of the 2016 Comprehensive Master Plan (CMP)
  - 6 Year Capital Improvement Plan (CIP)
  - Strategic Enrollment Management Plan (SEMP)
- Retest assumptions from the 2012 Housing Development Plan Update, incorporating current occupancy projections, Ohio Guarantee, Reserve and Bond planning, and assumptions for annual room rate increase analysis
- Update the current trends, changes, and market position of Ohio University Housing with state and national peers
- Complete occupancy analysis for planned renovations, demolitions and new construction to ensure alignment with current enrollment strategy and occupancy requirements
- Study and evaluate the housing needs of Athens campus undergraduate and graduate students

The attached presentation highlights housing renovations and new construction since 2012, as well as additional details related to our request. I look forward to reviewing and discussing these materials at the October board meeting.

# HOUSING DEVELOPMENT PLAN STRATEGIC UPDATE

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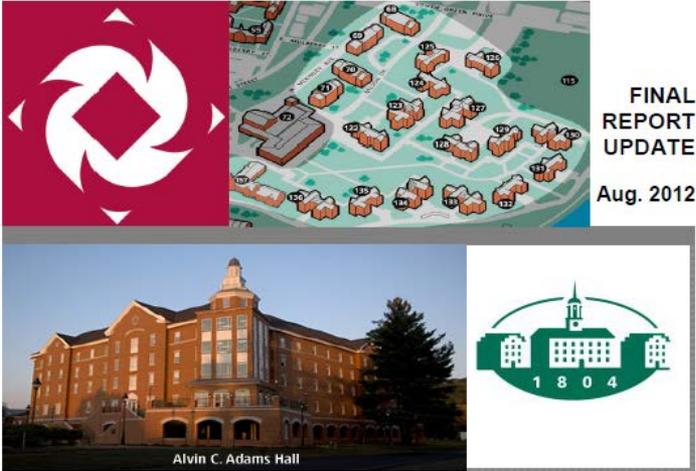
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# AGENDA

- Background
- Progress of the Plan
- Plan Modifications Since 2012
- Goals and Objectives of Housing Development Update
- Next Steps



FINAL  
REPORT  
UPDATE

Aug. 2012

Alvin C. Adams Hall

Ohio University  
Housing Master Plan Update

 BRAILSFORD & DUNLAVEY  
© Brailsford & Dunlavy 2010



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# BACKGROUND



Housing Phase I and Sweep Phase A

## Housing Master Plan 2012 & East/South Sector Plan

- The 2012 Housing Development Plan provided a physical and financial road map for the following 10 years to renew and replace residential facilities
- The East/South Sector Plan was developed to lay out the three potential phases of new housing construction to replace the “back 15” residence halls



East/South Sector Plan



# Progress of the Plan: Phase One

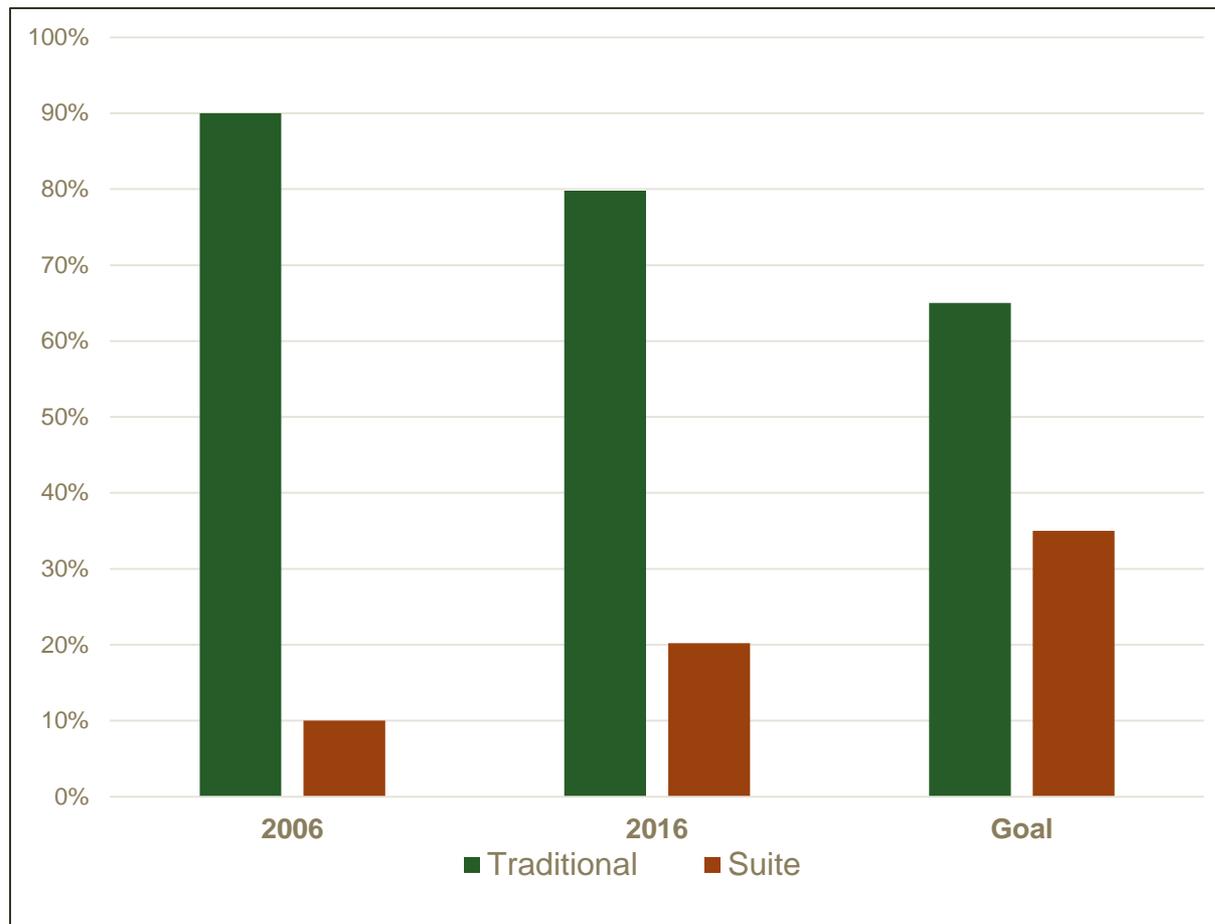
- 4 new residence halls
- 912 replacement beds
- Living Learning Center constructed to focus on academic support and student engagement
- Budget: \$110M
- Completed 2015



Phase I Halls and Living Learning Center



# Bed Mix after Completion of Phase 1



# Progress of the plan: Other project highlights since 2012

- Jefferson Hall - complete rehabilitation (under construction)
- Bush Hall - complete rehabilitation
- Final phase of Bromley Hall room renovations
- James Hall lobby & bathroom renovation
- Electric and fire equipment upgrades at Mackinnon, Crawford, Brown, and Pickering Halls
- Bathroom improvements in Sargent, Scott Quad, Crawford Halls
- Building access control upgrades to card access



Bush Hall Lobby after rehabilitation



Jefferson Construction



# Plan modifications since 2012



- Phases II and III were paused in consideration of the overall debt analysis
- Demolition plan of “back 15” slowed
- Increase of Light and Medium Renovations versus Heavy



# What has changed since 2012?



- Comprehensive Master Plan
- State of the state of Ohio
- Establishment of Central Bank

CMP 2016 shared modification of South Green Strategy and consideration for balancing campus housing more across the campus



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# Goals and Objectives of Housing Development Update

## Strategic

- Align Housing Development Plan with:
  - Comprehensive Master Plan (CMP)
  - Strategic Enrollment Management Plan (SEMP)
- Refine 6 Year CIP
- Peer comparison
- Local construction cost forecast

## Financial

- Retest Housing Development Plan assumptions
- Develop multi-scenario budget pro-forma
- Construction value analysis

## Structural/Demographic

- Refine deferred maintenance strategy
- Complete occupancy analysis
- Reevaluate current Athens student needs



# Next Steps



- Seek approval to move forward with a Request For Proposal to update the 2012 Housing Development Plan
- Establish project team and review committees
- Review submissions for qualifications and compatibility
- January board approval
  - Select consultant and fee
  - Project structure, deliverables, work plan, and schedule





## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Dr. Scott Titsworth, Dean, Scripps College of Communication

**Re:** **Scripps College of Communication Dashboard Update**

On behalf of the Scripps College of Communication, I am very pleased to have the opportunity to speak with the Ohio University Board of Trustees about the Dashboard Indicators and strategic priorities for the College. The pace of change for the Scripps College has accelerated over the past three years. Among other events, the college opened an integrated state-of-the-art facility, new technologies have continued to alter the practices of communication for individuals, organizations, and cultures, and at the same time the University transitioned to an RCM-based budgeting approach. Our strategic priorities reflect those trends while also remaining committed to the practices that have defined success for the college since its founding. Our priorities are also directly connected to the four fundamentals of the University's strategic plan. The summaries below and enclosed slide-deck highlight activities we have undertaken in support of our priorities.

**PRIOTITY 1:** Enhance student success and leadership by emphasizing academic excellence, professional maturity, and a commitment to building community in an increasingly diverse public sphere.

- Through the Leon Harris Student Success Center, we have enacted aggressive practices to ensure strong student retention rates, on-time graduation, and student academic success. Our first-year student retention rate (89%) compares very favorably to the national average (74%). Additionally, our 6-year graduation rate (84%) substantially exceeds the national average of 60%.
- Procedures highlighted in our report include pre-graduation checks, processes to advise students who enter academic probation, and the productive use of a Student Success Advisor to help promote improved academic performance by the “murky middle” of students in our college. Our academic probation rate is very low (3.2%), with less than 1% of Scripps College students being dismissed from the University.

**PRIORITY 2:** Serve as a leader in exploring how technology shapes and is shaped by the process of communication.

- The Scripps College is also working to improve academic preparation for students by enhancing our curricular offerings as well as digital media production facilities. The

Game Research and Immersive Design (GRID) Lab has upgraded its capabilities, due in part to an \$877,000 award through the Innovation Strategy initiative, to develop capabilities for virtual and augmented reality (VR/AR) production. The intent of this capability is to enhance workforce readiness for students entering a variety of fields where VR/AR is emerging as a digital innovation. Approximately 110 students from across the University have done work in the GRID Lab since the start of Fall semester.

- We recently launched the Social Media Analytics Research Team (SMART) Lab, which specializes in research, consultancy, and narrative storytelling using social media analytics. The initial activities of the SMART Lab have involved the creation of two courses that are part of our highly successful Social Media Certificate, as well as several research projects being administered by faculty and students. More than 170 students from multiple colleges are now in the Social Media Certificate program.

**PRIORITY 3:** Maintain distinctive graduate programs while also enhancing opportunities for strategic growth in post-graduate education.

- The Scripps College continues to explore new initiatives to selectively boost course enrollments and major headcount. Our Master of Fine Arts (MFA) in Communication and Media Arts was just approved by the Chancellor's Council on Graduate Studies and will develop into a significant collaboration with the College of Fine Arts. The first cohort of MFA students will start in the Fall semester of 2017. We are currently working to develop programs in Broadcast Meteorology in collaboration with the College of Arts and Sciences, and are also exploring post-graduate education opportunities at OU-Dublin. These will be extensions (or augmentations) of two professionally-oriented Masters programs that we currently offer as e-learning options for students (the Master of Information and Telecommunication Systems and the Master of Organizational Communication).

As we engage these opportunities, we are mindful of the need to maintain our strong academic reputation. Each of our academic programs have received recent national awards placing them in the very top tiers of similar programs. For example, the National Science Foundation recently noted that Ohio University is the largest producer of communication doctoral degrees in the state of Ohio, and one of the top five nationally (based on 2014 data). Even our newest degree program, the online Applied Communication degree completion program, was ranked first for its quality and affordability by Nonprofit Colleges Online. And, our students continue to excel, as shown by the Society of Professional Journalists recent "National Chapter of the Year" award (the third such award in four years). In short, our commitment to quality underlies our strategies for growth.

In the Scripps College of Communication, we are committed to helping our students become leaders so that they can drive the future of the field. We want Scripps students to have the skills and resources necessary to open multiple opportunities for continued growth. Our commitment to student success, development of cutting-edge learning experiences, and strategic growth in post-graduate programs illustrate recent activities in pursuit of those values.

# Scripps College of Communication Dashboard

Tab



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**SCRIPPS**  
College of Communication

## Vision Statement

The Scripps College of Communication is a *community of practice* promoting student success through the highest quality of teaching, research, creative, and professional activity in the field.

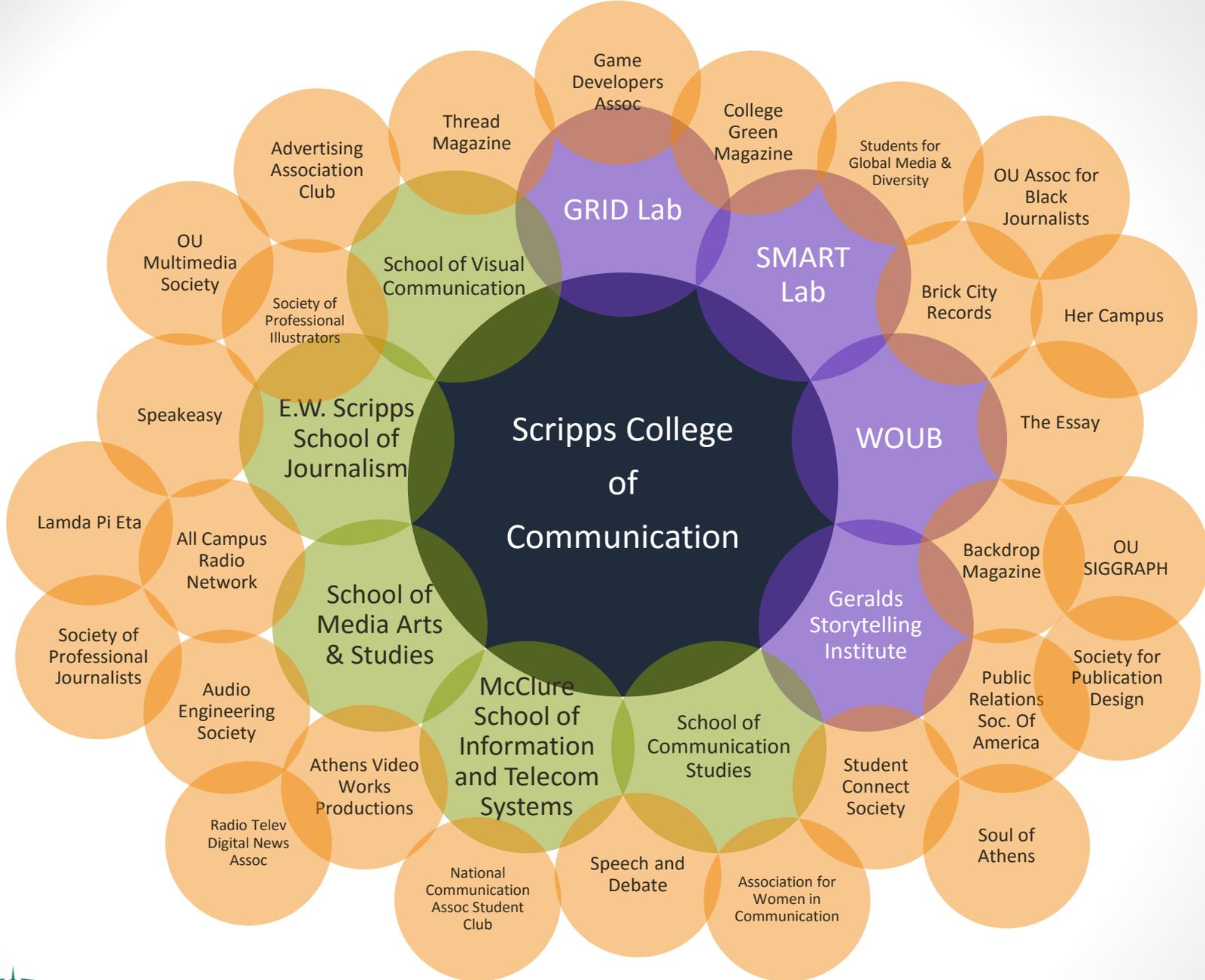
## Value Statement

The Scripps College of Communication serves as the foundation for individuals seeking to blend creativity, knowledge, and practice so that graduates have the *freedom* to direct their skills and move the world forward.

### Key Priorities

1. Enhance student success and leadership by emphasizing academic excellence, professional maturity, and a commitment to building community in an increasingly diverse public sphere.
2. Serve as a leader in exploring how technology shapes and is shaped by the process of communication.
3. Maintain distinctive graduate programs while also enhancing opportunities for strategic growth in post-graduate education.





# Scripps College of Communication

## Dashboard 2015-16

### First-Year Retention

89%

Percent of new freshman who return for a second year

2010/11	2011/12	2012/13	2013/14	2014/15
89%	88%	88%	86%	89%

### Four-Year / Six-Year Graduation Rates

75% / 84%

Percentage of new freshman graduating at Ohio University within six/four years.

Four-Year				
2005	2006	2007	2008	2009
69%	68%	72%	73%	75%
Six-Year				
2005	2006	2007	2008	2009
84%	82%	85%	83%	84%

### ACT Composite

25.2

Mean ACT score for new freshman

2011	2012	2013	2014	2015
25.0	25.3	25.5	25.2	25.2

### Top 10% of HS Class (freshman profile)

18.5%

2011	2012	2013	2014	2015
22.2%	19.4%	23.3%	20.9%	18.5%

### Undergraduate Yield

48%

2011	2012	2013	2014	2015
51.0%	46.2%	42.3%	48.0%	48.0%

### Credit hours taught by Group I Faculty

40.2%

Percentage of fall undergraduate credit hours taught by tenured and tenure-track faculty

2011	2012	2013	2014	2015
50.3%	46.5%	46.1%	43.2%	40.2%

### Grants and Contracts

\$3.4M

Amount of sponsored funding received in the form of grants and contracts (per VPR annual report)

In millions				
2010/11	2011/12	2012/13	2013/14	2014/15
\$4.05	\$4.10	\$3.32	\$2.87	\$3.40

### Research & Creative Activity Expo

71

Participation in research and creative activity expo

# of Students				
2011	2012	2013	2014	2015
53	37	52	51	71

### Students Employed After Graduation

87%

2006	2007	2008	2009	2010
92%	93%	82%	86%	87%

### Headcount

	UG	GRAD	TOTAL
2015	2,159	223	2,382
2014	2,093	245	2,338
2013	2,136	259	2,395
2012	2,256	235	2,491
2011	2,323	248	2,571

### Non-Resident Students (freshmen profile)

22%

2011	2012	2013	2014	2015
21.5%	23.1%	24.6%	22.0%	22.0%

### Students of Diversity

17%

2011	2012	2013	2014	2015
16.0%	17.0%	16.1%	16.1%	17.0%

### Faculty Salaries

In thousands

	FY13	FY14	FY15	FY16
All Ranks	\$ 83.2	\$ 84.7	\$ 87.4	\$ 89.6
Professor	\$ 104.9	\$ 109.1	\$ 113.3	\$ 113.2
Assoc	\$ 77.9	\$ 80.0	\$ 83.0	\$ 85.8
Asst	\$ 64.4	\$ 64.0	\$ 65.0	\$ 65.9

### Dashboard Key: Connections to 4x4 Strategic Plan

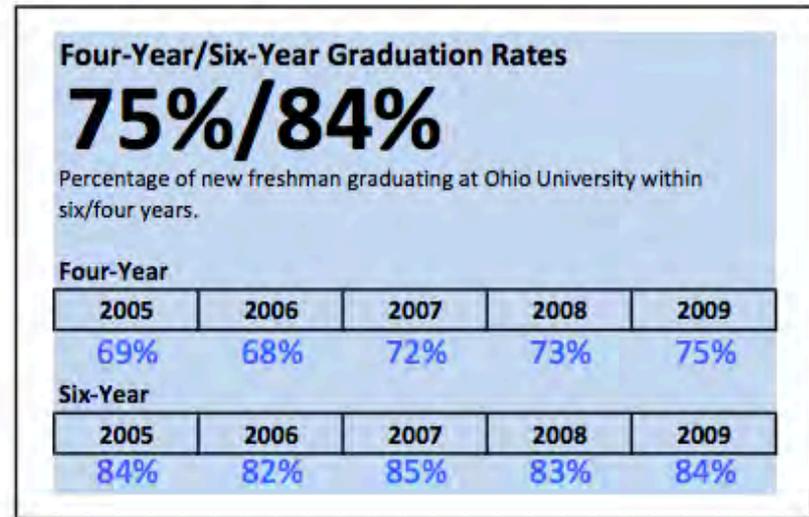
	Four Fundamentals
	Enrollment
	Total Compensation



# Priority 1: Student Success



National Center for Educational Statistics reports an average retention rate of approximately 74% nationally.



National Center for Educational Statistics reports an average 6-year graduation rate of approximately 60% nationally.

Source: National Center for Educational Statistics, <https://nces.ed.gov/fastfacts/display.asp?id=40>



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# The Leon Harris Student Support Center



Harris Center

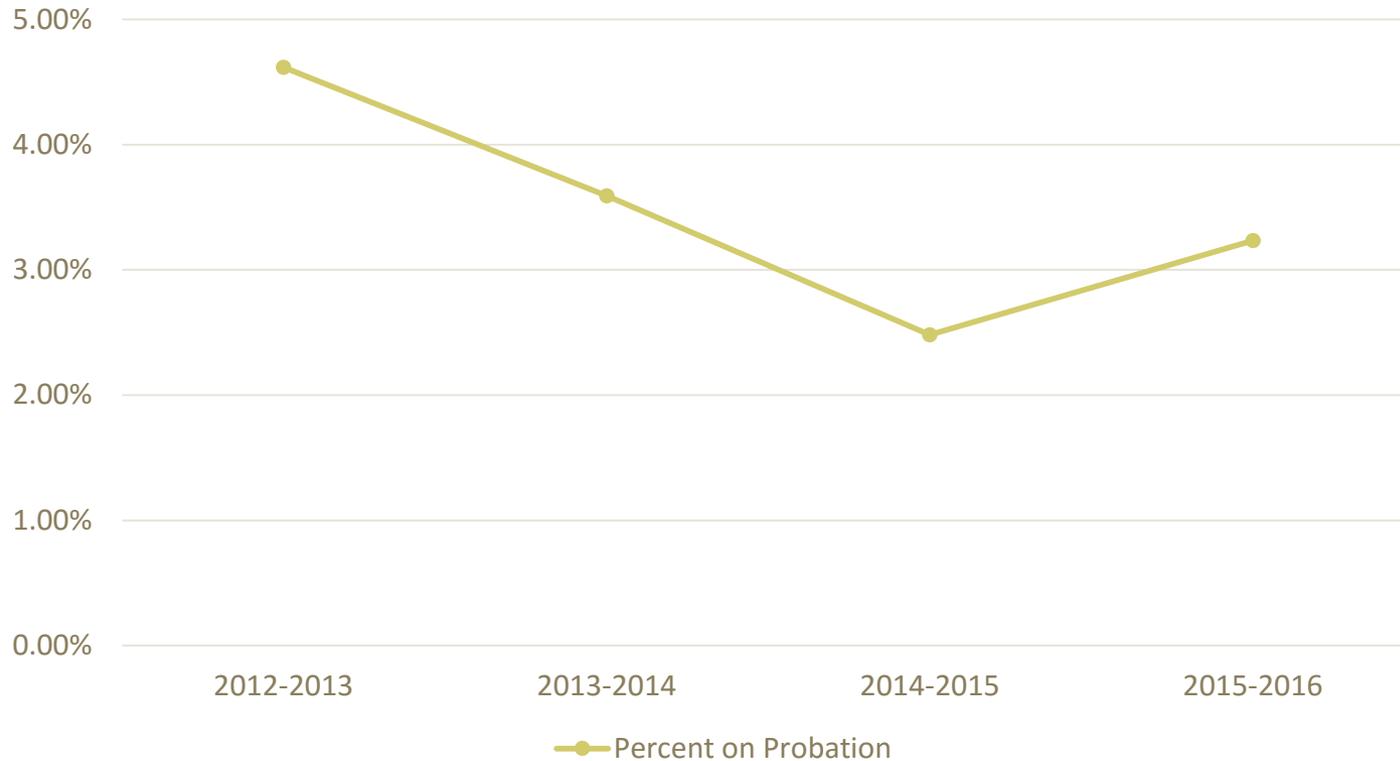


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## Academic Probation Rates in Scripps College



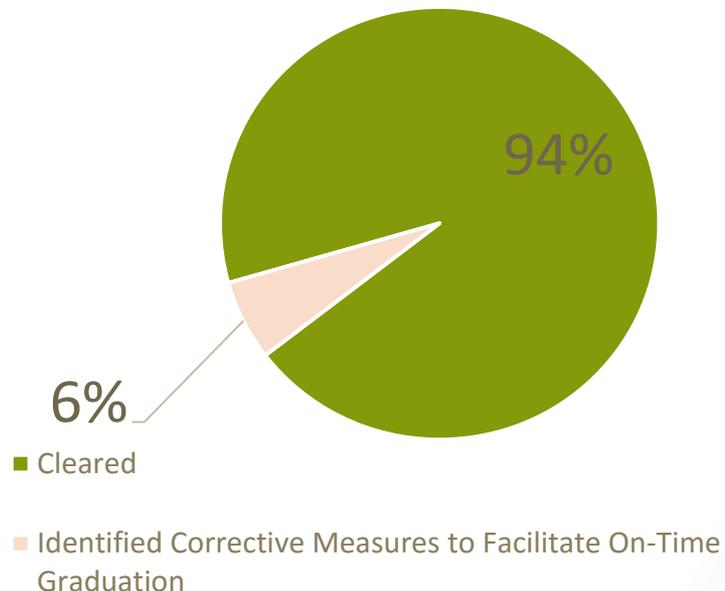
The number of students who end up being dismissed from the University is less than 1% in any of the years.



# Pre-Graduation Checks

- “On-demand” option for students intending to graduate
- Initiative began in Spring 2015
  - Spring 2015: 224
  - Fall 2015: 31
  - Spring 2016: 285
  - Fall 2016: 70

Average Results of Grad Checks  
Since Spring 2015



# Student Success Advisor

Paula Linscott



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# Priority 2: Leadership in Communication with Digital Technology

## Students Employed After Graduation

**87%**

2006	2007	2008	2009	2010
92%	93%	82%	86%	87.0%



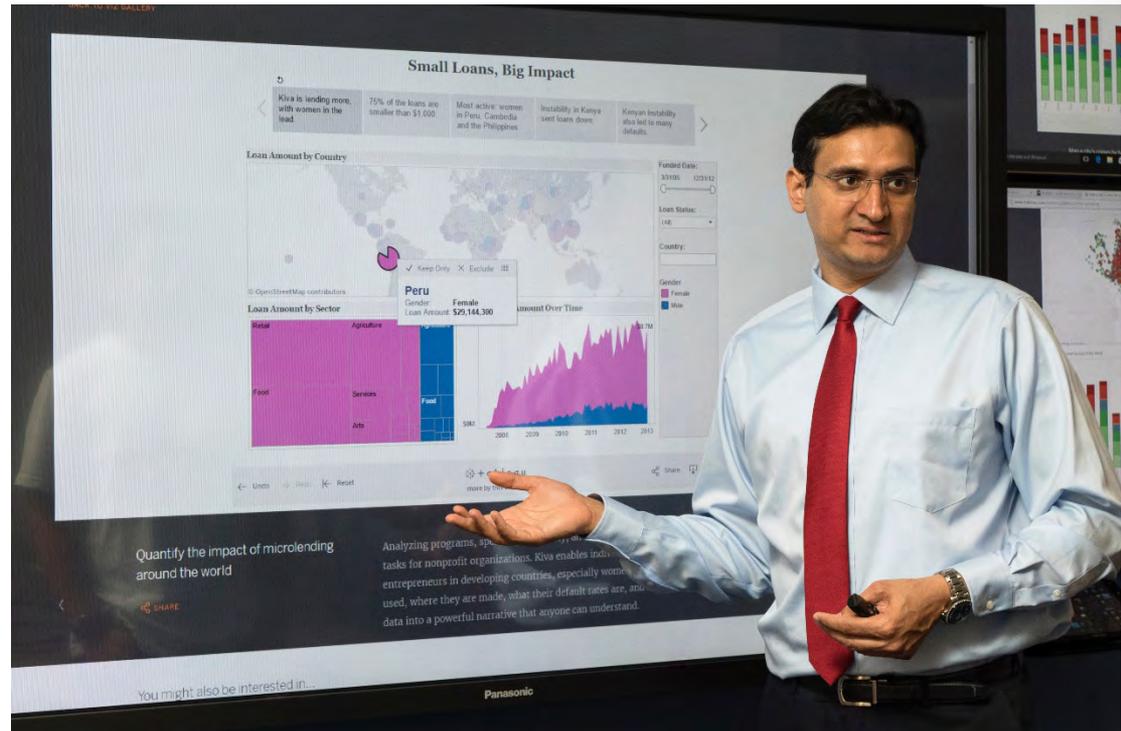


The GRID Lab serves as an innovative and creative center for students, faculty, and staff to design and research immersive media. The lab collaborates with multiple units on campus on immersive media projects.

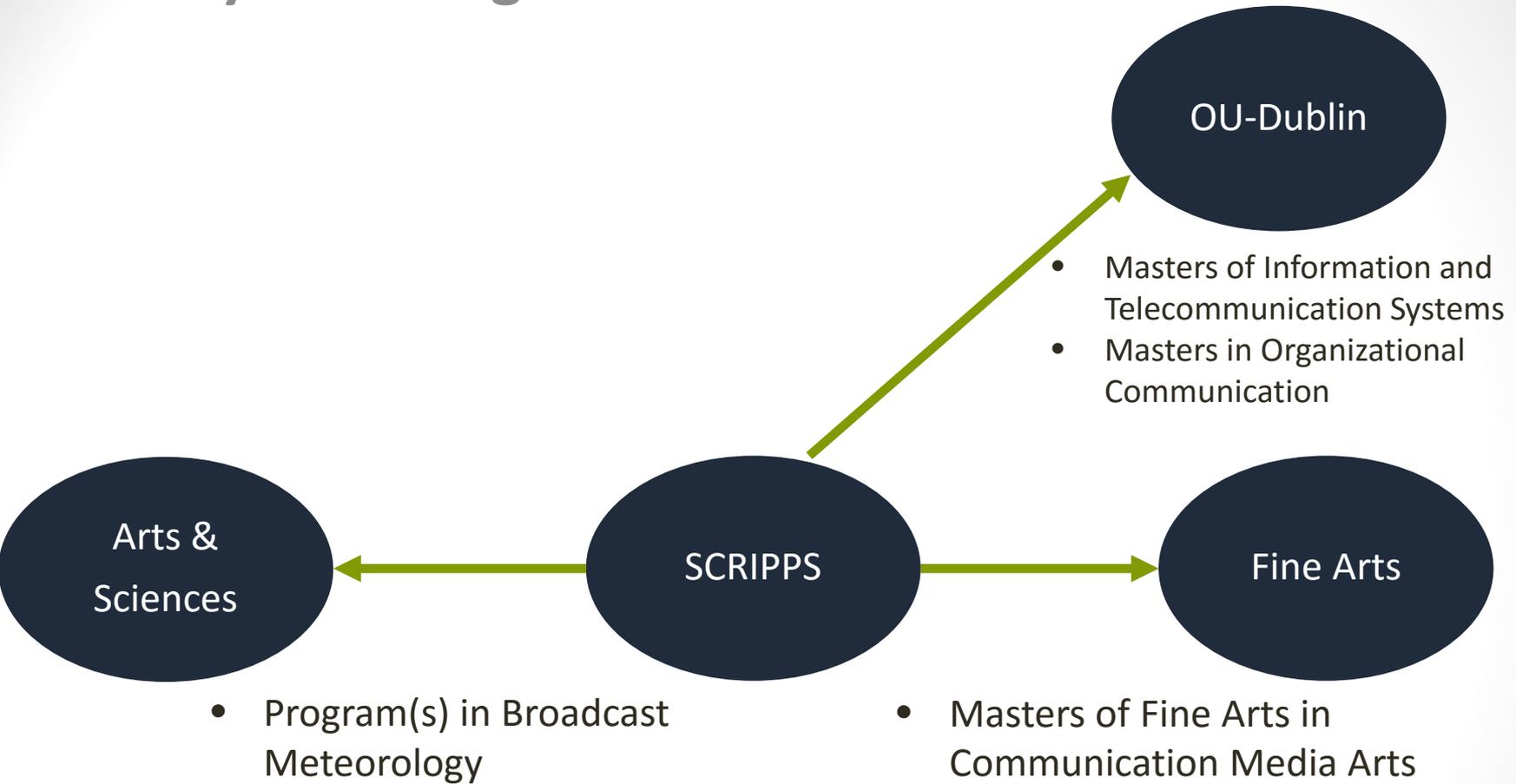




The SMART Lab promotes faculty and student engagement on research, courses, consultancy, and storytelling surrounding the use of social media analytics.



# Priority 3: Strategic Growth



# REVIEW OF CENTERS AND INSTITUTES

## RESOLUTION 2016 -

**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 2015-2016 Review of Centers and Institutes, which recommends continuation of five (5) centers / institutes and the discontinuation of one (1) institute as follows:

- Center for Law, Justice and Culture - Continue
- Ohio Center for Ecology and Evolutionary Studies - Continue
- Quantitative Biology Institute - Continue
- Child Development Center - Continue
- Academic Advancement Center - Continue
  
- Institute for the African Child - Discontinue



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President, Executive Vice President and Provost, and Board of Trustees

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

**Re:** **Review of Centers and Institute**

Vice President for Research and Creative Activity and Dean of the Graduate College, Joseph Shields, has provided materials summarizing the 2015-16 five-year review of centers and institutes.

A summary for each of the reviewed centers/institutes is included with these materials. The resolution requests approval for the following action items to be presented at the October 2016 meeting:

**Continuation of Center/Institute:**

- Center for Law, Justice and Culture
- Ohio Center for Ecology and Evolutionary Studies
- Quantitative Biology Institute
- Child Development Center
- Academic Advancement Center

**Discontinuation of Center/Institute:**

- Institute for the African Child

## COLLEGE OF ARTS AND SCIENCES

### Center for Law, Justice and Culture (CLJC)

The Center was established in 2009. CLJC is a new and expanding interdisciplinary research and teaching center committed to the critical analysis of law as it operates in relation to society, politics, justice, and power in America as well as international contexts. CLJC brings together faculty from various departments in the College of Arts and Sciences and other colleges who share a fundamental commitment to the study of law from a liberal arts perspective. The Center currently consists of 21 formal faculty affiliates from nine various departments and three colleges—African American Studies, Anthropology, Communication Studies, History, Interdisciplinary Arts, Political Science, Social Work, Sociology-Criminology, and Women's, Gender and Sexuality Studies.

In 2012 CLJC created the Law, Justice and Culture certificate program, with enrollment capped at 25 students. In 2015, the Center launched a new freshman theme curriculum, Making and Breaking the Law (MABTL), focused on law and justice in relation to citizenship, global affairs, human rights, public health, and science and technology. The MABTL curriculum examines questions about the complexities of law and justice at a moment of intensified globalization, technological innovation, and political and economic interdependency. The Center also offers two study abroad programs, to Northern Ireland and Cambodia; provides student research opportunities; and collaborated with the Office of Legal Affairs to establish a mock trial competition team.

The Center has plans to initiate several new programs, including:

- A highly innovative 4+1 program – an MA degree for students interested in interdisciplinary law and society studies and considering a JD, PhD or JD/PhD program.
- A two-week residential summer training program for high school students interested in legal professions. The program will focus on law and justice issues facing residents of Appalachia Ohio.
- 3+3 partnerships with law schools that will allow OHIO students to complete their BA and JD in six years.
- Continuing Legal Education credit opportunities for practicing lawyers.

As per the review committee, the Undergraduate Certificate in Law, Justice, and Culture has attracted and retained many high-achieving students, and pre-law advising has greatly improved since the hiring of a pre-law specialist. In addition to a few recommendations on how to improve the certificate program, the committee made the following recommendations in light of increasing Center programming.

1. The college should review the Director's compensation. There is concern that if the current Director steps down that other faculty members will be unwilling to accept the directorship with the current responsibilities and compensation.
2. Hire a high-level administrator to help implement the 4+ 1 program.
3. Hire an undergraduate curriculum coordinator/advisor or consider increasing the Center's budget to allow the Director to compensate faculty members who take on considerable Center responsibilities, such as curriculum coordinator.

Dean/VPRCA Comments: As per the Dean, unlike many stand-alone centers, the CLJC is intimately intertwined with the "Making and Breaking the Law" Theme initiative, which focuses general education curriculum on law and justice in relation to citizenship, global affairs, human

rights, public health and science and technology. Last year, more than 140 students participated in four of these theme-based courses. As such, the College has provided a stipend to the CLJC director and additional funds for curriculum development. While the College will continue to be supportive of the Center, it does not anticipate an increase in future support. Rather it is an expectation that the Center will operate on the direct and indirect funds it generates from extramurally funded grants. The VPRCA agrees with the Dean that “the quality and quantity of programming that has been sponsored by the Center is truly remarkable.” The Center should be continued.

### Ohio Center for Ecology and Evolutionary Studies (OCEES)

The Center was established in 2006. The mission of the Center is to advance the knowledge of ecology and evolutionary biology through an interdisciplinary learning and research community, integrating science and technology with undergraduate and graduate education. The Center has 51 faculty members from three colleges and ten departments. Over the last five-year period, the Center has garnered \$350,000 in internal awards and \$3.6M in external grants and contracts. The OCEES' budget is derived solely from direct and indirect costs recovered from externally funded grants.

The largest portion of the OCEES budget goes to supporting graduate and undergraduate research. OCEES' Undergraduate Research Immersion Program (UGRIP) engages between 13-21 undergraduate students each year in a range of research experiences. These experiences include enrollment in a two-hour Research Inquiry & Analysis course, participation in a weekly research seminar series, completion of at least one semester (three credit hours) of directed research courses, and engagement in research (encouraged but optional). The Center hosts several seminars, including the prestigious Darwin and Kitzmiller campus lecture series that are extremely well attended, with attendance exceeding 250 people total for nine seminars over the last five years. During the last five years the Center has increased its overall commitment to graduate student research by providing three, one-semester competitive research stipends.

The review committee notes that the Center continues to be highly successful and has strong viability. The committee makes the following recommendations:

- Given the interdisciplinary nature of OCEES and the College's interest in developing thematic and interdisciplinary instruction, it would seem that the Center might be utilized for an instructional "theme".
- It would be worth considering the allocation of a dual-departmental faculty line for a nationally recognized researcher in ecological and evolutionary biological studies; currently the university does not have a faculty member with this broad expertise.
- In order to ensure the institutional viability of the Center, it is recommended that some form of compensation be established (e.g., course release, summer stipend, or honorarium) for the OCEES director.
- Approximately 5-6 OCEES-active Group 1 faculty have retired, but have not been replaced. This impacts the number of graduate students who can be supported and will likely impact the Center's budget, which is heavily reliant on indirect costs from grants. This a concern that should be addressed.

Dean/VPRCA Comments: As per the Dean, OCEES operates on the direct and indirect funds it generates and has full autonomy regarding its budget and funding priorities. That said, the Dean serves as a resource to discuss opportunities for collaboration; for example, in facilitating hiring across colleges and the possibility of creating a thematic curricular initiative. With regard to faculty hirings, it is noteworthy that five new, tenure-track faculty have been hired by Biological Sciences in the past two years, including several who are doing research relevant to OCEES. The VPRCA agrees with the Dean that the Center supports important interdisciplinary research and education. The Center should be continued.

## REVIEW OF CENTERS AND INSTITUTES 2015-2016

### Quantitative Biology Institute

The Quantitative Biology Institute (QBI) was established in 2000. Its mission is to stimulate and focus interdisciplinary research and training efforts in Quantitative Biology. The Institute currently has 12 faculty members from the Departments of Mathematics, Physics & Astronomy, and Biological Sciences. The Institute's goals are to: 1) catalyze basic and applied research collaborations between life scientists and researchers in the more quantitative fields of mathematics, physics, computer science and engineering, 2) enhance undergraduate education and research opportunities in quantitative biology, 3) provide graduate education and career preparation in quantitative biology and 4) increase awareness and understanding of quantitative biology in the larger community. All Institute funding comes from indirect costs associated with extramurally funded grants; over the last five years Institute researchers submitted 14 proposals of which three were funded for \$1.1M. Over this time period, Institute members participated in several interdisciplinary research collaborations, with other Institute members and faculty from other departments and universities. The Institute (co)sponsored 13 quantitative biology seminars and 16 math biology seminars and supported three visiting scholars.

Future plans include: 1) supporting a visiting scholar, 2) increasing support for undergraduate research, 3) increasing the frequency of seminars by external speakers in the Quantitative Biology seminar series, 4) replacing retirees with new members, and 5) revisiting plans for an undergraduate quantitative biology major.

The review committee notes that despite a more competitive funding environment, Institute researchers have been able to secure sufficient funds and indirect costs to keep the Institute financially sound. The committee recommends the following actions to the University and QBI leadership for the next five years:

1. Continued application for funding from federal agencies to support research and indirect costs to fund the Institute.
2. Faculty hiring in the area of quantitative biology. Small incentives provided by the College might make a difference in encouraging departments to hire in this area.
3. Resumption of efforts to establish an undergraduate program with a quantitative biology emphasis.
4. Continuation of the excellent seminar series and visiting scholar program; these activities benefit the university and raise institute visibility.

Dean/VPRCA Comments: As per the Dean, recently hired junior faculty are now contributing to the Institute and will bolster its activities into the future. As the Institute is funded solely through extramurally funded grants, it is important that faculty continue to apply for funding from federal agencies to support research and indirect costs to fund the Institute. The Dean is also receptive to conversations about establishing an undergraduate program with a quantitative biology emphasis. The excellent seminar series and visiting scholar program are valuable activities that benefit the university and raise the Institute's visibility. The VPRCA agrees with the review committee and the Dean that continued viability of the Institute will rely on ensuring a strong base of extramurally funded, research-intensive faculty members. While this may be more difficult in the current funding environment, the visibility afforded by the Institute's programming and interdisciplinarity of the research projects should help with recruitment of additional faculty. The Institute should be continued.

## REVIEW OF CENTERS AND INSTITUTES 2015-2016

### PATTON COLLEGE OF EDUCATION

#### Child Development Center (CDC)

After operating a half-day nursery for over 40 years, the School of Human and Consumer Sciences opened the Nursery Child Care Center in 1972. The Center was renamed in 1980. The Center is accredited by the National Academy of Early Childhood Programs, a division of the National Association for the Education of Young Children (NAEYC). The Center has an integrative, three-fold mission of providing quality education for children, families and the community; serving as a clinical instruction site for education majors; and supporting scholarly activity and research for OHIO faculty and students. The Center serves a maximum of 94 infants, toddlers and pre-schoolers. Over the past five years, more than 1,100 students have participated in clinical instruction at the Center.

The Center is funded by ~\$750,000 in fee revenues and \$400,000 from the Patton College; a 2012 donation of \$145,000 is being used to establish an endowment.

The review committee strongly believes that the Center is a valued resource of the Athens Community. Specifically, the review committee makes the following recommendations. The Center should:

- Continue the Reggio Emilia philosophy that embraces and empowers children, family and community in the education and care of young children.
- Continue to seek professional development opportunities for its staff to ensure accreditation is maintained.
- Continue to serve as a clinical instructional site for students and support the scholarly activity and research of faculty and students.
- Expand its funding sources and seek opportunities for outside grants to subsidize the environment, programming and professional development opportunities for staff.
- Position itself as a leader in providing regional early childhood professional development.

Dean/VPRCA Comments: The Dean is in full agreement with the findings and recommendations of the self-study and committee reports. The college will continue to work with the Center director to ensure that OHIO faculty are aware of the Center's availability as an opportunity for research. The College will also work with CDC leadership to identify and seek grant and contractual opportunities to offset costs of operations and programming. The VPRCA agrees with the Dean that the Center is a "hallmark of excellence" and is a "critical component in the preparation of education professionals in the college." The Center should be continued.

## REVIEW OF CENTERS AND INSTITUTES 2015-2016

### UNIVERSITY COLLEGE

#### Academic Advancement Center

The Academic Advancement Center (AAC) was created in 1969 and provides a broad range of academic support services to Ohio University undergraduates, with the goal of improving retention, engagement, and academic performance. AAC services include study skills courses and tutoring, content tutoring, writing assistance, supplemental instruction, the College Achievement Program, and the computer learning lab.

AAC is funded by the university (~\$0.9M annually) and by a US Department of Education TRIO Student Support Services grant (~\$0.3M annually), which has been funded continuously for 37 years.

The review committee strongly recommends the continuation of the AAC with some minor considerations and recommendations to maintain its efficiency and effectiveness. The review committee finds that the AAC is a valuable resource to the undergraduate student body and is a critical resource to subsets of the university's undergraduate population. This includes, but is not limited to, students who are academically underprepared, students with disabilities, first-generation students, and low-income students.

The review committee makes the following specific observations/recommendations:

- Several programmatic recommendations were identified by the AAC director in the self-study report; these recommendations, comprising of adjustments to staffing resources and services provided, should improve utility and efficiency of services.
- The committee noted significant concerns regarding the quality, layout and visibility of the existing space.
- The committee agrees with the Center director that in the future, a name change to better reflect the mission of the Center may be warranted. However, the committee recommends that serious consideration be given to retaining the AAC acronym.

Dean/VPRCA Comments: The AAC continually monitors student usage of services and, in consultation with the Dean, adjusts resources. Recently there has been a decline in the demand for academic skills instruction. The committee notes that in part this seems to be due to the availability of other successful university programming, including learning communities. Use of the Computer Learning Lab has also declined, due in large part to the fact that all university students now have their own computers and are more technologically savvy. The AAC has responded by reducing staff for these services. The AAC also noted a drop in the referrals (not usage) for tutoring services due to the transition in retention systems from MAPWORKS to the more comprehensive system, Starfish. As per the Dean, a plan to address space for the AAC issues is included in the recent Capital Improvement Plan for Alden Library. The Dean strongly endorses the continuation of the AAC and concurs that the Center is a successful and productive operation that has grown markedly since its inception. The VPRCA agrees with the review committee and Dean that securing adequate and appropriate space would enhance the quality of an already distinguished program. The Center should be continued.

## REVIEW OF CENTERS AND INSTITUTES 2015-2016

### **Recommend discontinuation:**

#### Institute for the African Child

Vice Provost for Global Affairs and International Studies Edmonds has requested that the Institute be discontinued as the Institute is no longer active. The Institute was formed in 1998 to promote research, teaching and service that consider the children in the process of the African continent's socio-economic development. The Center for International Studies is currently pursuing the development of a research academy as a platform for fostering interdisciplinary research on global issues, areas studies and development. This new effort will create an opportunity to redefine the role of the Institute for African Child within this broader vision for university-wide research collaborations and with the goal of securing new resources to advance its objectives.

The VPRCA agrees that the Institute should be discontinued, with an effective date of January 1, 2017, at which time grant-funded activity associated with the Institute will have concluded.



## **Interoffice Communication**

**Date:** October 3, 2016

**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 OHIO's multi-modal education strategy has led to many significant milestones.

- New student enrollments remain strong and achieved several milestones in key demographics in alignment with the Strategic Enrollment Management Plan (SEMP).
- Overall enrollment growth is set to be another record Fall term, our 10<sup>th</sup> straight year.
- OHIO's overall multi-modal educational opportunities have been significant in maintaining our counter-cultural growth pattern over the past decade within the state and also nationally- just being recognized again in the Chronicle of Higher Education as the one of the fastest growing public doctoral institutions in the US.
- OHIO saw a second year in a row drop with our cohort default rate to 8.7%. A 2.4% drop over last year.

# Enrollment Update

Tab



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# What is Strategic Enrollment Management

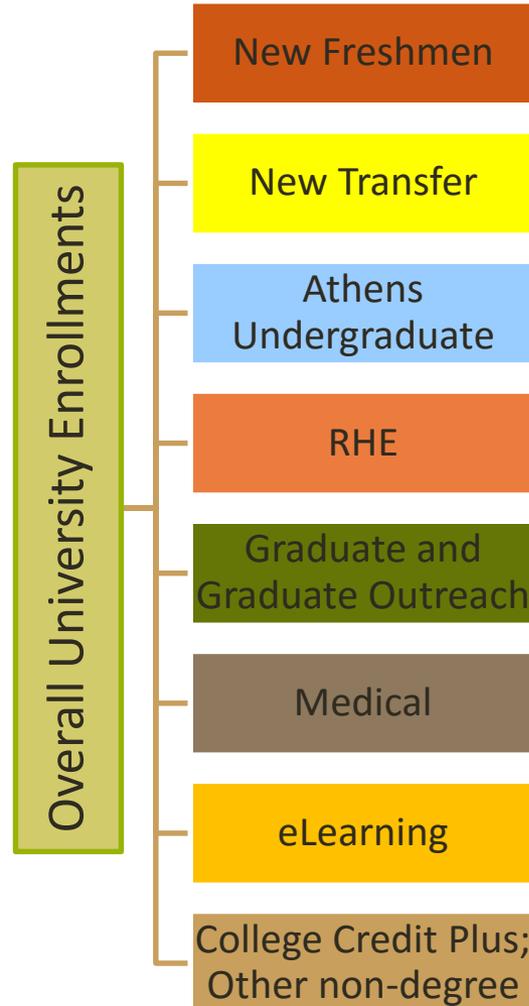
## Strategic Enrollment Management - A definition

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 and is "optimal" when it is 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.

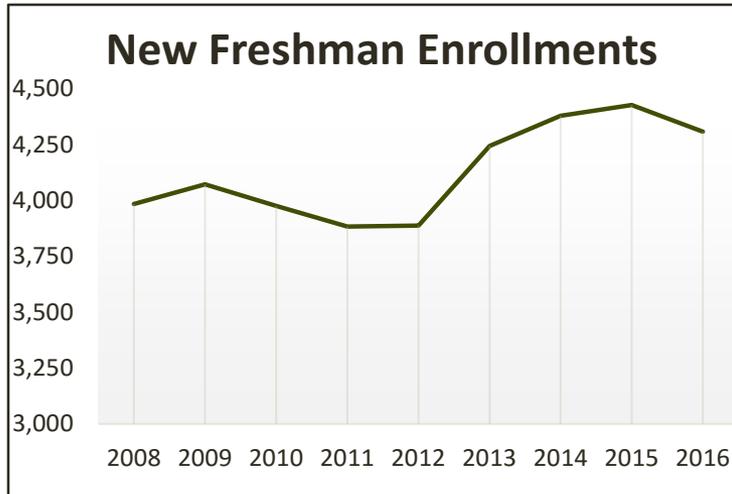


# Ohio University's Multi-Modal Educational Strategy Has Driven Our Enrollment Success



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# Freshman and Other New Student Enrollments at the Athens Campus



### New Freshmen Students

- 4,309, -114, -2.6%
- 3<sup>rd</sup> highest class in OHIO history
- + 426 over low point in 2011



### New Transfer Students

- 546
- -17 students
- 3.0% decrease over last year

### College Credit Plus, Athens Campus

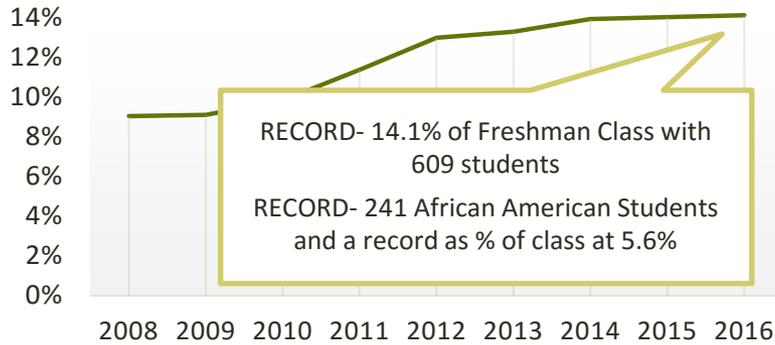
- 88 new Athens students – tentative
- +32 students
- 57% increase over last year- Athens
- 933 prelim. total enrollments (all campuses), +38 students



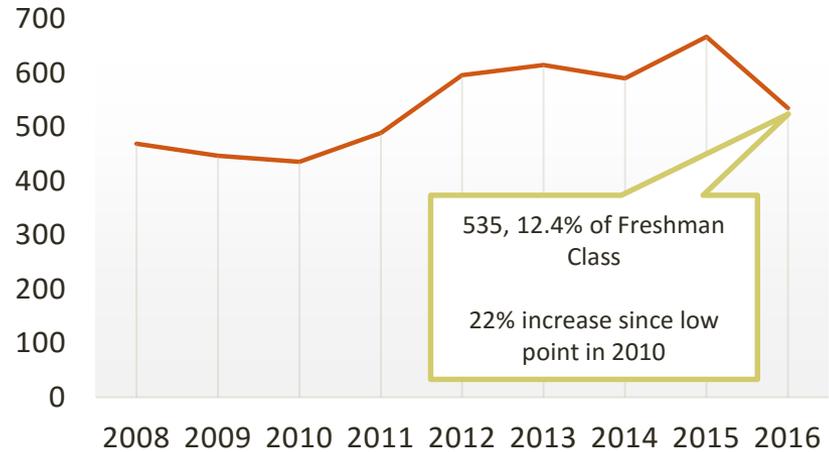
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# New Freshman Highlights

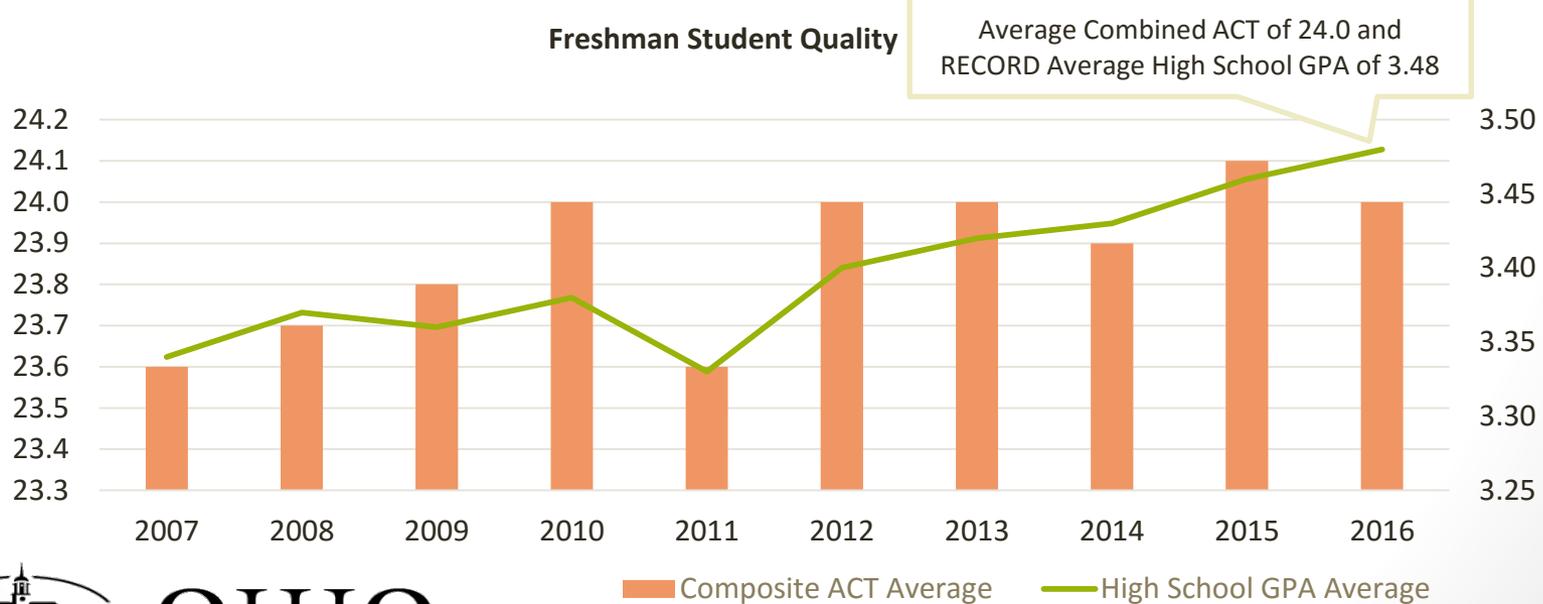
## Multi-Cultural Student Enrollment as a Percent of Freshman Class



## Out-of-State Enrollments in Freshman Class



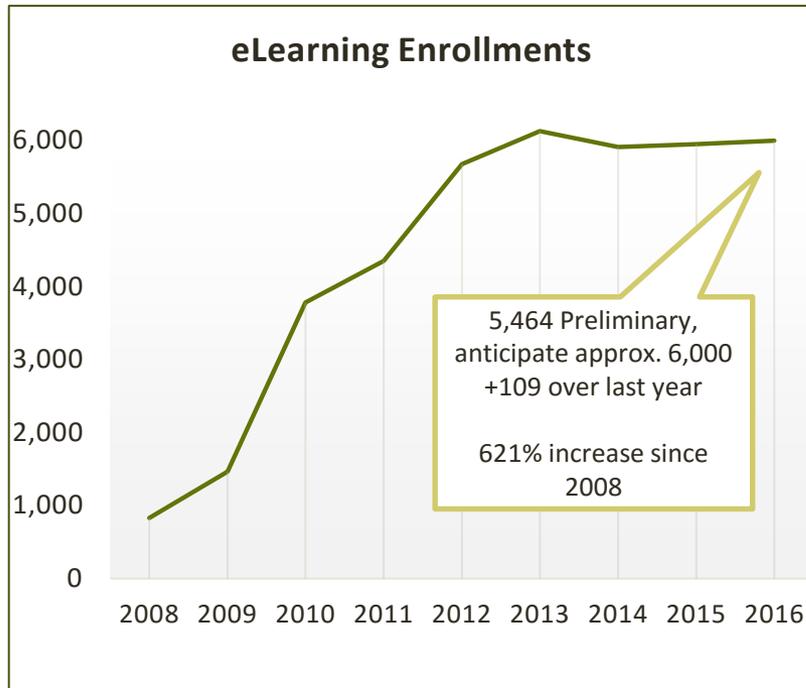
## Freshman Student Quality



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Composite ACT Average High School GPA Average

# Undergraduate eLearning Enrollments



## eLearning

- 5,464 students so far
- +109 (2% increase over last year)
- Will pick up several hundred more with second and third fall term starts- anticipate being close to 6,000.
- 20 signed partnerships
- 7 online undergraduate degree completion programs currently being recruited for
- Additional programs being discussed
- Began first phase of larger marketing campaign for these programs this Spring and are in the middle of an RFP now for a more comprehensive approach.

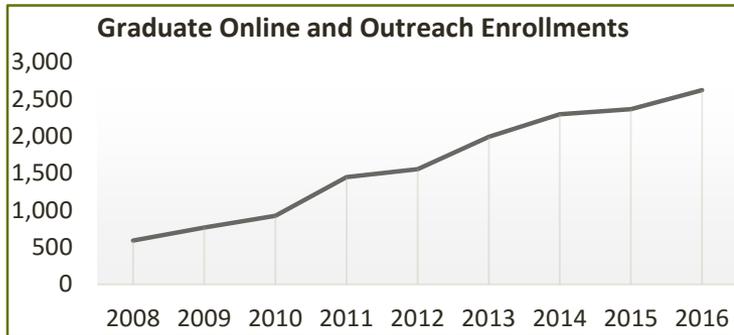


# Graduate, Graduate Outreach and Medical Enrollments



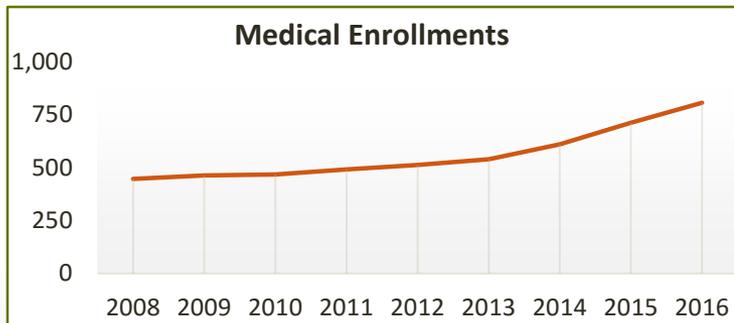
Graduate- Ground-Based (Athens + Dublin)

- 2,686 Students
- Up 62 over last year (-4 Athens, +66 Dublin)
- Up 2.4%



Graduate Online and Outreach

- 2,624 Students
- Up 187 from last year, new Record
- Up 7.7%



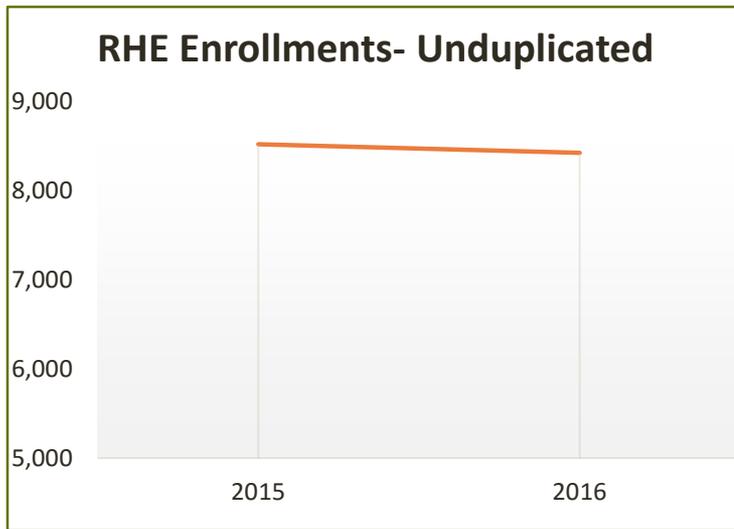
Heritage College of Osteopathic Medicine

- 805 Students
- Up 93 from last year, a new Record
- Up 13.1%
- Up 80.5% since 2008



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# RHE Enrollments

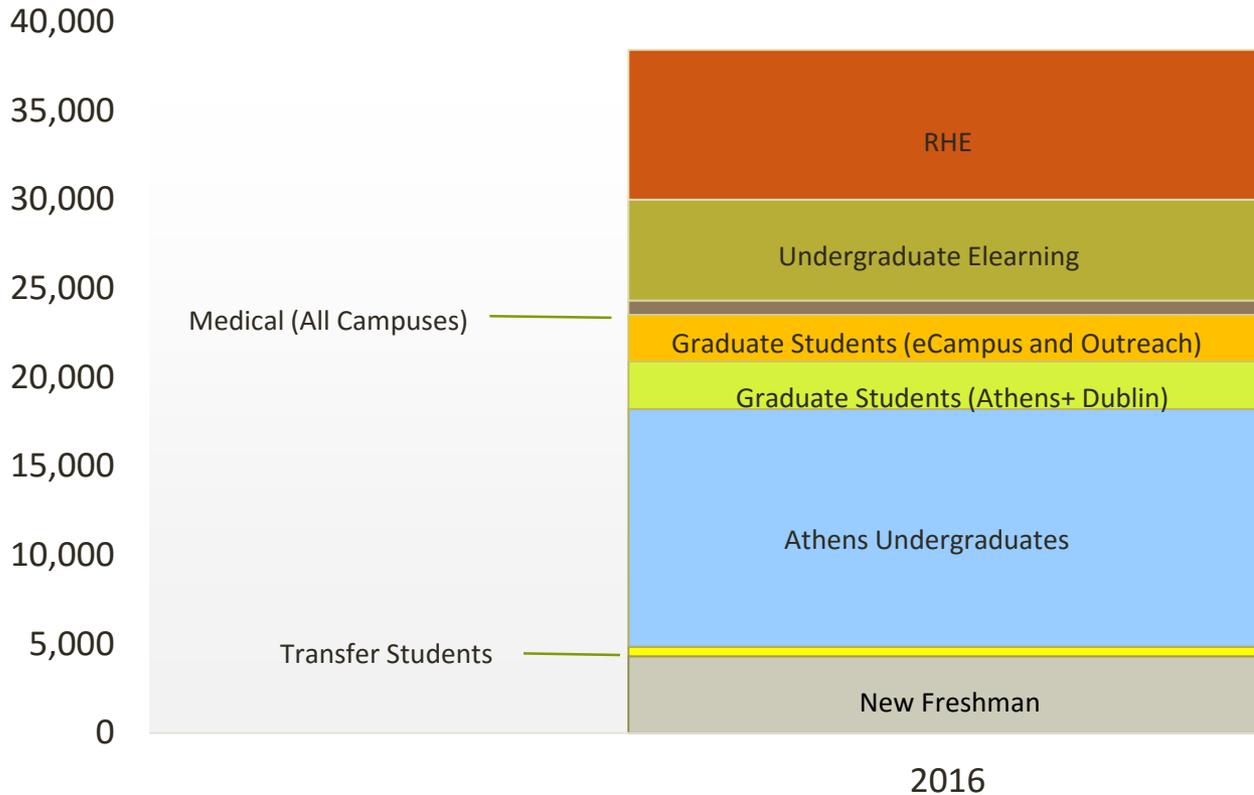


## Regional Higher Education – Unduplicated Headcount

- 8,426
- -86, decrease over last year
- -1% decrease over last year
  
- Includes 800 (prelim.) College Credit Plus 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 36,410 unduplicated headcount, for fall term which is up approximately 93 students greater than last fall term at this point in time.

NOTE: This is Fall term enrollments only. When we announce all year unduplicated number of enrollments at 43,752, that represents the number or unique students that we enroll over the course of an academic year (Summer, Fall and Spring terms) and emphasizes the impact of our multi-modal educational offerings

Record enrollment each and every year since 2006- a decade of growth!

■ New Freshmen

■ Graduate

■ eLearning

■ Transfer Students

■ Graduate Outreach

■ RHE

■ Athens Undergraduates

■ Medical



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# Enrollment Growth - National

## Fastest-Growing Colleges, 2004-14

All of the top 20 public colleges that primarily grant associate degrees and 19 of the private nonprofit master's institutions at least doubled their enrollment over the 10-year span, while no public doctoral institution did so. The fastest-growing category was private nonprofit master's institutions.

Rank for size of increase	Institution	Enrollment, fall 2004	Enrollment, fall 2014	Increase
<b>Public doctoral institutions</b>				
1.	Texas A&M U. at Kingsville*	7,126	13,246	85.9%
2.	U. of Alabama at Tuscaloosa	20,929	36,047	72.2%
3.	Utah State U.	16,130	27,662	71.5%
4.	City U. of New York Graduate Center†	4,234	7,013	65.6%
5.	U. of Texas at Dallas	14,092	23,095	63.9%
6.	Missouri U. of Science and Technology	5,404	8,640	59.9%
7.	U. of Texas at Arlington	25,297	39,740	57.1%
8.	U. of Mississippi	14,497	22,503	55.2%
9.	U. of Massachusetts at Lowell	11,089	17,179	54.9%
10.	U. of Arkansas at Fayetteville	17,269	26,237	51.9%
11.	Oregon State U.	19,153	28,886	50.8%
12.	Colorado School of Mines	4,101	5,962	45.4%
13.	Ohio U.	20,143	29,217	45.1%
14.	Northern Arizona U.	19,137	27,705	44.8%
15.	U. of Massachusetts at Boston	11,682	16,756	43.4%
16.	U. of Central Florida	42,465	60,767	43.1%
17.	Florida International U.	34,865	49,610	42.3%
18.	Texas A&M U. at Commerce	8,620	12,111	40.5%
19.	Texas Woman's U.	10,750	15,071	40.2%
20.	Rutgers U. at New Brunswick	34,696	48,378	39.4%
<b>Average for 174 institutions in category</b>		<b>21,698</b>	<b>24,740</b>	<b>14.0%</b>
<b>Private nonprofit doctoral institutions</b>				

Rank for size of increase	Institution	Enrollment, fall 2004	Enrollment, fall 2014	Increase
9.	Russell Sage College	835	2,878	244.7%
10.	Colorado Christian U.	1,680	5,787	244.5%
11.	U. of the Cumberlands	1,744	5,736	228.9%
12.	California Baptist U.	2,905	7,957	173.9%
13.	Tiffin U.	1,562	4,100	162.5%
14.	Concordia U. Chicago	2,056	5,038	145.0%
15.	Concordia U. (Calif.)	1,834	4,311	135.1%
16.	American International College	1,621	3,629	123.9%
17.	Concordia U. Texas	1,160	2,504	115.9%
18.	Maharishi U. of Management	695	1,454	109.2%
19.	Sierra Nevada College	505	1,039	105.7%
20.	Wingate U.	1,560	3,034	94.5%
<b>Average for 353 institutions in category</b>		<b>3,656</b>	<b>4,449</b>	<b>21.7%</b>
<b>Private nonprofit baccalaureate institutions</b>				
1.	Mid-America Christian U.	697	2,688	285.7%
2.	Central Methodist U., College of Graduate and Extended Studies	1,348	4,537	236.6%
3.	Baker College of Allen Park	1,033	3,372	226.4%
4.	Brigham Young U.-Idaho	11,555	36,624	217.0%
5.	Keiser U. at Ft. Lauderdale	6,121	19,110	212.2%
6.	Bryan College (Tenn.)	647	1,599	147.1%
7.	Morningside College	1,204	2,823	134.5%

13<sup>th</sup> this year!

18<sup>th</sup> last year for 2003-2013



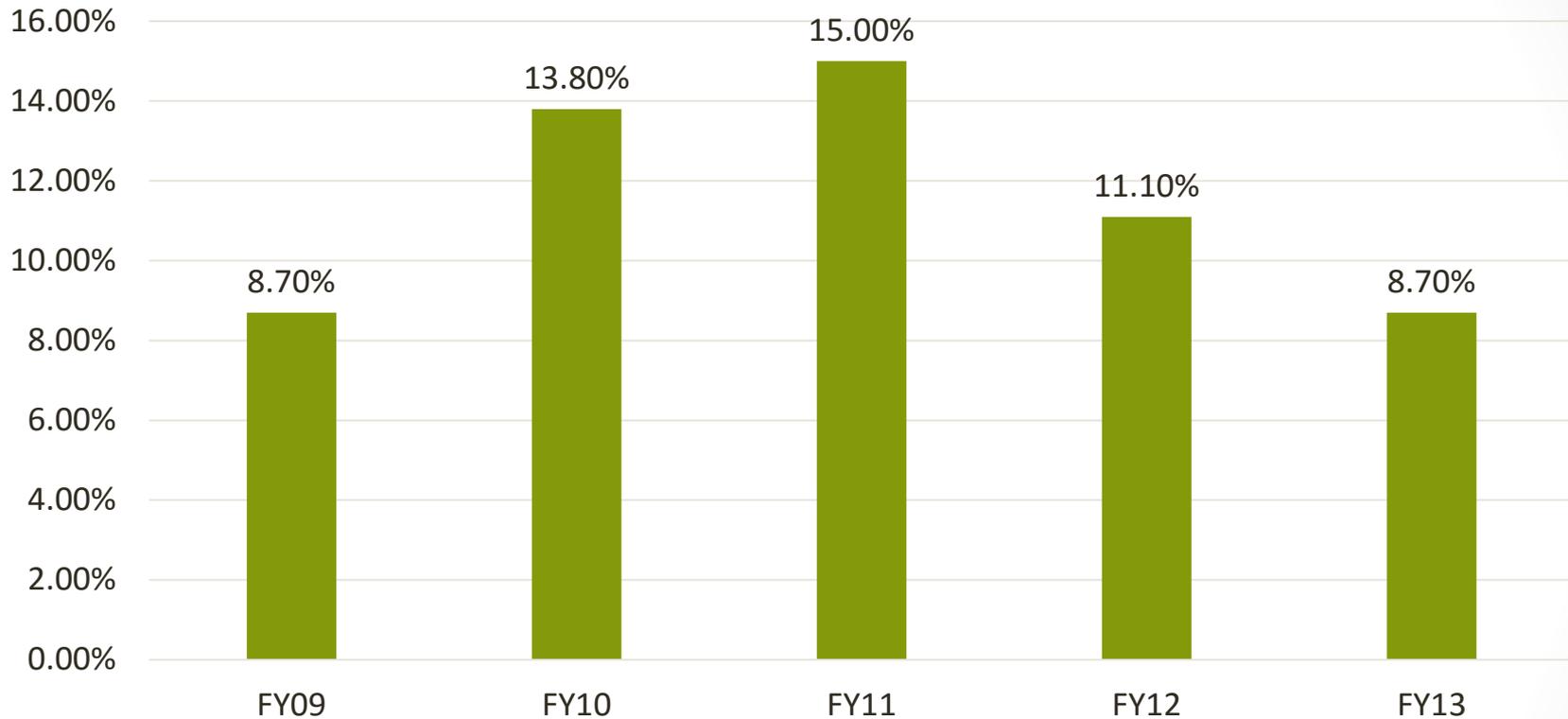
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# Cohort Default Rate



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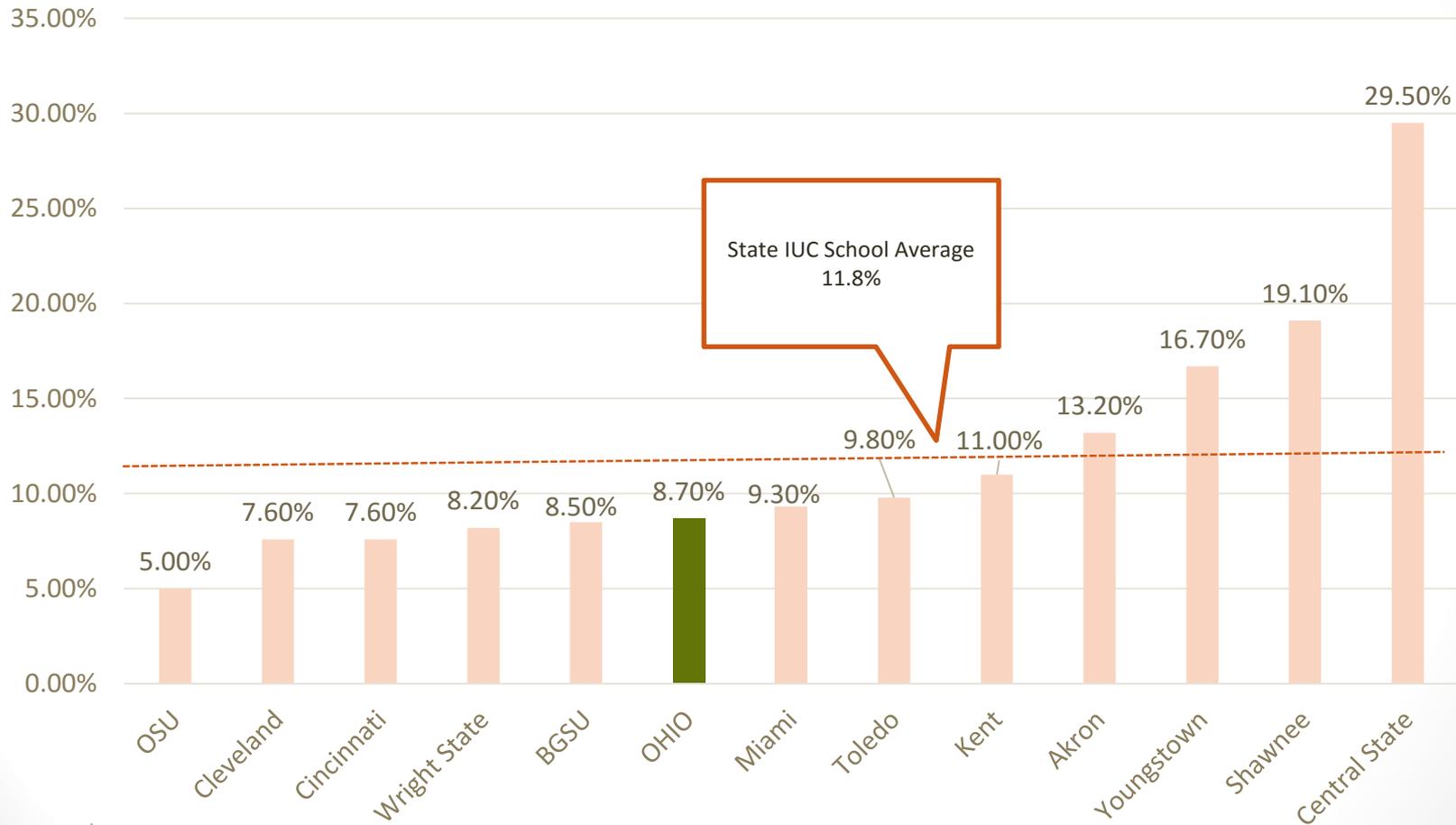
# OHIOs 3-Year Cohort Default Rate



DEFINITION: A **cohort default rate** is the percentage of a school's borrowers in the US who enter repayment on certain loans during a federal fiscal year (October 1 to September 30) and **default** prior to the end of the next one to two fiscal year



# IUC Schools 3-Year Cohort Default Rate for FY12





## Interoffice Communication

**Date:** October 3, 2016

**To:** The President and Board of Trustees

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

**Re:** **Global Strategy**

Globalization is a defining factor in Ohio University's vision of providing a transformative learning experience and is core to the quality of life and a healthy economy for the U.S., the State of Ohio and the home communities of OHIO's campuses.

- Today one in five jobs in the U.S. is tied to global trade and this number will rise significantly in the next decade (Trade Partnership Worldwide, 2016).
- In academic year 2014-15, international students and their families in the U.S. contributed \$30.5 billion to the economy supporting 373,381 jobs in the country (NAFSA Association of International Educators, 2016).
  - for OHIO students this represents \$52.6 million and 715 jobs.
- By 2032, net international migration is projected to overtake natural increase as the driver of population growth in the U.S. (U.S. Census Bureau, 2012).
- Access to talent – domestic and international - with global competencies and connections is very competitive but essential for Ohio's continued growth and prosperity (Ohio Board of Regents, 2015) and engagement in solving the world's problems.

OHIO has the opportunity and responsibility to cultivate *global leaders* who are *globally competent, confident, cooperative and connected* and ready to enter the marketplace with enthusiasm and a vision for a better world. To achieve this vision requires:

- Globally engaged faculty, staff and students;
- Globally Diverse and Inclusive Campus, Curriculum, Scholarship and Community; and
- A Global Brand in Higher Education.

Over the last two years, the Office of Global Affairs and International Studies conducted a pan-university stakeholder consultation to determine OHIO's next global strategy for excellence. What emerged were four outcomes to guide OHIO for the long-term:

- Increasing access to a global education, research and creativity;
- Mobilizing global opportunities and exchange of knowledge and experience;
- Bringing the world to OHIO to foster campus communities that contribute to citizenship; and
- Creating opportunities for raising the university's global profile and establishing effective internal and external relations for building valuable networks.

*Advancing global diversity and inclusion* was identified as the most important focus of OHIO's strategic global priorities for the next five years. To achieve these goals, three specific objectives were identified:

1. Building a holistic approach to recruit and support international students and alumni to create a global classroom and community for all;
2. Globalizing the academic mission in which faculty are supported to educate, conduct research and innovation and offer experiential learning to all students with a global and cross-cultural lens and inclusive approach; and
3. Managing relationships by identifying and supporting strategic partners, implementing targeted communications and establishing performance metrics.



# OHIO's Pan-University Global Strategy

Tab



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# Vision Statement

THE NATION'S BEST  
**TRANSFORMATIVE  
LEARNING COMMUNITY**  
WHERE ALUMNI BECOME  
**GLOBAL LEADERS**



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# Facts

- One in five jobs in the U.S.
  - tied to global trade and increasing
- By 2032, net international migration will be the driver of population growth in the U.S.
- International Students contribute over \$30.5 billion to the US economy supporting 373,000 jobs
  - OHIO international students contribute \$52.6 million supporting 715 jobs



HIGHER EDUCATION

IS THE

GATEWAY

FOR THE

GLOBAL FLOW

OF

TALENT AND IDEAS



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# Achieving the Vision

OHIO has the opportunity and responsibility to cultivate *global leaders* who are *globally competent, confident, cooperative and connected* and ready to enter the marketplace with enthusiasm and a vision for a better world.



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# Achieving the Vision

Requires:

- Globally Engaged Faculty, Staff and Students
- Globally Diverse and Inclusive Campus, Curriculum, Scholarship and Community
- A Global Brand in Higher Education



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# Strategic Framework Engagement in Globalization

**Global Vision:** Nation's best TRANSFORMATIVE learning community, creating and supporting GLOBAL leaders

**Global Mission:** Leading Globally for Good, Preparing Global Leaders

**Global Output:** Graduates with the Potential for Global Leadership

Education, Research,  
and Creativity

Mobility of Knowledge  
and Experience

Diversity of  
Campus Life

Relations and Profile

Governance,  
Management &  
Infrastructure

Plan, Data, &  
Metrics

People, Partners,  
& Networks

Communications

Finance,  
Administration, &  
Revenue Models



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© Lorna Jean Edmonds, Ohio University, 2014

# Objectives:

- Increase access to a global education, research, and creativity;
- Mobilize global opportunities and exchange of knowledge and experience;
- Bring the world to OHIO to foster campus communities that contribute to citizenship; and
- Create opportunities for raising the university's global profile and establishing effective internal and external relations for building valuable networks.



# Three Strategic Directions

2016 to 2020

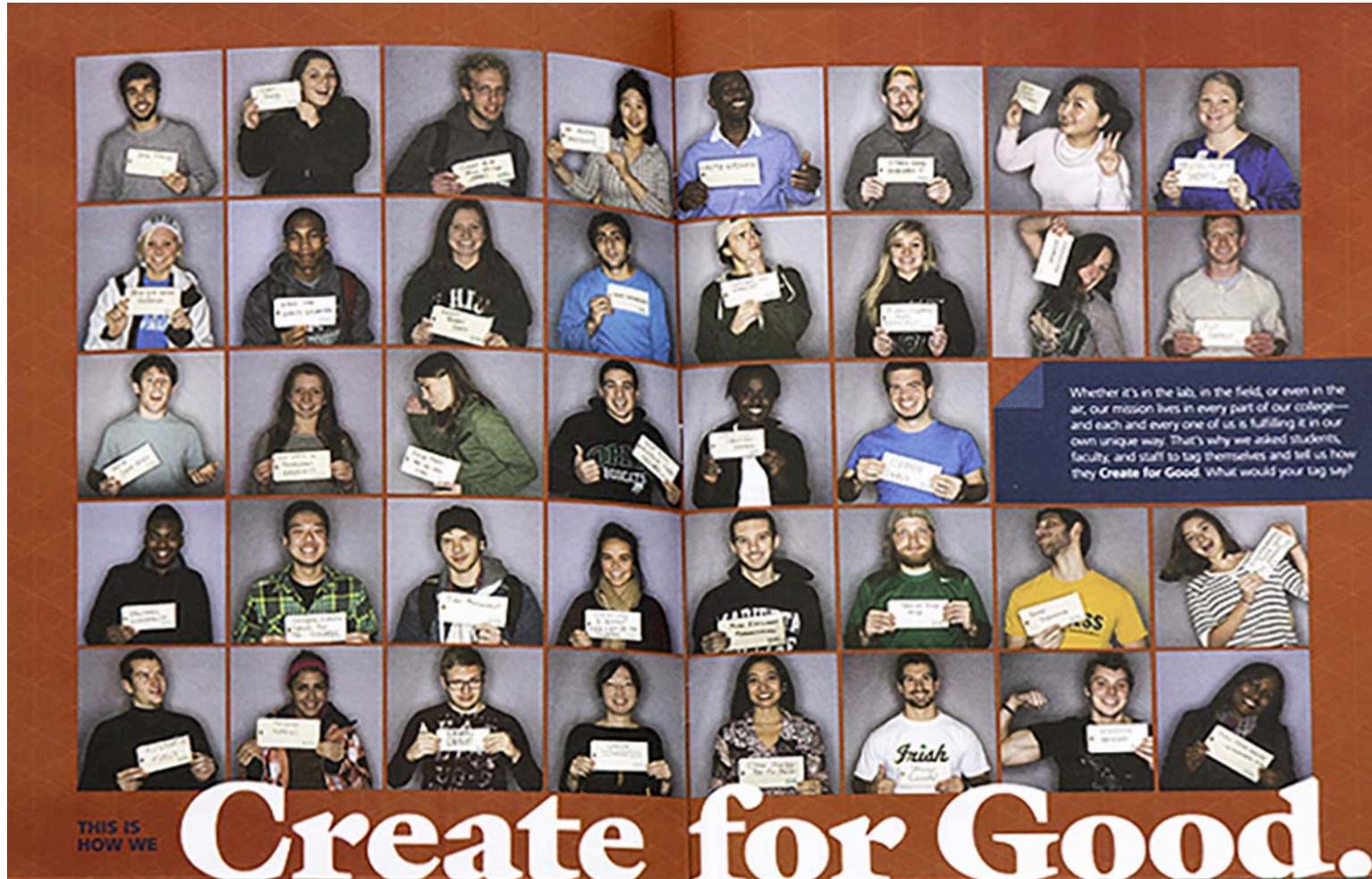


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# 1. Recruiting and Supporting International Students and Alumni

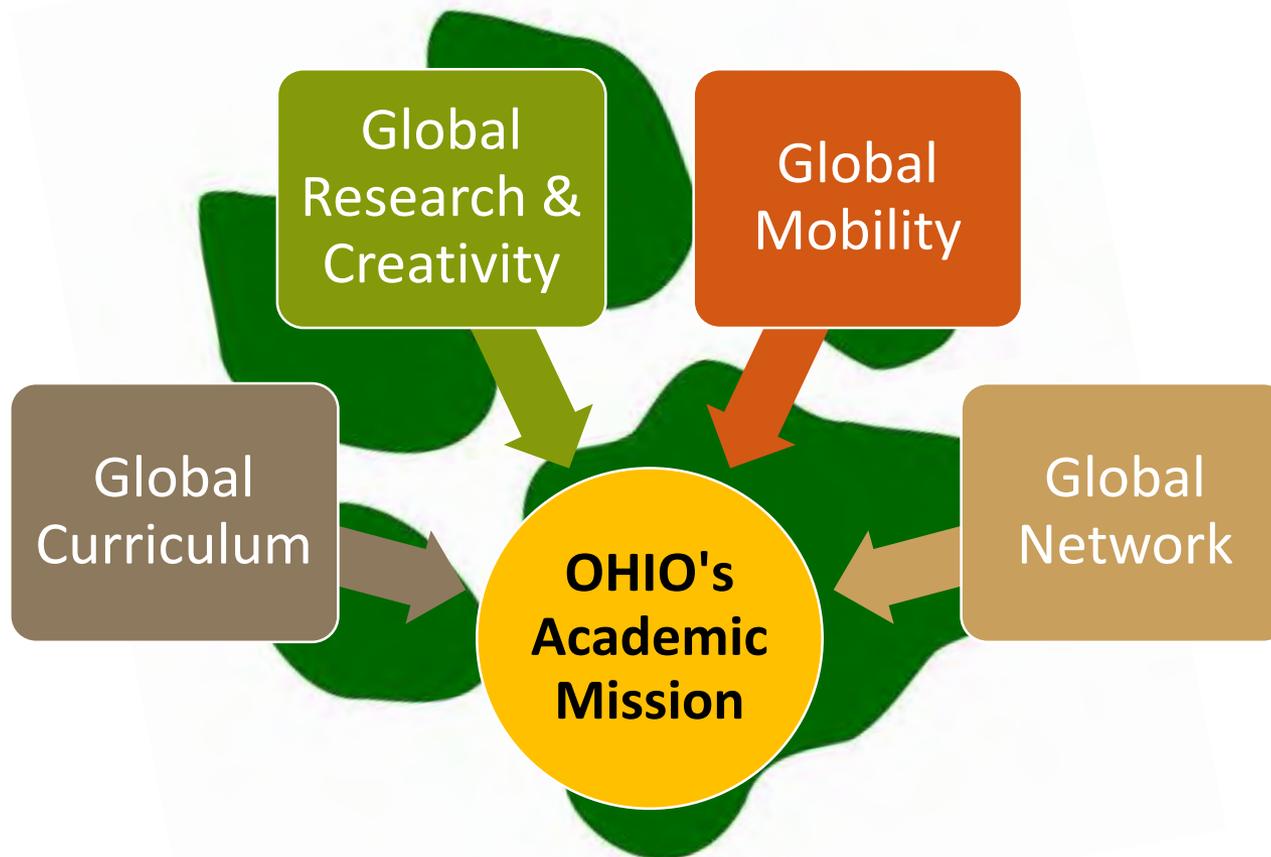


# Global Classroom and Campus



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# 2. Achieving Excellence with a Global Academic Mission



# COIL (Collaborative Online International Learning) initiated at Regional Campuses

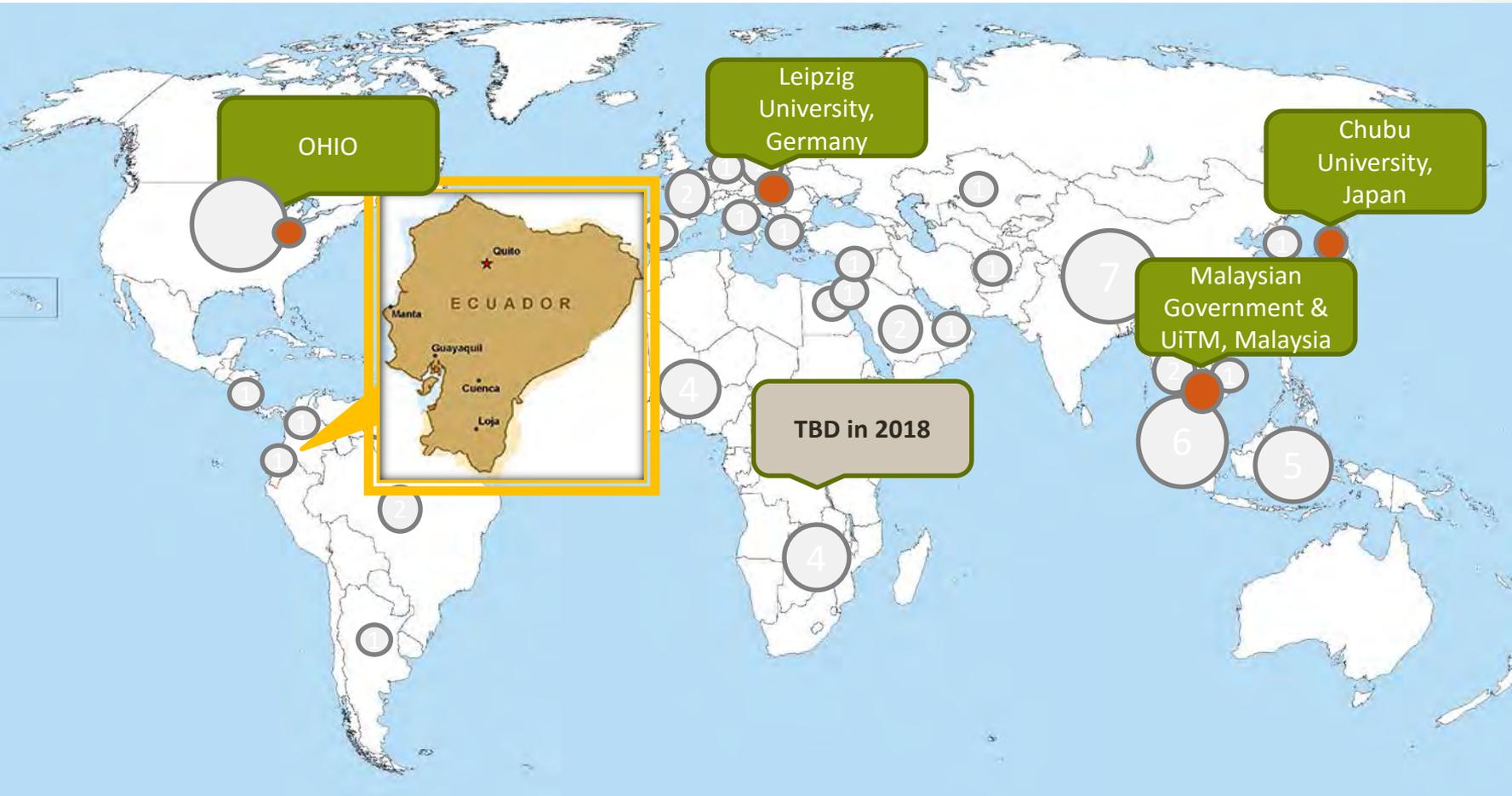


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# 3. Relationship Management



# Managing OHIO's Global Reach and Strategic Relationships



# Strategic Partnerships for Achieving OHIO's Vision



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# Global Leaders



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**Thank you**



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

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

**Re:** **Innovation Strategy Second Funding Cycle**

The Innovation Strategy identifies innovation, broadly defined, as a foundational endeavor underlying Ohio University's engagement with the major societal challenges of our day. An important part of the Strategy is a program of targeted internal investments supporting interdisciplinary teams. The first round of awards under this program was announced during 2015-2016. The second funding cycle was initiated in September 2016 with the release of a Request for Proposals (RFP).

The accompanying presentation provides a summary of the current status and plans for this investment program. The Innovation Strategy has already proven successful in incentivizing interdisciplinary, multi-college/planning unit collaborations. The RFP structure provides an easy entry into the funding competition process. Smaller developmental grants, in addition to major awards, serve to nurture promising ideas in parallel with launching large projects with significant durable impact.

# Innovation Strategy Second Funding Cycle

Tab



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# Innovation Strategy

- Focus on Innovation, broadly defined, as a defining attribute of OHIO
- Emphasis on partnerships, internal and external
- Program of internal investments
- First cycle of competitive awards 2015-2016; second cycle now starting



# Innovation Strategy

- Request for Proposals Sep 2016
- Letters of Intent due Oct 13, 2016
- Interdisciplinary teams drawn from multiple planning units/colleges
- Focus on four portfolios
  - Digitally Connected World
  - Energy, Environment, and the Economy
  - Health & Wellness
  - Vibrant Societies & Economies



# Innovation Strategy

- Innovation in teaching, research, creative activity, institutional operations
- Cycle 2 total budget \$4.4M
- Major and developmental awards
- Multi-stage process, external reviewers
- Program is receiving recognition at state level and nationally





## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

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

**Re:** **Academic Quality Points of Pride - Arts and Sciences Curricular Themes Initiative**

The presentation will review the current status of the curricular theme initiative as an example of an academic quality initiative being led by the College of Arts and Sciences.

The themes were developed to facilitate multi-disciplinary interactions across departmental and college boundaries, provide students with a strategy for completing their general education and course distribution requirements, and create a novel mechanism for student engagement. A theme consists of courses from a variety of disciplines that address a common topic or issue. In addition, the courses are supplemented by extracurricular activities related to the topic including films, field trips, outside speakers and service learning activities.

A group of faculty and students with interests in the thematic area form the core of each theme. A theme is not a major. A major is designed to provide deep knowledge of a particular subject or discipline, while themes are problem-oriented and multi-disciplinary in nature. A theme introduces a student to the complexity of a significant global challenge or issue using a variety of perspectives.

Hundreds of faculty and students have participated in theme courses and activities since their “official” launch in 2013. They have stimulated development of new and exciting courses and activities that have energized the college, university and community, and made a significant contribution to the quality of the educational experience of many students and the job satisfaction of many faculty. In addition, the themes have served as a vehicle for successful cross-college collaboration and community outreach. The main way that the themes have impacted the quality of the OHIO experience is by engaging more faculty and students more strongly as an academic community. This type of engagement has been shown to be one of the best ways to support student retention and academic success.

While a handful of other universities have developed curricular initiatives they referred to as themes, these typically consist of a few multi-disciplinary courses that are required as part of general education. To the best of our knowledge, no other university has anything approaching the scope and scale of our themes effort in terms of the number of courses and co-curricular activities. The attached Powerpoint slides provide additional information about the themes, and a short video of interviews with theme faculty and students will be presented at the Board Meeting.

# Academic Quality Points of Pride

## College of Arts & Sciences Curricular Themes Initiative

Tab



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# What is a 21<sup>st</sup> Century Liberal Arts Education?

---

**One that empowers individuals to thrive in a complex, diverse, changing world**

- Broad knowledge of the wider world;
- In-depth achievement in a specific field;
- Tools for a fulfilling life and career.



# A Few Challenges

- How do we facilitate discussion of big, complex problems that cross disciplinary lines?
- How do we make completion of the distribution requirements meaningful to our students?
- How do we academically engage more students sooner?



# Curricular Themes



LOVE+  
HATE



*Sustainability  
Studies*



making and  
**BREAKING**  
the **LAW**

WAR  
&  
PEACE

**?**  
Knowing  
the Future



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# Curricular Themes

---

- set of related courses and experiences;
- provide guide to fulfilling breadth of knowledge requirement;
- enable students to explore topics that may or may not be related to their major;
- small groups of faculty and students talking about issues.... exploring together... solving problems.



# making and BREAKING the LAW

- Introductory course: Breaking the Law
- Theme courses taught in 11 departments
- Certificate in Law, Justice and Culture
- Study abroad in Northern Ireland and Cambodia
- Numerous extracurricular programs
- Co-sponsorships with other themes and units
- Student club



# Impact, so far....

- Seven themes, 60 core faculty (six colleges, 20 departments)
- Theme courses
- Certificates
- Theme sponsored speakers
- Films
- Study abroad
- Field trips
- Internships
- Mapping the future course
- Prediction tournament and DIY Science Fiction
- Food and supply drives
- External relationships with local partners
- Service learning



# Impact of the Themes: In their own words....

Interviews of faculty and student participants  
(video)



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# How do themes spur innovation?

- No weight of history
- Few rules
- Mixing up the disciplines
- Strong encouragement to try something new
- Leveraging faculty and student passion



**COLLEGE OF HEALTH SCIENCES AND PROFESSIONS  
DEPARTMENT OF INTERDISCIPLINARY HEALTH STUDIES  
MASTER OF GLOBAL HEALTH**

**RESOLUTION 2016 -**

**WHEREAS**, the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions proposes to create the Master of Global Health degree, and

**WHEREAS**, the proposed degree program has completed University Curriculum Council approval, and

**WHEREAS**, the Master of Global Health degree will prepare post-baccalaureate students to engage with health issues transcending national and international borders, and

**WHEREAS**, the proposed curricular program will provide students with training and preparation as clinicians, researchers, managers, developers, and policy consultants, and

**WHEREAS**, students will complete 38 credit hours of coursework, including a field experience and scholarly project, and develop an understanding of the complexities impacting health care delivery and the necessity of working on interprofessional teams to develop community-based solutions in non-U.S. or immigrant/migrant underserved and resource-poor communities, and

**WHEREAS**, faculty and facilities resources needed to establish the Master of Global Health have been identified, and

**WHEREAS**, the proposal has broad university faculty and administrative support.

**NOW THEREFORE, BE IT RESOLVED**, that the Board of Trustees of Ohio University hereby approves establishing the Master of Global Health degree in the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions.



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

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

**Re:** **College of Health Sciences and Professions – Master of Global Health**

A resolution is included seeking board approval for a new Master of Global Health degree in the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions.

The program proposal and OHIO Curriculum Enhancement and Approval Network (OCEAN) materials are presented. University Curriculum Council has approved the program and provides the proposal for your review.

The Master of Global Health will prepare students to work with multilateral and international agencies, national governments and local agencies based on a solid understanding of the roles that geography, landscape, language, food, community, national governance, and religion play in healthcare decision-making and practice. Graduates will contrast leadership and policy development approaches in different countries and settings, and learn how to manage, research and deliver services in multicultural and complex settings. They will gain expertise in evaluating global health trends such as aging and immigration, and will explore ways to respond to these trends in collaboration with global and local partners. The Master of Global Health will prepare graduates for jobs in health care policy, programming and delivery in multicultural settings, with diverse population groups and resource-poor communities that are culturally, politically and economically distinctive from traditional U.S. communities.

The Master of Global Health students will complete 38 credit hours of coursework, (five core courses and a field experience for 18 hours, four elective courses for 12 hours and 8 hours of a scholarly project). Students are encouraged to combine their global health studies with other disciplines to create their own concurrent focus in fields such as medicine, nursing, social work, business, international development, international communications, regional specializations (e.g. Africa, Latin America, Asia/Southeast Asia), and environmental studies. Students will participate in ongoing interprofessional global health projects and research that tackle complex multifaceted issues in resource-poor regions. It will prepare students for careers that increasingly demand critical thinking, an interprofessional mindset, and international vision.

At the completion of the Master of Global Health, students will:

1. Demonstrate a broad understanding of cultural, social, political, economic, and environmental determinants of global health, global burden of disease, and health disparities;
2. Evaluate and navigate the cultural and ethical considerations inherent in global health contexts, especially when working with vulnerable populations;
3. Analyze global health issues, policy, and health-delivery systems from multiple perspectives;
4. Work effectively on interprofessional teams and collaborate with community-based partners;
5. Use data appropriately for problem identification, best practices and available resources;
6. Analyze and evaluate new and emerging trends in the application of technology and innovation in meeting complex health needs in resource poor communities;
7. Demonstrate the ability to design and lead a field project responding to a global health issue.

There are major areas and organizations where students may find work. Examples include:

- (a) Funding- Global Fund, Gates Foundation, Department for International Development, USAID, President's Emergency Plan for AIDS Relief, CARE);
- (b) Implementation-Clinton Health Access Initiative, Doctors Without Borders, International Committee of the Red Cross (ICRC), Mercy Corps;
- (c) Research-universities around the world;
- (d) Advocacy- most organizations involved even if not primary mandate;
- (e) Governance- Ministers of Health, WHO, UN agencies, World Bank, International Monetary Fund;
- (f) Product Development- pharmacies, NGOs, Medicines for Malaria Venture, Drugs for Neglected Diseases Initiative (DNDI);
- (g) Clinical and Community- mothers2mothers, Doctors Without Borders, Elizabeth Glaser Pediatric AIDS Foundation, and Africare.

Career opportunities include organizations that focus on environmental and climate issues, disaster relief, consulting, maternal/child health, specific diseases, immigrant populations, development and access, disease detection and response, population monitoring, and health education.

Master of Global Health

Full Proposal

Ohio University

September 1, 2016

Prepared by

Gillian Ice, Ph.D., M.P.H., Professor, Heritage College of Osteopathic Medicine (HCOM) &

Director- Global Health Initiative, College of Health Sciences and Professions (CHSP)

Deborah Meyer, Ph.D., RN, Visiting Assistant Professor of Global Health,  
Department of Interdisciplinary Health Studies, College of Health Sciences and Professions (CHSP)

### Advisory Committee

Averell S. Overby, Dr.P.H., Interim Associate Dean for Strategic Initiatives, CHSP

Sally Marinellie, Ph.D., Associate Dean for Academic Affairs, CHSP

Solveig Spjeldnes, Ph.D., Assistant Professor, Department of Social and Public Health, CHSP

Michelle Morrone, Ph.D., Professor, Department of Social and Public Health, CHSP

Caroline Kingori, Ph.D., Assistant Professor, Department of Social and Public Health, CHSP

Christina Orozco, M.Ed., ATC, Assistant Clinical Professor, School of Applied Health Sciences & Wellness,  
CHSP

New Graduate Program Proposal Form  
Graduate College  
Ohio University

**This is a (check one):**

Program Development Plan

Full Proposal

Certificate Program

Program name change

**New degree title and name:**

Master of Global Health (MGH)

**Proposing unit(s) [departments(s) or school(s)]:**

College of Health Sciences and Professions (CHSP), Department of Interdisciplinary Health Studies (DIHS)

**Summary of proposed program (100 words or fewer):**

This proposal is for a new Master of Global Health (MGH), which consists of 38 semester credit hours (5 core courses for 18 credits, 5 elective/concentration courses for 12 credits, 8 credits scholarly project). Depending on the area students choose to emphasize, the MGH will prepare students to engage in the global community as clinicians, researchers, managers, developers, and as policy consultants. Students will develop a deep understanding of the complexities impacting health care delivery and the necessity of working on interprofessional teams to develop community-based solutions in non-U.S. or immigrant/migrant underserved and resource-poor communities,.

Proposal Endorsements

Proposed Graduate Program Director I certify that this new graduate program proposal is endorsed by the proposed program faculty and that they have agreed, in principle, to participate actively in the program.

**Printed name:** Gillian H. Ice, PhD, MPH

**Signature:** 

**Date:** March 29, 2016

Unit Head: The department will provide the departmental resources and support described in this document toward the development of the proposed new graduate program.

**Printed name:** Michael Kushnick, Ph.D.

**Signature:** 

**Date:** September 1, 2016

College Dean: The College fully supports the development of the new graduate program described in this proposal and will provide college resources as described in this document.

**Printed name:** Randy Leite, Ph.D.

**Signature:** 

**Date:** 9/1/16

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## NEW GRADUATE PROGRAM

### **1. Designation of New Degree Program**

This proposal is for a Master of Global Health (MGH), a professional master's degree that prepares post-baccalaureate students to enter careers focused on various aspects of global health, such as clinical, research, managerial, development, and policy. It prepares students to deal with health issues that transcend national and international borders. The program will be housed in the College of Health Sciences and Professions (CHSP), Department of of Interdisciplinary Health Studies (DIHS). Faculty, however, in addition to those from the CHSP, will come from colleges and programs at Ohio University, such as Business, International Development Studies, African Studies, Latin American Studies, Asian Studies, Communication and Development Studies, Public Health, Anthropology, and Economics. It is a hybrid program, combining online and traditional courses as well as a required field-based scholarly project.

The MGH will prepare students to work with multilateral and international agencies, national governments and local agencies based on a solid understanding of the roles that geography, landscape, language, food, community, national governance, and religion play in healthcare decision-making and practice. Graduates will contrast leadership and policy development approaches in different countries and settings, and learn how to manage, research and deliver services in multicultural and complex settings. They will gain expertise in evaluating global health trends such as aging and immigration, and will explore ways to respond to these trends in collaboration with global and local partners. The MGH will prepare graduates for jobs in health care policy, programming and delivery in multicultural settings, with diverse population groups and resource-poor communities that are culturally, politically and economically distinctive from traditional U.S. communities.

### **2. Description of the Proposed Curriculum**

#### **Program Learning Outcomes**

At the completion of the MGH, students will:

1. Demonstrate a broad understanding of cultural, social, political, economic, and environmental determinants of global health, global burden of disease, and health disparities.
2. Evaluate and navigate the cultural and ethical considerations inherent in global health contexts, especially when working with vulnerable populations.
3. Analyze global health issues, policy, and health-delivery systems from multiple perspectives.
4. Demonstrate effectiveness on interprofessional teams and in collaboration with community-based partners.
5. Identify and use data for problem identification, best practices, and identification of available resources.
6. Analyze and evaluate new and emerging trends in the application of technology and innovation in meeting complex health needs in resource poor communities.
7. Demonstrate the ability to design and lead a field project responding to a global health issue.

Students will complete 38 credit hours of coursework, which includes a scholarly project and paper. Students will participate in ongoing interprofessional global health projects and research that tackle

complex multi-faceted issues in resource-poor regions. It will prepare students for careers that increasingly demand critical thinking, an interprofessional mindset, and international vision.

**Table 1:** Proposed courses

Course #	Course Title	Credits	Totals
CORE COURSES			
IHS 5210	Fundamentals of Global Health	3	
IHS 6210	Globalization & Health	3	
IHS 5222	Comparative Health Systems	3	
HTLH 5120	International Health Programming	3	
	Research Methodology*	3	
IHS 5521	Global Health Research and Services	3	
	Core course total credits		18
4 Electives/Concentration	(see Appendix 4)	4X3	12
IHS 6931/6932	Scholarly Project		8
	Total credits		38
*Research Methodology: Students may choose from a variety of available courses within the university to meet this requirement.			

### Core Courses

The proposed core courses and credit hours are listed in **Table 1** with a fuller description in **Appendix 1**. It is intended that the 6 core courses will be offered online. The program is designed to ensure that all students gain competency in 9 areas (**Appendix 2**). The competencies were determined by a committee of faculty from most of OHIO's colleges. The competencies arose from extensive interprofessional research and faculty international experiences. The committee also considered OHIO's strengths when finalizing the competencies. Core courses provide a solid base of knowledge for multiple disciplines, interests, and skills. A table illustrating how the courses match competencies is in **Appendix 3**.

Curricular content will encourage an understanding of the complex nature of health in resource-poor settings and the ability to access information concerning specific topics on global health. Students will gain knowledge about the United States' role in global health as outlined by organizations such as the Institute of Medicine (2014). The program will expand the scope of what it means to work in global health and highlights the need for collaboration with other disciplines, such as engineering, business, environmental studies, as well as traditional health fields. Students will learn and work on interprofessional teams during both their didactic and applied experiences. Students will become

familiar with international efforts, such as the United Nations Millennium Development Goals. Throughout their program they will utilize interprofessional, team-based approaches that mirrors the reality of working with populations in resource-poor regions.

One way to insure that courses provide international perspectives is to co-teach with faculty from other universities. One of our core courses, Comparative Health Care Systems, will be co-taught by faculty from OHIO, City University of London, Shandong University in China, and the University of Botswana. It is a case-based course that exposes students to faculty and students from each of the participating countries as they participate in small group discussions and shared content. Faculty at OU are qualified to teach at both the undergraduate and graduate levels.

In line with the shift in global health policy in the United States and elsewhere, the curriculum will take a broad-based approach, focusing on determinants of health, access to healthcare, and primary care and interprofessional team-based models of sustainable healthcare as opposed to vertical, disease-specific approaches.

The total experience is also designed to deepen the awareness of all students regarding determinants of health and illness and diverse methods of approaching health problems in settings with varied cultural, socio-economic and political characteristics. These experiences help students develop sensitivity to health disparities and their causes, including health, social, economic, and environmental factors, and prepare them to work internationally and locally.

### **Electives/Concentration**

The 12 elective credits will utilize a blended approach and will depend, in part, on each student's chosen concentration area (**Appendix 4**). In the future, our goal is to add additional online electives, which will allow mid-career professionals to complete the program while maintaining their current positions.

In order to promote an interprofessional mix, students from various backgrounds will use the electives to focus their areas of interest or concentration (**Appendix 4**). Students are encouraged to combine their global health studies with other disciplines to create their own concurrent focus in fields such as medicine, nursing, social work, business, international development, international communications, international development, regional concentrations (e.g., Africa, Latin America, Asia/SE Asia), and environmental studies. The elective courses, however, must still have a global focus and syllabi; therefore, electives will be reviewed and faculty consulted before they are added to concentrations. We will work closely with the Center for International Studies (<http://www.internationalstudies.ohio.edu/>), which currently offers a large number of courses and concentrations with a global focus. As far as adding electives to the program (or crediting outside courses), a program curriculum committee will review the courses for appropriateness to the degree. **Appendix 5** provides sample programs.

### **Scholarly Project**

Students will complete a scholarly project that requires a field experience. The type of project is dependent on their area of concentration, interest, and available placements. Medical students, for example, may elect to study management of diabetes in a small village in Botswana or a Somali community in Columbus. A student with an environmental focus may develop a project that examines solar stoves in a community that uses mostly open wood fires to cook meals.

Each student will have a committee consisting of three faculty members who must approve the proposal. One faculty member will be designated as their advisor and will closely monitor the project. Upon completion of the field experience, students will submit a paper on their proposal and field experience. They will also give an oral presentation on how they believe their proposal and field experience helped them meet the program goals and a more general overview of how their coursework and scholarly project helped advance their career goals. Their committee will determine if the student fulfills the proposal requirements.

OHIO faculty conduct research or oversee programs on most continents and in dozens of countries plus OHIO has Memorandums of Understanding (MOUs) with 45 international universities. In a recent survey of faculty, 265 faculty members responded, of which 43% reported that they currently conduct global research; 23% do not currently conduct global research, but plan to do so within the next 2 years. Forty-one percent of those conducting research indicated that their research would fall within health and wellness and 70% involve students in their research.

Additionally, faculty members have close ties with international organizations such as USAID and the Wilson Center. Additionally, our Study Abroad office (<http://www.studyabroad.com/>) and Global Health Initiative site (<http://www.ohio.edu/globalhealth/educational-opportunities/international-programs/programs.cfm>) provide support and guidance for students seeking international experiences. All of these connections provide potential opportunities and mentors.

### **Academic Quality**

The quality of our faculty and experience with international recruitment, programs, research and experience will enhance the program and provide students with an experience embedded in real-world situations and experiences that they can use in their careers. Along with their coursework, students have multiple opportunities to participate in internationally focused programs. For example, each fall we offer a Global Health Case Competition that last year involved 64 students representing every college. The winning team worked with faculty to fine-tune their proposal before traveling to the country where the case was located. In 2015, teams from the University of Botswana will compete using the same case and the two top teams from both universities will work together to implement their proposals.

Another opportunity is the International Research Symposium that annually highlights international research conducted by undergraduate and graduate students. Additionally, the Ohio University Student Research and Creative Activity Expo is a university-wide research-focused activity which occurs each spring, attracting more than 800 students and 10% of faculty who serve as judges. The Expo demonstrates the results of its student research, scholarship and creative activity inside and outside of the classroom and offers an opportunity for MGH students to present their projects.

### **Admissions Criteria**

Admission requires a completed bachelor's degree from a regionally accredited institution or foreign institution with a degree that is equivalent to a U.S. bachelor's degree. Preferred degrees include: health fields (nursing, medicine), development studies, international studies, and anthropology. Acceptable degrees depend in part on applicants' work experience, concentration and career goals. A minimum GPA of 3.0 is required.

Students must submit a resume or curriculum vitae as well as three letters of recommendation. Additionally, students must submit a personal statement that includes an autobiographical sketch. The personal statement should also include: letter of intent, statement of purpose, and career goals.

All non-native English speakers must demonstrate English proficiency by submitting official test scores for either the **Test of English as a Foreign Language (TOEFL)** or the **International English Language Testing System (IELTS academic)**. The minimum TOEFL for unconditional admission is  $\geq 80$  (iBT) ( $\geq 550$  paper-based). The minimum IELTS for unconditional admission is  $\geq 6.5$  across all bands. Some departments require a higher score. English language proficiency test scores older than two years are not accepted.

### **3. Administrative Arrangement**

The MGH will be administered by the CHSP, in Department of Interdisciplinary Health Studies, a newly created department that houses global health. Ohio University CHSP initiated this department in 2013 and it was officially approved July, 2014. One goal of the new department is to establish interprofessional faculty teams to develop and implement curriculum, expand global health experiential programs, and support student and faculty research in global health. A Group I faculty member will coordinate the MGH.

This MGH is an outgrowth of the Global Health Initiative (GHI), which is a partnership that began in 2012 between CHSP and HCOM in collaboration with the Center for International Studies (CIS). The GHI offers a number of global health programs that promote an understanding of global health issues, increase multicultural awareness, and involve students, faculty and staff in research, education and outreach activities abroad and domestically.

### **4. Evidence of the Need for the New Degree Program**

Student demand for global health curriculum and experience has increased at Ohio University and nationally as governmental and non-governmental agencies call for personnel that are trained to work on global health problems with underserved populations. Global health, which emerged from tropical medicine and international health fields, emphasizes the inequalities between health, including morbidity and mortality, between high- and low-income countries. Currently, no university in Ohio offers a MGH.

In order to gauge student interest, we conducted a needs assessment of Ohio University students via an online Qualtrics survey. Links to the survey were sent to students in the College of Health Sciences and Professions (CHSP), College of Osteopathic Medicine (HCOM), Center of International Studies, Anthropology, and the Scripps School of Journalism to gauge interest in pursuing a MGH. We received 175 responses, with the highest response rate from CHSP (N=125) (Table 2). Fifteen of the respondents were international students and 61% (N=106) were undergraduate students.

Students were asked how interested they were in MGH: 51% (N=89) indicated that they were extremely or very interested. A similar question addressed the need for a MGH at OHIO and 60% (N=101) believed that there is a great or moderate need. When asked how likely they were to apply to a MGH at OHIO, 37% (N=65) said extremely or very likely. Additionally, 56% (N=98) are extremely or very likely to enroll in a dual degree program. Those who would like to complete a dual degree are most interested in Nursing (26%, N=44), Medicine (21%, N=35), Health Administration (15%, N=25),

International Studies (12%, N=209), MPH (8%, N=132), Communication Studies (6%, N=10) and 10% other (N=17). Of the other, 8 listed Social Work (**Appendix 10**).

Nursing	52
HCOM	25
Health Administration	23
Social Work	11
CSD	5
Nutrition	5
Communication & Dev	5
International Dev	4
Anthropology	4
Communication Studies	3
Global Studies	3
Political Science	3
2 or fewer responses	14
	157

Since the inception of the GHI in 2012, participation in global health study abroad programs has grown from 18 to 80 students and the number of disciplines involved expanded from 2 to 8. In 2013-2014, there were 9 faculty-led global health study abroad programs. Additionally, 12 HCOM students participated in an international program or rotation. Finally, 4,500 students have elected to enroll in *Introduction to Global Health* (HSP/IHS 2210), a general education course, since spring semester 2012.

Nationally, master's-level graduate degrees in Global Health are a recent phenomenon, as most of GH master's degree programs started after 2009. Universities such as Georgetown University, Harvard, Duke Global Health Institute, Arizona State University, University of California San Francisco, and Northwestern University offer MGH. Several other universities offer certificates or concentrations at both the undergraduate and graduate levels. Additionally, medical, nursing, rehabilitation studies, and public health professional groups have developed global health competencies (Ablah, 2014; Arthur, Battat & Brewer, 2011; Veras, et al., 2013; Wilson, et al. 2102). It is clear that global health as a formal area of study is on the rise.

Increased immigration and movement of people and diseases across borders requires that healthcare providers become knowledgeable regarding different cultures, health issues and diseases that were in

the past considered regional, but now take on global importance. Our world is becoming more interconnected and it is imperative that health care professionals understand how shifting geographical and geopolitical borders, emerging diseases and health issues, and movement of people and disease impact all of us. Good examples are the recent Ebola outbreak in Africa and the Zika virus in South and Central America. According to a Northwestern University website (2014) nearly 40 infectious diseases have emerged since 1973. Even diseases that experts believed were suppressed, such as malaria and tuberculosis, are increasing worldwide.

With a focus on “resource-poor settings and vulnerable populations, a career in global health requires a broad knowledge base and the capacity to create innovative solutions to challenging health problems in these environments.” (Massachusetts General Hospital Institute of Health Professions, 2014, para 7). While the field of global health addresses many issues in traditional health disciplines training and public health, it takes a broader, less regional focus and examines broadly the social and environmental determinants of disease within and across countries. Global health prepares graduates to work in multicultural settings, with diverse population groups or resource poor communities that are culturally, politically and economically distinctive from traditional U.S. communities.

The current educational system that consists mainly of professional silos is not preparing students adequately to address this changing health care landscape.

Global health training can also benefit domestic communities. Like many states, Ohio is dealing with an increase in immigrant and migrant populations. As of 2012, nearly 4% (451,330) of Ohio’s population was foreign-born (Migration Policy Institute, 2014) and that number rises to 9% in Franklin County. Additionally, nearly 28,500 international students attend Ohio universities and colleges with 1,890 at Ohio University (Institute of International Education, 2014). Even if students never leave the country, they are likely to deal with global health issues right here at home.

Global Health experiences have been shown to increase knowledge and training in tropical diseases, produce attitudinal changes such as orientation to public health, improve cross-cultural communication and improve clinical diagnostic skills (Haq et al., 2000; Mutchnick, Moyer, & Stern, 2003; Thompson, Huntington, Hunt, Pinsky, & Brodie, 2003). Furthermore, global health experiences have been associated with future practice with underserved populations and improved cultural competence as well as personal and professional growth (Jeffrey, Dumont, Kim & Kuo, 2011; Sloan, Bower & Groves, 2008; Thompson, Huntington, Hunt, Pinsky & Brodie, 2003).

The HCOM’s experience with medical students participating in global health experiences found that, at least for this small sample, those with global health experience were more likely to practice in a medically underserved area (MUA) or a Health Shortage Professional Area (HSPA). The HCOM Institutional Assessment and Planning office analyzed data on the HCOM students who had and had not participated in Global Health programs from 1999 through the 2012 to determine if participation in these programs had an effect on their choice of practice specialty, location, practice, community size or whether they practiced in a disadvantaged area (see results in **Appendix 7**).

As Frenk et al. (2010) state, “professionals invariably are the leaders, planners, and policy makers of health care systems” (p. 1948). Yet, few students receive the training necessary to groom them as leaders. Our graduates will receive an education that will support them in administrative, managerial, research and clinical roles in development agencies (governmental and non-governmental), clinics, consulting organizations and policy-setting institutions. They will understand the complex interplay of

economic, environmental, historical, political, and social issues in health inequities and thus the necessity of working closely with individuals and agencies with diverse skills and reach.

The program is designed not only for students seeking or augmenting careers in international health, but also for any healthcare worker who may care for immigrants, refugees and migrants internationally and in the United States (Employment Opportunities: **Appendix 6**).

### **5. Prospective Enrollment**

We expect at least 15 students per year to enroll in the two-year program. We will recruit not only U.S. students interested in global health, but also international students who will return to their home countries. We will work with representatives from countries such as Botswana and with agencies and organizations, such as USAID, WHO and NGOs, to identify training needs and recruit students. Faculty at OHIO have a history of collaboration with numerous universities throughout the world as well as international organizations that provide services in low- and middle-income countries.

### **6. Efforts to Enroll and Retain Underrepresented Groups**

The combination of both domestic and international students will result in a diverse mix of students. We will collaborate with the Center for International Studies (CIS) to recruit international students. Ohio University has a rich history of international education that began in 1896 when the University welcomed its first international student, Saki Taro Murayama of Japan. Today, there are more than 1,800 international students enrolled at OHIO and approximately 2.25% of Ohio University students participate in a study abroad program.

Therefore, OHIO already has a strong reputation and the experience of integrating large numbers of international students into our campus, as well as sending our students to international locations where they participate in experiences that broaden their worldview and gain a more global perspective.

We will also continue to tap into the long established linkage between CHSP and historically black colleges and universities. Ohio University undergraduate programs receive excellent support for multicultural students and, of course, we intend to recruit from our undergraduate programs. A few examples include the following: fall visitation programs during which students are brought to campus for 2 days with all expenses paid; Ohio Up-Close programs, which include discussions regarding services available at OHIO; partnerships with inner city schools with highly multicultural populations; and the Templeton Scholars Program for talented students from disproportionately under-represented populations.

We will work to retain students by providing advisors for the online courses who will contact each student 2-3 times per semester and more often if students appear to be struggling. Advisors will hold meeting hours that allow for visualization such as Skype or Google Hangout. Additionally, each student will have a faculty mentor who oversees their entire program. Throughout their course of study, students will work with advisors to define how the master's degree will fit with their career goals and to build their resumes.

### **7. Availability and Adequacy of Faculty**

Although the Master's program is housed in CHSP, the developers envision it as a University-wide program that draws from numerous disciplines and programs. We identified courses that students can

take as electives for their concentration (**Appendix 4**). One of our core courses is already offered at the graduate level and is taught by Dr. Gillian Ice, Director of the Global Health Initiative. An additional core course, Comparative Health Care Systems was offered Spring 2016 by Dr. Deborah Meyer and will be offered annually. Finally, International Health Programming, is currently taught annually.

Two faculty members currently working in Global Health have extensive experience in global health. Deborah Meyer, Ph.D., RN, has traveled with students to Kenya, El Salvador and London. She has taught and facilitated online as well as in blended classrooms and chaired the committees that developed the GH certificates and the GH masters. She has a master's degree and Ph.D. in Instructional Design (**Appendix 12**). In addition, Dr. Meyer developed and implemented an undergraduate Global Health Certificate program at Ohio University, which currently has 13 students enrolled. A graduate level program is under development currently. The graduate certificate allows students in other master's programs to add a specialization in global health. For example, students completing a Master of African Studies or Master of International Development Studies may add the global health certificate.

Gillian Ice, Ph.D., M.P.H, Director Global Health Initiative, has run international research projects, taken students to several African countries, taught online, and been instrumental in developing relationships in Kenya and Botswana. She was the recipient of the first annual Global Engagement Award, a competition open to current faculty members at Ohio University that recognizes outstanding contributions to international education, global competency, cultural understanding and/or international programs at Ohio University or in their fields or disciplines (**Appendix 13**).

Another faculty member, Marape Marape, M.D., Ph.D., MPH, was trained as a physician in Ireland and has a Ph.D. in epidemiology and disease control. He is Ohio University's in-country co-director in Botswana where he continues to practice clinical medicine. He served as the Director of Research at Botswana-Baylor Children's Clinical Center of Excellence and as an Assistant Professor in the Department of Pediatrics with Baylor College of Medicine, Houston, Texas. He will contribute not only to course development, but also to the recruitment of international students, and the identification of skills and knowledge needed in Botswana and other African countries.

Many OHIO faculty who are content experts in their own areas of study will contribute to elective/concentration courses. See **Appendix 14** for a sampling of OHIO faculty with international experiences who will contribute to the MGH program.

CHSP currently offers 11 master's programs and MGH complements several of those currently offered. The College also offers 2 Ph.D. programs, 3 clinical doctorates, and 5 certificates, including one in Global Health. The College has an excellent history of educating health professionals at the graduate level with the majority of graduates remaining in Ohio.

CHSP currently has several online programs, two at the masters-level. Approximately 5,780 participate in two fully online programs, the RN to BSN (5,390 students) and the master's degree in health administration (390 students). CHSP also offers approximately 25 online courses on a regular basis through Athens Online. To support the growth in online learning and to ensure that all courses meet best practice, CHSP hired an instructional technologist, Paa Nyarko-Krampah in 2015 with a strong background in online learning who works with faculty as they develop their courses and supports them once the courses are up and running. The instructional technologist guides faculty in meeting the standards for Quality Matters and setting up the technology that will engage students and assists with

the learning outcomes and assessments. Additional efforts to support online learning will be academic recruitment and retention advisors for online students. Along with the CHSP instructional technologist, all faculty have access to Academic Technology, which provides consultation services for faculty in instructional design, strategies, and implementation of innovative technologies to meet academic and curricular goals.

An additional resource is The Center for International Studies (CIS), which has a 50-year history of focusing on international education. CIS has faculty with experience and expertise in a variety of international disciplines and partners with faculty to develop global partnerships that support study abroad experiences, internships and volunteer opportunities in over 30 international destinations. They attract domestic and international students for their undergraduate and graduate programs. The Director of the MGH will work closely with CIS faculty and staff when developing courses. For example, one of our core courses, *Fundamentals of Global Health*, is currently an elective in International Development Studies, and we are collaborating on a series of intensive weekend courses on topics such as international project management, evaluation, and grant writing.

Additionally, we will continue to consult with and collaborate with the Department of Social and Public Health. We recognize there is some overlap in the knowledge, skills and competencies required in the Master of Public Health (MPH) and the MGH. Global health, however, requires a broader lens from which one approaches global health delivery, especially to marginalized and underserved populations. Global health transcends national boundaries, examines health equity among nations, is highly interprofessional and goes beyond public health, encompassing diverse disciplines such as engineering, psychology, medicine, education, anthropology, policy, and environmental science. It employs a transnational approach and relies on both population-based prevention and clinic-level care. The complexity of dealing with diseases that know no borders in a world divided by national borders, cultures, religion, economies, and politics requires a skill set that is very different from that required to work in individual communities (**Appendix 9**).

In summary, the MGH complements other Ohio University degree programs, as well as other CHSP offerings specifically, and supports the CHSP vision “To be a college of distinction in preparing health professionals whose work reflects the highest standards of collaboration, ethics, innovation, and commitment to all, especially underserved individuals and populations” (College of Health Sciences and Professions, 2014).

#### **8. Need for Additional Facilities and Faculty/Staff and Plans to Meet this Need**

Ohio University CHSP will need to recruit one faculty member. They will develop and teach core courses and electives not available elsewhere in the University. They will also oversee student field experiences. Additionally, CHSP will need to work closely with other colleges and programs to ensure that courses taught by faculty outside CHSP are available to students in MGH. No new facilities are needed other than office space for faculty, which will be within the existing CHSP space.

## 9. Projected Additional Costs Associated with the Program

### Budget for New Graduate Degree Programs

	Year 1	Year 2	Year 3	Year 4
<b>Projected Enrollment</b>				
Head-count full time	15	30	30	30
Head-count part time				
Full Time Equivalent (FTE) enrollment	15	30	30	30
<b>Projected Program Income</b>				
Tuition (paid by student or sponsor)	122,820	267,555	267,555	267,555
Expected state subsidy	17,476	197,763	197,763	197,763
Other income (if applicable, describe in narrative section below)				
<b>TOTAL PROJECTED PROGRAM INCOME:</b>	140,296	465,318	465,318	465,318
<b>Program Expenses</b>				
New Personnel <ul style="list-style-type: none"> <li>• Faculty (e.g. tenure-track, clinical, professional) <ul style="list-style-type: none"> <li>Full <u>  1  </u></li> <li>Part Time <u>      </u></li> </ul> </li> </ul>		112,603	113,266	118,929
New facilities/building/space renovation (if applicable, describe in narrative section below)				
Tuition Scholarship Support (if applicable, describe in narrative section below)	8,188	16,376	16,376	16,376
Stipend Support (if applicable, describe in narrative section below)	9,295	18,590	18,590	18,590
Additional library resources (if applicable, describe in narrative section below)				
Additional technology or equipment needs (if applicable, describe in narrative section below)				
Other expenses (e.g., waived tuition and fees, travel, office supplies, accreditation costs) included direct operating expense, e.g. supplies, travel, accreditation (if applicable, describe in narrative section below)	45,250	32,100	22,100	22,100
University Indirect Expenses	69,706	154,029	154,029	154,029
<b>TOTAL PROJECTED EXPENSE:</b>	132,439	333,698	324,361	330,024
<b>NET</b>	7,857	131,620	140,957	135,294

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## Appendix 1

### Description of Core Courses

#### **IHS 5210: Fundamentals of Global Health**

This introductory course lays the foundation for understanding global health issues. It introduces students to the main concepts of the global health field and the critical links between global health and social and economic development. It provides an overview of the determinants of health and how health status is measured. The course also reviews the burden of disease, risk factors, and key measures to address the burden of disease in cost-effective ways. Throughout the course, students are encouraged to analyze and synthesize course material pulled from a variety of resources.

#### **IHS 5222: Comparative Health Systems**

This course compares and contrasts health delivery systems including their relationships to social policies, environmental influences, and economic factors. Using a case-based approach, the course leads students through the examination and analysis of the role and function of national and international organizations in the funding, development, implementation and evaluation of health care policy, goals and projects.

#### **HLTHS 5120: International Health Programming**

Addresses diverse and rapidly changing health problems in underdeveloped and industrialized countries while exploring roles of health professionals. Surveys program interventions and solutions that are available or under development. Provides an overview of the development of cross-cultural sensitivity, knowledge, and skills related to health program planning in diverse cultures.

#### **IHS 6210: Globalization and Health**

Broadly covers emerging health global diseases and trends, especially those impacted by migration, disasters, and changing life styles. The course employs a case-based approach to explore the rapidly changing health needs of countries throughout the world and the policies, practices, and organizations put in place to meet those needs.

#### **Research Methodology**

Students can select from an approved list of research and methodology courses at Ohio University that provide the background and skills they need to develop, implement, analyze and evaluate an internationally-focused research or program development project. Only those classes that cover evaluation and data identification, collection, manipulation and reporting will be approved.

#### **IHS 5521: Global Health Research and Services**

This course provides a cross-disciplinary overview of research-informed practice and practice-informed research for students interested in developing projects in resource-poor settings. Students review topics related to ethics and design of global health programs and develop a project proposal by the conclusion of the course. Elements of research and grant design and concepts are covered in relation to project development. The course utilizes the basic strategies of grant writing as a tool for effective and impactful program design and delivery. This course provides students with the basic knowledge of how to design a global health research or service project.

#### **IHS:6931/6932: Scholarly Project**

In collaboration with their mentor, students will develop a community-based project or research proposal. The scholarly project provides students with practical experience that pulls together the skills and knowledge developed during their coursework and demonstrates their independence, management and organizational skills, willingness to take initiative and risks, critical thinking skills, ability to work with diverse groups, and readiness to participate in international work.

## Appendix 2

### Student Competencies

**Table 3: Student Competencies**

1. Global burden of disease.	<ol style="list-style-type: none"><li>1. Explain the concept and different measures of burden of disease.</li><li>2. Assess how risk of disease varies between high, middle and low-income regions.</li><li>3. Efficiently access global health data from sources such as the World Health Organization, Global Burden of Disease measures and understand the limitations of these data.</li></ol>
2. Social Determinants of Health and Health Disparities	<ol style="list-style-type: none"><li>1. Explain the relationship between social determinants of health and health disparities.</li><li>2. Analyze strategies to address health disparities across socially, demographically, and geographically defined populations.</li><li>3. Demonstrate the ability to implement interventions that mitigate the negative effects of SDH on health and health disparities.</li></ol>
3. Leadership, Collaboration & Partnership	<ol style="list-style-type: none"><li>1. Develop leadership tasks, skills, qualities and effectiveness.</li><li>2. Demonstrate effective change management, communications, and financial management.</li><li>3. Promote inclusion of representatives of diverse constituencies in partnerships.</li><li>4. Use diplomacy and conflict resolution strategies with partners.</li><li>5. Communicate lessons learned to community partners and global constituencies.</li><li>6. Exhibit interpersonal communication skills that demonstrate respect for other perspectives and cultures.</li><li>7. Demonstrate cross-cultural communication skills including utilization of interpreters or language proficiency.</li></ol>
4. Program Planning Management, Strategic Analysis Capacity Building	<ol style="list-style-type: none"><li>1. Use systems thinking to analyze Strategic Analysis a diverse range of complex and interrelated factors shaping health trends to formulate programs at the local, national, and international levels. (<i>Strategic Analysis</i>)</li><li>2. Given a case presentation or real life situation, students will assess and develop strategy to build capacity. (<i>Capacity strengthening</i>)</li><li>3. Design, implement, and evaluate global health programs to maximize contributions to effective policy, enhanced practice, and improved and sustainable health outcomes. (<i>Program Management</i>)</li><li>4. Incorporate issues of health equity and social justice into their planning.</li><li>5. Understand, evaluate and compare health systems from around the world.</li></ol>
5. Public Health & Service Delivery	<ol style="list-style-type: none"><li>1. Explain the mechanisms international organizations use for public health practice standards.</li><li>2. Discuss best practices for clinical and community health interventions and integrated strategies that substantially improve individual and/or population health.</li></ol>

3. Discuss how CBPHC fits into the overall health care system in low- and middle-income countries.
4. Incorporate health promotion and disease prevention strategies and how their inclusion or absence impacts individual patient lives and populations.

## 6. Technology & Innovation

1. Analyze how technologies can enhance service delivery, distribution systems, in-service training, and medical education in low-resources areas.
2. Examine how tools and technology are used for the prevention, diagnosis, and treatment of diseases, as well as for rehabilitation purposes.
3. Identify and match organizations developing, implementing, supporting and funding innovative technologies to specific solutions and communities.
4. Review existing and emerging tools, technologies and approaches that impact the delivery of health services in resource poor settings.
5. Discuss the elements (e.g. business, technical, clinical, epidemiological) necessary for successful development and innovation (Johns Hopkins, 2014).
6. Analyze the forms of philanthropy that foster local innovation and build local capacity (Duke University, n.d.).
7. Discuss the ethical issues of introducing technologies in resource-poor regions.

## 7. Ethical Reasoning & Professional Practice

1. Discuss and apply elements of ethics.
2. Apply ethical principles to practice and research within low-resource settings.
3. Identify the ethical and professional issues involved in working in low-resource settings.
4. Discuss the goals and objectives of global health efforts, such as Alma Alta Declaration and the Millennium Development Declaration
5. Analyze ethical and professional issues that arise in responding to humanitarian emergencies.

## 8. Global Health Research Methodology

1. Explain the importance of global health research.
2. Demonstrate the ability to conduct preliminary steps in a global health research project.
3. Demonstrate the ability to design a research project on a global health issue.
4. Demonstrate ability to identify, collect, analyze, manipulate, incorporate and report data.

## 9. Policy

1. Explain the role of global networks and global institutions.
2. Evaluate multiple approaches to setting and enforcing policy.
3. Compare and contrast health care systems and the impact on adequate access, affordability and delivery.
4. Summarize policy implications surrounding foreign aid and assistance related to health.
5. Apply different types of health advocacy strategies.
6. Develop socio-cultural and political awareness and work effectively within diverse cultural settings and across local, regional, and international political landscapes.

### Appendix 3

#### Core Courses & Competencies

Course title/#	Course Objectives	Competencies
Fundamentals of Global Health  IHS: 5210	<ul style="list-style-type: none"> <li>• Explain different disciplinary approaches and professional roles in global health</li> <li>• Critically evaluate impact of major global health interventions</li> <li>• Develop analytic writing skills</li> <li>• Evaluate common global health issues.</li> <li>• Describe the relationships between social, environmental factors and health.</li> </ul>	<ul style="list-style-type: none"> <li>• Global burden of Disease</li> <li>• Social Determinants of Health and Health Disparities</li> <li>• Ethical Reasoning &amp; Professional Practice</li> <li>• Policy</li> </ul>
Comparative Health Systems  IHS 5222	<ul style="list-style-type: none"> <li>• Discuss health care systems and components utilizing a global perspectives.</li> <li>• Access and utilize information technology to inform health policy in a global setting.</li> <li>• Examine the underlying social issues in each system that influence (positively or negatively) health status in the population.</li> <li>• Compare different health systems in relation to Millennium Goals and other global priorities in health.</li> <li>• Discuss health care systems role in access, social justice, and health equity.</li> <li>• Describe the indicators of health systems' performance.</li> <li>• Discuss role of quality, cost and access in evaluating health systems.</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership, Collaboration &amp; Partnership</li> <li>• Ethical Reasoning &amp; Professional Practice</li> <li>• Social Determinants of Health and Health Disparities</li> <li>• Policy</li> </ul>
International Health Programming  HLTH 5120	<ul style="list-style-type: none"> <li>• Discuss the international trade, global economy and its adverse effects on the health of developing countries.</li> <li>• Discuss the development of cross-cultural sensitivity, knowledge, and skills related to health program planning in diverse cultures.</li> <li>• Discuss cross-cultural misconceptions, misinterpretations, and misunderstandings related to health and education.</li> <li>• Discuss the implications of the HIV pandemic.</li> </ul>	<ul style="list-style-type: none"> <li>• Program Planning Management, Strategic Analysis Capacity Building</li> <li>• Leadership, Collaboration &amp; Partnership</li> <li>• Public Health &amp; Service Delivery</li> <li>• Ethical Reasoning &amp; Professional Practice</li> </ul>

		<ul style="list-style-type: none"> <li>• Global Health Research Methodology</li> <li>• Social Determinants of Health and Health Disparities</li> <li>• Policy</li> </ul>
<p>Globalization &amp; Health</p> <p>IHS 6210</p>	<ul style="list-style-type: none"> <li>• Analyze the impact of globalization on health care systems and trends in communicable and chronic diseases and the dual burden of disease.</li> <li>• Evaluate responses to natural and man-made disasters.</li> <li>• Discuss how organizations develop and adapt to meet the changing global health needs and crises.</li> <li>• Discuss globalization as a set of complex political, economic, environmental, and social processes.</li> <li>• Analyze the impact of migration on disease movement.</li> <li>• Examine the impact of global policies on health and health inequalities between and within countries.</li> <li>• Discuss global health security in relation to pandemics</li> <li>• Examine the intersection of environment, animal and human health</li> </ul>	<ul style="list-style-type: none"> <li>• Social Determinants of Health and Health Disparities</li> <li>• Leadership, Collaboration &amp; Partnership</li> <li>• Public Health &amp; Service Delivery</li> <li>• Innovation &amp; Technology</li> </ul>
<p>Global Health Research &amp; Services</p> <p>IHS 6521</p>	<ul style="list-style-type: none"> <li>• Describe and apply principles of ethics, design and logistics for global health research and service programs.</li> <li>• Critically discuss global health in the context of world trends and the complexity of global health and development research, policy making and service delivery.</li> <li>• Utilize the logic model to translate project design into a product.</li> <li>• Write and evaluate competitive grants.</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership, Collaboration &amp; Partnership</li> <li>• Program Planning Management, Strategic Analysis Capacity Building</li> <li>• Ethical Reasoning &amp; Professional Practice</li> <li>• Global Health Research Methodology</li> </ul>
<p>Research Methodology</p>	<ul style="list-style-type: none"> <li>• Discuss the steps necessary to develop a global health project</li> <li>• Analyze the appropriate methodology for various types of projects</li> </ul>	<ul style="list-style-type: none"> <li>• Global Health Research Methodology</li> </ul>

*We will provide 3 or 4 current courses as options.*

- Discuss the principles and methods of epidemiology
- Identify the key players necessary to effectively, efficiently and ethically develop, implement and evaluate a project
- Design and conduct an effective global health research
- Discuss the importance of building equitable and sustainable research partnerships

- Ethical Reasoning & Professional Practice
- Research, Partnership and Collaboration
- Program Planning Management

Scholarly Project

- Complete an 80- hour field experience
- Develop a scholarly project that corroborates expertise in each of the major competencies
- Demonstrate independence, management and organizational skills, willingness to take initiative and risks, critical thinking skills, ability to work with diverse groups, and readiness to participate in international work
- Exhibit a professional, ethical and interprofessional approach throughout development, implementation and evaluation

- All competencies

## Appendix 4

### Possible Electives/Concentrations Currently Taught at Ohio University

#### Concentrations

##### Clinical

- ANTH 5550 Medical Anthropology
- HLTH 6070 Health Promotion and Health Behavior
- HLTH 6150 Maternal and Child Health in Africa
- HLTH 6170 HIV/AIDS in Africa
- HLTH 6240 Community Health Programs
- HLTH 6480 Ethical Issues in Health Care
- HLTH 6710 Public Health Concepts
- HLTH 6720 Social and Behavioral Sciences in Public Health
- HLTH 6730 Epidemiology in Public Health
- HLTH 6791 Chronic Disease Epidemiology, Prevention, and Control
- INST 6900 Special Topics in International Studies: Healthy Living: Hlth, Comm & Dev
- HSP 5510 Interprofessional Health Care in Rural/Underserved Populations
- BIOS 5440 Tropical Disease Biology
- NUTR 6500 Diet and Chronic Disease

##### Education

- HLTH 6070 Health Promotion and Health Behavior
- HLTH 6170 - HIV/AIDS in Africa
- SW 5701 Human Behavior in the Social Environment I: Human Growth and Development
- INST 6900 Special Topics in International Studies: Healthy Living: Hlth, Comm & Dev
- EDCE 6850 Multicultural Education

##### Policy/Law

- ECON 5500 Development Economics
- GEOG 5450 Gender, Environment, and Development
- GEOG 5210 Population Geography
- GEOG 5290 World Economic Geography
- HLTH 6030 Leadership of Health Organizations

- HLTH 6080 Health Policy
- HLTH 6100 Evaluation and Quality Improvement in Health Care
- HLTH 6300 Epidemiology in Health Administration
- HLTH 6380 Strategic Planning and Marketing in Health Services
- HLTH 6480 Ethical Issues in Health Care
- MPA 5590 Measuring Outcomes in Public and non-Profit Organizations
- MPA 6800 Seminar in Public Administration
- ECON 5500 Development Economics
- POLS 5400 Politics of Developing Areas

### Appendix 5

#### Sample Programs of Study for Master of Global Health

##### Full-Time Enrollment (2 Years)

	Semester 1 Fall2	Credits	Semester 2 Spring	Credits	Semester 3 (Summer)	Credits	Total Yearly Credits
Year 1 online	IHS 5210 Fundamentals of Global Health	CC 3	IHS 5210 Comparative Health Systems	CC 3	<i>Can take electives if offered online or if come to campus &amp; shift everything 1 semester</i>		
	Research Methodology	CC 3	IHS 5521 Global Health Research and Services	CC 3			
	IHS 6210 Globalization & Health	CC 3	HLTH 5120 International Health Programming	CC 3			
	<i>Total credits</i>	9	<i>Total credits</i>	9	<i>Total credits</i>		18
Year 2 Blended							
	Elective	3			IHS 6932 Scholarly Project	5	
	Elective	3	Elective	3			
	Elective	3	IHS 6931 Scholarly Project Prep	3			
	<i>Total credits</i>	9	<i>Total credits</i>	6		5	20
					<b>Total for 2 years</b>		<b>38</b>

CC=core course

Sample Program of Study for Master of Global Health

Environmental Concentration

Full-Time Enrollment

	Semester 1 Fall2	Credits	Semester 2 Spring	Credits	Semester 3 (Summer)	Credits	Total Yearly Credits
Year 1 online	IHS 5210 Fundamentals of Global Health	CC 3	IHS 5521 Global Health Research and Services	CC 3	<i>Can take electives if offered online or if come to campus &amp; shift everything 1 semester</i>		
	Research Methodology	CC 3	GEOG 5410 Geography of Hunger & Food Security	3			
	IHS 6210 Globalization & Health	CC 3	HLTH 5120 International Health Programming	CC 3			
	<i>Total credits</i>	9	<i>Total credits</i>	9	<i>Total credits</i>		18
Year 2 Blended							
	IHS 5210 Comparative Health Systems	CC 3	IHS 6931 Scholarly Project Prep	CC 3	IHS 6932 Scholarly Project	5	
	GEOG 5210 Population Geography	3	EH 6010 Climate Change and Public Health	3			
	HLTH 6760 Environmental Health Sciences in Public Health	3			HIS 6521 Global Health Research and Services		
	<i>Total credits</i>	9	<i>Total credits</i>	6		5	20
					<b>Total for 2 years</b>		<b>38</b>

Sample Program of Study for Master of Global Health

Part-Time Enrollment (2 1/2 Years)

	Semester 1 Fall2	Credits	Semester 2 Spring	Credits	Semester 3 (Summer)	Credits	Total Yearly Credits
Year 1 online	IHS 5210 Fundamentals of Global Health	CC 3	IHS 6210 Globalization & Health	CC 3	<i>Can take an elective</i>	CC	
	Research Methodology	CC 3	IHS 5521 Global Health Research & Services	CC 3		CC	
	<i>Total credits</i>	6	<i>Total credits</i>	6			12
Year 2	Elective	3	Elective	3	IHS 6931 Scholarly Project Prep	3	
	IHS 5210 Comparative Health Systems	3	HLTH 5120 International Health Programming	3	Elective	3	
	Elective	3					
	<i>Total credits</i>	9	<i>Total credits</i>	6	<i>Total credits</i>	6	21
Year 3	IHS 6932 Scholarly Project	5					
	<i>Total credits</i>	5	<i>Total credits</i>				5
					<b>Total for 2 ½ years</b>		<b>38</b>

## Appendix 6

### Employment Opportunities in Global Health

According to *Caring For the World: A Guidebook to Global Health Opportunities* (Drain et. al. 2009) there are six areas of global health careers: research; clinical work; short term work; counseling; long term work; education; and developing new projects.

#### Areas of employment in global health:

- Health services and systems
- Disease detection and response
- Population and maternal/child health
- Nutrition, water, and environmental health
- Research and development
- Global health diplomacy
- Operating programs and delivering health services
- Governance of and membership in major international health organizations such as the WHO and the Global Fund;
- Global health research and development efforts
- NGOs and organizations involved in the delivery of humanitarian services
- Bilateral organizations and government agencies
- Multilateral organizations and UN agencies
- Public-private partnerships for health
- Disaster relief organizations
- Immigrant/migrant organizations
- Consulting firms
- Foundations
- Academia
- Policy and advocacy organizations

Martin (2013) breaks types of organizations into 7 functions with examples of organizations listed under each.

- Funding
  - Global Fund
  - Gates Foundation
  - DFID (**Department for International Development**)
  - USAID
  - PEPFAR (**President's Emergency Plan for AIDS Relief**)
  - UNITAID (<http://www.unitaid.eu/en/who/about-unitaid>)
- Implementation
  - CHAI (Clinton Health Access Initiative)
  - ESTHERAID (<http://www.unitaid.eu/en/estheraid>)
  - MSF (Doctors without Borders)

- ICRC ( **International Committee of the Red Cross**)
- Research
  - Universities
- Advocacy
  - Most organizations involved even if not primary mandate
- Governance
  - National programs, e.g. Ministers of Health
  - UN Agencies
    - WHO
    - UNSAIDS
    - UNFPA (United Nations Population Fund)
    - UNHCR (UN High Commission for Refugees)
  - World Bank
  - ILO (International Labour Organization)
  - IMF (International Monetary Fund)
- Product development: drugs, diagnostics
  - Pharmaceutical companies NGOs
  - FIND
  - MMV (Medicines for Malaria Venture),
  - PATH ([http://en.wikipedia.org/wiki/PATH\\_%28global\\_health\\_organization%29](http://en.wikipedia.org/wiki/PATH_%28global_health_organization%29)),
  - DNDi (Drugs for Neglected Diseases Initiative)
- Clinical & community
  - Baylor
  - EGPAF (Elizabeth Glaser Pediatric AIDS Foundation)
  - Mothers to Mothers

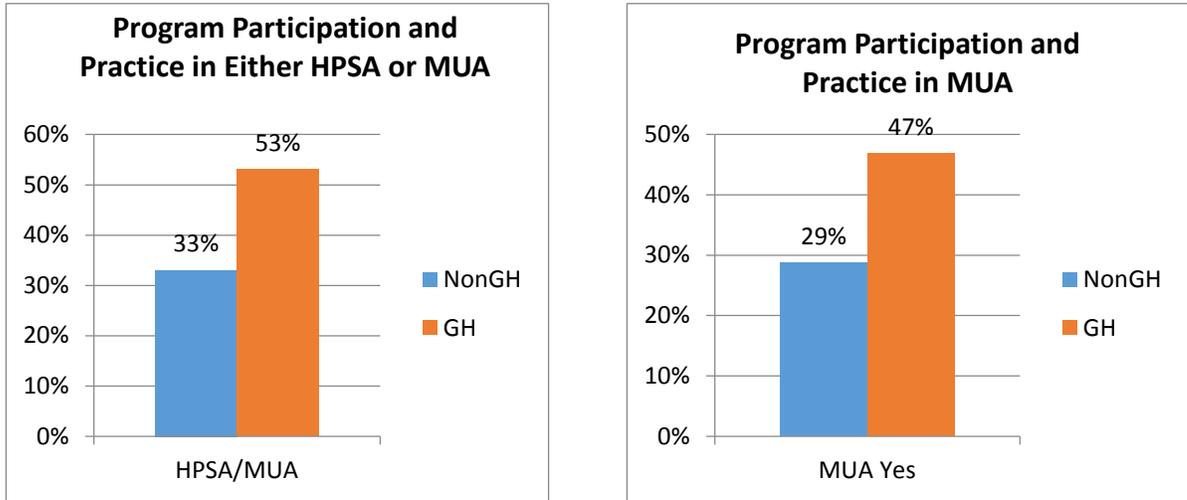
Additionally, sites such as CUGH provide lists of opportunities: <http://www.cugh.org/opportunities/jobs>.



## Appendix 7

### Heritage College of Medicine: Practice in MUAs and HPSAs among Graduates

**Figure 1:** HCOM Medical Students Who completed a GH vs Those Who Did Not and Subsequent Practice in HSPA or MUA



## Appendix 8

### Ohio University Master-Level Degrees with Global Health Components

#### What is unique about OU and the MGH?

Ohio University has considerable resources that can contribute expertise to the Global Health Master's. Current resources include region specific international studies programs as African studies, Asian Studies, and Latin American Studies as well as courses with concentrations in international health issues, research methods, and anthropology. Another set of programs are more oriented to the role of communications, development, and policy with regards to health internationally are the communications and development program, the international development program, and the public policy program.

- Master Degree (MA) in International Affairs in African studies

The M.A. degree offered through the African Studies Program strives to provide students with a strong grounding in the traditional African Studies core disciplines (including political science, anthropology, history, geography, literature) while giving them the opportunity to form their course of study around their professional and academic goals. The curriculum encompasses core courses that emphasize topics and proficiencies related to African history; African literature; and Religion.

- Master Degree (MA) in International Affairs in Southeast Asian Studies

The M.A. degree offered through the Southeast Asian Studies Program introduces students to the rich cultures, traditions, and societies of Southeast Asia. The curriculum encompasses core courses that emphasize topics and proficiencies related to Politics of East Asia; and Religion (i.e. Buddhism, and Political Islam). The program offers some unique courses in Theater History (i.e. Puppetry of Southeast Asia, and History of Asian American theatre). Another feature of the program is the richness of the Malaysian studies exhibited through courses such as: Tun Razak Seminar: Exploring Malaysia's Diversity through Film and Fiction.

- Latin American Studies:

The M.A. degree offered through the Latin American Studies program is an interdisciplinary master's degree program that promotes a greater understanding of Latin America within a context of regional and global change. The curriculum encompasses core courses that emphasize topics and proficiencies related to Politics of Latin America; Latin American history (from colonial era to present); Latin American Literature; and International Health Programming.

- Communication and Development

The M.A. degree offered through the Communication & Development Studies program focuses on using communication to promote social change. The curriculum encompasses core courses that emphasize topics and proficiencies related to communication for development; strategic communications; health communications and participatory research methods.

- International Development Studies:

The International Development Studies (IDS) Program seeks to produce graduates who will become development practitioners – professionals acting as catalysts and facilitators of change in developing contexts. The curriculum encompasses core courses that emphasize topics and proficiencies related to Development and Environment; Development and Gender; Development and Health; Development and the Social Sciences; and Development and Sports.

Other graduate programs:

- Master of Public Health (MPH):

The program is designed to meet the needs of working professionals who wish to expand their role in improving community health, enhance current job skills, and seek career advancement. The curriculum encompasses core courses that emphasize topics and proficiencies related to Social and Behavioral Sciences in Public Health; Epidemiology in Public Health; Environmental Health Sciences in Public Health; Public Health Practice and Issues; and Grant Writing for Public Health Practice.

- Master of Health Administration (MHA):

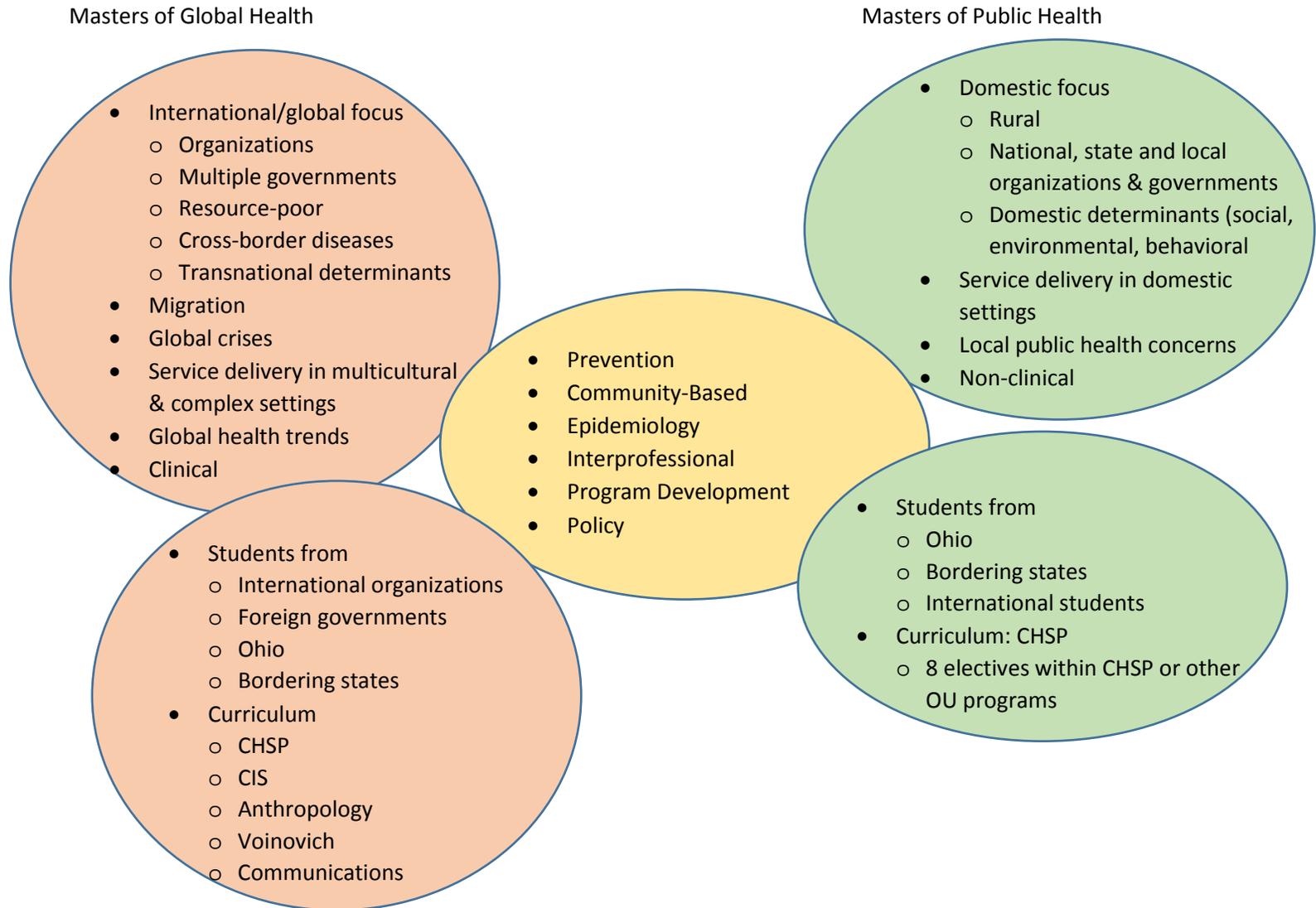
The master's in health administration from Ohio University offers a comprehensive curriculum to develop strategic leaders. Expand the students' business acumen and strategic leadership skills to create innovative solutions and to adapt and lead in the ever-changing health care system. The curriculum encompasses core courses that emphasize topics and proficiencies related to research methods for health services; evaluation and quality improvement; epidemiology; and strategic planning and marketing in health services.

- Master of Science in Environmental Studies

This is an interdisciplinary program of graduate coursework and research. The program caters to students looking for a broader academic experience than a traditional course of study can provide. The curriculum encompasses core courses that emphasize topics and proficiencies related to community-based environmental research; ecology and environmental issues; and concepts in sustainability

## Appendix 9

### MGH & MPH Program Differences and Similarities



## Appendix 10

### Needs Assessment Results

In order to gauge interest in a Masters of Global Health we conducted a survey of Ohio University students. The largest number of respondents, as expected, are CHSP majors. Overall, the responses were positive.

#### Overall, how interested are you in getting a MGH (check only one)

#	Answer		Response	%
1	Extremely interested		26	15%
2	Very interested		63	36%
3	Neither interested nor disinterested		63	36%
4	Very disinterested		10	6%
5	Extremely disinterested		11	6%
	Total		173	100%

#### Which would you be more likely to enroll in?

#	Answer		Response	%
1	MGH		95	57%
2	MPH (Masters in Public Health)		71	43%
	Total		166	100%

#### How much need is there for a MGH degree program at OHIO University?

#	Answer		Response	%
1	Great need		54	32%
2	Moderate need		47	28%
3	Some need		54	32%
4	A little need		12	7%
5	No need		3	2%
	Total		170	100%

**How likely would you be to apply for admission to a MGH program at OHIO University?**

#	Answer	Response	%
1	Extremely likely	21	12%
2	Very likely	44	25%
3	Neither likely nor unlikely	65	38%
4	Very unlikely	20	12%
5	Extremely unlikely	23	13%
	Total	173	100%

**Would you prefer a MGH program that is full or part-time?**

#	Answer	Response	%
1	Full-time	49	28%
2	Part-time	64	37%
3	No preference	60	35%
	Total	173	100%

**How would you like the MGH program to be structured? Check more than one option, if you want.**

#	Answer	Response	%
1	Traditional on-campus program	57	33%
2	Web-based/distance learning	80	47%
3	1 year online followed by 1 year on-campus	21	12%
4	No preference	39	23%

**If you could earn a dual degree, that includes a MGH degree, while enrolled at OHIO University, how likely would it be that you would enroll in a dual degree program?**

#	Answer	Response	%
1	Extremely likely	51	29%
2	Very likely	47	27%
3	Neither likely nor unlikely	52	30%
4	Very unlikely	13	7%
5	Extremely unlikely	11	6%
	Total	174	100%

**If you did a dual degree, which degree are you likely to pair with an MGH?**

#	Answer		Response	%
1	DO		35	21%
2	Nursing		44	26%
3	Masters		0	0%
4	Ph.D.		0	0%
5	MPH		13	8%
6	Communication Studies		10	6%
7	Environmental Studies		3	2%
8	International Studies		20	12%
9	Health Administration (MPA)		25	15%
10	Other (please specify)		17	10%
	Total		167	100%

**Of the following possible tracks within the MGH, which would you most likely pursue?**

#	Answer		Response	%
1	Policy/law		15	9%
2	Clinical		46	27%
3	Education		23	14%
4	Public health/epidemiology		64	38%
5	Regional focus (e.g. Africa, Latin America)		16	9%
6	Other (please specify)		5	3%
	Total		169	100%

## Appendix 11

### Response to RACGS Reviewer Comments

- Collaboration with other universities: We are open to collaborations and welcome the expertise and opportunities that those collaborations provide. We will explore possibilities as we move forward.
- Capstone/field experience/scholarly project: We added more detail under Scholarly Project, page 9. We discussed developing specific criteria and discussed again after receiving the comments. We, however, prefer to leave the scholarly projects up to the 3-member faculty committees that will oversee student projects. What works for a medical student will not fit with an engineering project. The projects depend to a large part on their concentration.
- Information on current and previous global health studies conducted by OU faculty: We added the CVs of faculty conducting international research. The Global Health Initiative surveyed faculty to determine the full extent and range of international research. We will use those findings to assist students in selecting faculty mentors and projects. See results on p. 10
- Course development: One of the core courses, Fundamentals of Global Health (Dr. Ice), is already available. Comparative Health Systems (Dr. Meyer) should began spring, 2016. Students can select the research methodology course for several already taught. The only core course currently not being developed is Global Health & Technology Innovations, but we are actively seeking a qualified faculty member to develop and teach it. All the courses listed in Appendix 4 are currently offered. We also included a sampling of faculty who teach and/or conduct research on global health topics.
- Matching competencies to courses: Appendix 3
- Overlap with current MPH program: We recognize that some of the important concepts are shared with the MPH. We believe, however, that to function effectively at on the international level requires a different set of skills and knowledge that: recognizes the interdependence of multiple systems; the complex interplay of the determinants of health that vary among countries and regions; the culturally diverse nature of working globally; the difficulty of project development and management under a variety of complex, fluid, conflicting and unfamiliar policies and regulations, both informal and formal; and flexibility, cultural humility, and problem solving necessary to work with diverse communities, from isolated villages to ministers of health. We visually represented the differences in Appendix 9.

Tania Basta serves on our committee and we plan to continue to work closely with her and other MPH faculty to share expertise when possible and to find ways to minimize duplication of courses. At this point, our goal is to develop a possible concentration in public health, which would probably involve just a small number of students. We are aware of the fact that many of the MPH courses are currently only for MPH students and that faculty reimbursement for non-MPH students is a concern. This is an issue that we will need to negotiate with the MPH program and we will not offer it as a concentration until we do so. We removed the section that discussed the issues of rural health and the shared skills since we recognize that this does overlap too much with the MPH.



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re: Financial Update**

Please find attached for your review the following information regarding our financial results:

- **Attachment A:**
  - FY16 financial results and analysis. The audited financial statements will be presented at the October 6, 2016 Audit Committee meeting
  - FY16 Senate Bill 6 Ratio Analysis
  
- **Attachment B:**
  - FY17 financial forecast and analysis
  - FY17 Q1 Senate Bill 6 forecast submission to Department of Higher Education (“DHE”) will be provided to Board of Trustees in December, in accordance with DHE quarterly submission schedule

The presentation at the Resources Committee meeting will incorporate our FY16 results, FY17 forecast, and FY18 budget planning considerations to provide Trustees with a comprehensive view of our financial position.

## Summary of Results

The final financial results for FY16 include:

- An overall, GAAP adjusted \$2.6M increase in net position. The \$70.5M variance to budget is primarily the result of investment losses (see investment section).
- Net Results show a \$12.8M Operating surplus as compared with the FY16 Budgeted deficit of \$7.1M and the \$4.1M Operating deficit shared with the Board in June. The change from June is primarily associated with a \$6.9M decrease in Transfers to Capital Projects in our Auxiliaries column.
- A reduction in Endowment Value of \$25.1M after consideration for new gifts to the endowment of \$14.5M, increases for transfers to Quasi endowments of \$1.9M, Investment losses of \$15.8M, and Endowment Distributions of \$26.1M.
- Due to slower spending on capital projects we spent \$104.7M on Capital Projects for FY16 which primarily reflects funding from the Century Bond and Internal Bank (Debt and Working Capital, a portion of which was funded in prior years) and the State Capital appropriations. Additional capital spend is funded from the Planning Units and Auxiliaries (\$21.4M and \$21.9M respectively). The combination of slower spend and less advanced funding resulted in a lower than anticipated carryforward on Capital projects of \$5.8M for FY16 as compared to the budgeted FY16 \$9M.
- A \$12.4M advance to the Century Bond Program from working capital after consideration for \$6.8M of Internal Loan payments from Operations, loss on investments of \$5.2M, and external bond interest payments of \$14M. We also transferred \$40M of principal for EIP and deferred maintenance projects. These estimated results were reviewed with the Century Bond Advisory Committee on October 4, 2016.
- A reduction in Internal Bank assets of \$19.4M primarily associated with planned expenditures against the Capital Plan. A portion of these will be refunded to the bank with the March 2017 planned debt issuance.

## Statement of Activities

Following are the final consolidated 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
  - Auxiliaries
  - Academic Support Units
  - Investment returns for endowment and working capital reserves

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). Items included in these adjustments are:
  - Elimination of Other External Sales and Operating Expenses related to the consolidated component units.
  - Annual adjustment to Pension expense (Benefits line item) for GASB 68 Unfunded pension liability.
  - Elimination of capital expenditures and addition of depreciation
  - Debt amortization costs

The supporting narrative explains forecasted variances from the operating budget approved by the Board in June 2015.

## **Final results for fiscal year 2016 as compared to fiscal year 2016 budget and fiscal year 2015 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 as compared with FY16 BOT approved Budget.**

### **Revenues**

State Appropriations (\$161.4M): -0.4%, \$0.6 million less than FY16 budget:

- The Ohio Department of Higher Education (formerly known as the Ohio Board of Regents) made changes to their funding model for FY16 to address perceived inequities in the allocations. An increase of \$2.9 million was budgeted for FY16 as compared with FY15 actuals. FY16 actuals are \$0.6 million less than budgeted SSI as a result of transitioning from forecasted to finalized model inputs (for example credit hours & degrees) for FY16. Two restricted line items, related to the funding for the Heritage College of Medicine, were also finalized based on final enrollment numbers for spring term.

Net Undergraduate Tuition & Educational Fees (\$246.6M): -1%, \$1.5 million less than FY16 budget

- Undergraduate Tuitions are \$1.6 million more than budget. Record enrollments on our Athens Campus are driving positive surpluses to budget (recognized in the Academic Support column because of our fixed revenue allocations to Athens colleges). Declines in Regional Campus credit hour production (3.4% decrease Fall over Fall) created a \$2 million variance to budget. eLearning tuition is on budget, as enrollments have shifted to new programs and a more out-of-state student population.
- UG Financial Aid is \$3.1 million higher than budget. The budget did not account for the full impact of the second year of the Signature Financial Aid strategy, as well as an increase in financial aid at Regional Campuses due to the impact of College Credit Plus (partially offset by increased Grants).

Net Graduate Tuition & Educational Fees (\$71.7M): 4%, \$2.5 million more than FY16 budget

- Graduate Tuitions are \$1.3 million more than budget (and \$6.2 million higher than prior year) and is primarily associated with growth in the College of Business and HCOM Dublin.

Attachment A: FY16 Financial Results and Analysis

- Graduate Financial aid is \$1.2 million less than budget. HCOM had a reduction in grant-funded financial aid of \$.7 million. The remaining variance is a result of less aid awarded in Arts & Sciences.

Room & Board (\$95.9M): 2%, \$2.1 million more than FY16 budget

- Total residential housing-room and culinary services-board revenues are \$54 million and \$41.8 million, exceeding budget 0.8% and 4%, respectively.
- Due to the record freshman enrollment residential housing had 250 additional residents in Fall 2015 as compared to Fall 2014 & 236 additional residents in Spring 2016 as compared to Spring 2015. The two year Housing Residency Requirement requires students to reside on campus for two full years and carry an associated meal plan.

Grants and Contracts (\$46.1M): 3%, \$1.5 million more than FY16 budget

- The FY16 budget was low based on historical averages and faculty retiring/resigning and new faculty that needed time to establish their research. Due to this uncertainty planning units budgeted \$3 million less than prior year actuals.
- Federal Grants were down \$3 million from prior year actuals due to the expiration of Federal Aviation Administration contract of \$0.8 million and National Science Foundation of \$2.2 million in the Colleges of Engineering and Arts and Sciences.
- A new FAA contract of \$7.5 million had an anticipated award date in FY16 but was not approved until FY17 by the sponsor. The National Science Foundation reduction was due to major research instrumentation grants totaling \$1.4 million in revenues in FY15 that did not recur in FY16 and a reduction in other NSF grants received in FY16.
- State grants increased \$2.2 million from prior year actuals. \$0.7 million of that increase is attributed to the State of Ohio College Credit Plus grant which replaced the Post-Secondary Options program. The Ohio Development Services Agency revenue increased \$1.1M due to the Entrepreneurial Signature Program, Ohio Third Frontier Pre-Seed Fund and Ohio Coal Research Consortium and there were increases of \$0.4M from various other State of Ohio agencies.

Facilities and Administrative (F&A) Cost Recovery (\$6.8M): -6%, \$0.4 million less than FY16 budget

- This is the indirect expense recovery on Grants and Contracts. F&A revenue was budgeted to increase as the portfolio of Grants and Contracts was expected to include a higher rate of recovery than prior year. Although our federal awards have a new negotiated rate of recovery (50.5% for research) proposals submitted would not be funded using this rate until the following year, and many non-federal awards do not include recovery of the full rate so despite the increase of grant revenue over budget, the corresponding indirect cost recovery is less than budget. The new College Credit Plus program that is driving an increase in State grants does not generate any overhead recovery. Also, beginning in FY16, 18% of the F&A Cost Recovery is used to support research. While this does not change the overall impact of this revenue source it does change the presentation of this activity by moving it to the Academic Support column and out of the Athens Colleges and Schools column.

Gifts (\$17.3M): 28%, \$3.8 million more than FY16 budget.

- FY16 expendable gift revenue is up \$1 million, or 6% from FY15 actuals. The FY16 budget for expendable gifts was initially established during the spring of 2015, in an amount that reflects the institution's annual fundraising goals. The low budget was attributable to a general decline in the number of gifts in the donor pipeline following the end of the capital campaign. Gifts are expected to continue increasing in FY17 and FY18, as Advancement staff work to rebuild the donor pipeline.

Endowment Distributions (\$26.1M): -2%, \$0.6 million less than FY16 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 15%, or \$3.5 million increase, as compared with prior year reflecting the positive investment performance over the 36 months ended December 31, 2014, the period included in the FY16 spending formula calculation.
- Actuals are less than budget due to a budgeted approval of a Russ Legacy Endowment special distribution that is unspent at the end of FY16.
- 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) (\$3.8M): -41%, \$2.6 million less than FY16 budget.

- A portion of the investment income on working capital is brought into operations to support the strategic priorities identified in the Strategic Opportunity Reserve. This amount is budgeted at \$4.5 million. Any residual investment income from working capital is recorded in the Internal Bank column.
- Also included in this line are \$1.6M of budgeted earnings on Foundation working capital which are included as a part of the all-funds view and are available for the support of Advancement operations. These funds are invested in the LT Pool and were budgeted to return 7.6% during FY16 but actually returned a negative 3.15% through June 30, 2016, or negative \$0.7 million.
- Also included in this line are \$0.3 million of forecasted earnings on illiquid, non-pooled investments designated to benefit academic units, which are included as a part of the all-funds view and are available for the support of Russ College operations. These investments were budgeted to return \$0.3 million during FY16 but actually returned only \$47K

Other External Sales (\$49.7M): 31%, \$11.9 million more than FY16 budget:

- The primary increases to actuals over budget are from Sales & Services revenue (conference fees, retail sales, ticket sales) and Other sources of income (pouring rights, AGO finance charges, NCAA revenue, rental income).
- Royalty revenue declined \$3.4 million as compared to FY15 due to the expiration of the SOMAVERT patent that was monetized in FY11. Since the \$27 million monetization, the University has recognized offsetting royalty revenue and expense. Royalty expense has also declined \$3.4 million as compared to FY15.
- 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 (\$343.4M): -2%, \$8.7 million less than FY16 budget:

- Budgeted increases in this line are the result of faculty and staff raise pools, the Faculty Compensation initiative, and the Compensation Equity pool for staff compression/inversion. Due to uncertainties and timing related to the State Budget, Staff Equity adjustments were delayed

until January 1, 2016 that resulted in \$.5 million of the variance. The remainder is related to faculty and staff vacancies.

- FY16 expenditures exceeded FY15 actuals by 4% & \$13 million mainly attributable to higher headcount and annual salary increases.

Benefits (\$112.7M): -6%, \$6.6 million less than FY16 budget:

- The University provides a comprehensive benefits program to faculty and staff which include retirement contributions and health and welfare benefits consistently accounting for over 80% of total benefits costs. Educational benefits and legally required benefits such as workers compensation, Medicare, unemployment, and occupational health account for roughly 13% of total benefits and the remainder are sick and vacation pay outs. Certain benefits such as retirement, unemployment, Medicare tax are a percentage of employee's salaries & wages. Increase in salaries and wages in FY2016 caused an increase in these benefits vs. FY15. Additional headcount also caused an increase in the number of benefit eligible employees and consequently, increase in healthcare costs, along with the effect of actual health experiences of the insured.
- FY16 benefits expense was lower than FY16 budget which also corresponds to lower salaries & wages vs. FY16 budget.
- Benefits expense as a percentage of salaries, wages & other payroll was 32.8% and 32.3%, for FY16 & FY15, respectively. It was budgeted at 33.9% of salaries, wages & other payroll for the FY16 budget.
- Taken into account is a \$916K payment back to employees reflecting a cumulative surplus in the benefits reserve pool that exceeds the guidelines established by the Benefits Advisory Council. The refund amounts reflect a proration of the excess reserve based on the paid-in premiums (planning units versus employees). A \$4M allocation of planning unit contributions will be allocated to Academic Units and the Strategic Opportunity Reserve

Operating Expenses (\$187.4M): 5%, \$8.7 million more than FY16 budget:

- Operating expenditures exceeded budget by \$8.7 million dollars. *Although an increase over the budget, this is actually a decrease of \$3.7 million 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, bad debt, insurance and communications. This also includes subcontract and supply expenditures on Grants.
- A significant portion of the operating expense variations can be attributed to the changes in revenues Other External Sales.
- The large decrease in Academic Support from FY15 actuals to FY16 actuals is attributable to the decrease in royalty payments discussed above in the Other External Sales section.

Capitalized Costs (\$11.4M): 56%, \$4.1 million more than FY16 budget:

- There is no trended timing of capital purchases making this a difficult line item to budget. This line includes capital purchased on grant funded projects and foundation spending on capital items.

Internal Loan – Principal & Interest (\$39.5M): 2%, \$0.7 million more than FY16 budget:

- This category includes payments made by the operating units for debt service and was budgeted to reflect loans identified for capital projects under the Capital Improvement Plan.
- Academic Units internal loans are \$0.9M higher than budget primarily due to CSC Renovation loan (\$0.5 million P&I) in COB which the department is intending to pay in full if gift money is received; Corrosion Center loan (\$0.2 million P&I) in Engineering and ARC FY15 Operating Loan (\$0.1 million). Auxiliaries is \$0.2 million higher than budget and Academic Support is \$0.4

million lower than budget due to restructuring of Housing Phase I and Indoor Multi-Purpose Facility loans under the internal bank structure.

Internal Sales (\$22.3M): Equal to FY16 budget:

- Represents intercompany revenues from the sale of goods or services to other University departments. Examples include transportation, 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; consequently reductions in sales is offset by reductions in expense and is primarily budget neutral.

Internal Allocations & Transfers:

- Represents internal funding allocations between units. The subtotal for the operating units will typically net to zero. FY15 includes the transfer of \$700K from endowment corpus into operations to fulfill the respective donor obligations regarding use, as well as an offsetting \$200K transfer from operations for same under different agreement.
- The \$6M budgeted amount represents funding allocations for various initiatives (e.g. Innovation Funding) which when allocated will be spent in the appropriate planning unit (with offsetting transfers to fund).

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 (\$14.5M): 7%, \$1 million higher than FY16 budget:

- FY16 endowed gift revenue was up \$1.4 million, or 11% from FY15 actuals. Endowed gift revenue consists of outright gifts and pledge payments that are received in cash and added to the endowment during the fiscal year.

Investment Income:

- Investment income/loss is comprised of interest, dividends, realized gains (losses), and unrealized gains (losses). In the Endowment column the investment income/loss stems from the University and Foundation endowment assets invested in a long-term, broadly-diversified portfolio (LT Pool). This represents the appreciation (depreciation) of our asset pool. The actual return of our diversified pool through June 30, 2015 was **-1.11%** and the actual FY16 return is **-3.15% net of**

*fees.* The LT endowment pool was initially budgeted to return 7.6% during FY2016. However, due to market circumstances, the expected annual return on that pool is now 6.9%.

- The actual investment loss from the endowment in the LT Pool is -\$15.8 million net of fees for the year as compared with the budgeted amount of \$38.6 million which was based on the portfolio target return of 7.6%.

Transfers to (from) Quasi Endowments:

- Represents the transfer from operations for quasi endowments. The transfer of \$1.9 million is made up of the University match resulting from the Scholarship Matching Program, as well as a \$1 million scholarship gift that was presented at the June 2016 OUF BOT meeting as a potential quasi endowment.

**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 (\$11.7M): -50% \$11.6 million less than FY16 budget

- 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 is \$11.7 million for FY16. The decrease from budget is primarily associated with the timing of projects completed during the year. The remainder of the state projects will be completed in future years. The forecast for FY16 is a decrease from FY15 actuals of \$0.2 million.

Capitalized Costs (\$104.7M): -29% \$42.2 million less than FY16 budget

- This is driven by the decreases in State Appropriations-Capital spending, the Century Bond funds, energy infrastructure related projects and for decreases in spending on large projects (for example, McCracken Hall) that will be spent in subsequent years.

Transfers to/from Capital Projects

- \$34.4M less than budget. This variance is made up of a number of items including a decrease from budget of \$14.3M due to funds being transferred from the Century Bonds in the prior fiscal year, and a decrease in transfers from the internal bank of \$30.0M due primarily to the timing of project funding for Schoonover Phase 2 and HCOM Cleveland which were fully funded in FY15 but budgeted in FY16. These are offset by an increase over budget of \$9.9 million in transfers from operations, mainly for two College of Health Science and Professions projects that were not budgeted: Grover expansion and Dublin Campus Development.

**CENTURY BOND – This column reflects activity associated with the Century Bond/Deferred Maintenance Program. This presentation includes:**

Investment Income:

- Represents earnings on the unspent long-term portion of the \$250 million century bond proceeds. Funds were received in late November, 2014 and are invested in accordance with the Investment Policy approved by the University and Foundation Boards. \$150 million of the proceeds were designated to be invested in a long-term diversified strategy. The century bond long-term pool returned -3.67% and 1.62% in fiscal years 2016 and 2015, respectively. \$97 million of proceeds were set aside for the initial 3-4 year program needs and invested in highly liquid securities. In

May 2016, the unspent short-term proceeds of approximately \$77M were invested in Baird Ultra-Short-term and Short-term Bonds.

Internal Loan Principal & Interest:

- Reflects the principal and interest payments into the Century Bond program for outstanding loans. For FY16 this includes payments on the first and second \$10 million of deferred maintenance funding and the first and second \$30M loans for the Energy Infrastructure Program (EIP).

Debt Service - Interest

- Interest payments due on the \$250 million century bond external debt. The annual debt service (interest only) is \$14 million. As the investment earnings combined with the debt service on internal loans issued are not expected to be sufficient to cover the external interest payments the University will advance funds to cover the cumulative variance (\$10.7M) until the Century Bond Program has sufficient liquidity to repay. This was discussed with the Century Bond Advisory Committee on May 17, 2016 with options regarding timing of repayment. The Committee approved strategy is to repay the funds in the first year that allows the model to remain in equilibrium.

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 second two internal loans from the Century Bond Pool:
  - FY 16 \$10M Deferred Maintenance
  - Second \$30M of EIP funding (of expected \$90M)
- The transfers are \$14.3M less than budget as these funds were actually transferred in the prior fiscal year to Capital projects

**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/loss on the working capital funds. The University's investment income/loss is comprised of interest, dividends, realized gains (losses), and unrealized gains (losses). A portion of these funds (approx. \$100M) are invested alongside the endowment in LT Pool. As of June 30, 2016 the remainder (approx. \$187M) are invested in the liquidity and cash pools.
- The LT Pool achieved a return of -3.15% for the fiscal year 2016. The liquidity pool achieved a return of 4.30% for the fiscal year 2016. Near the end of FY16, the liquidity pool was transitioned to several new working capital pools, pursuant to the tiered investments structure outlined in a revised working capital investment policy that was approved by the board in October 2015.
- Includes \$3.0M return on working capital which is offset by transfer to Operations of \$4.5M to fund the Strategic Opportunity Reserve (which was a budgeted use) netting a -\$1.5M forecasted return (loss) on working capital investments remaining in the Central Bank.

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.

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. The FY16 projection is \$30.0M lower than the FY16 budget primarily due to the timing of project funding for Schoonover Phase 2 and HCOM Cleveland which were fully funded in FY15 but budgeted in FY16.

**COMPONENT UNITS - TechGrowth Ohio Fund, University Medical Associates, Inc. (UMA), & OUF Subsidiaries - Entries recorded as a part of the required consolidation.**

**This is a new section of the report that will discretely present the impact of our consolidated component units. Historically these were recorded at year-end and did not have separate visibility. We will present these on a quarterly basis and will present the respective impacts in this section.**

Other External Sales:

- There is \$22.7 million in revenue for FY16 as compared to \$23.4 million for FY15. Of the \$0.7 million decrease, \$0.4 million is related to timing differences in the receipt of investment revenue for Pre-Seed funding for TechGrowth Ohio Fund.

Operating Expenses:

- There is \$18.5 million in expense for FY16 as compared to \$19.2 million for FY15. The \$0.7 million decrease is due to additional items being capitalized in FY16.

**FINANCIAL STATEMENT ADJUSTMENTS - Entries recorded as a part of the required adjustment to move from fund accounting to Generally Accepted Accounting Principles (GAAP) format including eliminating entries for component units.**

Gifts:

- Reflects the non-cash net accruals for pledge payments.

Other External Sales:

- Reflects the eliminations for the component units.

Benefits:

- FY15 was the first year of the required implementation of the new Government Accounting Standards Board (GASB) 68 – Accounting and Financial Reporting for Pensions. GASB 68 requires governments providing defined benefit pensions to recognize their unfunded pension benefit obligation as a liability for the first time, and to more comprehensively and comparably measure the annual costs of pension benefits. As a result, starting in FY15, Ohio University reported net pension liability and deferred inflows and outflows related to pension in its financial statements. The annual impact of adjustments to these accounts are reported under pension expense.

## Attachment A: FY16 Financial Results and Analysis

- For Ohio University this includes our participation in the STRS (State Teachers Retirement System) and the OPERS (Ohio Public Employees Retirement System).
- There are various factors affecting the unfunded pension liability and such will cause an increase or decrease in the net pension liability each year. These factors include:
  - Changes in plan assumptions about economic and demographic factors;
  - Differences between actual and expected experience; and
  - Differences between actual and expected investment earnings.
- The impact to pension expense for these factors in FY16 was \$6.8 million representing a net debit to pension expense broken out as follows: \$3 million credit to pension expense for STRS and \$9.8 million debit to pension expense for OPERS. In FY15 the net effect to pension expense for GASB 68 adjustments was a net credit of \$6.1 million resulting in a net change in pension expense year-over-year of \$12.9 million recorded under Benefits.

### Operating Expenses:

- FY15 actuals include a one-time charge of \$0.9 million in bad expense on Perkins Loans related to an accumulated loan cancellation.
- FY15 actuals also include a credit for \$4.1 million in component unit eliminations.
- FY16 includes a credit for \$3.1 million in component unit eliminations offset by \$0.1 million in Loan fund expenditures.

### 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 \$5.1M from FY15 to FY16. 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).

### Debt Service - Interest:

- Amortization of bond premium and discounts which were inadvertently excluded from the budget.

## Statement of Net Position (Balance Sheet)

Attached you will find a final Comparative Statement of Net Position (Balance Sheet) for Ohio University and The Ohio University Foundation, for the period ended June 30, 2016 with comparative data for June 30, 2015.

Following is an explanation of changes for Ohio University for June 30, 2016 as compared with the last fiscal year end June 30, 2015:

### Cash and Cash Equivalents (\$36.3M): \$30.7 million decrease

- Due primarily to capital project expenditures and Century Bond debt service payments. Century Bond project capital expenditures of \$5.9 million were payable to operating cash as of June 30, 2016 and reimbursed in July 2016 from the Century Bond proceeds. Capital expenditures for projects not paid from Century Bond proceeds will be partially reimbursed by a future bond issuance in fiscal year 2017. As of June 30, 2016, the University's operating cash has paid \$10.7 million of the Century Bond debt service payment short-fall with the expectation that this will be reimbursed with future earnings and internal loan pool payments. .

### Restricted Cash & Cash Equivalents (\$7.1M): \$7.2 million decrease

- Residual funds from the 2012 bond series (\$1.6 million decrease) & 2013 (\$5.6 million decrease) bond issuances that were used for the capital plan (see capital assets below)
- Construction escrow deposits and grant restricted funds had no net change.

### Investments (\$567.8M): \$13.8 million decrease

- The Century Bond long term pool declined by \$5.5 million, and this is reflective of the FY16 return of -3.67% on that investment pool. The Century Bond short term pool declined by \$20.2 million. This decline is reflective of \$20.5 million in distributions for spending on capital projects and investment income of \$0.4 million. Distributions from these investment pools are being used for the capital plan (see capital assets below).
- The Long term endowment pool declined by \$5.4 million. This decline includes investment income of -\$2.3 million, which is reflective of the FY16 return of -3.15% on that investment pool. The decline is also reflective of \$4.1 million in distributions for spending and \$1.0M in transfers to Quasi endowments.
- University working capital investments are increased by \$16.8 million. The liquidity pool and tiered working capital investments earned \$6.0 million of investment income, which was offset by investment losses of \$2.9 million decline in the diversified pool. The remaining change of \$13.7 million reflects cash additions to the working capital investment pools throughout the fiscal year.
- The remaining change in investment value of \$0.5 million is due to the change in value of non-pooled investments, which primarily includes investments held by the University's component units.
- Included in the investments is \$227M of unspent Century Bond proceeds (see Net Investments in Capital section below)

### Capital Assets-net of depreciation (\$968M): \$58.6 million increase

- Increases include some of the following major projects: \$19.7 million for McCracken Hall, \$9.4 million on completion of the Phase 1 Housing Development project creating 5 new student housing facilities, and \$4.6 million for Jefferson Hall.
- There is also an increase of \$16.3 million for machinery, furniture, equipment and library books.

Attachment A: FY16 Financial Results and Analysis

- There were multiple buildings torn down during the year causing \$8.4 million in building value to be retired.
- Accumulated depreciation increased a net \$26.9 million after retirements.

Accounts Receivable, Prepaids & Other Assets (\$84.3M): \$4.6 million decrease

- \$2.7 million of the decrease directly relates to a more proactive approach to drawing down student loan funds.
- There was also a decrease of \$3.8 related to a more proactive drawing down of restricted funds including student financial aid and PELL.
- Student tuition and fees receivables increased \$2.3 million, or 5%, due to timing and tuition increases.
- Prepaids, Notes receivable and Inventory are also in this category and had small changes.

Deferred Outflows of Resources (\$87.9M): \$54.2 million increase

- These are consumptions of net position that apply to future periods.
- As previously discussed in the 'Financial Statement Adjustments' section, there are various factors affecting retirement obligations and these factors cause an increase or decrease in related outflows or inflows of resources. In FY16, there was a substantial increase in outflows related to pension compared to FY15 due to the following:
  - Impact of net difference between projected and actual earnings on pension plan investments – increased by \$41 million;
  - Effect of differences between expected and actual experience – increased by \$10.2 million;
  - Change in proportionate share and differences between University contributions and proportionate share of contributions – increased by \$2.9 million; and
  - Effect of University contributions subsequent to measurement date – increased by \$0.5 million.
- Deferred charge on refunding, \$2.3 million in FY16, which was \$0.4 million lower than FY15 actuals representing the amortization of the refinancing of prior bonds.

Accounts Payable & Accrued Liabilities & Other (\$84.3M): \$4.6 million decrease

- Accrued payroll—consistent with FY15 actuals
- Accrued worker's compensation—lower than FY15 actuals by \$1.5 million, mainly driven by lower BWC tail claim and self-insured claims liability as estimated based on the latest actuarial valuation report by Milliman
- Accrued self-insurance claims—higher than FY15 actuals by \$0.5 million
- Accrued compensated absences—higher than FY15 actuals by \$0.3 million, although the 3-year average change year-over-year was \$1.3 million
- Accrued royalties—lower by \$1.9 million due mainly to lower royalty as a result of certain patents expiring related to research royalty
- Vendor and all other payables—slightly (\$0.7 million) lower than FY15 actuals, mainly lower payable to vendors, offset by higher deposits and funds held on behalf of others

Unearned Revenue (\$34.1M): \$0.3 million decrease

- This is Summer tuition revenue that was not earned as of 6/30/16 and is deferred. This amount fluctuates with the timing of the start of the summer sessions and also fluctuates with the total amount of Summer tuition.

Net Pension Liability (\$432.9M): \$83.8 million increase

- This is the University's proportionate share of the net pension liability for both STRS and OPERS which was based on projection of its long-term share of contributions to the pension plan relative to the projected contributions of all participating reporting units, as determined by an actuarial valuation.
- Compared to FY15, FY16 net pension liability was greater by \$31.2 million for STRS, this despite a negligible decrease in the University's proportionate share of the net pension liability for STRS of 0.007% (from 0.999% in 2015 to 0.992% in 2016) and, net pension liability was greater by \$52.6 million for OPERS driven by higher proportionate share for the University from 0.878% in FY15 to 0.910% in FY16.

Bonds and Notes Payable-net of discount and premium (\$544.8M): \$17.8 million decrease

- The \$17.8 million decrease in bonds and notes payable-net of discount and premium is due primarily to \$17.1 million of principal payments on Dec 1, 2015 and amortization of the Series 2013 bond premium of \$1.2 million offset by amortization of deferred loss on refunding (Series 2001, 2003 & 2004) of \$.4 million.

Deferred Inflows of Resources – Pension (\$24.5M): \$22.4 million decrease

- These are acquisitions of net position that apply to future periods. As previously discussed in the 'Financial Statement Adjustments' section, there are various factors affecting retirement obligations and these factors cause an increase or decrease in related outflows or inflows of resources.
- In FY2016, there was a substantial decrease in inflows related to pension compared to FY2015 due to the following:
  - Impact of net difference between projected and actual earnings on pension plan investments – decreased by \$25.2 million;
  - Offset by effect of differences between expected and actual experience which increased by \$1.2 million; and
- Offset by change in proportionate share and differences between University contributions and proportionate share of contributions which increased by \$1.6 million.

Net Investment in Capital Assets (\$651M): \$56 million increase

- GASB 34/35 requires that Investment in Capital Assets be reflected net of any outstanding debt and depreciation. If there are significant unspent debt proceeds at yearend, the portion of the debt attributable to the unspent proceeds should not be included.
- For FY16, Net Investment in Capital Assets is calculated as follows:
 

Capital Assets – net of depreciation	\$968.0M
Less: Bonds & Notes Payable – net of discount and premium	(\$544.8M)
Plus: Unspent Century Bond Proceeds	\$221.5M
Plus: Related Restricted Cash & Cash Equivalents	<u>\$ 6.3M</u>
Total	\$651.0M

Restricted – Nonexpendable (\$22.2M): \$0.1M decrease

- The restricted– nonexpendable net asset balance represents the value of the University Endowment corpus and had a small change related to losses on endowments that don't follow the spending policy.

Restricted – Expendable (\$32.1M): \$2.4 decrease

- The restricted-expendable net asset balance includes fund balances associated with restricted funds such as externally funded grants and loans, restricted plant funds and the expendable portion of University endowments. The grant and loan fund balances increased \$1.2M, capital fund balances and the expendable portion of University endowments decreased \$3.6 for a net decrease of \$2.4M. Endowment decreases reflect the impact of a difficult financial market and the downturn in investment earnings.

Unrestricted (-\$94.7M): \$37.5M decrease

- Unrestricted net position is not subject to external restrictions; however, the majority of the University's unrestricted net position has been internally designated for planning units, reserves or commitments. The Unrestricted net position of -\$94.7 M includes the -\$371.8M impact of the GASB 68 requirement for booking the unfunded pension liability and the corresponding deferred inflows and outflows of resources.

## Senate Bill 6 Ratios

Below you will find a copy of the SB 6 ratios that the State of Ohio will calculate for the year ended June 30, 2016 with comparative data for June 30, 2015, and June 30, 2014.

Senate Bill 6 ratios, enacted into law in 1997 by the Ohio General Assembly, are used to assist the state in monitoring the financial accountability of state colleges and universities by using a standard set of measures with which to monitor the fiscal health of campuses. In order to meet the legislative intent, there are three ratios from which four scores are generated. The data and methodology used to compute the ratios are as follows:

- Expendable net position - The sum of unrestricted net position and restricted expendable net position
- Plant debt - Total debt, including bonds payable, notes payable, and capital lease obligations
- Total revenue - Total operating revenue, plus nonoperating revenue, plus capital appropriations, capital grants and gifts, and additions to permanent endowments
- Total operating expenses - Total operating expenses, plus interest on long-term debt
- Total nonoperating expenses - All expenses reported as nonoperating with the exception of interest expense
- Change in total net position - Total revenue less total expenses (operating and nonoperating)

**The methodology for calculating the three ratios is as follows:**

- Viability Ratio = Expendable Net Position/Plant Debt
  - o This ratio measures the availability of expendable net position to cover debt should the institution need to settle its obligations as of the balance sheet date.
- Primary Reserve Ratio = Expendable Net Position/Total Operating Expenses
  - o This ratio provides a snapshot of financial strength and flexibility by indicating how long the institution could function using its expendable reserves without relying on additional net position generated by operations.

Attachment A: FY16 Financial Results and Analysis

- Net Income Ratio = Change in Total Net Position/Total Revenue
  - o This ratio offers a measure of profitability as a percentage of all institutional revenue including revenue received for capital needs.

Based on the calculations, each ratio is assigned a score ranging from zero to five according to the table below. A score of 5 indicates the highest degree of fiscal strength in each category.

Scores	0	1	2	3	4	5
Viability Ratio	less than 0	0 to .29	.30 to .59	.6 to .99	1.0 to 2.5	greater than 2.5
Primary Reserve Ratio	less than -.1	-.1 to .049	.05 to .099	.10 to .249	.25 to .49	.5 or greater
Net Income Ratio	less than -.05	-.05 to 0	0 to .009	.01 to .029	.03 to .049	.05 or greater

Based on these scores, a summary score, termed the composite score, is determined, which is the primary indicator of fiscal health. The composite score equals the sum of the assigned viability score multiplied by 30 percent, the assigned primary reserve score multiplied by 50 percent, and the assigned net income score multiplied by 20 percent.

In an effort to appropriately recognize the incorporation of the GASB 68 unfunded pension liability elements as an accounting change rather than a structural change in the true financial condition of the institution, the Ohio Department of Higher Education will calculate institutional financial ratios from fiscal year 2015 onward both including and excluding associated impacts of GASB 68. Pursuant to administrative rule (126:3-1-01) established in response to Senate Bill 6 of the 122nd General Assembly, a composite score of or below 1.75 for two consecutive years results in an institution being placed on fiscal watch. For the purposes of this determination, the Chancellor will utilize composite scores excluding associated impacts of GASB 68.

Following are Ohio University's scores:

	FY14		FY15				FY16			
			With GASB 68		Without GASB 68		With GASB 68		Without GASB 68	
	%	Score	%	Score	%	Score	%	Score	%	Score
Viability Ratio	1.13	4	(0.04)	0	0.63	3	(0.12)	0	0.59	2
Primary Reserve Ratio	0.520	5	(0.028)	1	0.480	4	(0.085)	1	0.425	4
Net Income Ratio	0.087	5	0.071	5	0.063	5	0.021	3	0.030	4
Viability Score (30%)		1.2		0		0.9		0		0.6
Primary Reserve Score (50%)		2.5		0.5		2.0		0.5		2.0
Net Income Score (20%)		1.0		1.0		1.0		0.6		0.8
Composite Score		4.7		1.5		3.9		1.1		3.4

# Operating Unit Subtotals

(in millions)	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals			Variance	%	Variance	%
	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY16 Actual over FY16 Budget	Change	FY16 Actual over FY15 Actual	Change
State Appropriations	136.1	139.5	140.2	17.9	18.2	18.2	-	-	-	5.1	4.3	3.0	159.1	162.0	161.4	(0.6)	-0.4%	2.3	1%
State Appropriations-Capital	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Undergraduate Tuition & Educational Fees	251.4	256.1	257.0	39.2	39.2	37.2	-	-	-	7.3	7.5	10.2	297.9	302.8	304.4	1.6	0.5%	6.5	2%
Undergraduate Financial Aid	(45.7)	(46.7)	(47.0)	(5.4)	(5.4)	(6.0)	(7.5)	(9.4)	(10.2)	7.2	6.8	5.4	(51.4)	(54.7)	(57.8)	(3.1)	6%	(6.4)	12%
Net Undergraduate Tuition & Fees	205.7	209.4	210.0	33.8	33.8	31.2	(7.5)	(9.4)	(10.2)	14.5	14.3	15.6	246.5	248.1	246.6	(1.5)	-1%	0.1	0.0%
Graduate Tuition & Educational Fees	92.3	98.0	99.7	0.5	0.5	0.4	-	-	-	1.2	0.4	0.1	94.0	98.9	100.2	1.3	1.3%	6.2	7%
Graduate Financial Aid	(28.9)	(28.7)	(27.6)	(0.1)	(0.2)	(0.1)	-	-	-	(0.9)	(0.8)	(0.8)	(29.9)	(29.7)	(28.5)	1.2	-4%	1.4	-5%
Net Graduate Tuition & Fees	63.4	69.3	72.1	0.4	0.3	0.3	-	-	-	0.3	(0.4)	(0.7)	64.1	69.2	71.7	2.5	4%	7.6	12%
Room & Board	-	-	-	-	-	-	90.0	93.8	95.9	-	-	-	90.0	93.8	95.9	2.1	2%	5.9	7%
Grants and Contracts	42.0	40.6	39.5	1.1	1.0	1.7	0.1	0.1	0.1	4.4	2.9	4.8	47.6	44.6	46.1	1.5	3%	(1.5)	-3.2%
Facilities & Admin Costs Recovery	6.6	6.1	5.5	-	-	-	-	-	-	0.1	1.1	1.3	6.7	7.2	6.8	(0.4)	-6%	0.1	1%
Gifts	6.1	4.5	5.7	0.4	0.2	0.2	3.0	1.7	3.3	6.8	7.1	8.1	16.3	13.5	17.3	3.8	28%	1.0	6%
Endowment Distributions	10.8	12.6	12.0	0.4	0.5	0.5	0.1	0.1	0.2	11.3	13.5	13.4	22.6	26.7	26.1	(0.6)	-2%	3.5	15%
Investment Income	0.1	0.3	-	-	-	-	-	-	-	4.5	6.1	3.8	4.6	6.4	3.8	(2.6)	-41%	(0.8)	-17%
Other External Sales	6.6	4.2	5.1	1.1	1.1	0.8	16.9	15.2	18.4	29.5	17.3	25.4	54.1	37.8	49.7	11.9	31%	(4.4)	-8%
<b>Total Revenues</b>	<b>\$ 477.4</b>	<b>\$ 486.5</b>	<b>\$ 490.1</b>	<b>\$ 55.1</b>	<b>\$ 55.1</b>	<b>\$ 52.9</b>	<b>\$ 102.6</b>	<b>\$ 101.5</b>	<b>\$ 107.7</b>	<b>\$ 76.5</b>	<b>\$ 66.2</b>	<b>\$ 74.7</b>	<b>\$ 711.6</b>	<b>\$ 709.3</b>	<b>\$ 725.4</b>	<b>\$ 16.1</b>	<b>2%</b>	<b>\$ 13.8</b>	<b>2%</b>
Salaries, Wages & Other Payroll	185.1	200.1	192.6	35.1	35.2	33.9	23.8	25.1	26.6	86.4	91.7	90.3	330.4	352.1	343.4	(8.7)	-2%	13.0	4%
Benefits	52.7	59.4	55.8	11.0	11.4	11.0	9.4	11.6	10.9	33.6	36.9	35.0	106.7	119.3	112.7	(6.6)	-6%	6.0	6%
Operating Expenses	63.1	66.2	65.1	9.1	7.9	7.6	34.4	34.6	34.8	84.5	70.0	79.9	191.1	178.7	187.4	8.7	5%	(3.7)	-2%
Capitalized Costs	7.5	4.6	2.9	0.8	0.2	0.4	1.7	0.8	2.8	2.2	1.7	5.3	12.2	7.3	11.4	4.1	56%	(0.8)	-7%
Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Loan - Principal & Interest	3.3	1.9	2.8	0.3	0.3	0.3	4.7	8.7	8.9	20.3	27.9	27.5	28.6	38.8	39.5	0.7	2%	10.9	38%
Debt Service - Principal	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Sales	(2.2)	(2.0)	(2.3)	-	(0.1)	-	(6.9)	(6.5)	(7.4)	(13.1)	(13.7)	(12.6)	(22.2)	(22.3)	(22.3)	-	0%	(0.1)	0%
<b>Total Direct Expenses</b>	<b>\$ 309.5</b>	<b>\$ 330.2</b>	<b>\$ 316.9</b>	<b>\$ 56.3</b>	<b>\$ 54.9</b>	<b>\$ 53.2</b>	<b>\$ 67.1</b>	<b>\$ 74.3</b>	<b>\$ 76.6</b>	<b>\$ 213.9</b>	<b>\$ 214.5</b>	<b>\$ 225.4</b>	<b>\$ 646.8</b>	<b>\$ 673.9</b>	<b>\$ 672.1</b>	<b>\$ (1.8)</b>	<b>-0.3%</b>	<b>\$ 25.3</b>	<b>4%</b>
Internal Allocations & Transfers	(3.7)	(3.7)	(6.6)	0.9	0.6	0.7	6.5	6.9	7.6	(4.2)	2.3	(5.0)	(0.5)	6.0	(3.3)	(9.3)	-155%	(2.8)	560%
Indirect Costs Allocations	140.8	143.2	143.2	13.4	14.8	14.8	(7.1)	(7.6)	(7.7)	(147.1)	(150.4)	(150.3)	-	-	-	-	-	-	-
Depreciation Allocation	-	8.1	8.1	-	-	-	-	-	-	-	(8.1)	(8.1)	-	-	-	-	-	-	-
Subvention Allocation	13.0	12.9	12.8	(11.2)	(13.3)	(13.3)	-	-	-	(1.8)	0.5	0.5	-	(0.0)	-	0.0	-	-	-
<b>Total Allocations &amp; Transfers</b>	<b>\$ 150.1</b>	<b>\$ 160.5</b>	<b>\$ 157.5</b>	<b>\$ 3.1</b>	<b>\$ 2.1</b>	<b>\$ 2.2</b>	<b>\$ (0.6)</b>	<b>\$ (0.7)</b>	<b>\$ (0.1)</b>	<b>\$ (153.1)</b>	<b>\$ (155.7)</b>	<b>\$ (162.9)</b>	<b>\$ (0.5)</b>	<b>\$ 6.0</b>	<b>\$ (3.3)</b>	<b>\$ (9.3)</b>	<b>-155%</b>	<b>\$ (2.8)</b>	<b>560%</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ 459.6</b>	<b>\$ 490.7</b>	<b>\$ 474.4</b>	<b>\$ 59.4</b>	<b>\$ 57.0</b>	<b>\$ 55.4</b>	<b>\$ 66.5</b>	<b>\$ 73.6</b>	<b>\$ 76.5</b>	<b>\$ 60.8</b>	<b>\$ 58.8</b>	<b>\$ 62.5</b>	<b>\$ 646.3</b>	<b>\$ 679.9</b>	<b>\$ 668.8</b>	<b>\$ (11.1)</b>	<b>-2%</b>	<b>\$ 22.5</b>	<b>3%</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ 17.8</b>	<b>\$ (4.2)</b>	<b>\$ 15.7</b>	<b>\$ (4.3)</b>	<b>\$ (1.9)</b>	<b>\$ (2.5)</b>	<b>\$ 36.1</b>	<b>\$ 27.9</b>	<b>\$ 31.2</b>	<b>\$ 15.7</b>	<b>\$ 7.4</b>	<b>\$ 12.2</b>	<b>\$ 65.3</b>	<b>\$ 29.4</b>	<b>\$ 56.6</b>	<b>\$ 27.2</b>	<b>93%</b>	<b>\$ (8.7)</b>	<b>-13%</b>
Transfers (to) from Operations	-	(5.3)	-	-	-	-	-	-	-	-	7.2	-	-	1.9	-	(1.9)	-100%	-	-
Transfers to (from) Quasi Endowments	6.1	-	(0.1)	-	-	-	-	-	-	1.1	1.2	2.0	7.2	1.2	1.9	0.7	58%	(5.3)	-74%
Transfers to (from) Capital Projects	8.2	1.1	17.0	(0.6)	-	(0.1)	27.2	26.6	21.9	24.2	5.6	4.4	59.0	33.3	43.2	9.9	30%	(15.8)	-27%
<b>Net Results</b>	<b>\$ 3.5</b>	<b>\$ (0.0)</b>	<b>\$ (1.2)</b>	<b>\$ (3.7)</b>	<b>\$ (1.9)</b>	<b>\$ (2.4)</b>	<b>\$ 8.9</b>	<b>\$ 1.3</b>	<b>\$ 9.3</b>	<b>\$ (9.6)</b>	<b>\$ (6.6)</b>	<b>\$ 5.8</b>	<b>\$ (0.9)</b>	<b>\$ (7.1)</b>	<b>\$ 11.5</b>	<b>\$ 18.5</b>	<b>-261%</b>	<b>\$ 12.4</b>	<b>-1378%</b>

## Non-Operating Unit Subtotals

(in millions)	Endowment			Capital			Century Bond			Internal Bank			Non-Operating Unit Subtotals			Variance		Variance	
	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY16 Actual over FY16 Budget	% Change	FY16 Actual over FY15 Actual	% Change
State Appropriations	-	-	-	-	-	-	-	-	-	2.1	2.1	2.1	2.1	2.1	2.1	-	-	-	-
State Appropriations-Capital	-	-	-	11.9	23.3	11.7	-	-	-	-	-	-	11.9	23.3	11.7	(11.6)	-50%	(0.2)	-2%
Undergraduate Tuition & Educational Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Undergraduate Financial Aid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net Undergraduate Tuition & Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Graduate Tuition & Educational Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Graduate Financial Aid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net Graduate Tuition & Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Room & Board	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Grants and Contracts	-	-	-	0.3	-	1.3	-	-	-	-	-	-	0.3	-	1.3	1.3	-	1.0	333%
Facilities & Admin Costs Recovery	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Gifts	13.1	13.5	14.5	-	-	0.7	-	-	-	-	-	-	13.1	13.5	15.2	1.7	13%	2.1	16%
Endowment Distributions	(22.6)	(26.7)	(26.1)	-	-	-	-	-	-	-	-	-	(22.6)	(26.7)	(26.1)	0.6	-2%	(3.5)	15%
Investment Income	(6.0)	38.6	(15.8)	-	-	-	0.7	12.0	(5.2)	(2.3)	11.4	(1.5)	(7.6)	62.0	(22.5)	(84.5)	-136%	(14.9)	196%
Other External Sales	(0.1)	-	0.3	0.5	-	0.1	-	-	-	0.2	0.2	0.3	0.6	0.2	0.7	0.5	250%	0.1	17%
<b>Total Revenues</b>	<b>\$ (15.6)</b>	<b>\$ 25.4</b>	<b>\$ (27.1)</b>	<b>\$ 12.7</b>	<b>\$ 23.3</b>	<b>\$ 13.8</b>	<b>\$ 0.7</b>	<b>\$ 12.0</b>	<b>\$ (5.2)</b>	<b>\$ 0.0</b>	<b>\$ 13.7</b>	<b>\$ 0.9</b>	<b>\$ (2.2)</b>	<b>\$ 74.4</b>	<b>\$ (17.6)</b>	<b>\$ (92.0)</b>	<b>-124%</b>	<b>\$ (15.4)</b>	<b>700%</b>
Salaries, Wages & Other Payroll	-	-	-	0.3	-	0.3	-	-	-	-	-	-	0.3	-	0.3	0.3	-	-	-
Benefits	-	-	-	0.1	-	0.1	-	-	-	-	-	-	0.1	-	0.1	0.1	-	-	-
Operating Expenses	-	-	-	7.5	5.0	6.2	0.5	-	-	0.2	-	0.2	8.2	5.0	6.4	1.4	28%	(1.8)	-22%
Capitalized Costs	-	-	-	159.8	146.9	104.7	2.2	-	-	-	-	-	162.0	146.9	104.7	(42.2)	-29%	(57.3)	-35%
Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Loan - Principal & Interest	-	-	-	-	-	-	(3.4)	(6.8)	(6.8)	(25.2)	(32.0)	(32.7)	(28.6)	(38.8)	(39.5)	(0.7)	2%	(10.9)	38%
Debt Service - Principal	-	-	-	-	-	-	-	-	-	16.8	17.1	17.1	16.8	17.1	17.1	-	-	0.3	2%
Debt Service - Interest	-	-	-	-	-	-	8.8	14.0	14.0	13.2	12.2	12.2	22.0	26.2	26.2	-	-	4.2	19%
Internal Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Direct Expenses</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 167.7</b>	<b>\$ 151.9</b>	<b>\$ 111.3</b>	<b>\$ 8.1</b>	<b>\$ 7.2</b>	<b>\$ 7.2</b>	<b>\$ 5.0</b>	<b>\$ (2.7)</b>	<b>\$ (3.2)</b>	<b>\$ 180.8</b>	<b>\$ 156.4</b>	<b>\$ 115.3</b>	<b>\$ (41.1)</b>	<b>-26%</b>	<b>\$ (65.5)</b>	<b>-36%</b>
Internal Allocations & Transfers	0.5	-	(0.1)	-	-	(0.1)	-	-	-	-	-	3.5	0.5	-	3.3	3.3	-	2.8	560%
Indirect Costs Allocations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Depreciation Allocation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Subvention Allocation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Allocations &amp; Transfers</b>	<b>\$ 0.5</b>	<b>\$ -</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ 3.5</b>	<b>\$ 0.5</b>	<b>\$ -</b>	<b>\$ 3.3</b>	<b>\$ 3.3</b>	<b>-</b>	<b>\$ 2.8</b>	<b>560%</b>				
<b>Total Expenses &amp; Transfers</b>	<b>\$ 0.5</b>	<b>\$ -</b>	<b>\$ (0.1)</b>	<b>\$ 167.7</b>	<b>\$ 151.9</b>	<b>\$ 111.2</b>	<b>\$ 8.1</b>	<b>\$ 7.2</b>	<b>\$ 7.2</b>	<b>\$ 5.0</b>	<b>\$ (2.7)</b>	<b>\$ 0.3</b>	<b>\$ 181.3</b>	<b>\$ 156.4</b>	<b>\$ 118.6</b>	<b>\$ (37.8)</b>	<b>-24%</b>	<b>\$ (62.7)</b>	<b>-35%</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ (16.1)</b>	<b>\$ 25.4</b>	<b>\$ (27.0)</b>	<b>\$ (155.0)</b>	<b>\$ (128.6)</b>	<b>\$ (97.4)</b>	<b>\$ (7.4)</b>	<b>\$ 4.8</b>	<b>\$ (12.4)</b>	<b>\$ (5.0)</b>	<b>\$ 16.4</b>	<b>\$ 0.6</b>	<b>\$ (183.5)</b>	<b>\$ (82.0)</b>	<b>\$ (136.2)</b>	<b>\$ (54.2)</b>	<b>66%</b>	<b>\$ 47.3</b>	<b>-26%</b>
Transfers (to) from Operations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to (from) Quasi Endowments	(7.2)	(1.2)	(1.9)	-	-	-	-	-	-	-	-	-	(7.2)	(1.2)	(1.9)	(0.7)	58%	5.3	-74%
Transfers to (from) Capital Projects	-	-	-	(180.1)	(137.6)	(103.2)	40.0	54.3	40.0	81.1	50.0	20.0	(59.0)	(33.3)	(43.2)	(9.9)	30%	15.8	-27%
<b>Net Results</b>	<b>\$ (8.9)</b>	<b>\$ 26.6</b>	<b>\$ (25.1)</b>	<b>\$ 25.1</b>	<b>\$ 9.0</b>	<b>\$ 5.8</b>	<b>\$ (47.4)</b>	<b>\$ (49.5)</b>	<b>\$ (52.4)</b>	<b>\$ (86.1)</b>	<b>\$ (33.6)</b>	<b>\$ (19.4)</b>	<b>\$ (117.3)</b>	<b>\$ (47.5)</b>	<b>\$ (91.1)</b>	<b>\$ (43.6)</b>	<b>92%</b>	<b>\$ 26.2</b>	<b>-22%</b>

# GAAP Adjusted Totals

(in millions)	Component Units: Techgrowth Ohio, UMA, & OUF Subs			Financial Statement Adjustments			GAAP Adjusted Totals			Variance FY16 Actual over FY16 Budget	%	Variance FY16 Actual over FY15 Actual	%
	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual	FY15 Actual	FY16 Budget	FY16 Actual				
State Appropriations	-	-	-	-	-	-	161.2	164.1	163.5	(0.6)	-0.4%	2.3	1%
State Appropriations-Capital	-	-	-	-	-	-	11.9	23.3	11.7	(11.6)	-50%	(0.2)	-2%
Undergraduate Tuition & Educational Fees	-	-	-	0.2	-	0.2	298.1	302.8	304.6	1.8	1%	6.5	2%
Undergraduate Financial Aid	-	-	-	-	-	-	(51.4)	(54.7)	(57.8)	(3.1)	6%	(6.4)	12%
Net Undergraduate Tuition & Fees	-	-	-	0.2	-	0.2	246.7	248.1	246.8	(1.3)	-1%	0.1	0.0%
Graduate Tuition & Educational Fees	-	-	-	-	-	-	94.0	98.9	100.2	1.3	1%	6.2	7%
Graduate Financial Aid	-	-	-	-	-	-	(29.9)	(29.7)	(28.5)	1.2	-4%	1.4	-5%
Net Graduate Tuition & Fees	-	-	-	-	-	-	64.1	69.2	71.7	2.5	4%	7.6	12%
Room & Board	-	-	-	-	-	-	90.0	93.8	95.9	2.1	2%	5.9	7%
Grants and Contracts	-	-	-	-	-	-	47.9	44.6	47.4	2.8	6%	(0.5)	-1%
Facilities & Admin Costs Recovery	-	-	-	-	-	-	6.7	7.2	6.8	(0.4)	-6%	0.1	1%
Gifts	-	-	-	1.8	-	(1.8)	31.2	27.0	30.7	3.7	14%	(0.5)	-2%
Endowment Distributions	-	-	-	-	-	-	-	-	-	-	-	-	-
Investment Income	-	-	-	-	-	-	(3.0)	68.4	(18.7)	(87.1)	-127%	(15.7)	523%
Other External Sales	23.4	-	22.7	(4.5)	-	(3.6)	73.6	38.0	69.5	31.5	83%	(4.1)	-6%
<b>Total Revenues</b>	<b>\$ 23.4</b>	<b>\$ -</b>	<b>\$ 22.7</b>	<b>\$ (2.5)</b>	<b>\$ -</b>	<b>\$ (5.2)</b>	<b>\$ 730.3</b>	<b>\$ 783.7</b>	<b>\$ 725.3</b>	<b>\$ (58.4)</b>	<b>-7%</b>	<b>\$ (5.0)</b>	<b>-1%</b>
Salaries, Wages & Other Payroll	-	-	-	-	-	-	330.7	352.1	343.7	(8.4)	-2%	13.0	4%
Benefits	-	-	-	(6.1)	-	6.8	100.7	119.3	119.6	0.3	0%	18.9	19%
Operating Expenses	19.2	-	18.5	(3.2)	-	(3.0)	215.3	183.7	209.3	25.6	14%	(6.0)	-3%
Capitalized Costs	-	-	1.7	(176.8)	(154.1)	(114.4)	(2.6)	0.1	3.4	3.3	3300%	6.0	-231%
Depreciation	1.8	-	1.8	37.9	43.6	43.0	39.7	43.6	44.8	1.2	3%	5.1	13%
Internal Loan - Principal & Interest	-	-	-	-	-	-	-	-	-	-	-	-	-
Debt Service - Principal	-	-	1.2	(16.8)	(17.1)	(18.3)	-	-	-	-	-	-	-
Debt Service - Interest	0.1	-	-	(1.2)	-	(2.0)	20.9	26.2	24.2	(2.0)	-8%	3.3	16%
Internal Sales	-	-	-	-	-	-	(22.2)	(22.3)	(22.3)	-	-	(0.1)	0.5%
<b>Total Direct Expenses</b>	<b>\$ 21.1</b>	<b>\$ -</b>	<b>\$ 23.2</b>	<b>\$ (166.2)</b>	<b>\$ (127.6)</b>	<b>\$ (87.9)</b>	<b>\$ 682.5</b>	<b>\$ 702.7</b>	<b>\$ 722.7</b>	<b>\$ 20.0</b>	<b>2.8%</b>	<b>\$ 40.2</b>	<b>6%</b>
Internal Allocations & Transfers	-	-	-	-	-	-	-	6.0	-	(6.0)	-100%	-	-
Indirect Costs Allocations	-	-	-	-	-	-	-	-	-	-	-	-	-
Depreciation Allocation	-	-	-	-	-	-	-	-	-	-	-	-	-
Subvention Allocation	-	-	-	-	-	-	-	(0.0)	-	0.0	-	-	-
<b>Total Allocations &amp; Transfers</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 6.0</b>	<b>\$ -</b>	<b>\$ (6.0)</b>	<b>-100%</b>	<b>\$ -</b>	<b>-</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ 21.1</b>	<b>\$ -</b>	<b>\$ 23.2</b>	<b>\$ (166.2)</b>	<b>\$ (127.6)</b>	<b>\$ (87.9)</b>	<b>\$ 682.5</b>	<b>\$ 708.7</b>	<b>\$ 722.7</b>	<b>\$ 14.0</b>	<b>2%</b>	<b>\$ 40.2</b>	<b>6%</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ 2.3</b>	<b>\$ -</b>	<b>\$ (0.5)</b>	<b>\$ 163.7</b>	<b>\$ 127.6</b>	<b>\$ 82.7</b>	<b>\$ 47.8</b>	<b>\$ 75.0</b>	<b>\$ 2.6</b>	<b>\$ (72.4)</b>	<b>-97%</b>	<b>\$ (45.2)</b>	<b>-95%</b>
Transfers (to) from Operations	-	-	-	-	-	-	-	1.9	-	(1.9)	-100%	-	-
Transfers to (from) Quasi Endowments	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to (from) Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net Results</b>	<b>\$ 2.3</b>	<b>\$ -</b>	<b>\$ (0.5)</b>	<b>\$ 163.7</b>	<b>\$ 127.6</b>	<b>\$ 82.7</b>	<b>\$ 47.8</b>	<b>\$ 73.1</b>	<b>\$ 2.6</b>	<b>\$ (70.5)</b>	<b>-96%</b>	<b>\$ (45.2)</b>	<b>-95%</b>

## Statement of Net Position (Balance Sheet)

(in millions \$)	Ohio University			The Ohio University Foundation		
	June 30, 2015	June 30, 2016	Variance	June 30, 2015	June 30, 2016	Variance
Cash & Cash Equivalents	67.3	36.6	(30.7)	16.8	23.5	6.7
Restricted Cash & Cash Equivalents	14.3	7.1	(7.2)	4.2	4.9	0.7
Investments	581.6	567.8	(13.8)	452.5	427.2	(25.3)
Capital Assets-net of depreciation & Assets Held for Sale	909.4	968.0	58.6	29.7	29.7	-
Accounts Receivable, Prepaids & Other Assets	88.9	84.3	(4.6)	46.0	47.4	1.4
<b>Total Assets</b>	<b>\$ 1,661.5</b>	<b>\$ 1,663.8</b>	<b>\$ 2.3</b>	<b>\$ 549.2</b>	<b>\$ 532.7</b>	<b>\$ (16.5)</b>
Deferred Outflows of Resources-Deferred charge on refunding & Pension	33.7	87.9	54.2	-	-	-
<b>TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>	<b>\$ 1,695.2</b>	<b>\$ 1,751.7</b>	<b>\$ 56.5</b>	<b>\$ 549.2</b>	<b>\$ 532.7</b>	<b>\$ (16.5)</b>
Accounts Payable & Accrued Liabilities & Other	108.1	104.8	(3.3)	9.9	7.9	(2.0)
Unearned Revenue	33.8	34.1	0.3	-	-	-
Net Pension Liability	349.1	432.9	83.8	-	-	-
Bonds and Notes Payable-net of discount and premium	562.6	544.8	(17.8)	26.3	25.1	(1.2)
<b>Total Liabilities</b>	<b>\$ 1,053.6</b>	<b>\$ 1,116.6</b>	<b>\$ 63.0</b>	<b>\$ 36.2</b>	<b>\$ 33.0</b>	<b>\$ (3.2)</b>
Deferred Inflows of Resources-Pension	46.9	24.5	(22.4)	-	-	-
<b>Total Deferred Inflows Of Resources</b>	<b>\$ 46.9</b>	<b>\$ 24.5</b>	<b>\$ (22.4)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
Net Investment in Capital Assets	595.1	651.0	56.0	7.6	10.3	2.8
Restricted - Nonexpendable	22.3	22.2	(0.1)	192.4	205.1	12.7
Restricted - Expendable	34.5	32.1	(2.4)	312.4	286.2	(26.2)
Unrestricted	(57.2)	(94.7)	(37.5)	0.6	(1.9)	(2.5)
<b>Total Net Position</b>	<b>\$ 594.7</b>	<b>\$ 610.6</b>	<b>\$ 16.0</b>	<b>\$ 513.0</b>	<b>\$ 499.7</b>	<b>\$ (13.3)</b>
<b>TOTAL LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>	<b>\$ 1,695.2</b>	<b>\$ 1,751.7</b>	<b>\$ 56.5</b>	<b>\$ 549.2</b>	<b>\$ 532.7</b>	<b>\$ (16.5)</b>
<b>GASB 68 balances:</b>						
Deferred Outflows of Resources-Pension	30.9	85.6	54.6			
Net Pension Liability	(349.1)	(432.9)	(83.8)			
Deferred Inflows of Resources-Pension	(46.9)	(24.5)	22.4			
Net effect of GASB 68	<b>\$ (365.1)</b>	<b>\$ (371.8)</b>	<b>\$ (6.8)</b>			

## Summary of Results

Forecasted results for FY17 closely mirror budget at this time with the notable difference being investment income and salaries, wages and benefits. The first quarter results for investment income exceeded expected results of 6.9% returning actual performance of 8.6% through September 30.

The first quarter spend for salaries, wages, and benefits suggest, when trended with prior year actual results, that actual spend will be less than budget.

The current forecast for FY17 includes:

- An overall, GAAP adjusted \$90M increase in net position. The \$1.6M variance to budget is primarily the result of investment income (see investment section).
- An increase in Endowment Value of \$28.9M after consideration for new gifts to the endowment of \$13.5M, increases for transfers to Quasi endowments of \$1.7M, Investment income of \$40.7M, and Endowment Distributions of \$27M.
- A \$9.7M increase in the Century Bond Program after consideration for \$10.2M of Internal Loan payments from Operations, gain on investments of \$13.5M, and external bond interest payments of \$14M. We also transferred \$40M of principal for EIP and deferred maintenance projects.
- A reduction in Internal Bank assets of \$70.6M primarily associated with planned expenditures against the Capital Plan. A portion of these will be refunded to the bank from planned future debt issuances.

## Statement of Activities

Following are the preliminary consolidated 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
  - Auxiliaries
  - Academic Support Units
  - Investment returns for endowment and working capital reserves

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). Items included in these adjustments are:
  - Elimination of Other External Sales and Operating Expenses related to the consolidated component units.

- Annual adjustment to Pension expense (Benefits line item) for GASB 68 Unfunded pension liability.
- Elimination of capital expenditures and addition of depreciation
- Debt amortization costs

The supporting narrative explains forecasted variances from the operating budget approved by the Board in June 2016.

## **Forecast for fiscal year 2017 as compared to fiscal year 2017 budget and fiscal year 2016 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 as compared with FY17 BOT approved Budget.**

### **Revenues**

State Appropriations (\$163.2M): *0.2%, \$0.4 million more than FY17 budget:*

- The Ohio Department of Higher Education (formerly known as the Ohio Board of Regents) made changes to their SSI funding model for FY17 related to at-risk degree completions. The impact of this change is reflected in the Academic Support column, where the loss is being covered by \$5.6M of one-time reserves. This is reflected in both the FY17 Budget and FY17 Forecast, and is explained in detail in section 3 of the Budget Book
- Regional Higher Education budgeted an \$0.5 million in grant funding, this should have been in State Appropriations
- Vice President of Research budgeted \$0.2 million in State Appropriations, which should not have been budgeted because another unit receives that revenue, and it was budgeted there as well.

Net Undergraduate Tuition & Educational Fees (\$239.9M): *Equal to budget*

- Undergraduate Tuitions are \$0.4 million more than budget.
- Athens Main campus is down 8.5% in Non-Resident Headcount creating a forecasted negative variance to the Non-Resident Fee of \$5 million. While there has been growth in the overall headcount, credit hour production has not increased at the same rate. This indicates more part-time students, which puts some downward pressure on the Instructional Fee. However, it is projected that Instructional and General Fee will have a positive variance of \$2.3 million, helping to offset the loss from Non-Residents.
- eCampus enrollments and credit hours are flat relative to prior year, which creates a \$2.5M positive variance to Budget because our budgeted enrollment assumed a decline of 10%.
- Regional campus enrollments are below budget, with a projected net tuition impact of \$.3M
- UG Financial Aid is \$0.4 million higher than budget mainly in Athens Colleges & Schools.

Net Graduate Tuition & Educational Fees (\$84.6M): *Equal to budget*

- Graduate Tuition and Financial aid are forecast at budget. It is early in the academic year and this forecast will be refined as we get progress through the year.

Room & Board (\$96.2M): *-1%, \$1.0 million less than FY17 budget*

## Attachment B: FY17 Financial Forecast and Analysis

- Total residential housing-room and culinary services-board revenues are forecasted at \$54.9 million and \$41.3 million.
- The number of residential meal plans for fall is down by 2.46% as compared to fall 2015. However, this is slightly offset by an increase in students selecting Block plans, some commuters selecting more expensive meal plans and additional sales of early move in meal plans, which were not available last year.

### Grants and Contracts (\$46.8M): 1%, \$0.4 million more than FY17 budget

- The FY17 forecast was based on FY17 year to date actuals plus remaining funds spread evenly over the remaining months on the grant and additional funding to be received based on prior year revenue. The forecast is comparable to the budget except for the following fluctuations
- The State funds had a fluctuation between budget and forecast because the Regionals budget included \$0.5 million in State Appropriation for Southern Campus. This is the funding for the Regional Higher Education Training Center that was funded through the Subsidy schedule in March 2016 for \$0.5 and \$0.5 million to arrive in January 2017. This is not included in the State grant forecast but is included in the State Appropriations forecast.
- Private funds will have a fluctuation between FY16 and FY17 due to the Center for Osteopathic Research Education (CORE) program funding mechanism changes. This change will result in a reduction of approximately \$1 million for this program.

### Facilities and Administrative (F&A) Cost Recovery (\$6.9M): 3%, \$0.2 million more than FY17 budget

- This is the indirect expense recovery on Grants and Contracts. F&A revenue was budgeted to increase as the portfolio of Grants and Contracts was expected to include a higher rate of recovery than prior year. Federal award proposal submitted in FY17 are now funded with the new negotiated rate of recovery (50.5% for research). However, many non-federal entities are not funded using this full rate and the College Credit Plus program in State grants does not generate any overhead recovery.
- There is an 18% allocation that is used to support research. While this does not change the overall impact of this revenue source it does change the presentation of this activity by moving it to the Academic Support column and out of the Athens Colleges and Schools column.

### Gifts (\$13.6M): Equal to budget.

- FY17 expendable gift revenues are forecasted at budget, but down \$3.7 million from FY16 actuals. The FY17 budget for expendable gifts was initially established during the spring of 2016, in an amount that reflects the institution's annual fundraising goals.

### Endowment Distributions (\$27M): Equal to 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 3%, or \$0.9 million increase, as compared with prior year reflecting the positive investment performance over the 36 months ended December 31, 2015, the period included in the FY17 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) (\$6.3M): 7%, \$0.4 million less than FY17 budget.

## Attachment B: FY17 Financial Forecast and Analysis

- A portion of the investment income on working capital is brought into operations to support the strategic priorities identified in the Strategic Opportunity Reserve. This amount is budgeted at \$4.5 million. Any residual investment income from working capital is recorded in the Internal Bank column.
- Also included in this line are \$1.4M of budgeted earnings on Foundation working capital which are included as a part of the all-funds view and are available for the support of Advancement operations. These funds are invested in the LT Pool and were budgeted to return 6.9% during FY17 but are now forecasted to return 8.7% through June 30, 2017, or \$1.8 million. The forecasted return is calculated by assuming the target return of the LT Pool (6.9%) for the remaining months in the fiscal year applied against the value of the LT Pool on September 30, 2016 which included an estimated 3.4% return for the first 3 months of the fiscal year.
- As mentioned early, actual performance in Century Bond and the Internal Bank is slightly better than expected through September 30.

### Other External Sales (\$42.4M): 9%, \$3.4 million more than FY17 budget:

- The primary increases to forecast over budget are from real estate income, rebates, finance charges, and ticket sales.
- Royalty revenue is forecast to decline \$5 million as compared to FY16 actuals due to the expiration of the SOMAVERT patent during FY16 that was monetized in FY11. Since the \$27 million monetization, the University has recognized offsetting royalty revenue and expense. Royalty expense is also forecast to decline \$4 million as compared to FY16.
- 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 (\$354.8M): -2%, \$8.9 million less than FY17 budget:

- The variance between FY17 forecast vs. FY17 budget is a result of lower trend historically seen between actual results vs. budgets, possibly driven by staffing level fluctuations throughout the year.
- FY17 expenditures are forecast to exceed FY16 actuals driven by salary raise pool, increase in base salaries to maintain FLSA overtime exemption requirements, and to accommodate for staffing level fluctuations, among other items.

### Benefits (\$116.2M): -2%, \$2.9 million less than FY17 budget:

- The University provides a comprehensive benefits program to faculty and staff which include retirement contributions and health and welfare benefits consistently accounting for over 80% of total benefits costs. Educational benefits and legally required benefits such as workers compensation, Medicare, unemployment, and occupational health account for roughly 13% of total benefits and the remainder are sick and vacation pay outs. Certain benefits such as retirement, unemployment, Medicare tax are a percentage of employee’s salaries & wages.
- FY17 forecast is lower than FY17 budget in line with lower FY17 forecast for salaries & wages and as a result of lower historical trend seen between actual results vs. budgets. This was offset by FY17 forecast increase in compensated absences based on year-over-year actual historical trends.

## Attachment B: FY17 Financial Forecast and Analysis

- FY17 forecast benefits expense as a percentage of forecast salaries, wages & other payroll is 32.8%, in line with FY16 benefits expense of 32.8% of FY16 actual salaries, wages & other payroll. It was budgeted at 32.7% of salaries, wages & other payroll for FY17 budget.

### Operating Expenses (\$184.9M): 1%, \$2.3 million more than FY17 budget:

- Operating expenditures are forecast to exceed budget by \$2.3 million dollars. *Although an increase over the budget, this is actually a decrease of \$2.9 million 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, bad debt, insurance and communications. This also includes subcontract and supply expenditures on Grants.
- A portion of the operating expense variations can be attributed to the changes in revenues Other External Sales.
- The large forecasted decrease in Academic Support from FY16 actuals to FY17 actuals is partially attributable to the decrease in royalty payments discussed above in the Other External Sales section.

### Capitalized Costs (\$7.3M): 20%, \$1.2 million more than FY17 budget:

- There is no trended timing of capital purchases making this a difficult line item to budget. This line includes capital purchased on grant funded projects and foundation spending on capital items.

### Internal Loan – Principal & Interest (\$47M): Equal to budget:

- This category includes payments made by the operating units for debt service and was budgeted to reflect loans identified for capital projects under the Capital Improvement Plan.

### Internal Sales (\$22.3M): Equal to Budget:

- Represents intercompany revenues from the sale of goods or services to other University departments. Examples include transportation, 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; consequently reductions in sales is offset by reductions in expense and is primarily budget neutral.

### Internal Allocations & Transfers:

- Represents internal funding allocations between units. The subtotal for the operating units will typically net to zero. FY16 includes the transfer of \$700K from endowment corpus into operations to fulfill the respective donor obligations regarding use, as well as an offsetting \$200K transfer from operations for same under different agreement.
- The \$6M budgeted amount represents funding allocations for various initiatives (e.g. Innovation Funding) which when allocated will be spent in the appropriate planning unit (with offsetting transfers to fund).

### 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 budget model using various allocators (e.g., headcount, square footage, etc.). The subtotal for the operating units should always net to zero.

### Subvention Allocation:

## Attachment B: FY17 Financial Forecast and Analysis

- This is the fee assessed to academic units in the budget 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 (\$13.5M): Equal to budget:

- FY17 endowed gift revenue is forecasted at budget, but to be down \$1.2 million, or 9% from FY16 actuals. Endowed gift revenue consists of outright gifts and pledge payments that are received in cash and added to the endowment during the fiscal year.

### Investment Income:

- Investment income/loss is comprised of interest, dividends, realized gains (losses), and unrealized gains (losses). In the Endowment column the investment income/loss stems from the University and Foundation endowment assets invested in a long-term, broadly-diversified portfolio (LT Pool). This represents the appreciation (depreciation) of our asset pool. The actual return of our diversified pool through June 30, 2016 was **-3.15% and the forecasted FY17 return is 8.66% net of fees**. The LT endowment pool was budgeted to return 6.9% during FY2017, and this expectation is based on our investment advisor's assessment of market circumstances. The forecasted return is calculated by assuming the expected return of the LT Pool (6.9%) for the remaining months in the fiscal year applied against the value of the LT Pool on September 30, 2016 which included an estimated 3.36% return for the first 3 months of the fiscal year.
- The current forecasted investment income from the endowment in the LT Pool is \$40.7 million net of fees for the year as compared with the budgeted amount of \$32.2 million which was based on the portfolio target return of 6.9%.

### Transfers to (from) Quasi Endowments:

- Represents the transfer from operations for quasi endowments. The transfer of \$1.7 million is made up of the projected University match resulting from the Scholarship Matching Program.

**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 (\$19.3M): -33% \$9.7 million less than FY17 budget

- The State of Ohio's biennial Capital Budget provides appropriations for the repair, reconstruction and construction of capital assets. Revenue is recognized as funds are spent (versus when appropriated). This amount is forecast to be \$19.3 million for FY17. The decrease from budget is primarily associated with the timing of projects completed during the year. The remainder of the state projects will be completed in future years. The forecast for FY17 is an increase from FY16 actuals of \$7.6 million.

### Capitalized Costs (\$131M): 7% \$8.4 million more than FY17 budget

- This increase is partially driven by the increased spending of the Century Bond funds, energy infrastructure related projects and for increases in spending on large projects partially offset by the decreases in State Appropriations-Capital spending.

Transfers to/from Capital Projects

- Currently forecasting this line item at budget.

**CENTURY BOND – This column reflects activity associated with the Century Bond/Deferred Maintenance Program. This presentation includes:**

Investment Income:

- Represents earnings on the unspent long-term portion of the \$250 million century bond proceeds. Funds were received in late November, 2014 and are invested in accordance with the Investment Policy approved by the University and Foundation Boards. \$150 million of the proceeds were designated to be invested in a long-term diversified strategy. \$97 million of proceeds were set aside for the initial 3-4 year program needs and invested in highly liquid securities.
- The century bond long-term pool returned -3.67% and 1.62% in fiscal years 2016 and 2015, respectively. This pool's forecasted FY17 return is 8.64% net of fees. The century bond long-term pool was initially budgeted to return 6.9% during FY2017, and this expectation is based on our investment advisor's assessment of market circumstances. The forecasted return is calculated by assuming the expected return of the LT Pool (6.9%) for the remaining months in the fiscal year applied against the value of the LT Pool on September 30, 2016 which included an estimated 3.33% return for the first 3 months of the fiscal year.
- In May 2016, the unspent short-term proceeds of approximately \$77.2 million were invested in Baird Ultra-Short-term and Short-term Bonds. As a result of a \$4.7 million distribution in July 2016 for capital spend and investment income of \$0.5M, this pool now has a balance of approximately \$73.0 million.

Internal Loan Principal & Interest:

- Reflects the principal and interest payments into the Century Bond program for outstanding loans. For FY17 this includes payments on the first and second \$10 million of deferred maintenance funding and the first and second \$30M loans for the Energy Infrastructure Program (EIP).

Debt Service - Interest

- Interest payments due on the \$250 million century bond external debt. The annual debt service (interest only) is \$14 million. As the investment earnings combined with the debt service on internal loans issued are not expected to be sufficient to cover the external interest payments the University will advance funds to cover the cumulative variance (\$10.7M) until the Century Bond Program has sufficient liquidity to repay. This was discussed with the Century Bond Advisory Committee on May 17, 2016 with options regarding timing of repayment. The Committee approved strategy is to repay the funds in the first year that allows the model to remain in equilibrium.

Transfers to (from) Capital Projects

- Reflects the transfer of funding from the Century Bond Bank to the respective Capital project funding. The \$40 million includes the third year of internal loans from the Century Bond Pool:
- FY 17 \$10M Deferred Maintenance
  - Final \$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/loss on the working capital funds. The University's investment income/loss is comprised of interest, dividends, realized gains (losses), and unrealized gains (losses). A portion of working capital funds (approx. \$100M) are invested alongside the endowment in LT Pool. As of September 30, 2016 the remainder (approx. \$269.6M) is invested in various working capital and cash pools.
- The LT Pool achieved a return of -3.15% for the fiscal year 2016. The FY17 forecasted investment return for the LT Pool is 8.66%. The working capital pool, formerly known as the liquidity pool, achieved a return of 4.30% for the fiscal year 2016. Near the end of FY16, the liquidity pool was transitioned to new working capital pools, pursuant to the tiered investments structure outlined in a revised working capital investment policy that was approved by the Board in October 2015. *The FY17 forecasted investment return for the tiered working capital pools range from 1.04% to 7.93%.*
- Includes \$11.2M forecasted return on working capital which is offset by transfer to Operations of \$4.5M to fund the Strategic Opportunity Reserve (which was a budgeted use) netting a \$6.7M forecasted return on working capital investments remaining in the Central Bank.

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.

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.

**COMPONENT UNITS - TechGrowth Ohio Fund, University Medical Associates, Inc. (UMA), & OUF Subsidiaries - Entries recorded as a part of the required consolidation.**

**This section of the report will discretely present the impact of our consolidated component units. Historically these were recorded at year-end and did not have separate visibility. We will present these on a quarterly basis and will present the respective impacts in this section.**

Other External Sales:

- \$24.6 million in revenue for FY17 as compared to \$22.7 million for FY16. This includes revenue changes for TechGrowth Ohio Fund, UMA and the OUF subsidiaries.

Operating Expenses:

- There is \$18.9 million in expense for FY17 as compared to \$18.5 million for FY16.

**FINANCIAL STATEMENT ADJUSTMENTS - Entries recorded as a part of the required adjustment to move from fund accounting to Generally Accepted Accounting Principles (GAAP) format including eliminating entries for component units.**

Gifts:

- Reflects the non-cash net accruals for pledge payments.

Other External Sales:

- Reflects the eliminations for the component units.

Benefits:

- FY2015 was the first year of the required implementation of the new Government Accounting Standards Board (GASB) 68 – *Accounting and Financial Reporting for Pensions*. GASB 68 requires governments providing defined benefit pensions to recognize their unfunded pension benefit obligation as a liability for the first time, and to more comprehensively and comparably measure the annual costs of pension benefits. As a result, starting in FY2015, Ohio University reports net pension liability and deferred inflows and outflows related to pension in its financial statements. The impact of net adjustments to these accounts are reported under pension expense.
- There are various factors affecting the unfunded pension liability and such will cause an increase or decrease in the net pension liability each year. These factors include:
  - Changes in plan assumptions about economic and demographic factors;
  - Differences between actual and expected experience; and
  - Differences between actual and expected investment earnings.
- The impact to pension expense for these factors in FY16 was a charge of \$6.8 million. Due to the uncertainty of these factors, we are forecasted FY17 actual results at a net \$0 change.

Operating Expenses:

- FY16 actuals include a credit for \$3 million in component unit eliminations.
- FY17 includes a credit for \$3.8 million in component unit eliminations offset by \$0.1 million in Loan fund expenditures.

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 is forecasted to increase \$3M from FY16 to FY17. 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).

Debt Service - Interest:

- Amortization of bond premium and discounts which were inadvertently excluded from the budget.

## Statement of Net Position (Balance Sheet)-Ohio University

We are in the process of transitioning from an annual closing process to a quarterly closing process. This will include preparation of All Funds Financial Statements on a quarterly basis. Attached you will find a forecasted Comparative Statement of Net Position (Balance Sheet) (for Ohio University only), for the period ended June 30, 2017 with comparative actual data for June 30, 2016 & 2015

Following is an explanation of changes for the forecast at June 30, 2017 as compared with the last fiscal year end June 30, 2016:

Cash and Cash Equivalents (\$56M): \$19.4 million increase FY17 forecast over FY16 actual

- The increase is due primarily to the fact that the 2017 bond issue will reimburse some of the capital spend.

Restricted Cash & Cash Equivalents (\$69M): \$61.9 million increase FY17 forecast over FY16 actual

- Residual funds from the bond issuances that were used for the capital plan (see capital assets below)
- Construction escrow deposits and grant restricted funds remain the same at \$1 million.

Investments (\$570.3M): \$2.5 million increase FY17 forecast over FY16 actual

- The Century Bond long term pool is forecast to increase \$12.5 million related to investment returns & the Century Bond short term pool is forecast to decrease \$27.3 million – these are being used for the capital plan (see capital assets below).
- The Century Bond debt reserve is forecast to increase \$.4 million related to investment returns.
- The Long term endowment pool is forecast to increase \$4.0 million-related to investment returns, the spending allocation, administrative fees, and transfers to Quasi endowments.
- University working capital investments are forecast to increase \$14.8 million. Tiers II and III are forecast to increase \$1.6 million, the diversified pool (Tier IV) is forecast to increase \$12.0 million, and the Student Investment Pool (Tier IV) is forecast to increase \$.5 million.
- Included in the investments is \$199.5M of unspent Century Bond proceeds (see Net Investments in Capital section below)

Capital Assets-net of depreciation (\$1,056M): \$88 million increase FY17 forecast over FY16 actual

- Increases for buildings, infrastructure & CIP are forecasted at \$131 million and include some of the following major projects: \$6.9 million for McCracken Hall, \$22.2 million for Jefferson Hall & \$12.9 million for Energy Infrastructure projects.
- There are also forecasted purchases of \$7.3 million for machinery, equipment and library books.
- These are offset by accumulated depreciation increases of \$47.6 million

Accounts Receivable, Prepaids & Other Assets (\$81.3M): \$3M decrease FY17 forecast over FY16 actual

- We are trending this down as we continue to implement a more streamlined drawdown process and are expecting the AR balance to decrease overall.
- Prepaids and Inventory are also in this category and are not expected to change.

Deferred Outflows of Resources-Deferred charge on refunding & Pensions (\$87.5M): \$0.4 million decrease FY17 forecast over FY16 actual

Attachment B: FY17 Financial Forecast and Analysis

- The change is the amortization of the refinancing of prior bonds.

Accounts Payable & Accrued Liabilities & Other (\$114.8M): \$10 million increase FY17 forecast over FY16 actual

- Accrued interest will remain similar
- Vendor accounts payable is expected to increase as we have a much larger capital spend forecasted in FY17.
- Accrued payroll, benefits & withholdings is expected to be similar
- Deposits for student health insurance as well as agency scholarship deposits are expected to be similar.

Unearned Revenue (\$34.1M): No change FY17 forecast over FY16 actual

- This is Summer tuition revenue that is not earned as of 6/30/16 and is deferred. This amount may fluctuate with the timing of the start of the summer sessions and also fluctuates with the total amount of Summer tuition.

Net Pension Liability (\$432.9M): No change FY17 forecast over FY16 actual

- Information is not available yet to forecast any changes.

Bonds and Notes Payable-net of discount and premium (\$648.5M): \$103.7 million increase FY17 forecast over FY16 actual

- The increase is primarily due to the spring 2017 debt issuance which includes a refunding and new money of \$125.0 million.
- The change also includes \$17.7 million of principal payments to be made Dec 1, 2016, and net amortization of \$1.2 million for the bond premium and discount.

Deferred Inflows of Resources – GASB 68 Unfunded Pension (\$24.5M): No change FY17 forecast over FY16 actual

- GASB 68 requires that unfunded pension liability is reflected on the University balance sheet as shown. This line represents the changes for the University's portion of the unfunded state retirement systems that are amortized over a prescribed number of years. FY17 forecast is equal to FY16 actuals at this point as updated information from the retirement systems is not available. As soon as these are released they will be included in future forecasts.

Net Investment in Capital Assets (\$701.3M): \$50.3 million increase FY17 forecast over FY16 actual

- GASB 34/35 requires that Investment in Capital Assets be reflected net of any outstanding debt and depreciation. If there are significant unspent debt proceeds at yearend, the portion of the debt attributable to the unspent proceeds should not be included.
- For FY17, Net Investment in Capital Assets is calculated as the following:

Capital Assets – net of depreciation	\$1056.3M
Less Bonds & Notes Payable – net of discount	
And premium	(\$648.5M)
Plus the Unspent Century Bond Proceeds	\$199.5M
Plus Restricted Cash & Cash Equivalents	<u>\$ 94.0M</u>
Total	\$701.3M

Restricted – Nonexpendable (\$22.2M): No change FY17 forecast over FY16 actual

Attachment B: FY17 Financial Forecast and Analysis

- The restricted– nonexpendable net asset balance represents the value of the University Endowment corpus. The 6/30/16 values for endowment corpus were used to forecast the 6/30/17 value.

Restricted – Expendable (\$29.1M): *\$3 million decrease FY17 forecast over FY16 actual*

- The restricted-expendable net asset balance includes fund balances associated with restricted funds such as externally funded grants and loans, restricted plant funds and the expendable portion of University endowments. The forecast for FY17 assumes a decrease in grant and loan fund balances of \$3M.

Unrestricted (-\$87.3M): *\$7.4M increase FY17 forecast over FY16 actual*

- Unrestricted net position is not subject to external restrictions; however, the majority of the University’s unrestricted net position has been internally designated for planning units, reserves or commitments. The forecasted Unrestricted net position of -\$87.3 M includes the -\$371.8M impact of the GASB 68 requirement for booking the unfunded pension liability.

# Operating Unit Subtotals

<i>(in millions)</i>	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals			Variance	%	Variance	%
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY17 Forecast over FY17 Budget	Change	FY17 Forecast over FY16 Actual	Change
State Appropriations	140.2	137.5	137.5	18.2	27.7	28.2	-	-	-	3.0	(2.3)	(2.5)	161.4	162.8	163.2	0.4	0.2%	1.8	1%
State Appropriations-Capital	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Undergraduate Tuition & Educational Fees	257.0	256.1	258.9	37.2	36.9	35.9	-	-	-	10.2	9.5	8.1	304.4	302.5	302.9	0.4	0.1%	(1.5)	-0.5%
Undergraduate Financial Aid	(47.0)	(48.7)	(50.1)	(6.0)	(6.2)	(5.5)	(10.2)	(10.1)	(10.2)	5.4	2.4	2.8	(57.8)	(62.6)	(63.0)	(0.4)	1%	(5.2)	9%
Net Undergraduate Tuition & Fees	210.0	207.4	208.8	31.2	30.7	30.4	(10.2)	(10.1)	(10.2)	15.6	11.9	10.9	246.6	239.9	239.9	-	-	(6.7)	-3%
Graduate Tuition & Educational Fees	99.7	111.2	111.2	0.4	0.3	0.3	-	-	-	0.1	1.3	1.3	100.2	112.8	112.8	0.0	0%	12.6	13%
Graduate Financial Aid	(27.6)	(28.1)	(28.1)	(0.1)	-	-	-	-	-	(0.8)	(0.1)	(0.1)	(28.5)	(28.2)	(28.2)	-	-	0.3	-1%
Net Graduate Tuition & Fees	72.1	83.0	83.1	0.3	0.3	0.3	-	-	-	(0.7)	1.2	1.2	71.7	84.6	84.6	0.0	0%	12.9	18%
Room & Board	-	-	-	-	-	-	95.9	97.2	96.2	-	-	-	95.9	97.2	96.2	(1.0)	-1%	0.3	0%
Grants and Contracts	39.5	40.7	41.1	1.7	2.5	1.8	0.1	0.1	0.1	4.8	3.0	3.8	46.1	46.4	46.8	0.4	1%	0.7	2%
Facilities & Admin Costs Recovery	5.5	5.6	5.6	-	-	-	-	-	-	1.3	1.1	1.3	6.8	6.7	6.9	0.2	3%	0.1	1%
Gifts	5.7	4.2	4.2	0.2	0.2	0.2	3.3	1.7	1.7	8.1	7.5	7.5	17.3	13.6	13.6	-	-	(3.7)	-21%
Endowment Distributions	12.0	12.5	12.5	0.5	0.5	0.5	0.2	0.2	0.2	13.4	13.8	13.8	26.1	27.0	27.0	-	-	0.9	3%
Investment Income	-	-	-	-	-	-	-	-	-	3.8	5.9	6.3	3.8	5.9	6.3	0.4	7%	2.5	66%
Other External Sales	5.1	4.5	4.5	0.8	0.7	0.7	18.4	16.2	17.2	25.4	17.6	20.0	49.7	39.0	42.4	3.4	9%	(7.3)	-15%
<b>Total Revenues</b>	<b>\$ 490.1</b>	<b>\$ 495.5</b>	<b>\$ 497.3</b>	<b>\$ 52.9</b>	<b>\$ 62.5</b>	<b>\$ 62.1</b>	<b>\$ 107.7</b>	<b>\$ 105.3</b>	<b>\$ 105.2</b>	<b>\$ 74.7</b>	<b>\$ 59.7</b>	<b>\$ 62.3</b>	<b>\$ 725.4</b>	<b>\$ 722.9</b>	<b>\$ 726.9</b>	<b>\$ 3.8</b>	<b>0.5%</b>	<b>\$ 1.5</b>	<b>0%</b>
Salaries, Wages & Other Payroll	192.6	204.2	199.2	33.9	34.0	33.2	26.6	28.0	27.3	90.3	97.5	95.1	343.4	363.8	354.8	(9.0)	-2%	11.4	3%
Benefits	55.8	59.1	57.6	11.0	10.8	10.6	10.9	12.9	12.0	35.0	36.3	36.0	112.7	119.1	116.2	(2.9)	-2%	3.5	3%
Operating Expenses	65.1	70.2	70.7	7.6	7.9	7.9	34.8	38.1	37.6	79.9	66.4	68.7	187.4	182.6	184.9	2.3	1%	(2.5)	-1%
Capitalized Costs	2.9	2.6	2.6	0.4	0.2	0.2	2.8	1.6	1.6	5.3	1.8	3.0	11.4	6.1	7.3	1.2	20%	(4.1)	-36%
Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Loan - Principal & Interest	2.8	3.2	3.2	0.3	0.3	0.3	8.9	12.6	12.6	27.5	30.9	30.9	39.5	47.0	47.0	-	-	7.5	19%
Debt Service - Principal	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Sales	(2.3)	(2.3)	(2.3)	-	-	-	(7.4)	(7.1)	(7.1)	(12.6)	(12.9)	(12.9)	(22.3)	(22.3)	(22.3)	-	-	-	-
<b>Total Direct Expenses</b>	<b>\$ 316.9</b>	<b>\$ 337.0</b>	<b>\$ 331.0</b>	<b>\$ 53.2</b>	<b>\$ 53.2</b>	<b>\$ 52.2</b>	<b>\$ 76.6</b>	<b>\$ 86.1</b>	<b>\$ 84.0</b>	<b>\$ 225.4</b>	<b>\$ 220.0</b>	<b>\$ 220.8</b>	<b>\$ 672.1</b>	<b>\$ 696.2</b>	<b>\$ 687.9</b>	<b>\$ (8.4)</b>	<b>-1.2%</b>	<b>\$ 15.8</b>	<b>2%</b>
Internal Allocations & Transfers	(6.6)	(6.0)	(6.0)	0.7	0.5	0.5	7.6	0.7	0.7	(5.0)	12.5	4.9	(3.3)	7.7	0.0	(7.7)	-100%	3.3	-100%
Indirect Costs Allocations	143.2	148.9	148.9	14.8	16.5	16.5	(7.7)	(1.8)	(1.8)	(150.3)	(163.7)	(163.6)	-	0.0	-	(0.0)	-100%	-	-
Depreciation Allocation	8.1	10.7	10.6	-	-	-	-	0.8	0.8	(8.1)	(11.4)	(11.4)	-	(0.0)	-	0.0	-100%	-	-
Subvention Allocation	12.8	7.8	7.8	(13.3)	(7.7)	(7.7)	-	-	-	0.5	(0.2)	(0.1)	-	(0.0)	(0.0)	-	-	(0.0)	-
<b>Total Allocations &amp; Transfers</b>	<b>\$ 157.5</b>	<b>\$ 161.4</b>	<b>\$ 161.3</b>	<b>\$ 2.2</b>	<b>\$ 9.3</b>	<b>\$ 9.3</b>	<b>\$ (0.1)</b>	<b>\$ (0.3)</b>	<b>\$ (0.3)</b>	<b>\$ (162.9)</b>	<b>\$ (162.8)</b>	<b>\$ (170.2)</b>	<b>\$ (3.3)</b>	<b>\$ 7.7</b>	<b>\$ 0.0</b>	<b>\$ (7.7)</b>	<b>-100%</b>	<b>\$ 3.3</b>	<b>-100%</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ 474.4</b>	<b>\$ 498.4</b>	<b>\$ 492.3</b>	<b>\$ 55.4</b>	<b>\$ 62.5</b>	<b>\$ 61.5</b>	<b>\$ 76.5</b>	<b>\$ 85.8</b>	<b>\$ 83.7</b>	<b>\$ 62.5</b>	<b>\$ 57.2</b>	<b>\$ 50.6</b>	<b>\$ 668.8</b>	<b>\$ 703.9</b>	<b>\$ 687.9</b>	<b>\$ (16.1)</b>	<b>-2%</b>	<b>\$ 19.1</b>	<b>3%</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ 15.7</b>	<b>\$ (2.9)</b>	<b>\$ 5.0</b>	<b>\$ (2.5)</b>	<b>\$ -</b>	<b>\$ 0.6</b>	<b>\$ 31.2</b>	<b>\$ 19.5</b>	<b>\$ 21.5</b>	<b>\$ 12.2</b>	<b>\$ 2.5</b>	<b>\$ 11.7</b>	<b>\$ 56.6</b>	<b>\$ 19.0</b>	<b>\$ 39.0</b>	<b>\$ 19.9</b>	<b>105%</b>	<b>\$ (17.6)</b>	<b>-31%</b>
Transfers (to) from Operations	-	(7.6)	-	-	-	-	-	(0.4)	-	-	(3.9)	-	(12.0)	-	-	12.0	-100%	-	-
Transfers to (from) Quasi Endowments	(0.1)	0.1	0.1	-	-	-	-	-	-	2.0	1.6	1.6	1.9	1.7	1.7	-	-	(0.2)	-11%
Transfers to (from) Capital Projects	17.0	3.0	3.0	(0.1)	-	-	21.9	16.8	16.8	4.4	4.2	4.3	43.2	24.1	24.1	-	-	(19.1)	-44%
<b>Net Results</b>	<b>\$ (1.2)</b>	<b>\$ 1.6</b>	<b>\$ 1.9</b>	<b>\$ (2.4)</b>	<b>\$ -</b>	<b>\$ 0.6</b>	<b>\$ 9.3</b>	<b>\$ 3.0</b>	<b>\$ 4.7</b>	<b>\$ 5.8</b>	<b>\$ 0.6</b>	<b>\$ 5.8</b>	<b>\$ 11.5</b>	<b>\$ 5.2</b>	<b>\$ 13.2</b>	<b>\$ 7.9</b>	<b>153%</b>	<b>\$ 1.7</b>	<b>15%</b>

# Non-Operating Unit Subtotals

(in millions)	Endowment/Loan			Capital			Century Bond			Internal Bank			Non-Operating Unit Subtotals			Variance FY17 Forecast over FY17 Budget	% Change	Variance FY17 Forecast over FY16 Actual	% Change
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast				
State Appropriations	-	-	-	-	-	-	-	-	-	2.1	2.1	2.1	2.1	2.1	2.1	-	-	-	-
State Appropriations-Capital	-	-	-	11.7	29.0	19.3	-	-	-	-	-	-	11.7	29.0	19.3	(9.7)	-33%	7.6	65%
Undergraduate Tuition & Educational Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Undergraduate Financial Aid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net Undergraduate Tuition & Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Graduate Tuition & Educational Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Graduate Financial Aid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Net Graduate Tuition & Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Room & Board	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Grants and Contracts	-	-	-	1.3	-	-	-	-	-	-	0.2	0.2	1.3	0.2	0.2	-	-	(1.1)	-85%
Facilities & Admin Costs Recovery	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Gifts	14.5	13.5	13.5	0.7	-	-	-	-	-	-	-	-	15.2	13.5	13.5	-	-	(1.7)	-11%
Endowment Distributions	(26.1)	(27.0)	(27.0)	-	-	-	-	-	-	-	-	-	(26.1)	(27.0)	(27.0)	-	-	(0.9)	3%
Investment Income	(15.8)	32.2	40.7	-	-	-	(5.2)	10.6	13.5	(1.5)	9.2	6.7	(22.5)	52.0	60.9	8.9	17%	83.4	-371%
Other External Sales	0.3	-	-	0.1	-	-	-	-	-	0.3	-	-	0.7	-	-	-	-	(0.7)	-100%
<b>Total Revenues</b>	<b>\$ (27.1)</b>	<b>\$ 18.7</b>	<b>\$ 27.2</b>	<b>\$ 13.8</b>	<b>\$ 29.0</b>	<b>\$ 19.3</b>	<b>\$ (5.2)</b>	<b>\$ 10.6</b>	<b>\$ 13.5</b>	<b>\$ 0.9</b>	<b>\$ 11.5</b>	<b>\$ 9.0</b>	<b>\$ (17.6)</b>	<b>\$ 69.8</b>	<b>\$ 69.0</b>	<b>\$ (0.8)</b>	<b>-1%</b>	<b>\$ 86.6</b>	<b>-492%</b>
Salaries, Wages & Other Payroll	-	-	-	0.3	-	0.3	-	-	-	-	-	-	0.3	-	0.3	0.3	-	-	-
Benefits	-	-	-	0.1	-	0.1	-	-	-	-	-	-	0.1	-	0.1	0.1	-	-	-
Operating Expenses	-	-	-	6.2	-	1.2	-	-	-	0.2	0.2	0.2	6.4	0.2	1.4	1.2	600%	(5.0)	-78%
Capitalized Costs	-	-	-	104.7	122.6	131.0	-	-	-	-	-	-	104.7	122.6	131.0	8.4	7%	26.3	25%
Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Loan - Principal & Interest	-	-	-	-	-	-	(6.8)	(10.2)	(10.2)	(32.7)	(36.8)	(36.8)	(39.5)	(47.0)	(47.0)	-	-	(7.5)	19%
Debt Service - Principal	-	-	-	-	-	-	-	-	-	17.1	18.2	18.2	17.1	18.2	18.2	-	-	1.1	6%
Debt Service - Interest	-	-	-	-	-	-	14.0	14.0	14.0	12.2	13.0	13.0	26.2	27.0	27.0	-	-	0.8	3%
Internal Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Direct Expenses</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 111.3</b>	<b>\$ 122.6</b>	<b>\$ 132.6</b>	<b>\$ 7.2</b>	<b>\$ 3.8</b>	<b>\$ 3.8</b>	<b>\$ (3.2)</b>	<b>\$ (5.4)</b>	<b>\$ (5.4)</b>	<b>\$ 115.3</b>	<b>\$ 121.0</b>	<b>\$ 131.0</b>	<b>\$ 10.0</b>	<b>8%</b>	<b>\$ 15.7</b>	<b>14%</b>
Internal Allocations & Transfers	(0.1)	-	-	(0.1)	-	-	-	-	-	3.5	-	-	3.3	-	-	-	-	(3.3)	-100%
Indirect Costs Allocations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Depreciation Allocation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Subvention Allocation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Total Allocations &amp; Transfers</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3.5</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3.3</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>-</b>	<b>\$ (3.3)</b>	<b>-100%</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 111.2</b>	<b>\$ 122.6</b>	<b>\$ 132.6</b>	<b>\$ 7.2</b>	<b>\$ 3.8</b>	<b>\$ 3.8</b>	<b>\$ 0.3</b>	<b>\$ (5.4)</b>	<b>\$ (5.4)</b>	<b>\$ 118.6</b>	<b>\$ 121.0</b>	<b>\$ 131.0</b>	<b>\$ 10.0</b>	<b>8%</b>	<b>\$ 12.4</b>	<b>10%</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ (27.0)</b>	<b>\$ 18.7</b>	<b>\$ 27.2</b>	<b>\$ (97.4)</b>	<b>\$ (93.6)</b>	<b>\$ (113.3)</b>	<b>\$ (12.4)</b>	<b>\$ 6.8</b>	<b>\$ 9.7</b>	<b>\$ 0.6</b>	<b>\$ 16.9</b>	<b>\$ 14.4</b>	<b>\$ (136.2)</b>	<b>\$ (51.2)</b>	<b>\$ (62.0)</b>	<b>\$ (10.8)</b>	<b>21%</b>	<b>\$ 74.2</b>	<b>-54%</b>
Transfers (to) from Operations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to (from) Quasi Endowments	(1.9)	(1.7)	(1.7)	-	-	-	-	-	-	-	-	-	(1.9)	(1.7)	(1.7)	-	-	0.2	-11%
Transfers to (from) Capital Projects	-	-	-	(103.2)	(149.1)	(149.1)	40.0	40.0	40.0	20.0	85.0	85.0	(43.2)	(24.1)	(24.1)	-	-	19.1	-44%
<b>Net Results</b>	<b>\$ (25.1)</b>	<b>\$ 20.4</b>	<b>\$ 28.9</b>	<b>\$ 5.8</b>	<b>\$ 55.5</b>	<b>\$ 35.8</b>	<b>\$ (52.4)</b>	<b>\$ (33.2)</b>	<b>\$ (30.3)</b>	<b>\$ (19.4)</b>	<b>\$ (68.1)</b>	<b>\$ (70.6)</b>	<b>\$ (91.1)</b>	<b>\$ (25.4)</b>	<b>\$ (36.2)</b>	<b>\$ (10.8)</b>	<b>43%</b>	<b>\$ 54.9</b>	<b>-60%</b>

# GAAP Adjusted Totals

(in millions)	Component Units Techgrowth Ohio, UMA, & OUF Subs			Financial Statement Adjustments			GAAP Adjusted Totals			Variance FY17 Forecast over FY17 Budget	% Change	Variance FY17 Forecast over FY16 Actual	% Change
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast				
State Appropriations	-	-	-	-	-	-	163.5	164.9	165.3	0.4	0.2%	1.8	1%
State Appropriations-Capital	-	-	-	-	-	-	11.7	29.0	19.3	(9.7)	-33%	7.6	65%
Undergraduate Tuition & Educational Fees	-	-	-	0.2	-	-	304.6	302.5	302.9	0.4	0%	(1.7)	-1%
Undergraduate Financial Aid	-	-	-	-	-	-	(57.8)	(62.6)	(63.0)	(0.4)	1%	(5.2)	9%
Net Undergraduate Tuition & Fees	-	-	-	0.2	-	-	246.8	239.9	239.9	-	-	(6.9)	-2.8%
Graduate Tuition & Educational Fees	-	-	-	-	-	-	100.2	112.8	112.8	0.0	0%	12.6	13%
Graduate Financial Aid	-	-	-	-	-	-	(28.5)	(28.2)	(28.2)	-	-	0.3	-1%
Net Graduate Tuition & Fees	-	-	-	-	-	-	71.7	84.6	84.6	0.0	0%	12.9	18%
Room & Board	-	-	-	-	-	-	95.9	97.2	96.2	(1.0)	-1%	0.3	0%
Grants and Contracts	-	-	-	-	-	-	47.4	46.6	47.0	0.4	1%	(0.4)	-1%
Facilities & Admin Costs Recovery	-	-	-	-	-	-	6.8	6.7	6.9	0.2	3%	0.1	1%
Gifts	-	-	-	(1.8)	-	-	30.7	27.1	27.1	-	-	(3.6)	-12%
Endowment Distributions	-	-	-	-	-	-	-	-	-	-	-	-	-
Investment Income	-	0.4	0.4	-	-	-	(18.7)	58.3	67.6	9.3	16%	86.3	-461%
Other External Sales	22.7	24.6	24.6	(3.6)	(3.7)	(3.7)	69.5	59.9	63.3	3.4	6%	(6.2)	-9%
<b>Total Revenues</b>	<b>\$ 22.7</b>	<b>\$ 25.0</b>	<b>\$ 25.0</b>	<b>\$ (5.2)</b>	<b>\$ (3.7)</b>	<b>\$ (3.7)</b>	<b>\$ 725.3</b>	<b>\$ 814.2</b>	<b>\$ 817.2</b>	<b>\$ 3.0</b>	<b>0%</b>	<b>\$ 91.9</b>	<b>13%</b>
Salaries, Wages & Other Payroll	-	-	-	-	-	-	343.7	363.8	355.1	(8.7)	-2%	11.4	3%
Benefits	-	-	-	6.8	-	-	119.6	119.1	116.3	(2.8)	-2%	(3.3)	-3%
Operating Expenses	18.5	18.9	18.9	(3.0)	(3.7)	(3.7)	209.3	198.0	201.5	3.5	2%	(7.8)	-4%
Capitalized Costs	1.7	0.3	0.3	(114.4)	(129.0)	(135.9)	3.4	-	2.7	2.7	-	(0.7)	-21%
Depreciation	1.8	1.6	1.6	43.0	43.6	46.0	44.8	45.2	47.6	2.4	5%	2.8	6%
Internal Loan - Principal & Interest	-	-	-	-	-	-	-	-	-	-	-	-	-
Debt Service - Principal	1.2	1.3	1.3	(18.3)	(19.5)	(19.5)	-	-	-	-	-	-	-
Debt Service - Interest	-	0.1	0.1	(2.0)	(0.8)	(0.8)	24.2	26.3	26.3	-	-	2.1	9%
Internal Sales	-	-	-	-	-	-	(22.3)	(22.3)	(22.3)	-	-	-	-
<b>Total Direct Expenses</b>	<b>\$ 23.2</b>	<b>\$ 22.2</b>	<b>\$ 22.2</b>	<b>\$ (87.9)</b>	<b>\$ (109.4)</b>	<b>\$ (113.9)</b>	<b>\$ 722.7</b>	<b>\$ 730.1</b>	<b>\$ 727.2</b>	<b>\$ (2.9)</b>	<b>-0.4%</b>	<b>\$ 4.5</b>	<b>1%</b>
Internal Allocations & Transfers	-	-	-	-	-	-	-	7.7	0.0	(7.7)	-100%	0.0	#DIV/0!
Indirect Costs Allocations	-	-	-	-	-	-	-	0.0	-	(0.0)	-100%	-	-
Depreciation Allocation	-	-	-	-	-	-	-	(0.0)	-	0.0	-100%	-	-
Subvention Allocation	-	-	-	-	-	-	-	(0.0)	(0.0)	-	-	(0.0)	#DIV/0!
<b>Total Allocations &amp; Transfers</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 7.7</b>	<b>\$ 0.0</b>	<b>\$ (7.7)</b>	<b>-100%</b>	<b>\$ 0.0</b>	<b>#DIV/0!</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ 23.2</b>	<b>\$ 22.2</b>	<b>\$ 22.2</b>	<b>\$ (87.9)</b>	<b>\$ (109.4)</b>	<b>\$ (113.9)</b>	<b>\$ 722.7</b>	<b>\$ 737.8</b>	<b>\$ 727.2</b>	<b>\$ (10.6)</b>	<b>-1.4%</b>	<b>\$ 4.5</b>	<b>1%</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ (0.5)</b>	<b>\$ 2.8</b>	<b>\$ 2.8</b>	<b>\$ 82.7</b>	<b>\$ 105.7</b>	<b>\$ 110.2</b>	<b>\$ 2.6</b>	<b>\$ 76.4</b>	<b>\$ 90.0</b>	<b>\$ 13.6</b>	<b>18%</b>	<b>\$ 87.4</b>	<b>3362%</b>
Transfers (to) from Operations	-	-	-	-	-	-	-	(12.0)	-	12.0	-100%	-	-
Transfers to (from) Quasi Endowments	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to (from) Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Net Results</b>	<b>\$ (0.5)</b>	<b>\$ 2.8</b>	<b>\$ 2.8</b>	<b>\$ 82.7</b>	<b>\$ 105.7</b>	<b>\$ 110.2</b>	<b>\$ 2.6</b>	<b>\$ 88.4</b>	<b>\$ 90.0</b>	<b>\$ 1.6</b>	<b>2%</b>	<b>\$ 87.4</b>	<b>3362%</b>

## Statement of Net Position (Balance Sheet)

(in millions \$)	Ohio University			Variance
	Actual		Forecast	June 30, 2017 Forecast over June 30, 2016 Actual
	June 30, 2015	June 30, 2016	June 30, 2017	
Cash & Cash Equivalents	67.3	36.6	56.0	19.4
Restricted Cash & Cash Equivalents	14.3	7.1	69.0	61.9
Investments	581.6	567.8	570.3	2.5
Capital Assets-net of depreciation & Assets Held for Sale	909.4	968.0	1,056.0	88.0
Accounts Receivable, Prepaids & Other Assets	88.9	84.3	81.3	(3.0)
<b>Total Assets</b>	<b>\$ 1,661.5</b>	<b>\$ 1,663.8</b>	<b>\$ 1,832.6</b>	<b>\$ 168.8</b>
Deferred Outflows of Resources-Deferred charge on refunding & Pension	33.7	87.9	87.5	(0.4)
<b>TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</b>	<b>\$ 1,695.2</b>	<b>\$ 1,751.7</b>	<b>\$ 1,920.1</b>	<b>\$ 168.4</b>
Accounts Payable & Accrued Liabilities & Other	108.1	104.8	114.8	10.0
Unearned Revenue	33.8	34.1	34.1	-
Net Pension Liability	349.1	432.9	432.9	-
Bonds and Notes Payable-net of discount and premium	562.6	544.8	648.5	103.7
<b>Total Liabilities</b>	<b>\$ 1,053.6</b>	<b>\$ 1,116.6</b>	<b>\$ 1,230.3</b>	<b>\$ 113.7</b>
Deferred Inflows of Resources-Pension	46.9	24.5	24.5	-
<b>Total Deferred Inflows Of Resources</b>	<b>\$ 46.9</b>	<b>\$ 24.5</b>	<b>\$ 24.5</b>	<b>\$ -</b>
Net Investment in Capital Assets	595.1	651.0	701.3	50.3
Restricted - Nonexpendable	22.3	22.2	22.2	-
Restricted - Expendable	34.5	32.1	29.1	(3.0)
Unrestricted	(57.2)	(94.7)	(87.3)	7.4
<b>Total Net Position</b>	<b>\$ 594.7</b>	<b>\$ 610.6</b>	<b>\$ 665.3</b>	<b>\$ 54.7</b>
<b>TOTAL LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</b>	<b>\$ 1,695.2</b>	<b>\$ 1,751.7</b>	<b>\$ 1,920.1</b>	<b>\$ 168.4</b>
<b>GASB 68 balances:</b>				
Deferred Outflows of Resources-Pension	30.9	85.6	85.6	-
Net Pension Liability	(349.1)	(432.9)	(432.9)	-
Deferred Inflows of Resources-Pension	(46.9)	(24.5)	(24.5)	-
Net effect of GASB 68	\$ (365.1)	\$ (371.8)	\$ (371.8)	\$ -

# FINANCIAL UPDATE

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Tab



**OHIO**  
UNIVERSITY

# State Appropriations

	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals		
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast
<i>(in millions)</i>															
State Appropriations	140.2	137.5	137.5	18.2	27.7	28.2	-	-	-	3.0	(2.3)	(2.5)	161.4	162.8	163.2

SSI \$'s in Millions	FY14	FY15	FY16	FY17	FY18 Planning
<b>Statewide Total</b>	1,378.3	1,398.3	1,463.8	1,523.2	State of Ohio FY18-19 Operating Budget
<i>Growth</i>	2.4%	1.5%	4.7%	4.1%	
<b>% Share - Ohio University</b>	10.6%	11.0%	10.6%	10.3%	Potential Model Changes; % share of Statewide Total
<i>Growth</i>	4.8%	3.8%	-3.4%	-3.1%	
<b>Ohio University</b>	146.4	154.1	155.8	157.0	
<i>Growth</i>	7.3%	5.3%	1.1%	0.8%	
<i>College Allocations</i>	137.8	149.2	152.9	159.7	College Allocations must absorb \$5.6M loss being covered by reserves
<i>2% Conservatism</i>	2.8	2.9	2.9	2.9	
<i>Additional Surplus/Deficit</i>	5.8	2.0	-	-5.6	
<i>Subtotal</i>	146.4	154.1	155.8	157.0	

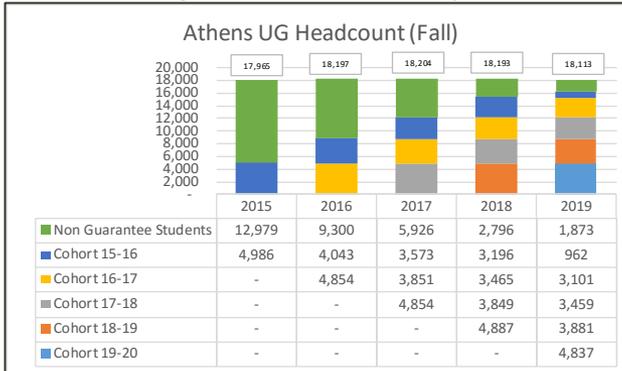
# Tuition, Room & Board

(in millions)	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals		
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast
Undergraduate Tuition & Educational Fees	257.0	256.1	258.9	37.2	36.9	35.9	-	-	-	10.2	9.5	8.1	304.4	302.5	302.9
Undergraduate Financial Aid	(47.0)	(48.7)	(50.1)	(6.0)	(6.2)	(5.5)	(10.2)	(10.1)	(10.2)	5.4	2.4	2.8	(57.8)	(62.6)	(63.0)
Fees	210.0	207.4	208.8	31.2	30.7	30.4	(10.2)	(10.1)	(10.2)	15.6	11.9	10.9	246.6	239.9	239.9
Graduate Tuition & Fees	99.7	111.2	111.2	0.4	0.3	0.3	-	-	-	0.1	1.3	1.3	100.2	112.8	112.8
Graduate Financial Aid	(27.6)	(28.1)	(28.1)	(0.1)	-	-	-	-	-	(0.8)	(0.1)	(0.1)	(28.5)	(28.2)	(28.2)
Net Graduate Tuition & Fees	72.1	83.0	83.1	0.3	0.3	0.3	-	-	-	(0.7)	1.2	1.2	71.7	84.6	84.6
Room & Board	-	-	-	-	-	-	95.9	97.2	96.2	-	-	-	95.9	97.2	96.2

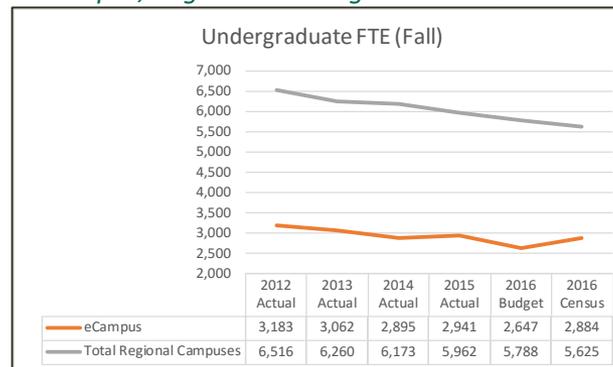
Athens Undergraduate Tuition, Room and Board Trend

Athens Undergraduate Enrollment, by Student Cohort

Rate Increases						
Continuing Students (non-Guarantee)						
	FY12	FY13	FY14	FY15	FY16	FY17
Tuition	3.5%	3.5%	1.6%	1.5%	0.0%	0.0%
Non-Resident Surcharge	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Room	2.5%	3.5%	3.5%	3.5%	3.5%	0.0%
Board	0.0%	1.5%	0.5%	1.0%	1.0%	0.0%
OHIO Guarantee 2015-16						
	FY12	FY13	FY14	FY15	FY16	FY17
Tuition					5.1%	0.0%
Non-Resident Surcharge					0.0%	0.0%
Room					5.3%	0.0%
Board					1.5%	0.0%
OHIO Guarantee 2016-17						
	FY12	FY13	FY14	FY15	FY16	FY17**
Tuition						1.7% - \$196
Non-Resident Surcharge						5.6% - \$500
Room						3.5% - \$223
Board						2.0% - \$90
<b>Non-Guarantee Cap - 0%</b>						
4-year rate Guarantee - no fee increases in years 2-4						
Guarantee Tuition Cap: Non-Guarantee Cap (0%) + 5-year average CPI						



eCampus, Regionals Undergraduate FTE

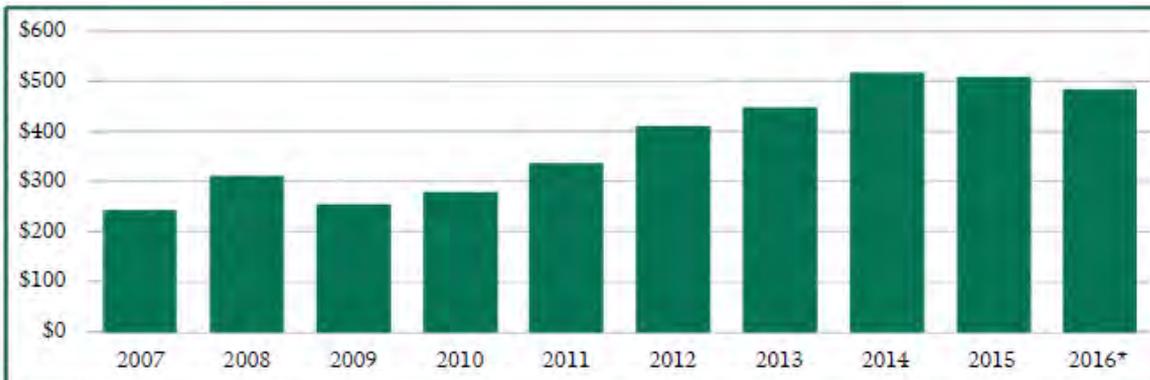


- FY18 Planning**
- Tuition Cap
  - Slowing Enrollment Growth
  - Aux rate increases & support of CIP
  - Program Development
  - Signature SFA – Year 3 of \$12M growth

# Other Revenue Sources

<i>(in millions)</i>	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals		
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast
Grants and Contracts	39.5	40.7	41.1	1.7	2.5	1.8	0.1	0.1	0.1	4.8	3.0	3.8	46.1	46.4	46.8
Facilities & Admin Costs Recovery	5.5	5.6	5.6	-	-	-	-	-	-	1.3	1.1	1.3	6.8	6.7	6.9
Gifts	5.7	4.2	4.2	0.2	0.2	0.2	3.3	1.7	1.7	8.1	7.5	7.5	17.3	13.6	13.6
Endowment Distributions	12.0	12.5	12.5	0.5	0.5	0.5	0.2	0.2	0.2	13.4	13.8	13.8	26.1	27.0	27.0
Investment Income	-	-	-	-	-	-	-	-	-	3.8	5.9	6.3	3.8	5.9	6.3
Other External Sales	5.1	4.5	4.5	0.8	0.7	0.7	18.4	16.2	17.2	25.4	17.6	20.0	49.7	39.0	42.4

Endowment Market Value by Fiscal Year (in millions)



\* unaudited

## FY18 Planning

- Endowment: Declining Market Value, flat growth in Endow. Distributions
- Research: Higher proportion of early-career faculty; J-curve

# Compensation

(in millions)	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals		
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast
Salaries, Wages & Other Payroll	192.6	204.2	199.2	33.9	34.0	33.2	26.6	28.0	27.3	90.3	97.5	95.1	343.4	363.8	354.8
Benefits	55.8	59.1	57.6	11.0	10.8	10.6	10.9	12.9	12.0	35.0	36.3	36.0	112.7	119.1	116.2

## Raise Trend

Fiscal Year	AFSCME	Classified/Administrative Staff			Faculty		
	Raise Pool	Raise Pool	Equity Pool	Subtotal	Raise Pool	Equity Pool	Subtotal
2013	2.5%	2.5%	0.0%	2.5%	2.5%	0.0%	2.5%
2014	3.0%	3.0%	0.0%	3.0%	3.0%	0.0%	3.0%
2015	2.0%	2.0%	0.0%	2.0%	2.0%	2.2%	4.2%
2016	2.0%	2.0%	1.0%	3.0%	2.0%	1.4%	3.4%
2017	2.0%	2.0%	1.0%	3.0%	2.0%	1.4%	3.4%

## FY18 Planning

- Raise & Equity Pools: TBD
- Year 3 of PPO Premium & Plan Design Strategy

## Cost Avoidance Impact of Healthcare Changes

\$ in Millions	FY16	FY17	FY18
Annual	2.5	1.1	0.6
Prior		2.5	3.6
Cumulative		3.6	4.3

## Cost Impact of 1% Raise Pool, 1% Healthcare growth

\$ in Millions	1%
Raise Pool	2.8
Healthcare	0.5

## Three Year PPO Premium and Plan Design Strategy

Options	Current	FY16	FY17	FY18
		Plan Change	Plan Change	Plan Change
Deductible	\$200/400	\$400/800	\$450/900	\$500/1000
Co-Insurance Maximum	\$1000/2000	\$1500/3000	\$1750/3500	\$2000/4000
Co-Insurance %	90.0%	85.0%	80.0%	
Office Visit Copays	\$20	\$25		
Rx Retail Copays	\$10/\$20/\$30	\$20/\$30/\$40		
Rx Mail Copays	\$15/\$30/\$45	\$25/\$35/\$55		
Employee Premium % Single – Single+1 - Family	15%-15%-15%	15%-16%-17%	15%-17%-19%	15%-17.5%-20%

# Other Exps

(in millions)	Athens Colleges & Schools			Regional Campuses			Auxiliaries			Academic Support			Operating Unit Subtotals		
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast
Operating Expenses	65.1	70.2	70.7	7.6	7.9	7.9	34.8	38.1	37.6	79.9	66.4	68.7	187.4	182.6	184.9
Capitalized Costs	2.9	2.6	2.6	0.4	0.2	0.2	2.8	1.6	1.6	5.3	1.8	3.0	11.4	6.1	7.3
Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Loan - Principal & Debt Service - Principal	2.8	3.2	3.2	0.3	0.3	0.3	8.9	12.6	12.6	27.5	30.9	30.9	39.5	47.0	47.0
Debt Service - Interest	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Internal Sales	(2.3)	(2.3)	(2.3)	-	-	-	(7.4)	(7.1)	(7.1)	(12.6)	(12.9)	(12.9)	(22.3)	(22.3)	(22.3)

## Century Bond – Deferred Maintenance Program Amortization

\$160M of Debt Proceeds; \$10M Distribution for 16 Years																	Subtotal
Year	\$10M																
	FY15	FY16	FY17	FY18	FY19	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27	FY28	FY29	FY30	
1 FY15	\$1.3																\$1.3
2 FY16	\$1.3	\$1.3															\$2.7
3 FY17	\$1.3	\$1.3	\$1.3														\$4.0
4 FY18	\$1.3	\$1.3	\$1.3	\$1.3													\$5.3
5 FY19	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3												\$6.6
6 FY20	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3											\$8.0
7 FY21	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3										\$9.3
8 FY22	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3									\$10.6
9 FY23	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3								\$11.9
10 FY24	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3							\$13.3
11 FY25		\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3						\$13.3
12 FY26			\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3					\$13.3
13 FY27				\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3				\$13.3
14 FY28					\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3			\$13.3
15 FY29						\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3		\$13.3
16 FY30							\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$13.3
17 FY31								\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$11.9
18 FY32									\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$10.6
19 FY33										\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$9.3
20 FY34											\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$8.0
21 FY35												\$1.3	\$1.3	\$1.3	\$1.3	\$1.3	\$6.6
22 FY36													\$1.3	\$1.3	\$1.3	\$1.3	\$5.3
23 FY37														\$1.3	\$1.3	\$1.3	\$4.0
24 FY38															\$1.3	\$1.3	\$2.7
25 FY39																\$1.3	\$1.3

## FY18 Planning

- Deferred Maint. - \$1.3/yr
- CIP Debt

## Operating Budget impact – Internal Loan Debt Service

\$ in Millions	FY16	FY17	FY18	FY19	FY20
Internal Loans	39.1	47.0	53.7	60.2	58.7

# Non-Operating Activity

<i>(in millions)</i>	Endowment/Loan			Capital			Century Bond			Internal Bank			Non-Operating Unit Subtotals		
	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast	FY16 Actual	FY17 Budget	FY17 Forecast
State Appropriations	-	-	-	-	-	-	-	-	-	2.1	2.1	2.1	2.1	2.1	2.1
State Appropriations-Capital	-	-	-	11.7	29.0	19.3	-	-	-	-	-	-	11.7	29.0	19.3
Grants and Contracts	-	-	-	1.3	-	-	-	-	-	-	0.2	0.2	1.3	0.2	0.2
Gifts	14.5	13.5	13.5	0.7	-	-	-	-	-	-	-	-	15.2	13.5	13.5
Endowment Distributions	(26.1)	(27.0)	(27.0)	-	-	-	-	-	-	-	-	-	(26.1)	(27.0)	(27.0)
Investment Income	(15.8)	32.2	40.7	-	-	-	(5.2)	10.6	13.5	(1.5)	9.2	6.7	(22.5)	52.0	60.9
Other External Sales	0.3	-	-	0.1	-	-	-	-	-	0.3	-	-	0.7	-	-
<b>Total Revenues</b>	<b>\$ (27.1)</b>	<b>\$ 18.7</b>	<b>\$ 27.2</b>	<b>\$ 13.8</b>	<b>\$ 29.0</b>	<b>\$ 19.3</b>	<b>\$ (5.2)</b>	<b>\$ 10.6</b>	<b>\$ 13.5</b>	<b>\$ 0.9</b>	<b>\$ 11.5</b>	<b>\$ 9.0</b>	<b>\$ (17.6)</b>	<b>\$ 69.8</b>	<b>\$ 69.0</b>
Salaries, Wages & Other Payroll	-	-	-	0.3	-	0.3	-	-	-	-	-	-	0.3	-	0.3
Benefits	-	-	-	0.1	-	0.1	-	-	-	-	-	-	0.1	-	0.1
Operating Expenses	-	-	-	6.2	-	1.2	-	-	-	0.2	0.2	0.2	6.4	0.2	1.4
Capitalized Costs	-	-	-	104.7	122.6	131.0	-	-	-	-	-	-	104.7	122.6	131.0
Internal Loan - Principal & Interest	-	-	-	-	-	-	(6.8)	(10.2)	(10.2)	(32.7)	(36.8)	(36.8)	(39.5)	(47.0)	(47.0)
Debt Service - Principal	-	-	-	-	-	-	-	-	-	17.1	18.2	18.2	17.1	18.2	18.2
Debt Service - Interest	-	-	-	-	-	-	14.0	14.0	14.0	12.2	13.0	13.0	26.2	27.0	27.0
<b>Total Direct Expenses</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 111.3</b>	<b>\$ 122.6</b>	<b>\$ 132.6</b>	<b>\$ 7.2</b>	<b>\$ 3.8</b>	<b>\$ 3.8</b>	<b>\$ (3.2)</b>	<b>\$ (5.4)</b>	<b>\$ (5.4)</b>	<b>\$ 115.3</b>	<b>\$ 121.0</b>	<b>\$ 131.0</b>
Internal Allocations & Transfers	(0.1)	-	-	(0.1)	-	-	-	-	-	3.5	-	-	3.3	-	-
<b>Total Allocations &amp; Transfers</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3.5</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3.3</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ (0.1)</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 111.2</b>	<b>\$ 122.6</b>	<b>\$ 132.6</b>	<b>\$ 7.2</b>	<b>\$ 3.8</b>	<b>\$ 3.8</b>	<b>\$ 0.3</b>	<b>\$ (5.4)</b>	<b>\$ (5.4)</b>	<b>\$ 118.6</b>	<b>\$ 121.0</b>	<b>\$ 131.0</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ (27.0)</b>	<b>\$ 18.7</b>	<b>\$ 27.2</b>	<b>\$ (97.4)</b>	<b>\$ (93.6)</b>	<b>\$ (113.3)</b>	<b>\$ (12.4)</b>	<b>\$ 6.8</b>	<b>\$ 9.7</b>	<b>\$ 0.6</b>	<b>\$ 16.9</b>	<b>\$ 14.4</b>	<b>\$ (136.2)</b>	<b>\$ (51.2)</b>	<b>\$ (62.0)</b>
Transfers to (from) Quasi Endowments	(1.9)	(1.7)	(1.7)	-	-	-	-	-	-	-	-	-	(1.9)	(1.7)	(1.7)
Transfers to (from) Capital Projects	-	-	-	(103.2)	(149.1)	(149.1)	40.0	40.0	40.0	20.0	85.0	85.0	(43.2)	(24.1)	(24.1)
<b>Net Results</b>	<b>\$ (25.1)</b>	<b>\$ 20.4</b>	<b>\$ 28.9</b>	<b>\$ 5.8</b>	<b>\$ 55.5</b>	<b>\$ 35.8</b>	<b>\$ (52.4)</b>	<b>\$ (33.2)</b>	<b>\$ (30.3)</b>	<b>\$ (19.4)</b>	<b>\$ (68.1)</b>	<b>\$ (70.6)</b>	<b>\$ (91.1)</b>	<b>\$ (25.4)</b>	<b>\$ (36.2)</b>

# GAAP Adjusted Totals

	GAAP Adjusted Totals		
	(in millions)	FY16 Actual	FY17 Budget
State Appropriations	163.5	164.9	165.3
State Appropriations-Capital	11.7	29.0	19.3
Undergraduate Tuition & Educational Fees	304.6	302.5	302.9
Undergraduate Financial Aid	(57.8)	(62.6)	(63.0)
Net Undergraduate Tuition & Fees	246.8	239.9	239.9
Graduate Tuition & Educational Fees	100.2	112.8	112.8
Graduate Financial Aid	(28.5)	(28.2)	(28.2)
Net Graduate Tuition & Fees	71.7	84.6	84.6
Room & Board	95.9	97.2	96.2
Grants and Contracts	47.4	46.6	47.0
Facilities & Admin Costs Recovery	6.8	6.7	6.9
Gifts	30.7	27.1	27.1
Endowment Distributions	-	-	-
Investment Income	(18.7)	58.3	67.6
Other External Sales	69.5	59.9	63.3
<b>Total Revenues</b>	<b>\$ 725.3</b>	<b>\$ 814.2</b>	<b>\$ 817.2</b>
Salaries, Wages & Other Payroll	343.7	363.8	355.1
Benefits	119.6	119.1	116.3
Operating Expenses	209.3	198.0	201.5
Capitalized Costs	3.4	-	2.7
Depreciation	44.8	45.2	47.6
Internal Loan - Principal & Interest	-	-	-
Debt Service - Principal	-	-	-
Debt Service - Interest	24.2	26.3	26.3
Internal Sales	(22.3)	(22.3)	(22.3)
<b>Total Direct Expenses</b>	<b>\$ 722.7</b>	<b>\$ 730.1</b>	<b>\$ 727.2</b>
Internal Allocations & Transfers	-	7.7	0.0
Indirect Costs Allocations	-	0.0	-
Depreciation Allocation	-	(0.0)	-
Subvention Allocation	-	(0.0)	(0.0)
<b>Total Allocations &amp; Transfers</b>	<b>\$ -</b>	<b>\$ 7.7</b>	<b>\$ 0.0</b>
<b>Total Expenses &amp; Transfers</b>	<b>\$ 722.7</b>	<b>\$ 737.8</b>	<b>\$ 727.2</b>
<b>Subtotal Prior to Transfers</b>	<b>\$ 2.6</b>	<b>\$ 76.4</b>	<b>\$ 90.0</b>
Transfers (to) from Operations	-	(12.0)	-
Transfers to (from) Quasi Endowments	-	-	-
Transfers to (from) Capital Projects	-	-	-
<b>Net Results</b>	<b>\$ 2.6</b>	<b>\$ 88.4</b>	<b>\$ 90.0</b>



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **Student Investment Program Update**

At the August 2015 meeting, the University Board of Trustees approved a resolution to fund the College of Business Student Investment Management Program with University working capital funds. Previously, the program had been funded from the long-term endowment investment pool, which is managed by The Ohio University Foundation and includes donor funds. An overview of the transition and a summary of the program's structure follows:

- The student-managed investment funds were transferred out of the long-term endowment pool and into University working capital as of November 30, 2015.
- The College of Business has established an Alumni Advisory Board and has recruited a team of four alums to review the program's quarterly reports before distribution and to provide ongoing advice.
- The Ohio University Foundation continues to provide oversight for the student investment program and receives periodic updates during regularly-scheduled Investment Sub-Committee meetings.
- The University's master custodian, BNY Mellon, continues to provide custody services and performance calculations for these funds.
- The University's Resources Committee will receive an annual update on the program and its investment performance.

Included on the Resources Committee Agenda for the October 2016 Board of Trustees meeting is the annual update on the student investment program. To that end, the following materials are attached for your review:

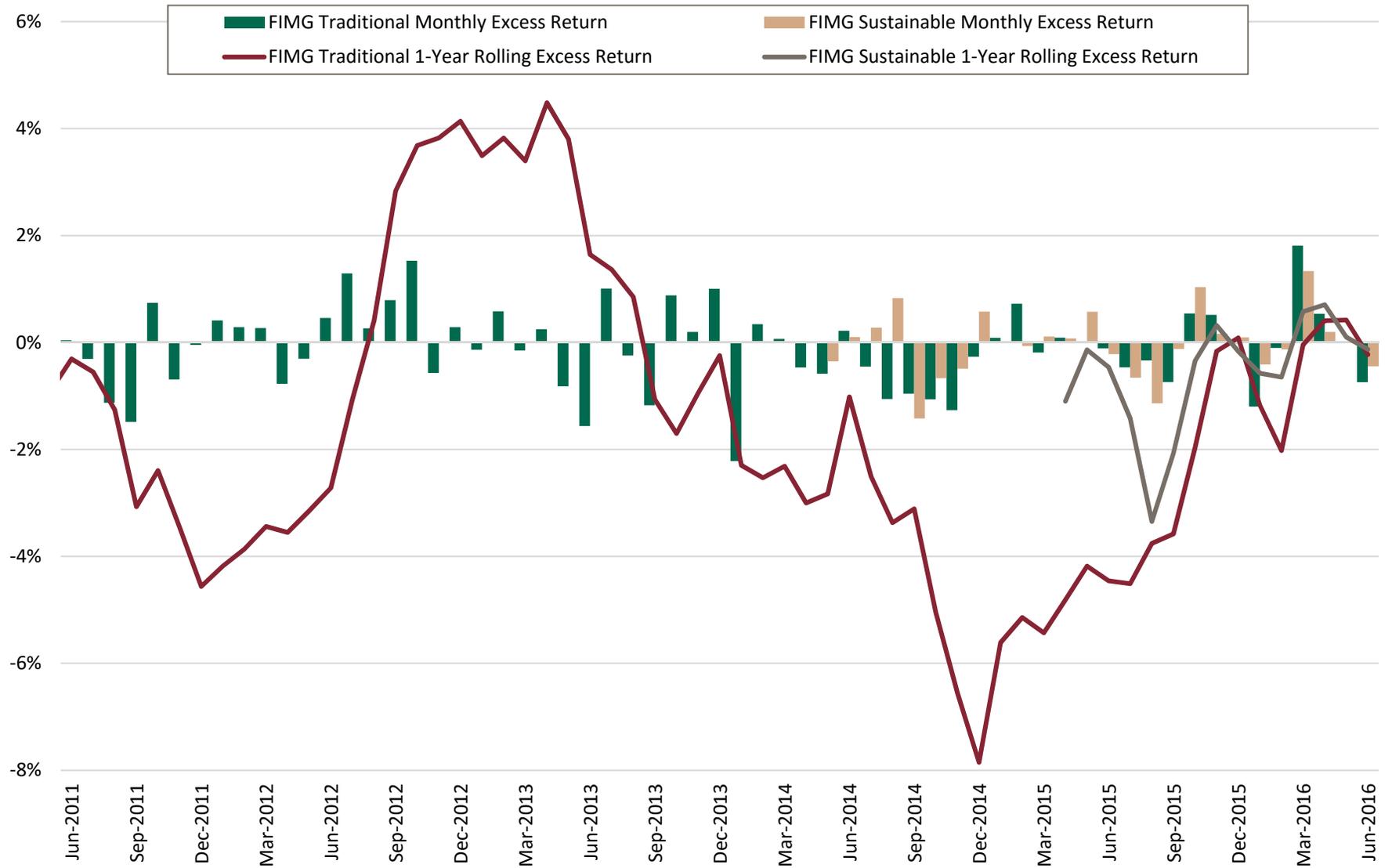
- Portfolio performance for various periods ending June 30, 2016
- Portfolio holdings for each student-managed account as of June 30, 2016
- Investment activity, including investment income, purchases, sales and transfers, for the fiscal year ended June 30, 2016.

% Total Return  
As of 06/30/2016

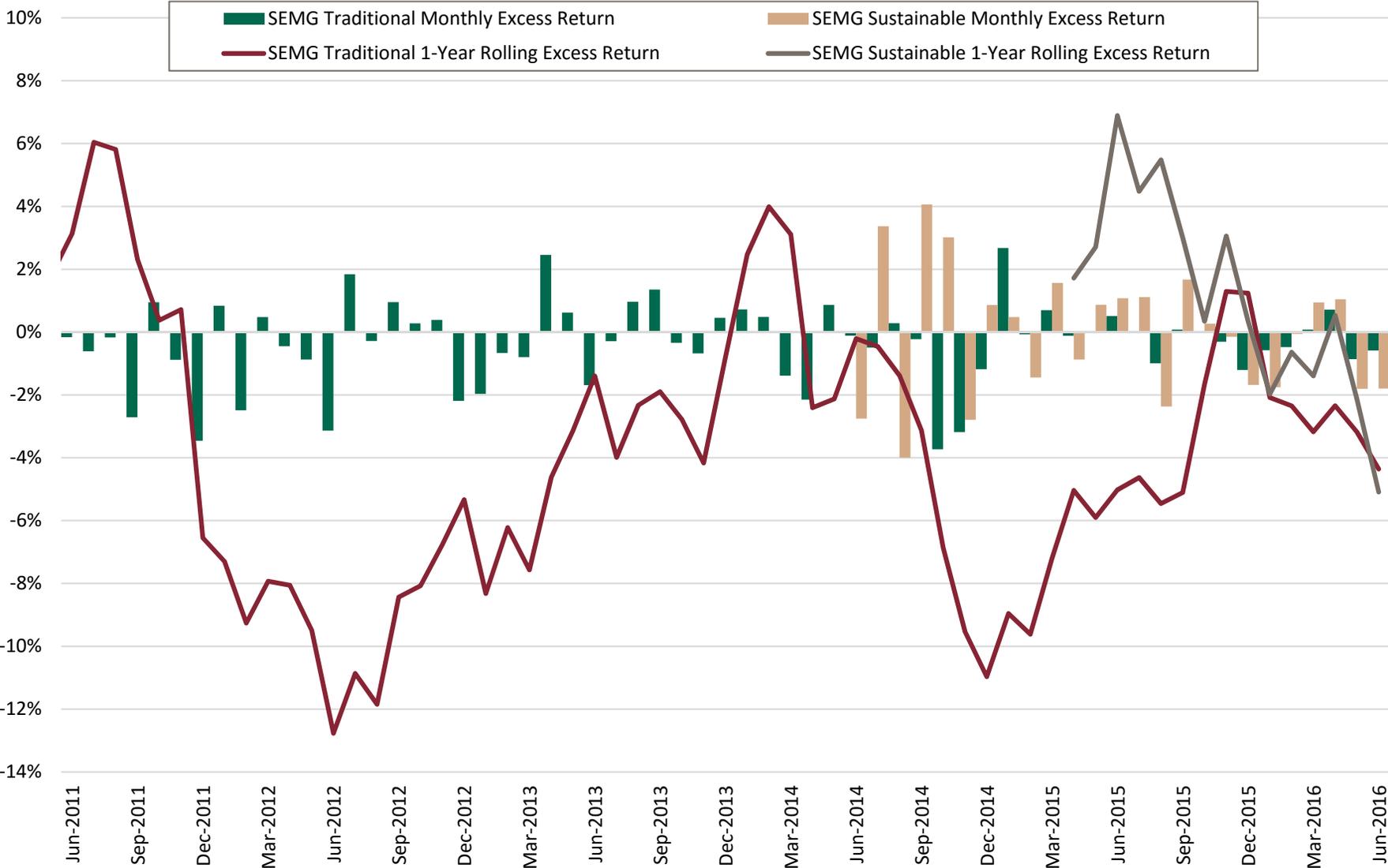
	1mo	3mo	<i>CYTD</i> 6mo	9mo	<i>FYTD</i> 1yr	Annualized		
						3yr	5yr	10yr
SEMG Traditional	-0.33	1.70	2.02	7.51	-0.37	8.27	6.99	6.24
SEMG Sustainable	-1.54	-0.14	0.15	5.47	-1.10			
S&P 500 Index	0.26	2.46	3.84	11.15	3.99	11.66	12.10	7.42
Russell 3000 Index	0.21	2.63	3.62	10.12	2.14	11.13	11.60	7.40
iShares MSCI KLD 400 (DSI)	0.44	3.08	4.69	12.20	5.06	10.80	11.63	
FIMG Traditional	1.05	2.01	5.62	6.11	5.78	2.12	2.40	3.52
FIMG Sustainable	1.35	1.95	5.86	6.62	5.87			
Barclays US Aggregate Index	1.80	2.21	5.31	4.71	6.00	4.06	3.76	5.13
iShares Core U.S. Credit Bond ETF (CRED)	2.48	3.58	7.63	7.10	7.86	5.22	5.01	
iShares iBoxx USD Investment Grade Corporate Bond ETF (LQD)	3.09	4.16	9.19	8.46	9.75	6.23	6.02	6.39

% Excess Return Relative to Benchmarks  
As of 06/30/2016

	1mo	3mo	<i>CYTD</i> 6mo	9mo	<i>FYTD</i> 1yr	Annualized		
						3yr	5yr	10yr
SEMG Traditional over S&P 500 Index	-0.59	-0.75	-1.82	-3.64	-4.36	-3.39	-5.11	-1.18
SEMG Sustainable over S&P 500 Index	-1.80	-2.60	-3.69	-5.68	-5.09			
FIMG Traditional over Barclays US Aggregate Index	-0.74	-0.20	0.31	1.40	-0.23	-1.95	-1.36	-1.61
FIMG Sustainable over Barclays US Aggregate Index	-0.45	-0.26	0.55	1.91	-0.13			

FIMG Monthly Excess Return and 1-year rolling Excess Return  
vs the Barclays US Aggregate Index

SEMG Monthly Excess Return and 1-year rolling Excess Return vs the S&P 500 Index



## Statement of Net Assets

For the Fiscal Year Ended: 06/30/2016

	SEMG TRADITIONAL	SEMG SUSTAINABLE	SFIMG TRADITIONAL	SFIMG SUSTAINABLE	TOTAL
<b>TOTAL CASH</b>	84,211.42	41,270.04	216,002.25	184,622.59	526,106.30
<b>EQUITY HOLDINGS:</b>					
ACCENTURE PLC	64,688.59	64,575.30			129,263.89
AMERICAN WATER WORKS CO INC	71,748.99	71,833.50			143,582.49
AMERIPRISE FINANCIAL INC	53,101.35	53,101.35			106,202.70
AMGEN INC	59,338.50	89,312.05			148,650.55
BLACKROCK INC		73,643.95			73,643.95
BOEING CO/THE	54,805.14	54,805.14			109,610.28
DOVER CORP	65,715.36	65,784.68			131,500.04
F5 NETWORKS INC	80,143.36				80,143.36
GILEAD SCIENCES INC	52,387.76	53,972.74			106,360.50
HANESBRANDS INC		48,249.60			48,249.60
HARLEY-DAVIDSON INC		53,680.50			53,680.50
HCA HOLDINGS INC	93,336.12	93,259.11			186,595.23
JOHNSON & JOHNSON	63,439.90				63,439.90
LAZARD LTD	42,883.20				42,883.20
MARATHON PETROLEUM CORP	44,147.48	44,109.52			88,257.00
MOHAWK INDUSTRIES INC	66,985.28				66,985.28
PROCTER & GAMBLE CO/THE	66,127.27	66,127.27			132,254.54
STARBUCKS CORP	58,947.84	58,947.84			117,895.68
TENNECO INC	64,368.41				64,368.41
TREEHOUSE FOODS INC	73,086.80				73,086.80
VANGUARD S&P 500 ETF	373,636.80	373,636.80			747,273.60
VERIFONE SYSTEMS INC		37,487.88			37,487.88
WALT DISNEY CO/THE	100,950.24	100,950.24			201,900.48
WELLS FARGO & CO	58,452.55	58,452.55			116,905.10
XYLEM INC/NY	65,903.40	75,279.90			141,183.30
<b>TOTAL EQUITY</b>	1,674,194.34	1,537,209.92	-	-	3,211,404.26

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	SEMG TRADITIONAL	SEMG SUSTAINABLE	SFIMG TRADITIONAL	SFIMG SUSTAINABLE	TOTAL
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**FIXED INCOME HOLDINGS:**

AAPL 2.100% 05/06/2019				103,231.65	103,231.65
BAC VAR RT 09/15/2026			85,371.67	85,371.67	170,743.34
BRK 4.500% 02/11/2043			116,022.00		116,022.00
CAH 2.400% 11/15/2019				102,790.82	102,790.82
DLPH 5.000% 02/15/2023			107,889.04		107,889.04
EBAY 3.450% 08/01/2024				103,653.00	103,653.00
EXC 4.000% 10/01/2020				107,668.90	107,668.90
FDX 3.200% 02/01/2025				105,449.50	105,449.50
FN 3.500% 12/01/2025			22,399.74		22,399.74
GILD 3.700% 04/01/2024			109,212.20		109,212.20
GN 4.000% 07/15/2024				21,877.93	21,877.93
HAS 3.150% 05/15/2021				103,266.50	103,266.50
HCP 4.250% 11/15/2023				104,325.26	104,325.26
INTC 4.800% 10/01/2041				114,773.70	114,773.70
JPM 3.875% 09/10/2024			104,728.36		104,728.36
ORCL 2.950% 05/15/2025			104,305.74		104,305.74
RDSALN 1.625% 11/10/2018				101,244.01	101,244.01
SCHW VAR RT 08/29/2049			116,791.00		116,791.00
SHW 1.350% 12/15/2017				50,123.58	50,123.58
SWK VAR RT 12/15/2053			105,005.52		105,005.52
T 0.500% 11/30/2016			100,096.47		100,096.47
T 1.375% 01/31/2021				51,172.26	51,172.26
T 3.000% 11/15/2045				57,683.76	57,683.76
T 5.150% 03/15/2042			109,412.86		109,412.86
WMT 3.300% 04/22/2024			110,178.73		110,178.73
<b>TOTAL FIXED INCOME</b>	-	-	1,191,413.33	1,212,632.54	2,404,045.87
<b>NET ASSETS - END OF PERIOD</b>	1,758,405.76	1,578,479.96	1,407,415.58	1,397,255.13	6,141,556.43

Statement of Change in Net Assets  
For the Fiscal Year Ended: 06/30/2016

	SEMG TRADITIONAL	SEMG SUSTAINABLE	SFIMG TRADITIONAL	SFIMG SUSTAINABLE	TOTAL
<b>NET ASSETS - BEGINNING OF PERIOD</b>	2,566,711.36	797,383.43	2,042,205.88	616,672.71	6,022,973.38
<b>INVESTMENT INCOME:</b>					
ACCRETION/AMORTIZATION	-	-	(4,422.09)	(442.76)	(4,864.85)
DIVIDENDS	37,975.17	21,891.06	-	-	59,866.23
INTEREST	138.22	22.15	67,089.57	25,298.78	92,548.72
REALIZED GAIN/LOSS	-	-	(1,239.23)	-	(1,239.23)
REALIZED GAIN/LOSS- LONG	211,481.51	49,141.68	(15,277.43)	(143.15)	245,202.61
REALIZED GAIN/LOSS- SHORT	(30,367.12)	-	8,251.63	(4,073.71)	(26,189.20)
UNREALIZED GAIN/LOSS-INVESTMENT	(274,663.11)	(42,828.63)	29,960.18	40,790.33	(246,741.23)
<b>TOTAL INVESTMENT INCOME:</b>	<b>(55,435.33)</b>	<b>28,226.26</b>	<b>84,362.63</b>	<b>61,429.49</b>	<b>118,583.05</b>
<b>TRANSFERS IN:</b>					
CASH	11,196.02	4,829.02	105,477.33	137,000.00	258,502.37
INTEREST RECEIVABLE	-	-	1,552.28	6,997.05	8,549.33
SECURITIES	-	781,499.07	102,247.59	693,190.46	1,576,937.12
UNREALIZED APPRECIATION	-	(28,628.80)	2,465.41	(11,769.30)	(37,932.69)
<b>TOTAL TRANSFERS IN:</b>	<b>11,196.02</b>	<b>757,699.29</b>	<b>211,742.61</b>	<b>825,418.21</b>	<b>1,806,056.13</b>
<b>TRANSFERS OUT:</b>					
CASH	-	-	(137,000.00)	-	(137,000.00)
INCOME CASH	(11,196.02)	(4,829.02)	(105,477.33)	-	(121,502.37)
INTEREST RECEIVABLE	-	-	(6,997.05)	(1,552.28)	(8,549.33)
SECURITIES	(781,499.07)	-	(693,190.46)	(102,247.59)	(1,576,937.12)
UNREALIZED APPRECIATION	28,628.80	-	11,769.30	(2,465.41)	37,932.69
<b>TOTAL TRANSFERS OUT:</b>	<b>(764,066.29)</b>	<b>(4,829.02)</b>	<b>(930,895.54)</b>	<b>(106,265.28)</b>	<b>(1,806,056.13)</b>
<b>NET ASSETS - END OF PERIOD</b>	<b>1,758,405.76</b>	<b>1,578,479.96</b>	<b>1,407,415.58</b>	<b>1,397,255.13</b>	<b>6,141,556.43</b>

Purchases, Sales, and Transfers  
For the Fiscal Year Ended: 06/30/2016

	SEMG TRADITIONAL	SEMG SUSTAINABLE	SFIMG TRADITIONAL	SFIMG SUSTAINABLE	TOTAL
<b>PURCHASES:</b>					
01/28/2016 ABIBB 4.700% 02/01/2036			101,045.00		101,045.00
02/11/2016 RDSALN 1.625% 11/10/2018			98,545.00		98,545.00
02/16/2016 PROCTER & GAMBLE CO/THE	126,521.84				126,521.84
02/16/2016 XYLEM INC/NY	124,192.45				124,192.45
02/18/2016 T 1.375% 01/31/2021			-	50,382.81	50,382.81
02/18/2016 T 3.000% 11/15/2045			-	53,976.56	53,976.56
02/24/2016 ORCL 2.950% 05/15/2025			100,454.00		100,454.00
02/26/2016 MOHAWK INDUSTRIES INC	62,691.58				62,691.58
03/14/2016 JOHNSON & JOHNSON	56,399.35				56,399.35
04/08/2016 TREEHOUSE FOODS INC	61,886.19				61,886.19
04/25/2016 WELLS FARGO & CO	62,392.08	62,392.08			124,784.16
07/28/2015 VANGUARD S&P 500 ETF	68,524.69				68,524.69
09/02/2015 EXC 4.000% 10/01/2020			106,369.44		106,369.44
09/23/2015 WMT 3.300% 04/22/2024			103,507.00		103,507.00
09/29/2015 HARLEY-DAVIDSON INC		63,373.68			63,373.68
09/29/2015 MARATHON PETROLEUM CORP	126,160.98				126,160.98
10/12/2015 STARBUCKS CORP	124,972.72				124,972.72
10/13/2015 INTC 4.800% 10/01/2041			105,816.00		105,816.00
10/15/2015 BRK 4.500% 02/11/2043			102,000.00		102,000.00
10/22/2015 HCA HOLDINGS INC	102,306.66	58,141.76			160,448.42
11/05/2015 HANESBRANDS INC	62,621.38				62,621.38
11/05/2015 VERIFONE SYSTEMS INC	62,032.74				62,032.74
11/19/2015 BOEING CO/THE	62,944.38	62,897.96			125,842.34
11/19/2015 VANGUARD S&P 500 ETF	255,731.94				255,731.94
<b>TOTAL PURCHASES</b>	<b>1,359,378.98</b>	<b>246,805.48</b>	<b>717,736.44</b>	<b>104,359.37</b>	<b>2,428,280.27</b>

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	SEMG TRADITIONAL	SEMG SUSTAINABLE	SFIMG TRADITIONAL	SFIMG SUSTAINABLE	TOTAL
<i>(continued from previous page)</i>					
<b>SALES:</b>					
01/28/2016 MS 4.875% 11/01/2022			(102,406.61)		(102,406.61)
02/16/2016 WASTE CONNECTIONS INC	(102,009.07)				(102,009.07)
02/16/2016 WYNDHAM WORLDWIDE CORP	(100,028.65)				(100,028.65)
02/18/2016 WU 6.200% 11/17/2036				(101,198.71)	(101,198.71)
02/24/2016 ALL VAR RT 08/15/2053			(106,164.99)		(106,164.99)
03/14/2016 AMGEN INC	(22,501.99)				(22,501.99)
03/14/2016 GILEAD SCIENCES INC	(30,915.42)				(30,915.42)
04/20/2016 ABIBB 4.700% 02/01/2036			(101,037.63)		(101,037.63)
04/20/2016 VZ 5.150% 09/15/2023			(107,772.82)		(107,772.82)
04/25/2016 AMERICAN WATER WORKS CO INC	(26,763.50)	(24,842.61)			(51,606.11)
04/25/2016 GILEAD SCIENCES INC		(31,439.91)			(31,439.91)
04/25/2016 XYLEM INC/NY	(7,734.40)				(7,734.40)
07/28/2015 US SILICA HOLDINGS INC	(153,759.88)				(153,759.88)
09/02/2015 FE 6.050% 08/15/2021			(108,302.64)		(108,302.64)
09/23/2015 LXX 5.125% 03/15/2020			(104,298.17)		(104,298.17)
09/29/2015 VANGUARD S&P 500 ETF	(129,974.94)				(129,974.94)
10/13/2015 ETP 6.500% 02/01/2042			(108,905.91)		(108,905.91)
10/15/2015 BNSF 3.400% 09/01/2024			(100,474.74)		(100,474.74)
10/22/2015 ACCENTURE PLC		(48,867.04)			(48,867.04)
10/22/2015 AMGEN INC	(23,183.87)				(23,183.87)
10/22/2015 GILEAD SCIENCES INC	(40,420.16)				(40,420.16)
10/22/2015 MCKESSON CORP	(15,112.28)				(15,112.28)
10/27/2015 ALTRIA GROUP INC	(150,563.98)				(150,563.98)
11/19/2015 ACCENTURE PLC	(30,207.31)	(34,847.80)			(65,055.11)
11/19/2015 BROWN-FORMAN CORP	(79,643.51)				(79,643.51)
11/19/2015 MARATHON PETROLEUM CORP	(19,884.07)				(19,884.07)
11/19/2015 MCKESSON CORP	(41,029.49)				(41,029.49)
<b>TOTAL SALES</b>	<b>(973,732.52)</b>	<b>(139,997.36)</b>	<b>(839,363.51)</b>	<b>(101,198.71)</b>	<b>(2,054,292.10)</b>

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	SEMG TRADITIONAL	SEMG SUSTAINABLE	SFIMG TRADITIONAL	SFIMG SUSTAINABLE	TOTAL
<i>(continued from previous page)</i>					
<b>TRANSFERS:</b>					
03/02/2016 AAPL 2.100% 05/06/2019			(101,691.91)	101,691.91	-
03/02/2016 ACCENTURE PLC	(2,074.32)	2,074.32			-
03/02/2016 AMGEN INC	(15,114.97)	15,114.97			-
03/02/2016 CAH 2.400% 11/15/2019			(101,021.40)	101,021.40	-
03/02/2016 EXC 4.000% 10/01/2020			(105,796.02)	105,796.02	-
03/02/2016 GILD 3.700% 04/01/2024			102,247.59	(102,247.59)	-
03/02/2016 GILEAD SCIENCES INC	(15,007.48)	15,007.48			-
03/02/2016 GN 4.000% 07/15/2024			(24,980.04)	24,980.04	-
03/02/2016 HANESBRANDS INC	(62,621.38)	62,621.38			-
03/02/2016 HCA HOLDINGS INC	(22,050.56)	22,050.56			-
03/02/2016 HCP 4.250% 11/15/2023			(105,529.16)	105,529.16	-
03/02/2016 INTC 4.800% 10/01/2041			(105,769.66)	105,769.66	-
03/02/2016 MARATHON PETROLEUM CORP	(53,115.60)	53,115.60			-
03/02/2016 PROCTER & GAMBLE CO/THE	(63,260.92)	63,260.92			-
03/02/2016 RDSALN 1.625% 11/10/2018			(98,563.48)	98,563.48	-
03/02/2016 SHW 1.350% 12/15/2017			(49,838.79)	49,838.79	-
03/02/2016 STARBUCKS CORP	(62,486.36)	62,486.36			-
03/02/2016 VANGUARD S&P 500 ETF	(361,638.51)	361,638.51			-
03/02/2016 VERIFONE SYSTEMS INC	(62,032.74)	62,032.74			-
03/02/2016 XYLEM INC/NY	(62,096.23)	62,096.23			-
05/24/2016 USD (UNITED STATES DOLLAR)			(137,000.00)	137,000.00	-
<b>TOTAL TRANSFERS</b>	<b>(781,499.07)</b>	<b>781,499.07</b>	<b>(727,942.87)</b>	<b>727,942.87</b>	<b>-</b>
<b>TOTAL TRANSACTIONS</b>	<b>(395,852.61)</b>	<b>888,307.19</b>	<b>(849,569.94)</b>	<b>731,103.53</b>	<b>373,988.17</b>

# STUDENT INVESTMENT PROGRAM UPDATE

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Tab



**OHIO**  
UNIVERSITY

# Student Portfolio Returns

% Total Return  
As of 06/30/2016

	1mo	3mo	CYTD 6mo	9mo	FYTD 1yr	Annualized		
						3yr	5yr	10yr
SEMG Traditional	-0.33	1.70	2.02	7.51	-0.37	8.27	6.99	6.24
SEMG Sustainable	-1.54	-0.14	0.15	5.47	-1.10			
S&P 500 Index	0.26	2.46	3.84	11.15	3.99	11.66	12.10	7.42
Russell 3000 Index	0.21	2.63	3.62	10.12	2.14	11.13	11.60	7.40
iShares MSCI KLD 400 (DSI)	0.44	3.08	4.69	12.20	5.06	10.80	11.63	
FIMG Traditional	1.05	2.01	5.62	6.11	5.78	2.12	2.40	3.52
FIMG Sustainable	1.35	1.95	5.86	6.62	5.87			
Barclays US Aggregate Index	1.80	2.21	5.31	4.71	6.00	4.06	3.76	5.13
iShares Core U.S. Credit Bond ETF (CRED)	2.48	3.58	7.63	7.10	7.86	5.22	5.01	
iShares iBoxx USD Investment Grade Corporate Bond ETF (LQD)	3.09	4.16	9.19	8.46	9.75	6.23	6.02	6.39

% Excess Return Relative to Benchmarks  
As of 06/30/2016

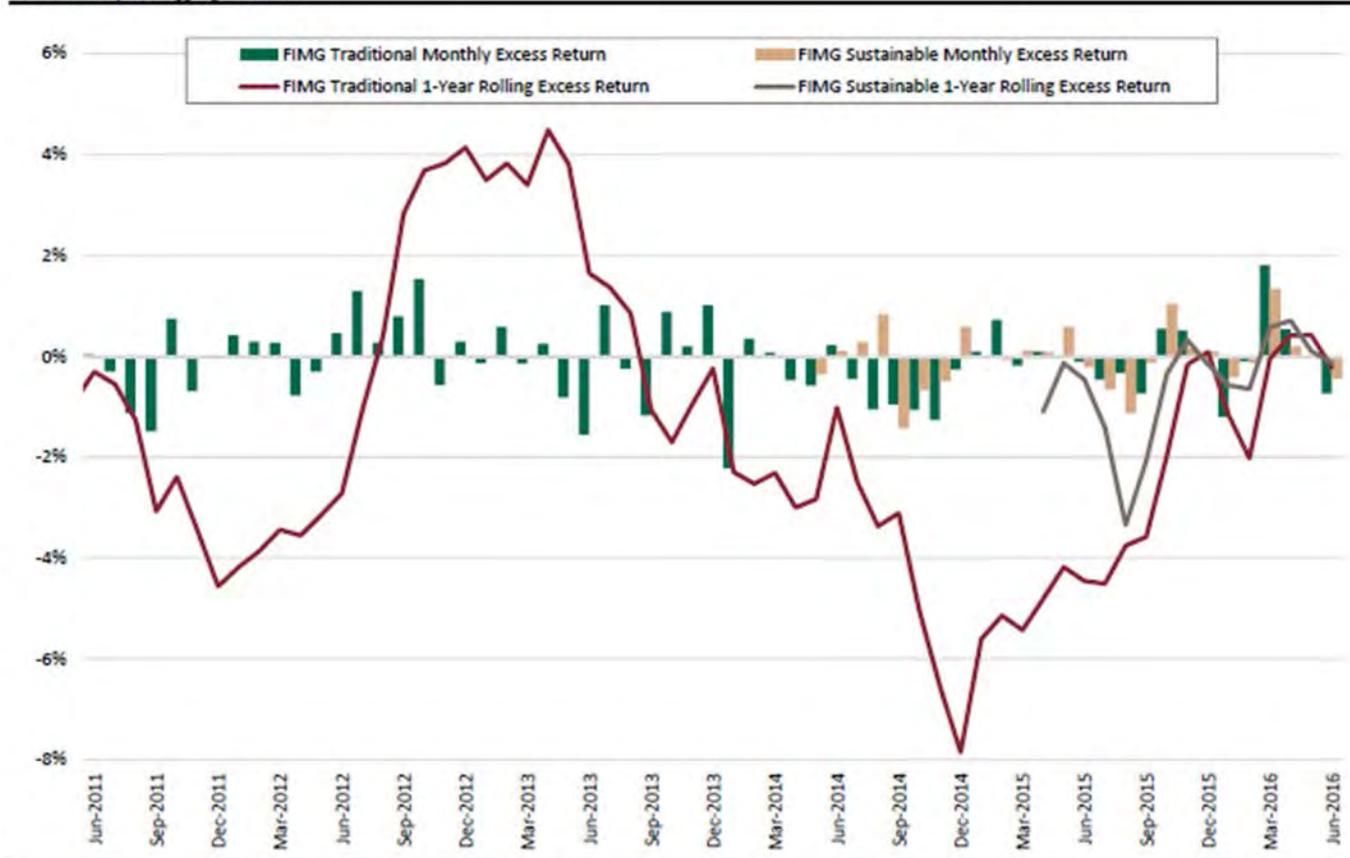
	1mo	3mo	CYTD 6mo	9mo	FYTD 1yr	Annualized		
						3yr	5yr	10yr
SEMG Traditional over S&P 500 Index	-0.59	-0.75	-1.82	-3.64	-4.36	-3.39	-5.11	-1.18
SEMG Sustainable over S&P 500 Index	-1.80	-2.60	-3.69	-5.68	-5.09			
FIMG Traditional over Barclays US Aggregate Index	-0.74	-0.20	0.31	1.40	-0.23	-1.95	-1.36	-1.61
FIMG Sustainable over Barclays US Aggregate Index	-0.45	-0.26	0.55	1.91	-0.13			



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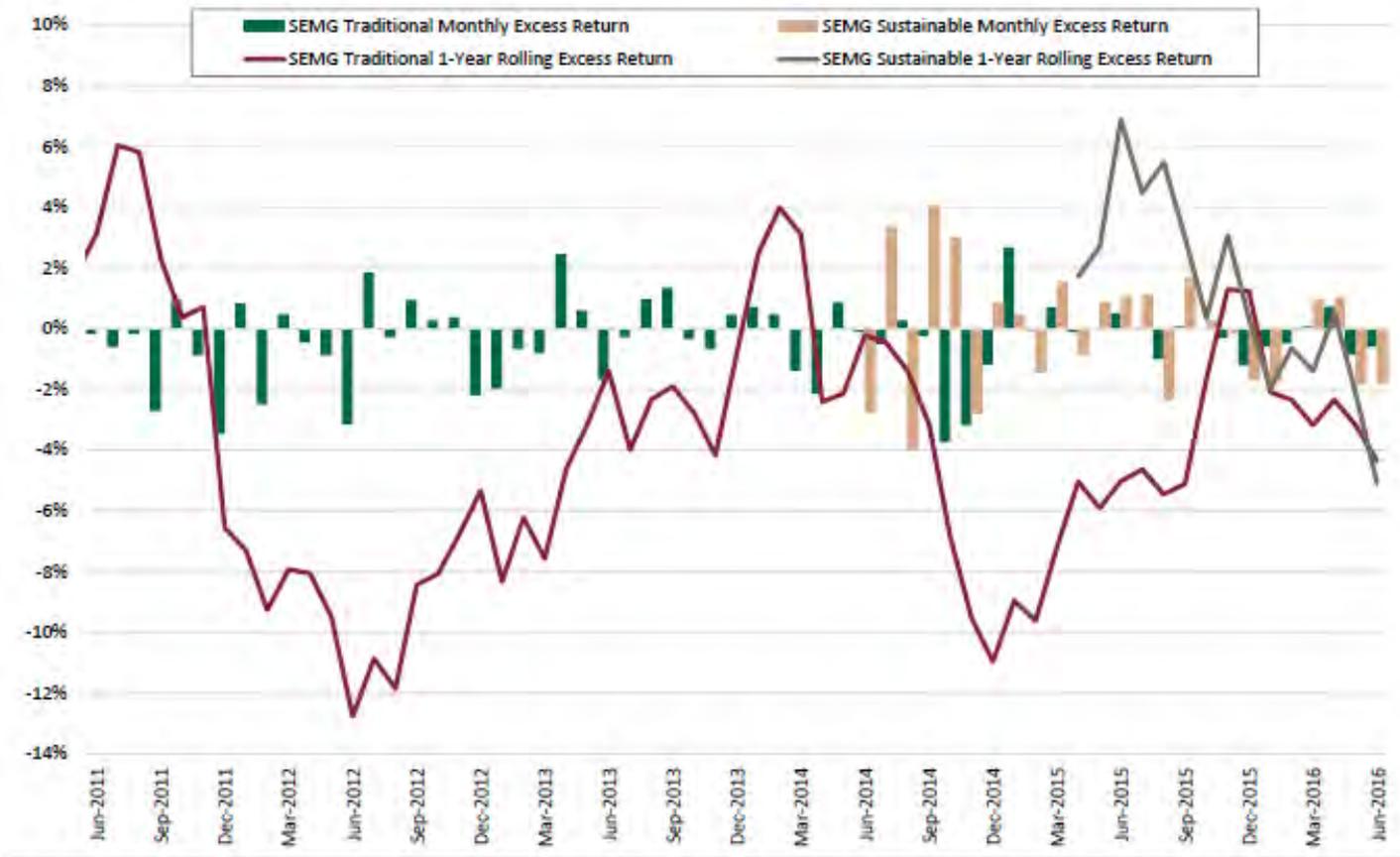
# Fixed Income Returns

FIMG Monthly Excess Return and 1-year rolling Excess Return  
vs the Barclays US Aggregate Index



# Equity Returns

SEMG Monthly Excess Return and 1-year rolling Excess Return  
vs the S&P 500 Index



**OHIO**  
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# **ESTABLISHMENT OF UNIVERSITY QUASI-ENDOWMENTS**

## **ROBERT D. ACKLEY FUND FOR CHEMISTRY AND ROBERT D. ACKLEY FUND FOR PHYSICS**

### **RESOLUTION 2016 -**

**WHEREAS**, The Board of Trustees of Ohio University is responsible for oversight of the financial condition of the institution, and

**WHEREAS**, the Board of Trustees has the ability to establish quasi-endowments, or funds functioning as endowments, to be utilized at the discretion of the University, and

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

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

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

Robert D. Ackley Fund for Chemistry: The creation of this quasi-endowment, in the amount of approximately \$3.18M, will generate a perpetual income stream to provide funding for research, scholarly activities, and other strategic initiatives within the Department of Chemistry and Biochemistry.

Robert D. Ackley Fund for Physics: The creation of this quasi-endowment, in the amount of approximately \$2.12M, will generate a perpetual income stream to provide funding for research, scholarly activities, and other strategic initiatives within the Department of Physics and Astronomy.

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

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



## Interoffice Communication

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** Establishment of University Quasi-Endowments

Included on the Resources Committee Agenda for the October 2016 Board of Trustees meeting is a request to establish two University quasi-endowments. Quasi-endowments are financial instruments established by a governing board using unrestricted operating reserves that are intended to function like an endowment, including pooled investment of the funds within a typical endowment asset allocation. The University accomplishes this by entrusting oversight of quasi-endowment funds, like endowment funds, to The Ohio University Foundation's Board of Trustees and, more specifically, to its Investment Sub-Committee. The goal of the University's quasi-endowments is to further the institution's strategic priorities.

The Ohio University Foundation has received notification that it will receive approximately \$5.30M from the estate of Ileana Ackley. The bequest documents stipulate that sixty percent of the funds should be used for the benefit of the Department of Chemistry and forty percent of the funds should be used for the benefit of the Department of Physics. The donor did not impose any additional restrictions on use of the funds and did not stipulate that the funds should be endowed. However, given the size of the gift, staff recommend that the funds be managed as a quasi-endowment to ensure a perpetual income stream for the benefit of the two departments named in the bequest document.

At this time, the University is recommending the establishment of the following two quasi-endowments upon receipt of the bequest gift described above:

- **Robert D. Ackley Fund for Chemistry:** The creation of this quasi-endowment, in the amount of approximately \$3.18M, will generate a perpetual income stream to provide funding for research, scholarly activities, and other strategic initiatives within the Department of Chemistry and Biochemistry
- **Robert D. Ackley Fund for Physics:** The creation of this quasi-endowment, in the amount of approximately \$2.12M, will generate a perpetual income stream to provide funding for research, scholarly activities, and other strategic initiatives within the Department of Physics and Astronomy.

Annual appropriations from these quasi-endowments will be limited to an amount calculated in accordance with The Ohio University Foundation's spending policy for endowments. Corpus amounts contributed to the quasi-endowment will be restricted from removal for a period of 36 months, and withdrawals must be approved by the University's Board of Trustees. The use of the quasi-endowment will be monitored by the Vice President Finance & Administration, CFO and Treasurer.

**APPROVAL OF PARTICIPATION IN THE LOCAL  
ADMINISTRATION CERTIFICATION PROGRAM FOR CAPITAL  
IMPROVEMENT PROJECTS**

**RESOLUTION 2016 -**

**WHEREAS**, the 126th Ohio General Assembly enacted House Bill 16 which established the Local Administration Certification Program; and

**WHEREAS**, the Ohio University Board of Trustees granted approval of participation in the local administration certification program for capital improvement projects with Resolution 2007-3035; and

**WHEREAS**, oversight of the Local Administration Certification for Capital Improvement Projects program has transferred from the State of Ohio Department of Administrative Services to the Ohio Facilities Construction Commission; and

**WHEREAS**, in accordance with House Bill 16, pursuant to section 3345.51, Ohio University Board of Trustees assures the Board of Regents and the Ohio Facilities Construction Commission that the University will continue to comply with section 153.13 of the Ohio Revised Code and all laws that govern the selection of consultants, preparation and approval of contract documents, receipt of bids and award of contracts with respect to all locally administered projects utilizing capital improvement funds; and

**WHEREAS**, in accordance with House Bill 16, Section 123.17 regarding the local administration certification program, Ohio University Board of Trustees assures the Ohio Facilities Construction Commission that the University has participated in and will continue to enroll new employees in the local Administration Certification Program as necessary to compensate for employee turnover; and

**WHEREAS**, the University agrees to continue to participate in biennial audits of the local administration of capital facility projects.

**THEREFORE BE IT RESOLVED**, that the University will agree to indemnify and hold harmless the State of Ohio and the Ohio Facilities Construction Commission for any claims that result from the local administration of projects associated with the certification program.

**BE IT FURTHER RESOLVED**, that the Ohio University's Board of Trustees authorizes university officials to participate in Local Administration Certification Program and agrees to all of the stipulations outlined above.



**OHIO**  
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## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re: Resolution for Approval of Participation in the Local Administration Certification for Capital Improvement Projects**

In 2005, the 126th Ohio General Assembly enacted House Bill 16 which created a certification program for colleges and universities interested in administering their major capital improvement projects independent of the Department of Administrative Services (DAS) and the Office of the State Architect. In September 2007, the Board of Trustees approved Resolution 2007-3035, a copy of which is attached, to meet conditions to allow University officials to participate in the local administration of capital improvement projects. On July 1, 2012, oversight of the Local Administration Certification for Capital Improvement Projects program transferred from the State of Ohio Department of Administrative Services to the Ohio Facilities Construction Commission (OFCC). In order to continue participation in this program, OFCC requires that the Board of Trustees approve a new resolution naming OFCC.

The requirements for participation have not changed. In order for Ohio University to remain certified, as outlined in House Bill 16, the Ohio University Board of Trustees must continue to agree to the following:

- The Board will authorize University officials to participate in the certification program.
- The Board will state its intent to comply with the Ohio Revised Code associated with the selection of consultants, preparation and approval of contract documents, receipt of bids and award of contracts.
- The University will agree to indemnify and hold harmless the OFCC, for any claims that result from the local administration of projects associated with the certification program
- The University will agree to participate in biennial audits of the local administration of capital improvement projects.

Previous to the passage of House Bill 16, sections 123.01 and 123.15 of the Ohio Revised Code allowed a state university to administer any capital facility project, without state supervision, control or approval, when the total amount of funds expected to be appropriated by the General Assembly did not exceed \$4,000,000. Universities were also permitted to administer specific projects exceeding the \$4,000,000 threshold after making application and receiving approval from both the Board of Regents and DAS. With the approval of Resolution 2007-3035 and

receipt of Local Administration Certification for Capital Improvement Projects, Ohio University has typically pursued local administration authority on all projects.

I have enclosed a resolution for consideration by the Board of Trustees which seeks approval to continue participation in the Local Administration Certification for Capital Improvement Projects now administered by OFCC.

**APPROVAL OF PARTICIPATION IN THE LOCAL ADMINISTRATION  
CERTIFICATION PROGRAM FOR CAPITAL IMPROVEMENT PROJECTS**

**RESOLUTION 2007-3035**

**WHEREAS**, the 126th Ohio General Assembly enacted House Bill 16 which established the Local Administration Certification Program; and

**WHEREAS**, in accordance with House Bill 16, pursuant to section 3345.51, Ohio University Board of Trustees assures the Board of Regents and the State Architect's Office that the University will comply with section 153.13 of the Ohio Revised Code and all laws that govern the selection of consultants, preparation and approval of contract documents, receipt of bids and award of contracts with respect to all locally administered projects utilizing capital improvement funds, and;

**WHEREAS**, in accordance with House Bill 16, Section 123.17 regarding the local administration certification program, Ohio University Board of Trustees assures the State Architect's office that the University has participated in and will enroll new employees in the local Administration Certification Program as necessary to compensate for employee turnover, and;

**WHEREAS**, the University agrees to participate in biennial audits of the local administration of capital facility projects, and;

**BE IT FURTHER RESOLVED**, that the University will agree to indemnify and hold harmless the State of Ohio Department of Administrative Services for any claims that result from the local administration of projects associated with the certification program,

**BE IT THEREFORE RESOLVED**, that the Ohio University's Board of Trustees authorizes university officials to participate in Local Administration Certification Program and agrees to all of the stipulations outlined above.

**APPROVAL TO PROCEED WITH CONSTRUCTION FOR THE  
BOYD HALL BATHROOM UPGRADES,  
MACKINNON HALL BATHROOM REHABILITATION,  
HCOM CLEVELAND 3<sup>RD</sup> FLOOR EXPANSION,  
ALDEN LIBRARY RENOVATION PHASE I,  
BACK SOUTH DEMOLITION PHASE II,  
CAMPUS STEAM SYSTEM REPAIRS 2017,  
COPELAND HALL ROOF REPLACEMENT,  
FRONT ROOM AND LATITUDE 39 UPGRADES,  
LINDLEY HALL ROOF REPLACEMENT,  
PERKINS HALL ELECTRICAL AND FIRE ALARM UPGRADES,  
RTEC ROOF REPLACEMENT, AND  
SOUTH GREEN CULVERT DRIVE REPAIR**

**RESOLUTION 2016 -**

**WHEREAS**, for the Boyd Hall Bathroom Upgrades project, the Board of Trustees previously approved a total project budget and authorized expenditures of \$1,310,000 (2015-3517, 2016-3536), and University administration seeks to amend the total project budget and authorized expenditure amount by an additional \$1,090,000 for a new total budget and total authorized expenditure amount of \$2,400,000 to undertake construction and complete the project to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the Mackinnon Hall Bathroom Rehabilitation project, the Board of Trustees previously approved a total project budget and authorized expenditures of \$925,000 (2015-3517, 2016-3536), and University administration seeks to amend the total project budget and authorized expenditures amount by an additional \$195,000 for a new total budget and total authorized expenditure amount of \$1,120,000 to undertake construction and complete the project to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the HCOM Cleveland 3<sup>rd</sup> Floor Expansion project, the Board of Trustees previously approved a total project budget and authorized expenditures of \$800,000 (2016-3572), and University administration seeks to amend the total project budget and authorized expenditure amount by an additional \$218,160 for a new total budget and total authorized expenditure amount of \$1,018,160 to undertake construction and complete the project to be funded by HCOM Reserves;

**WHEREAS**, for the Alden Library Renovation Phase I project, University administration requests approval for the total project budget of \$2,890,000 and seeks approval for authorized expenditures of \$2,890,000 to undertake design through construction to be funded by Internal Loan (\$1,340,000), State Appropriations (\$1,250,000), Gifts In Hand (\$200,000), and Alden Library Reserves (\$100,000);

**WHEREAS**, for the Back South Demolition Phase II project, University administration requests approval for the total project budget and authorized expenditures of \$3,000,000 to undertake design through construction to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the Campus Steam System Repairs 2017 project, University Administration requests approval for the total project budget and authorized expenditures of \$1,500,000 to undertake construction and complete the project to be funded by Century Bonds - EIP;

**WHEREAS**, for the Copeland Hall Roof Replacement project, University Administration requests approval for the total project budget and authorized expenditures of \$1,200,000 to undertake construction and complete the project to be funded by Century Bonds (\$750,000) and State Appropriations (\$450,000);

**WHEREAS**, for the Front Room and Latitude 39 Upgrades project, University Administration requests approval for the total project budget and authorized expenditures of \$1,000,000 to undertake construction and complete the project to be funded by Culinary Reserves;

**WHEREAS**, for the Lindley Hall Roof Replacement project, University Administration requests approval for the total project budget and authorized expenditures of \$500,000 to undertake construction and complete the project to be funded by Century Bonds (\$300,000) and State Appropriations (\$200,000);

**WHEREAS**, for the Perkins Hall Electrical and Fire Alarm Upgrades project, University Administration requests approval for the total project budget and authorized expenditures of \$800,000 to undertake construction and complete the project to be funded by Housing and Residence Life Reserves;

**WHEREAS**, for the Research and Technology Center (RTEC) Roof Replacement project, University Administration requests approval for the total project budget and authorized expenditures of \$500,000 to undertake construction and complete the project to be funded by Century Bonds (\$300,000) and State Appropriations (\$200,000);

**WHEREAS**, for the South Green Drive Culvert Repair project, the Board of Trustees previously approved a total project budget of \$2,000,000 (and authorized expenditures of \$200,000 (2016-3535), and University administration seeks to increase the authorized expenditure amount by \$1,800,000 to undertake construction and complete the project to be funded by Century Bonds (\$436,000) and State Appropriations (\$1,564,000);

**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.



**OHIO**  
UNIVERSITY

## Interoffice Communication

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re: Request for Approval to Undertake Construction**

The following projects are in excess of \$500,000 in total project cost and are presented to the Board at this time for approval of project budget and authorization for funds to undertake construction.

A presentation containing background information, funding sources and the proposed schedule for each project is included with these materials as well as a resolution for board action.

PROJECT	Authorized Expenditures				Project Budget		
	Previously Approved	Current Action	Future Actions	Total Approved Authorized Expenditures	Previous Approved	Current Budget Action	Total Approved Project Budget
<i>Budget Amendment &amp; Approval to Undertake Construction</i>							
Boyd Hall Bathroom Upgrades Summer	\$ 1,310,000	\$ 1,090,000	\$ -	\$ 2,400,000	\$ 1,310,000	\$ 1,090,000	\$ 2,400,000
Mackinnon Hall Bathroom Rehabilitation	\$ 925,000	\$ 195,000	\$ -	\$ 1,120,000	\$ 925,000	\$ 195,000	\$ 1,120,000
HCOM Cleveland 3rd Floor Expansion	\$ 800,000	\$ 218,160	\$ -	\$ 1,018,160	\$ 800,000	\$ 218,160	\$ 1,018,160
<i>Approval to Undertake Construction</i>							
Alden Library Renovation Phase I	\$ -	\$ 2,890,000	\$ -	\$ 2,890,000	\$ -	\$ 2,890,000	\$ 2,890,000
Back South Demolition Phase II	\$ -	\$ 3,000,000	\$ -	\$ 3,000,000	\$ -	\$ 3,000,000	\$ 3,000,000
Campus Steam System Repairs 2017	\$ -	\$ 1,500,000	\$ -	\$ 1,500,000	\$ -	\$ 1,500,000	\$ 1,500,000
Copeland Hall Roof Replacement	\$ -	\$ 1,200,000	\$ -	\$ 1,200,000	\$ -	\$ 1,200,000	\$ 1,200,000
Front Room Upgrades and Latitude 39 Upgrades	\$ -	\$ 1,000,000	\$ -	\$ 1,000,000	\$ -	\$ 1,000,000	\$ 1,000,000
Lindley Hall Roof Replacement	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ 500,000
Perkins Hall Electrical and Fire Alarm Upgrades	\$ -	\$ 800,000	\$ -	\$ 800,000	\$ -	\$ 800,000	\$ 800,000
RTEC Roof Replacement	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ 500,000
South Green Drive Culvert Repair	\$ 200,000	\$ 1,800,000	\$ -	\$ 2,000,000	\$ 200,000	\$ 1,800,000	\$ 2,000,000

# FACILITY PROJECTS CONSTRUCTION

OCTOBER 20, 2016

## CONSENT

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**OHIO**  
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# Project Updates

- Lausche Switchyard Sinkhole Project
  - EPA Update
  - Root cause analysis
- Energy Performance Contract
  - Latest schedule for completion of work



# Requested Approvals to Undertake Construction

PROJECT	Authorized Expenditures				Project Budget		
	Previously Approved	Current Action	Future Actions	Total Approved Authorized Expenditures	Previous Approved	Current Budget Action	Total Approved Project Budget
<b><i>Budget Amendment &amp; Approval to Undertake Construction</i></b>							
Boyd Hall Bathroom Upgrades Summer	\$ 1,310,000	\$ 1,090,000	\$ -	\$ 2,400,000	\$ 1,310,000	\$ 1,090,000	\$ 2,400,000
Mackinnon Hall Bathroom Rehabilitation	\$ 925,000	\$ 195,000	\$ -	\$ 1,120,000	\$ 925,000	\$ 195,000	\$ 1,120,000
HCOM Cleveland 3rd Floor Expansion	\$ 800,000	\$ 218,160	\$ -	\$ 1,018,160	\$ 800,000	\$ 218,160	\$ 1,018,160
<b><i>Approval to Undertake Construction</i></b>							
Alden Library Renovation Phase I	\$ -	\$ 2,890,000	\$ -	\$ 2,890,000	\$ -	\$ 2,890,000	\$ 2,890,000
Back South Demolition Phase II	\$ -	\$ 3,000,000	\$ -	\$ 3,000,000	\$ -	\$ 3,000,000	\$ 3,000,000
Campus Steam System Repairs 2017	\$ -	\$ 1,500,000	\$ -	\$ 1,500,000	\$ -	\$ 1,500,000	\$ 1,500,000
Copeland Hall Roof Replacement	\$ -	\$ 1,200,000	\$ -	\$ 1,200,000	\$ -	\$ 1,200,000	\$ 1,200,000
Front Room Upgrades and Latitude 39 Upgrades	\$ -	\$ 1,000,000	\$ -	\$ 1,000,000	\$ -	\$ 1,000,000	\$ 1,000,000
Lindley Hall Roof Replacement	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ 500,000
Perkins Hall Electrical and Fire Alarm Upgrades	\$ -	\$ 800,000	\$ -	\$ 800,000	\$ -	\$ 800,000	\$ 800,000
RTEC Roof Replacement	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ -	\$ 500,000	\$ 500,000
South Green Drive Culvert Repair	\$ 200,000	\$ 1,800,000	\$ -	\$ 2,000,000	\$ 200,000	\$ 1,800,000	\$ 2,000,000



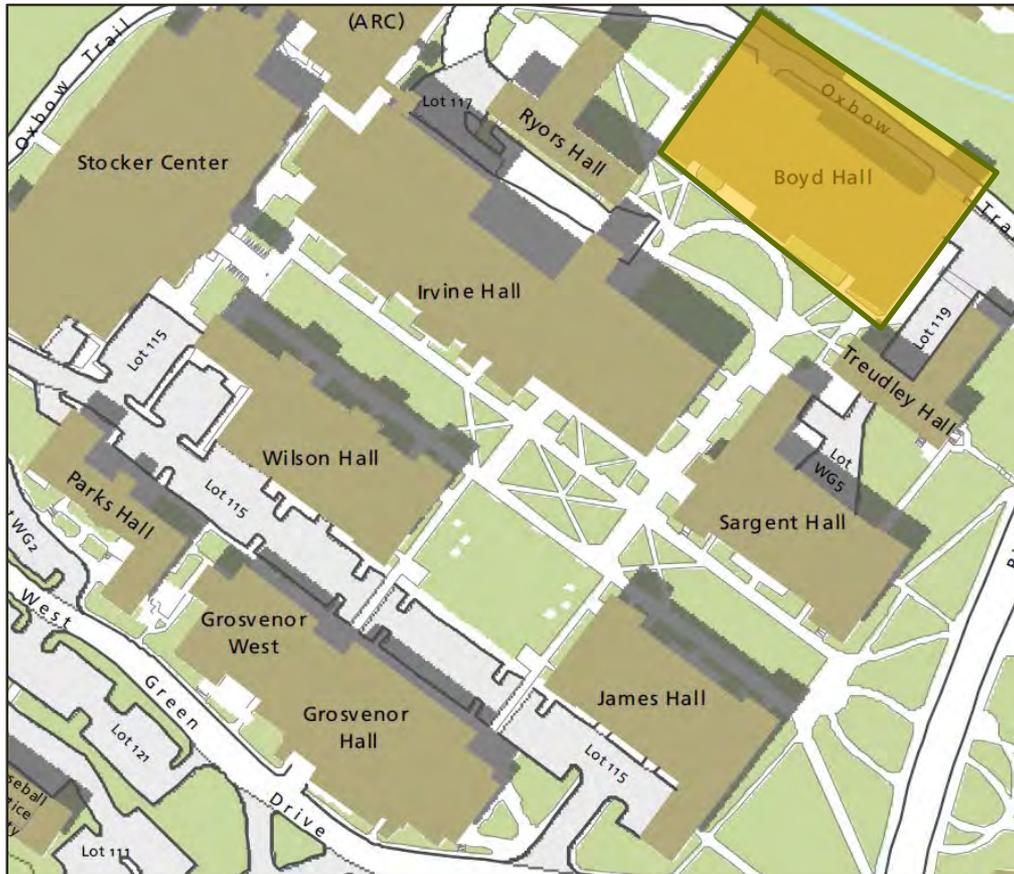
# Budget Amendments

- Three projects with budget amendments
  - Two bathroom renovations with similar issues
  - HCOM Cleveland space renovation
- Common Issues:
  - Project budgets did not match level of finishes identified by customer, mechanical system requirements, and extent of construction required



# BOYD HALL BATHROOM UPGRADES

## Background



- 3-Story Residence Hall, Dining Hall and Market located on West Green



# BOYD HALL BATHROOM UPGRADES

## Project Outcomes



- Project will upgrade the existing bathrooms and associated plumbing



# BOYD HALL BATHROOM UPGRADES

## Board of Trustee Updates

October 2015 (2015-3517)

### 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

- In October 2015 the Board of Trustees approved design through bidding at a cost of \$925,000 with \$200,000 of authorized expenditures for design

March 2016 (2016-3536)

### Boyd Hall Bathroom Upgrade 2016 – Construction Phase and Budget Amendment

- We seek approval to undertake construction and to increase the total project budget of \$925,000 by an additional \$385,000 for a new total project budget of \$1,310,000 and increase the authorized expenditure amount of \$200,000 by an additional \$1,110,000 for total authorized expenditures of \$1,310,000.
- The need for this requested budget increase is to solve repair unforeseen mechanical system issues and due to the discovery that the mechanical systems are not stacked as was assumed.
- Part of the approved capital plan for FY2015-FY2020 identified as, Residential Housing, Housing Minor Renovations, Line #1.
- Project Budget: \$1,310,000
- Previously Approved: \$ 200,000
  - October 2015 – Design through bidding approved at a cost of \$200,000 and total project budget of \$925,000 approved under resolution, 2015-3517
- This Request: \$ 1,110,000
- Funding: Residence Life Reserves
- Schedule: May 2016 – Construction Start  
August – Work Complete

- In March 2016 the Board of Trustees approved an increase to \$1,310,000 the total project budget and authorized expenditures to address unforeseen mechanical system issues



# BOYD HALL BATHROOM UPGRADES

## Budget Amendment

- **The project budget underestimated the project costs due to:**
  - Estimating a level of finishes in the bathrooms that did not meet the needs of the identified by Housing and Residence Life (\$250K)
  - Failing to account for additional costs in the project due to
    - Plumbing that was not stacked (requiring additional piping, access and refinish work \$225K)
    - Lack of an elevator increasing demolition costs (\$50K)
    - HVAC and electrical costs in excess of planned requirements (\$135K)
    - Higher General Conditions and Overhead & Profit by the bidders (\$65K)
    - Allowances added to the current bid documents (\$20K)
- **Steps taken to ensure this budget is correct:**
  - Clarified design documents on issues that led to bidder confusion
  - Reviewed level of finishes requirements with Housing and Residence Life
  - Verified the A/E estimate through our independent cost estimator (3.8% difference)



# BOYD HALL BATHROOM UPGRADES

## Approval to Construct and Amend the Budget

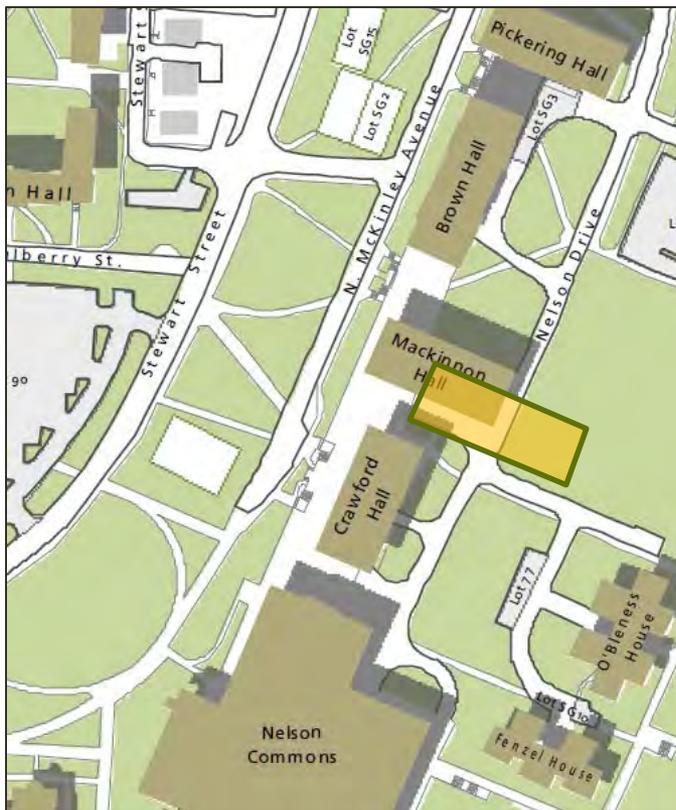
	Design	Construction	Authorized Expenditures	Approved Budget
Previous Board Budget Approvals and Increases	\$200,000	\$1,110,000	\$1,310,000	\$1,310,000
Current Board Request: Budget Amendment		\$1,090,000	\$1,090,000	\$1,090,000
Next Phases			\$0	\$0
<b>Sub-Totals</b>	<b>\$200,000</b>	<b>\$2,200,000</b>	<b>\$2,400,000</b>	<b>\$2,400,000</b>
<i>Board Actions: 2015-3517; 2016-3536</i>				
<b>Fund Sources</b>				
State Capital Appropriations				
State Capital Reappropriations				
Century Bond				
Other: Housing & Residence Life Reserves	\$200,000	\$2,200,000	\$2,400,000	
<b>Sub-Totals</b>	<b>\$200,000</b>	<b>\$2,200,000</b>	<b>\$2,400,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Sept 2016 - Jan 2017	Construction: May 2017 - August 2017				



# MACKINNON HALL BATHROOM REHABILITATION

## Background



- One of the “Front Four”, Mackinnon Hall is a four-story residence hall on South Green that was built in 1967



# MACKINNON HALL BATHROOM REHABILITATION

## Project Outcomes



- Project will replace failing plumbing stacks, rehabilitate bathrooms with new fixtures and finishes, and add drinking fountains throughout the building



# MACKINNON HALL BATHROOM REHABILITATION

## Board of Trustee Updates

October 2015 (2015-3715)

**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

- In October 2015 the Board of Trustees approved a total project budget of \$925,000 and authorized expenditures of \$200,000 for design

March 2016 (2016-3536)

**MacKinnon Hall Bathroom  
Upgrade – Construction Phase**

- We seek approval to undertake construction at a cost of \$725,000.
- The purpose of this project is to upgrade the existing bathrooms and associated plumbing at MacKinnon Hall. This is needed because the existing bathrooms and plumbing have become dated and are failing in some instances.
- Part of the approved capital plan for FY2015 identified as, Residential Housing, Housing Minor Renovations, Line #3.
- Project Budget: \$925,000
- Previously Approved: \$200,000
  - October 2015 – Design at a cost of \$200,000 and total project budget of \$925,000 approved under resolution 2015-3517
- This Request: \$725,000
- Funding: Residence Life Reserves
- Schedule: May 2016 – Construction Start  
September 2016 – Work Complete

- In March 2016 the Board of Trustees approved a total project budget of \$925,000 and an increase to authorized expenditures of \$725,000 for total authorized expenditures of \$925,000



# MACKINNON HALL BATHROOM REHABILITATION Budget Amendment

- **The project budget underestimated the project costs due to:**
  - Estimating a level of finishes in the bathrooms that did not meet the needs of Housing and Residence Life
  - Failure to account for replacement of piping under the slab required as part of this project
- **Steps taken to ensure this budget is correct:**
  - Updated for required finishes and required equipment like new piping and shower pans as required by the design
  - Bidding the project early to ensure the best bidding climate



# MACKINNON HALL BATHROOM REHABILITATION

## Approval to Construct and Amend the Budget

	Design	Construction	Authorized Expenditures	Approved Budget
Previous Board Budget Approvals and Increases	\$200,000	\$725,000	\$925,000	\$925,000
Current Board Request: Budget Amendment		\$195,000	\$195,000	\$195,000
Next Phases			\$0	\$0
<b>Sub-Totals</b>	<b>\$200,000</b>	<b>\$920,000</b>	<b>\$1,120,000</b>	<b>\$1,120,000</b>
<i>Board Actions: 2015-3715; 2016-3536</i>				
Fund Sources				
State Capital Appropriations				
State Capital Reappropriations				
Century Bond				
Other: Housing & Residence Life Reserves	\$200,000	\$920,000	\$1,120,000	
<b>Sub-Totals</b>	<b>\$200,000</b>	<b>\$920,000</b>	<b>\$1,120,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Nov 2016 - Dec 2016	Construction: May 2017 - Aug 2017				



# HCOM CLEVELAND 3<sup>RD</sup> FLOOR EXPANSION

## Background



- Shell space on the third floor was developed as part of the HCOM expansion to accommodate growth



# HCOM CLEVELAND 3<sup>RD</sup> FLOOR EXPANSION Project Outcomes



- Development of shell space on the 3<sup>rd</sup> floor into a multi-purpose space accommodating:
  - First & Second Year Medical Students
  - Offices for Support Staff
  - Additional Study Areas for all Medical Students



# HCOM CLEVELAND 3<sup>RD</sup> FLOOR EXPANSION

## Board of Trustee Updates

June 2016 (2016-3572)

### DESIGN THROUGH CONSTRUCTION OUHCOM Cleveland 3<sup>rd</sup> Floor Expansion

- We seek approval to undertake design through construction at a cost of \$800,000.
- The purpose of this project is to uncover shell space on the third floor of the HCOM Cleveland/South Pointe Hospital Building A that was identified during major construction completed in 2015. At that time the space went through abatement and demolition and then was closed off until future plans and funds were available. With this project the space can now be realized into a multi-purpose space that will accommodate all first and second year medical students, offices for the staff that support the third and fourth year students and additional study areas for those students.
- Not part of an approved capital plan.
- Project Budget: \$800,000
- Previously Approved: \$ 0
- This Request: \$800,000
- Funding Source: HCOM Reserves
- Schedule: Design Start – July 2016  
Construction Start – September 2016  
Construction Complete – January 2017

- In June 2016 the Board of Trustees approved design through construction at a cost of \$800,000



10



# HCOM CLEVELAND 3<sup>RD</sup> FLOOR EXPANSION Budget Amendment

- **The original estimate provided by the contractor:**
  - Failed to adequately account for required interior construction elements that increased cost like a curtain wall (\$38K)
  - Did not included all required electrical elements (\$116K)
  - Omitted costs for display boards and window treatments (\$68K)
  - Did not include all Permit Fees, General Conditions and Design Fees (\$85K)
- **Steps taken to ensure this budget is correct:**
  - Architecture, Design and Construction staff have worked closely with the contractor designated by the Cleveland Clinic and conducted detailed review of the contractor estimate.
  - In addition to correcting their estimate, the contractor has agreed to reduce their overhead and profit by \$40K on this project



# HCOM CLEVELAND 3<sup>RD</sup> FLOOR EXPANSION

## Approval to Construct and Amend the Budget

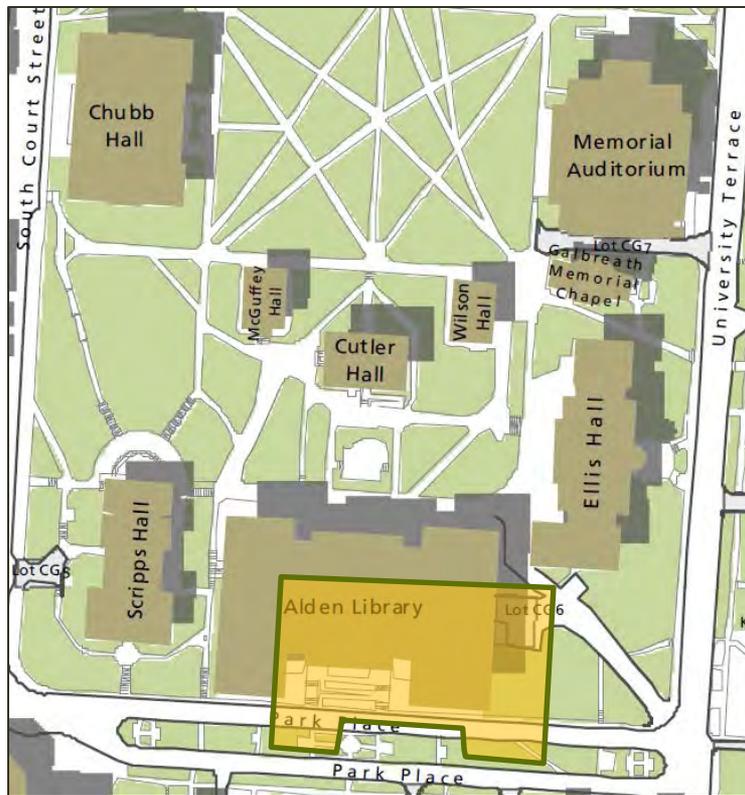
	Design	Construction	Authorized Expenditures	Approved Budget
Previous Board Budget Approvals and Increases	\$28,000	\$772,000	\$800,000	\$800,000
<b>Current Board Request: Budget Amendment</b>		\$218,160	\$218,160	\$218,160
Next Phases			\$0	\$0
<b>Sub-Totals</b>	<b>\$28,000</b>	<b>\$990,160</b>	<b>\$1,018,160</b>	<b>\$1,018,160</b>
<i>Board Actions: 2016-3572</i>				
<b>Fund Sources</b>				
State Capital Appropriations				
State Capital Reappropriations				
Century Bond				
Other: HCOM Reserves	\$28,000	\$990,160	\$1,018,160	
<b>Sub-Totals</b>	<b>\$28,000</b>	<b>\$990,160</b>	<b>\$1,018,160</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule		● ● ●					
Activity		Design: Jul 2016 - Nov 2016 Construction: Nov 2017 - Mar 2017					



# ALDEN LIBRARY RENOVATION PHASE I Background

- Built in 1962, Alden Library is a 7-story structure central to the campus learning environment



# ALDEN LIBRARY RENOVATION

## PHASE I

### Project Outcomes

CREATE IDENTITY



- Project will move the Academic Advancement Center to renovated space on the 2<sup>nd</sup> floor Learning Commons, renovate and expand restrooms on the 4<sup>th</sup> floor, and add electrical and new service desk on the 4<sup>th</sup> floor
- 4<sup>th</sup> floor renovations will permit the opening of 24 hour service
- 1st of 5 proposed phases



# ALDEN LIBRARY RENOVATION

## PHASE I

### Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>				
<b>Current Board Request: Design through Construction</b>	\$100,000	\$2,790,000	\$2,890,000	\$2,890,000
<b>Next Phases</b>				
<b>Sub-Totals</b>	<b>\$100,000</b>	<b>\$2,790,000</b>	<b>\$2,890,000</b>	<b>\$2,890,000</b>
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>				
<b>State Capital Reappropriations</b>		\$1,250,000		
<b>Century Bond</b>				
<b>Other: Internal Loan</b>		\$1,340,000		
<b>Other: Gifts</b>		\$200,000		
<b>Other: Alden Library Reserves</b>	\$100,000			
<b>Sub-Totals</b>	<b>\$100,000</b>	<b>\$2,790,000</b>	<b>\$2,890,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Oct 2016 - Nov 2016	Construction: Jan 2017 - Aug 2017				



# BACK SOUTH DEMOLITION

## PHASE II

### Background

#### PHASE I

- Cady
- Foster
- Brough



Completed  
Summer 2016

#### PHASE II

- O'Bleness
- Martzloff
- Fenzel (Alternate)



Scheduled for  
Summer 2017



# BACK SOUTH DEMOLITION PHASE II Background



- Continuing the Back South Demolition Project
  - Demolition of Martzloff House and O'Bleness House
  - Demolition of Fenzel House will be bid as an alternate in the event there is a decision to keep it online



# BACK SOUTH DEMOLITION PHASE II

## Project Outcomes

- Reduce deferred maintenance inventory
- Remove obsolete space



# BACK SOUTH DEMOLITION PHASE II

## Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>			\$0	
<b>Current Board Request: Design through Construction</b>	\$300,000	\$2,700,000	\$3,000,000	\$3,000,000
<b>Next Phases</b>			\$0	\$0
<b>Sub-Totals</b>	<b>\$300,000</b>	<b>\$2,700,000</b>	<b>\$3,000,000</b>	<b>\$3,000,000</b>
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>				
<b>State Capital Reappropriations</b>				
<b>Century Bond</b>				
<b>Other: Housing &amp; Residence Life Reserves</b>	\$300,000	\$2,700,000	\$3,000,000	
<b>Sub-Totals</b>	<b>\$300,000</b>	<b>\$2,700,000</b>	<b>\$3,000,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Oct 2016 - Dec 2016	Construction: Jun 2017 - August 2017				



# CAMPUS STEAM SYSTEM REPAIRS 2017

## • Background

- The first annual steam shutdown was performed in 2015
  - Addressed critical deferred maintenance
  - Improved safety conditions
  - Triggered emergency projects

## • Project Outcomes

- Repair system components for high pressure steam, low pressure steam, condensate lines, pressure reducing valves, domestic hot water system components, tunnel component supports, etc.
- Address deferred maintenance
- Scheduled for May 2017



# CAMPUS STEAM SYSTEM REPAIRS 2017

## Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>			\$0	
<b>Current Board Request: Design through Construction</b>	\$150,000	\$1,350,000	\$1,500,000	\$1,500,000
<b>Next Phases</b>			\$0	\$0
<b>Sub-Totals</b>	<b>\$150,000</b>	<b>\$1,350,000</b>	<b>\$1,500,000</b>	<b>\$1,500,000</b>
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>				
<b>State Capital Reappropriations</b>				
<b>Century Bond - EIP</b>	\$150,000	\$1,350,000	\$150,000	
<b>Other</b>				
<b>Sub-Totals</b>	<b>\$150,000</b>	<b>\$1,350,000</b>	<b>\$1,500,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Nov 2016 - Jan 2017	Construction: Apr 2017 - Sep 2017				



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# COPELAND HALL ROOF REPLACEMENTS

## Background

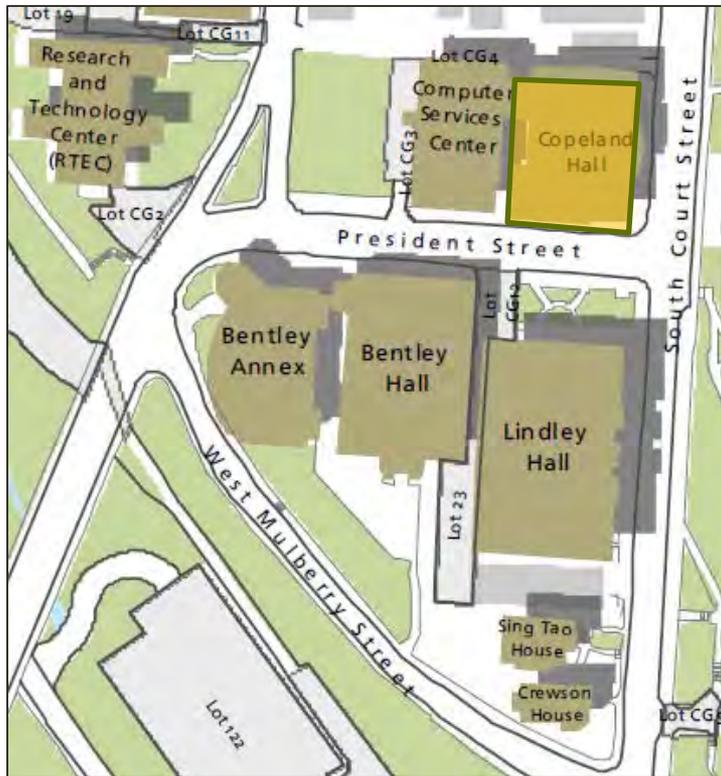


- The original slate roof on Copeland Hall, built in 1956, is failing and needs to be replaced.



# COPELAND HALL ROOF REPLACEMENTS

## Project Outcomes



- Restoring the watertight integrity of the building envelope.
- Improve public safety through the addition of ice dams on the roof.



# COPELAND HALL ROOF REPLACEMENT

## Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>			\$0	
<b>Current Board Request: Design through Construction</b>	\$120,000	\$1,080,000	\$1,200,000	\$1,200,000
<b>Next Phases</b>			\$0	\$0
<b>Sub-Totals</b>	<b>\$120,000</b>	<b>\$1,080,000</b>	<b>\$1,200,000</b>	<b>\$1,200,000</b>
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>		\$450,000	\$450,000	
<b>State Capital Reappropriations</b>				
<b>Century Bond</b>	\$120,000	\$630,000	\$750,000	
<b>Other</b>				
<b>Sub-Totals</b>	<b>\$120,000</b>	<b>\$1,080,000</b>	<b>\$1,200,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule		●	●				
Activity		Design: Nov - Mar	Construction: May 2017 - Aug 2017				



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# FRONT ROOM & LATITUDE 39 UPGRADES

## Background

- These spaces have not been updated since the Baker University Center opened almost ten years ago.
- Providing them a refresh now will avoid the need for major renovations to these spaces in the future and enable the University to keep these spaces open when students are present.



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# FRONT ROOM & LATITUDE 39 UPGRADES

## Project Outcomes

- **Front Room Coffeehouse:**
  - Improved aesthetics and furnishings in the 'Front of the House' to create a warm, inviting environment.
  - New Service Counters
  - New Cabinetry
  - Renovations on the production side of the coffeehouse are limited.
- **Latitude 39 Project:**
  - Improved aesthetics and furnishings in the 'Front of the House' to create a warm, inviting environment.
  - New storefront entry
  - Improved layout
  - No renovations in the kitchen area



# FRONT ROOM & LATITUDE 39 UPGRADES

## Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>			\$0	
<b>Current Board Request: Design through Construction</b>	\$100,000	\$900,000	\$1,000,000	\$1,000,000
<b>Next Phases</b>			\$0	\$0
<b>Sub-Totals</b>	<b>\$100,000</b>	<b>\$900,000</b>	<b>\$1,000,000</b>	<b>\$1,000,000</b>
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>				
<b>State Capital Reappropriations</b>				
<b>Century Bond</b>				
<b>Other: Culinary Reserves</b>	\$100,000	\$900,000	\$1,000,000	
<b>Sub-Totals</b>	<b>\$100,000</b>	<b>\$900,000</b>	<b>\$1,000,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Nov - Mar	Construction: May 2017 - Aug 2017				

# LINDLEY HALL ROOF REPLACEMENTS

## Background

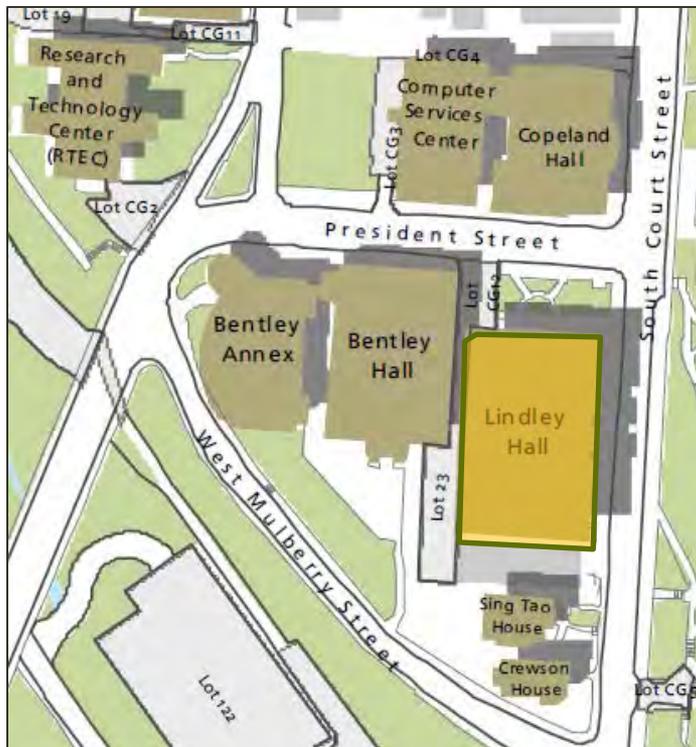


- This project targets the flat roof portions of Lindley Hall where the EPDM (ethylene propylene diene monomer) membrane is coming loose from the substrate.



# LINDLEY HALL ROOF REPLACEMENTS

## Project Outcomes



- The project will install new EPDM roofing on the flat roofs.
- The project includes installation of roof protection in an area used to access the roof.



# LINDLEY HALL ROOF REPLACEMENTS

## Approval to Construct

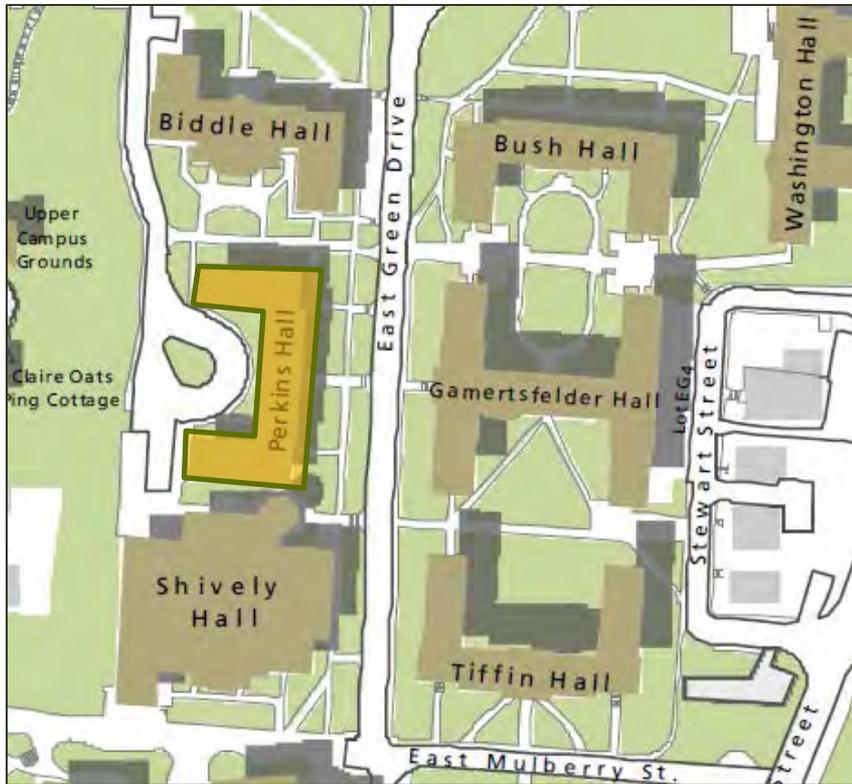
	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>			\$0	
<b>Current Board Request: Design through Construction</b>	\$50,000	\$450,000	\$500,000	\$500,000
<b>Next Phases</b>			\$0	\$0
<b>Sub-Totals</b>	\$50,000	\$450,000	\$500,000	\$500,000
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>		\$200,000	\$200,000	
<b>State Capital Reappropriations</b>				
<b>Century Bond</b>	\$50,000	\$250,000	\$300,000	
<b>Other</b>				
<b>Sub-Totals</b>	\$50,000	\$450,000	\$500,000	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Nov - Mar	Construction: May 2017 - Aug 2017				



# PERKINS HALL ELECTRICAL AND FIRE ALARM UPGRADES

## Background



- Residence Hall on East Green
  - Built in 1963



# PERKINS HALL ELECTRICAL AND FIRE ALARM UPGRADES

## Project Outcomes



- Project will upgrade both electrical and fire alarm detection systems



# PERKINS HALL ELECTRICAL AND FIRE ALARM UPGRADES

## Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
Previous Board Budget Approvals and Increases			\$0	
<b>Current Board Request: Design through Construction</b>	\$100,000	\$700,000	\$800,000	\$800,000
Next Phases			\$0	\$0
<b>Sub-Totals</b>	<b>\$100,000</b>	<b>\$700,000</b>	<b>\$800,000</b>	<b>\$800,000</b>
<b>Fund Sources</b>				
State Capital Appropriations				
State Capital Reappropriations				
Century Bond - EIP				
Other: Housing & Residence Life Reserves	\$100,000	\$700,000	\$800,000	
<b>Sub-Totals</b>	<b>\$100,000</b>	<b>\$700,000</b>	<b>\$800,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Nov 2016 - Jan 2017	Construction: May 2017 - Jul 2017				



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# RTEC ROOF REPLACEMENTS

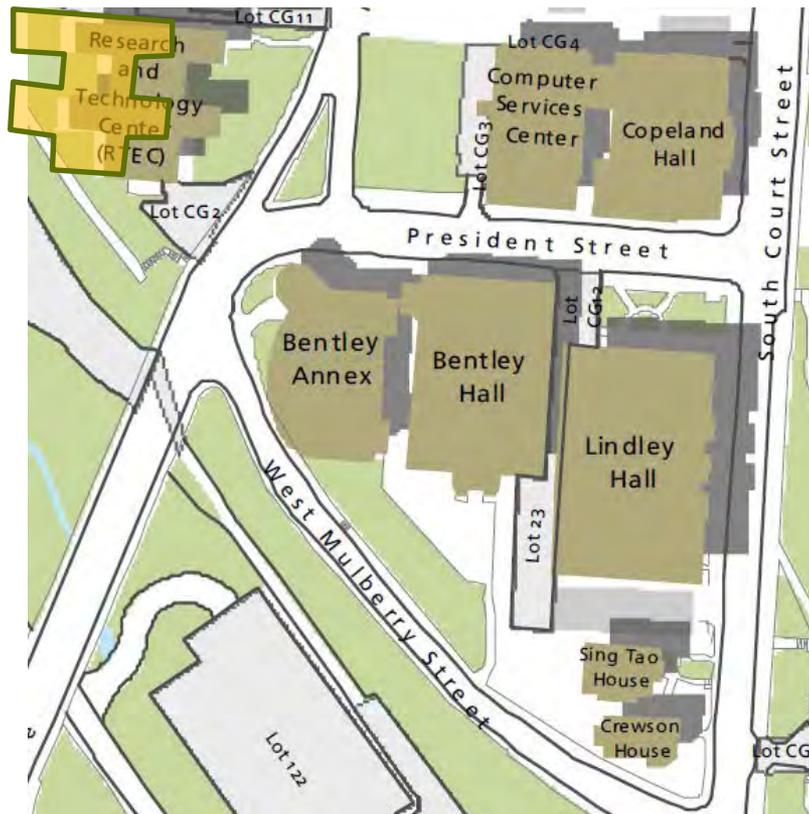


- Background
  - Replaced part of the EPDM roof on the building in 2013
  - The remaining portion is failing and in need of replacement.



# RTEC

## ROOF REPLACEMENTS



- Project Outcomes
  - Replacing the failing portions of EPDM roof on the building to restore the building envelope and prevent water intrusion and damage.



# RTEC

## ROOF REPLACEMENTS

### Approval to Construct

	Design	Construction	Authorized Expenditures	Approved Budget
<b>Previous Board Budget Approvals and Increases</b>			\$0	
<b>Current Board Request: Design through Construction</b>	\$50,000	\$450,000	\$500,000	\$500,000
<b>Next Phases</b>			\$0	\$0
<b>Sub-Totals</b>	\$50,000	\$450,000	\$500,000	\$500,000
<b>Fund Sources</b>				
<b>State Capital Appropriations</b>		\$200,000	\$200,000	
<b>State Capital Reappropriations</b>				
<b>Century Bond</b>	\$50,000	\$250,000	\$300,000	
<b>Other</b>				
<b>Sub-Totals</b>	\$50,000	\$450,000	\$500,000	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule		● ● ●					
Activity		Design Nov-Feb	Construction: May 2017 - Aug 2017				



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# SOUTH GREEN CULVERT DRIVE REPAIR

## Background



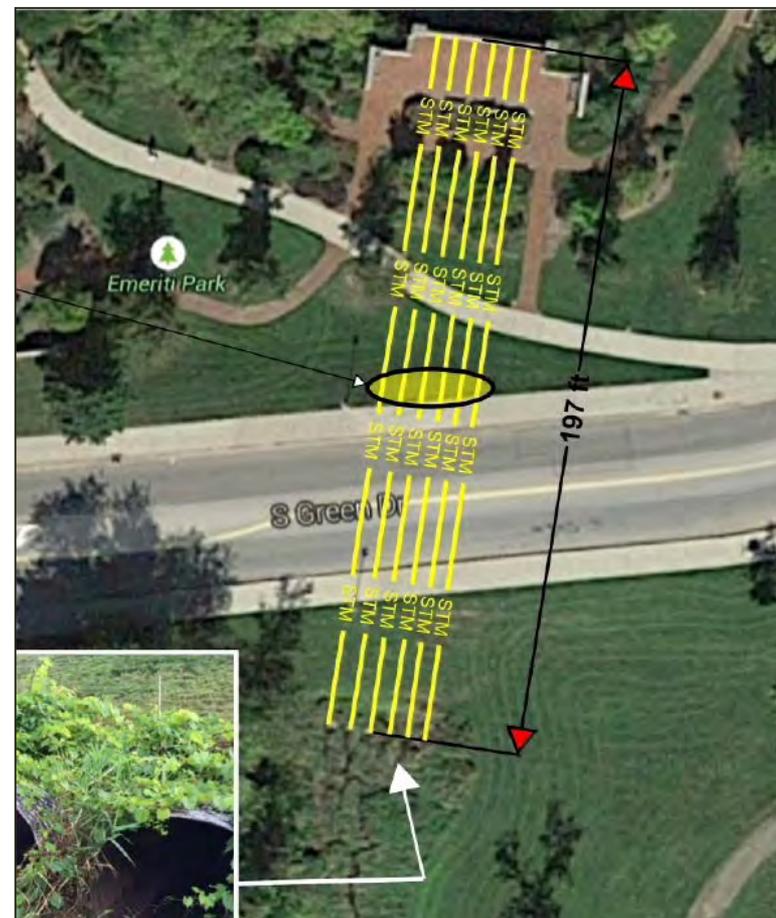
- Culverts are rusting out and have vertical deflection of up to 16 inches
- Roadway is currently settling
  - Emergency repairs in spring 2016



# SOUTH GREEN CULVERT DRIVE REPAIR

## Project Outcomes

- Project will replace six 48" culverts under South Green Drive that have failed with two box culverts
- Existing culverts only drain for Emeriti Pond



# Example of Box Culvert

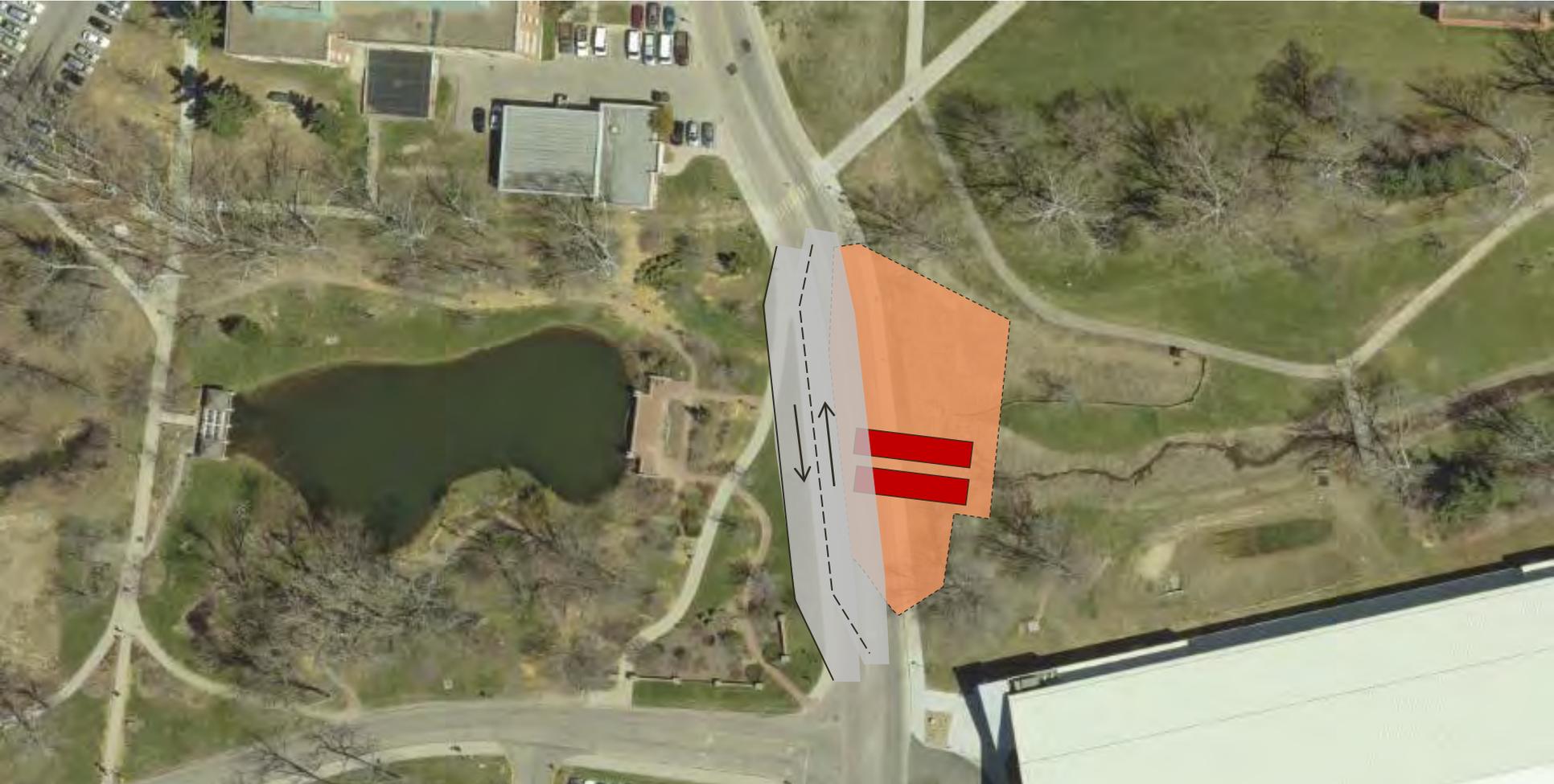


# Installation of North Portion



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# Installation of South Portion



# Schedule for Part Width Construction

- Bidding December 18, 2016 - January 9, 2017
- Commencement April 29, 2017
- Construction Begins April 30, 2017
- Roadway and Pond Impacts Begin April 30, 2017
- Fall Semester Begins August 28, 2017
- Roadway Impacts Complete September 15, 2017
- Construction Complete November 1, 2017



# SOUTH GREEN CULVERT DRIVE REPAIR

## Approval to Construct

Previous Board Budget Approvals and Increases	\$200,000		\$200,000	\$200,000
Current Board Request: Construction		\$1,800,000	\$1,800,000	\$1,800,000
Next Phases			\$0	\$0
<b>Sub-Totals</b>	<b>\$200,000</b>	<b>\$1,800,000</b>	<b>\$2,000,000</b>	<b>\$2,000,000</b>
<i>Board Actions: 2016-3535</i>				
Fund Sources				
State Capital Appropriations			\$0	
State Capital Reappropriations		\$1,564,000	\$1,564,000	
Century Bond	\$200,000	\$236,000	\$436,000	
Other:				
<b>Sub-Totals</b>	<b>\$200,000</b>	<b>\$1,800,000</b>	<b>\$2,000,000</b>	

Fiscal Year	FY16	FY17	FY18	FY19	FY20	FY21	FY22
Schedule							
Activity		Design: Oct 2016 - Dec 2016	Construction: April 2017 - Nov 2017				



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## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **Utility Planning Update**

For the past several years, the University has been developing and implementing plans for energy infrastructure improvements to meet commitments towards three main principles:

- **Manage Risk:** Improve system reliability and provide redundancy
- **Support Sustainability:** Responsible energy use, work towards alternative energy use
- **Enable Future Growth:** Operate and expand energy production and distribution systems, modernize energy systems, integrated planning

Planning for energy infrastructure utilities is complex, as the interconnectivity between various systems, supporting campus growth and the dynamics of transitioning to more sustainable methods requires significant investment and planning. Implementation strategies have evolved as a better understanding of existing energy infrastructure conditions are known and needs identified in the Comprehensive Master Plan (CMP) have been prioritized in the Six-Year Capital Improvement Plan (CIP).

In 2011, the campus contemplated the Lausche Heating Plant Replacement Project with a strategy of a cogeneration plant. Three factors led us to change the scope of the Lausche project: changing energy markets, a better understanding of construction costs, and infrastructure challenges for a combined heating and power plant. A redefined project, the Energy Infrastructure Projects Initiative (EIP), was presented to the Board of Trustees in June 2014 designed to address the following:

- Address critical energy infrastructure needs
- Make progress towards sustainability goals
- Meet institutional objectives and commitments
- Regulatory compliance

As part of the EIP, the University outlined the need to conduct a Utility Master Plan (UMP) to develop a comprehensive energy study for the campus:

- Evaluate and document existing conditions for all energy systems: steam; electric; domestic hot water and chilled water
  - The UMP excludes:
    - Water lines
    - Storm and sanitary sewer lines
    - Gas lines which are owned and maintained by Columbia Gas of Ohio, Inc.
    - Voice and data lines
- Prepare planning documents for the repair, modification, and capacity additions to energy systems

While planning has evolved, the institution has made significant progress through projects such as:

- Transitioning from coal to gas
- Multiple tunnel repairs
- Boiler repair and replacements
- Utility metering
- Chiller replacements
- Miscellaneous electrical, gas and utility upgrades

At the October Board meeting, we will share a status report on the Utility planning efforts, planned finalization of the Utility Master Plan, impacts on the CIP, and next steps on implementation.

# UTILITY PLANNING UPDATE

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Tab



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# Agenda

- I. Defining the Need
- II. Overview of System
- III. Energy Infrastructure Projects Initiative (EIP)
- IV. Utility Master Plan Update
- V. Integration with the Campus Master Plan
- VI. Next Steps
- VII. Discussion

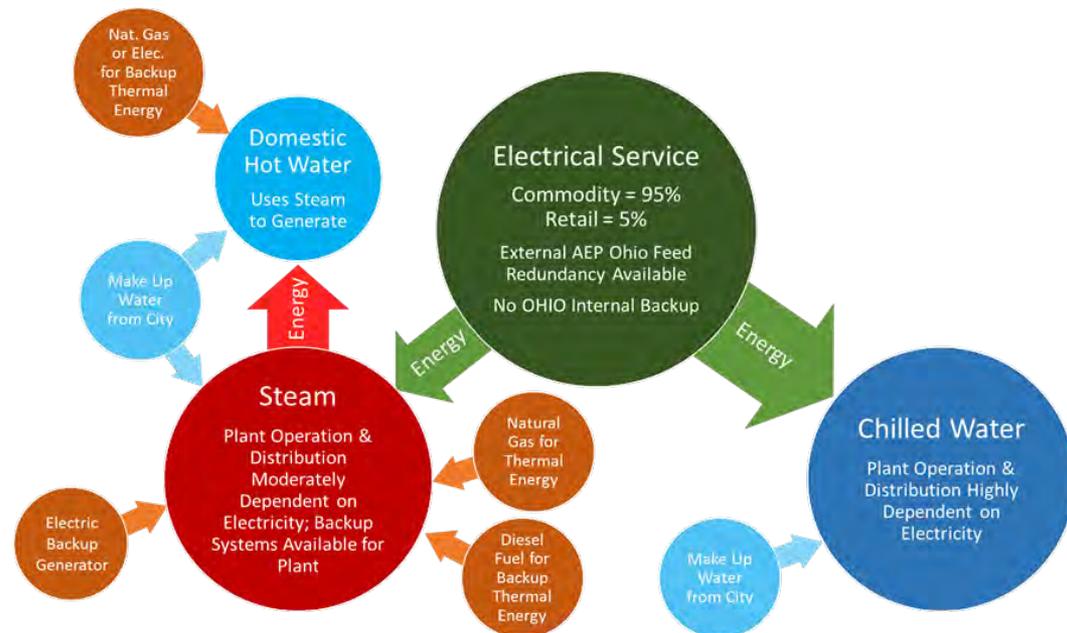


# UTILITY PLANNING UPDATE

## Defining the Need

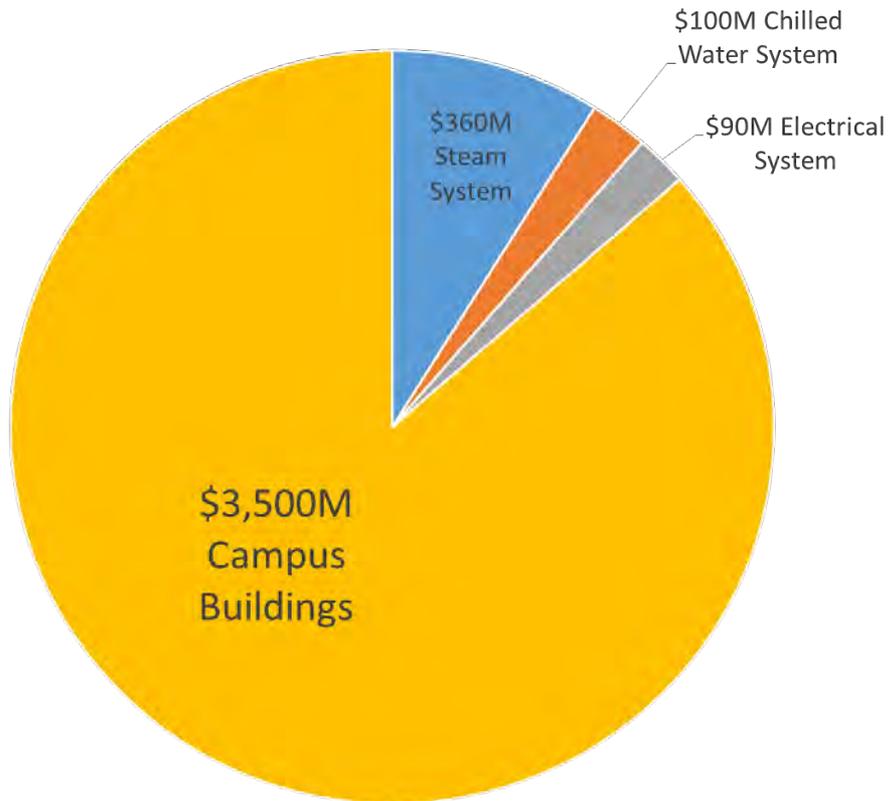
- Never been a comprehensive energy utility study on campus
- Not a complete audit of all system components
- A comprehensive study is essential to planning for long term energy needs, deferred maintenance, and campus growth
- A realistic investment strategy is impossible without an in-depth look at OHIO's energy utilities

It's Complicated.....



# Athens Physical Plant

## Replacement Values

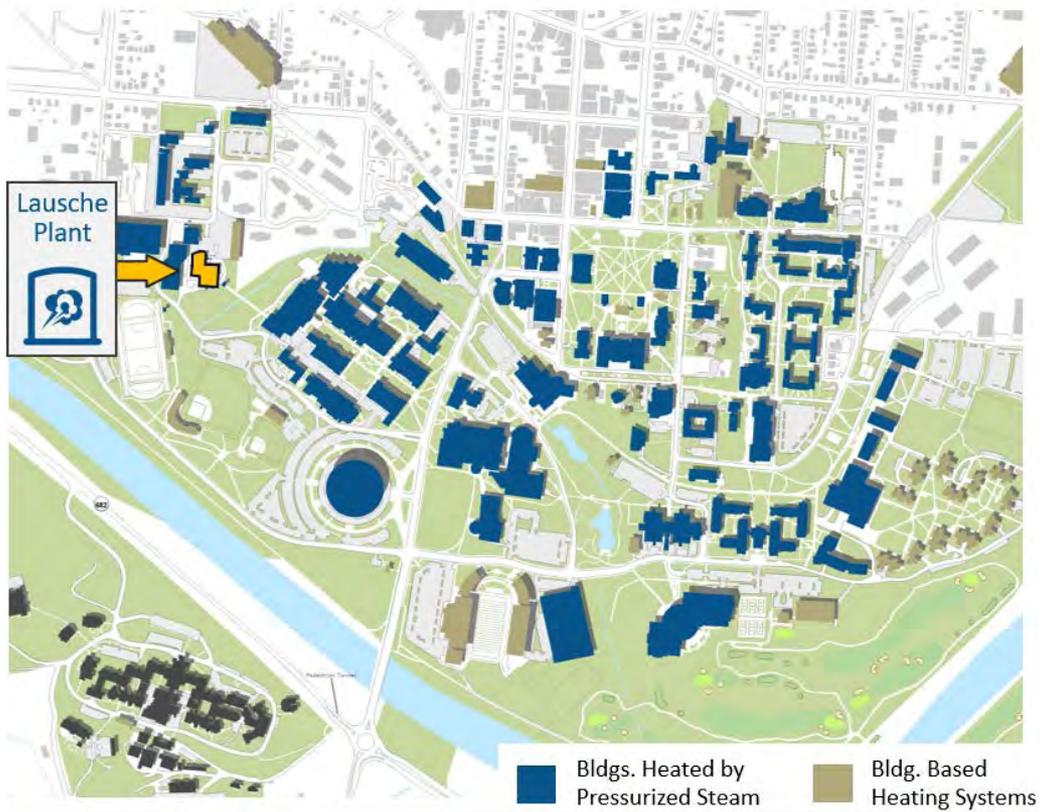


System	Replacement Value
Steam*	\$360M
Chilled Water	\$100M
Electric	\$90M
<b>Total</b>	<b>\$550M</b>

\* Includes District Domestic Hot Water



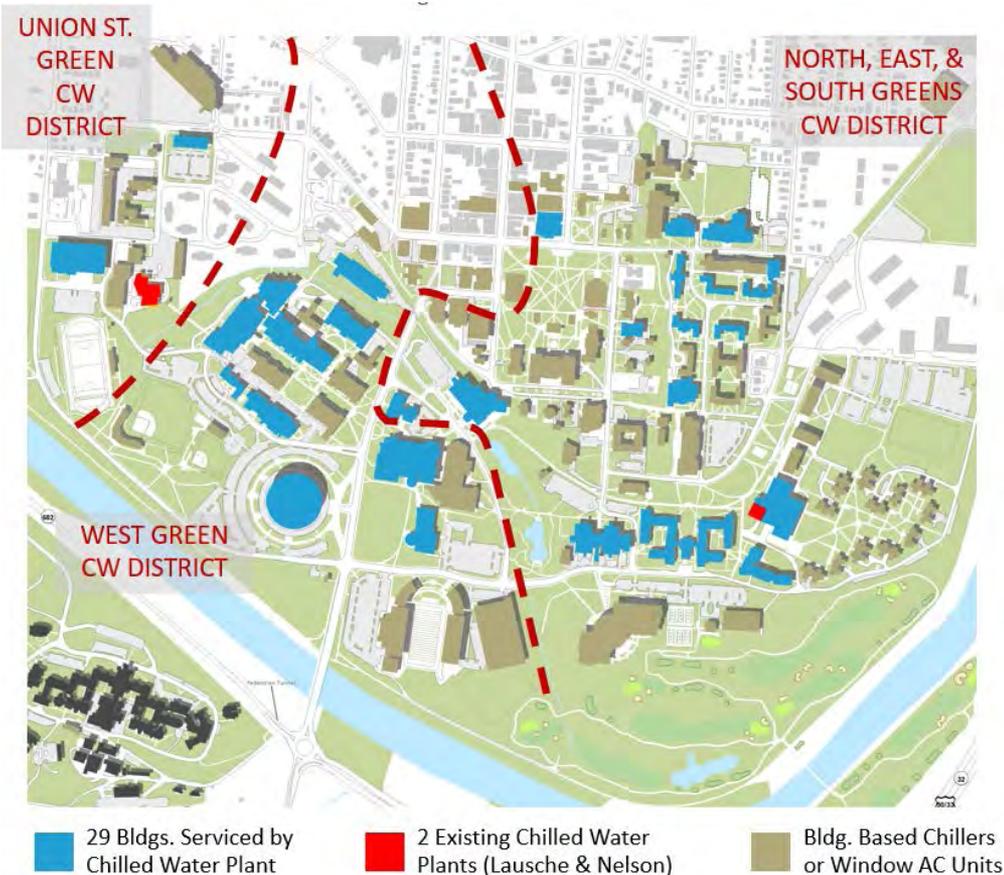
# Steam



- Lausche Heating Plant
- 4.4 miles of tunnels
- 2.2 miles of direct buried pipes
- Electric and data lines share tunnels



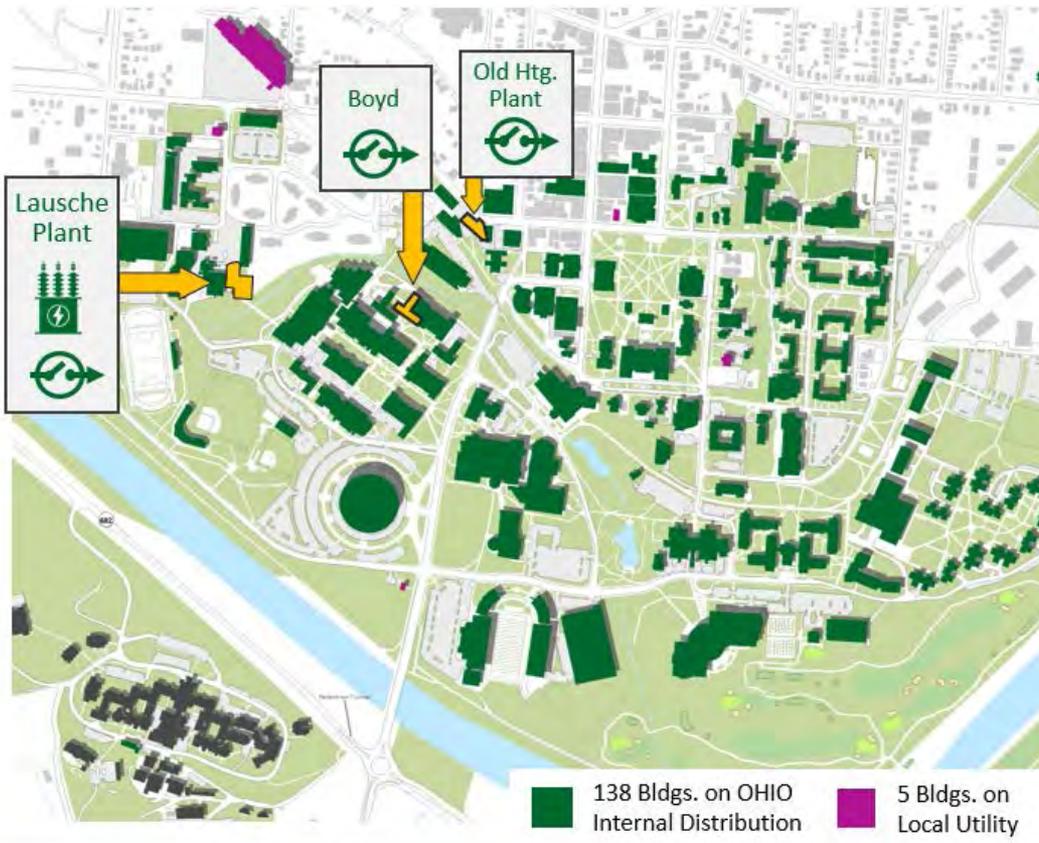
# Chilled Water



- West Green Chilled Water Plant
- Nelson chilled water plant
- 6.8 miles of distribution pipe



# Electric

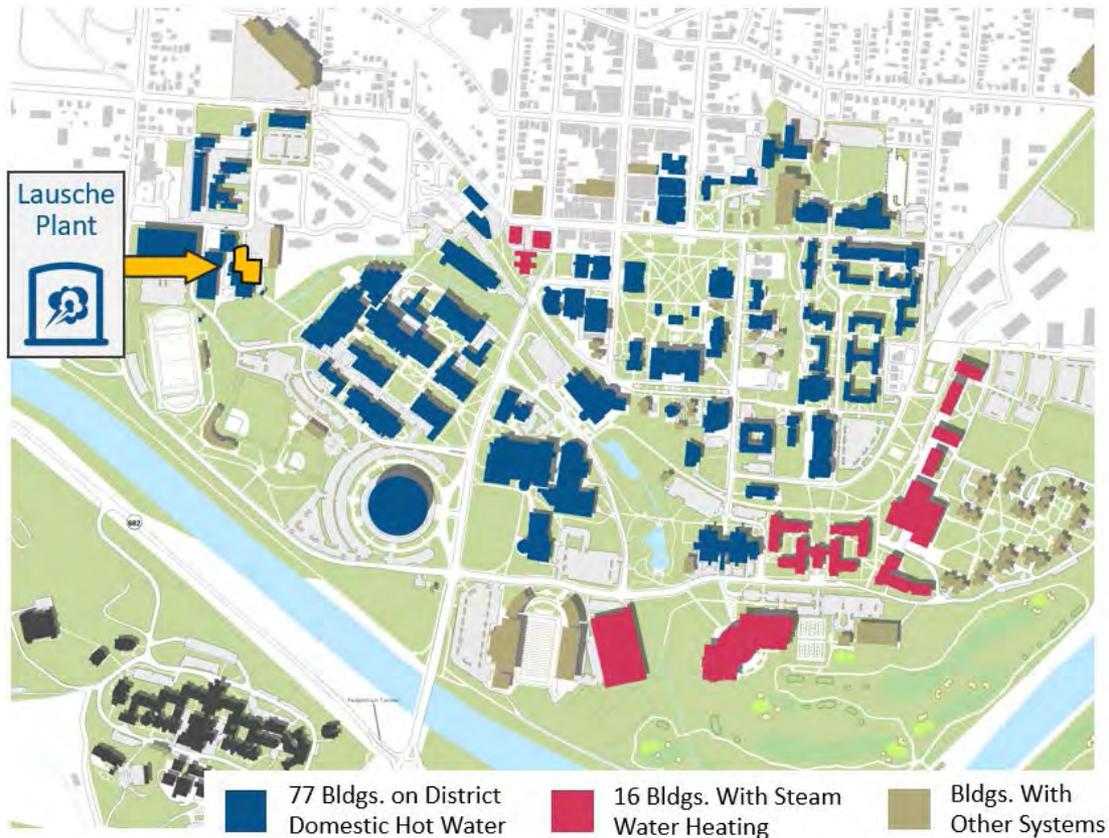


- 18.2 miles of high voltage distribution
- Electric substations & switchgear



# District Domestic Hot Water

- District Domestic Hot Water
- 77 buildings serviced

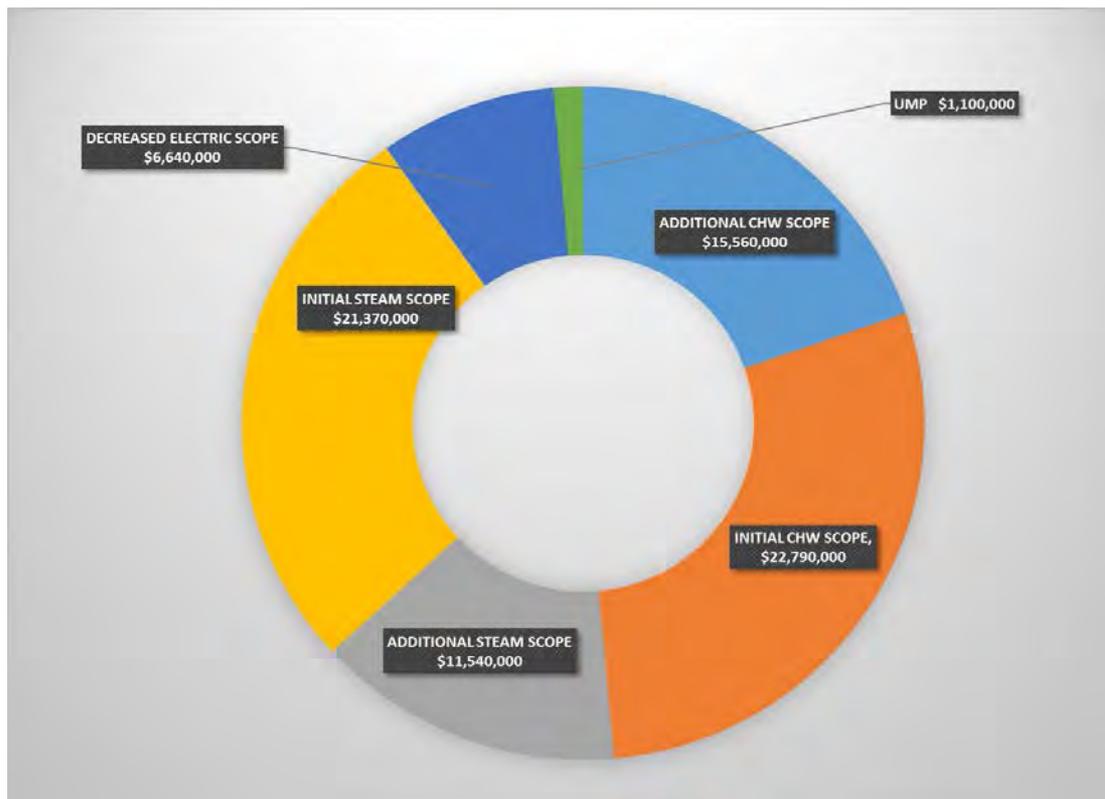


# Energy Infrastructure Projects (EIP) History

Timeline	Milestone
2011-2012	Sustainability and Climate Action Plans
2012	Pursue Combined Heating and Power Plant
June 2013	Presentation to the Board on a plan for new co-generation facility
January 2014	Re-examination of plan to address critical state of utility infrastructure and evaluation of project costs
March – June 2014	Formulation and adoption of EIP to meet immediate infrastructure needs and regulatory requirements
July 2014	Initiated Utility Master Plan
June 2015	Added Chiller Capacity
December 2015	Transition from coal to gas
September 2016	Initial conclusions of UMP



# Energy Infrastructure Projects (EIP) Then



- Conservation
- Develop Utility Master Plan
- Steam
  - Transition off coal to gas
  - Address critical deferred maintenance
- Electric
  - Upgrades to distribution system
- Chilled Water
  - New Chilled Water Plant to meet short term needs
  - Upgrades to distribution system



# UTILITY MASTER PLAN

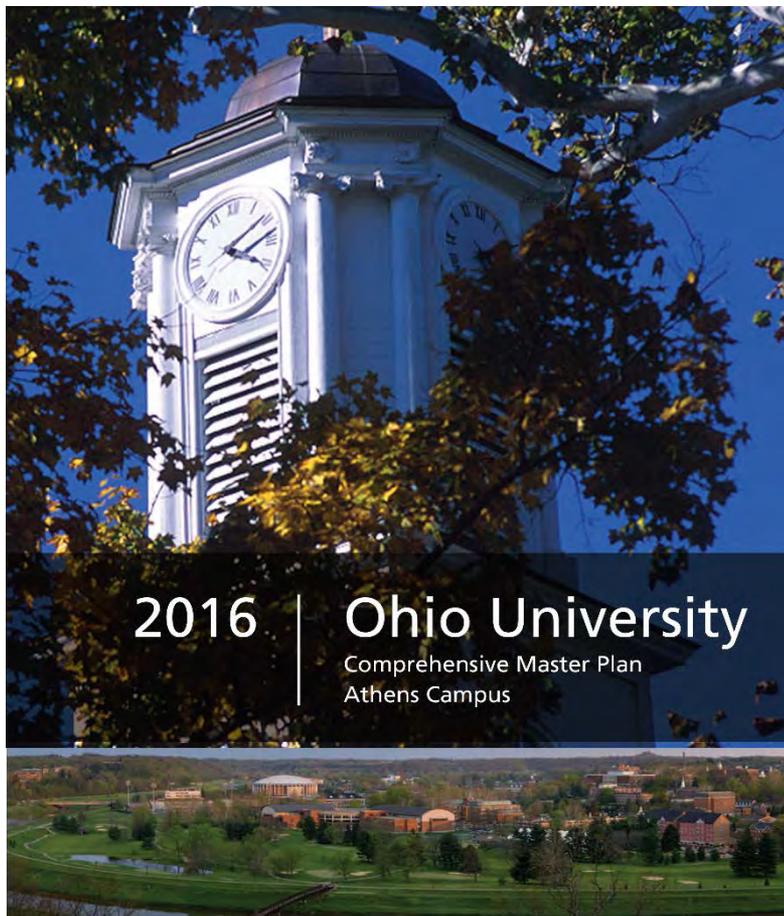
## Principles and Strategies

MANAGE RISK	SUPPORT SUSTAINABILITY	ENABLE FUTURE GROWTH
<ul style="list-style-type: none"><li>• Improve System Reliability</li><li>• Provide System Redundancy</li></ul>	<ul style="list-style-type: none"><li>• Responsible Energy Usage</li><li>• Work towards alternative energy sources</li></ul>	<ul style="list-style-type: none"><li>• Operate and expand energy production</li><li>• Modernize energy system infrastructure</li><li>• Continual planning</li></ul>



# UTILITY MASTER PLAN

## Coordinating Planning Efforts

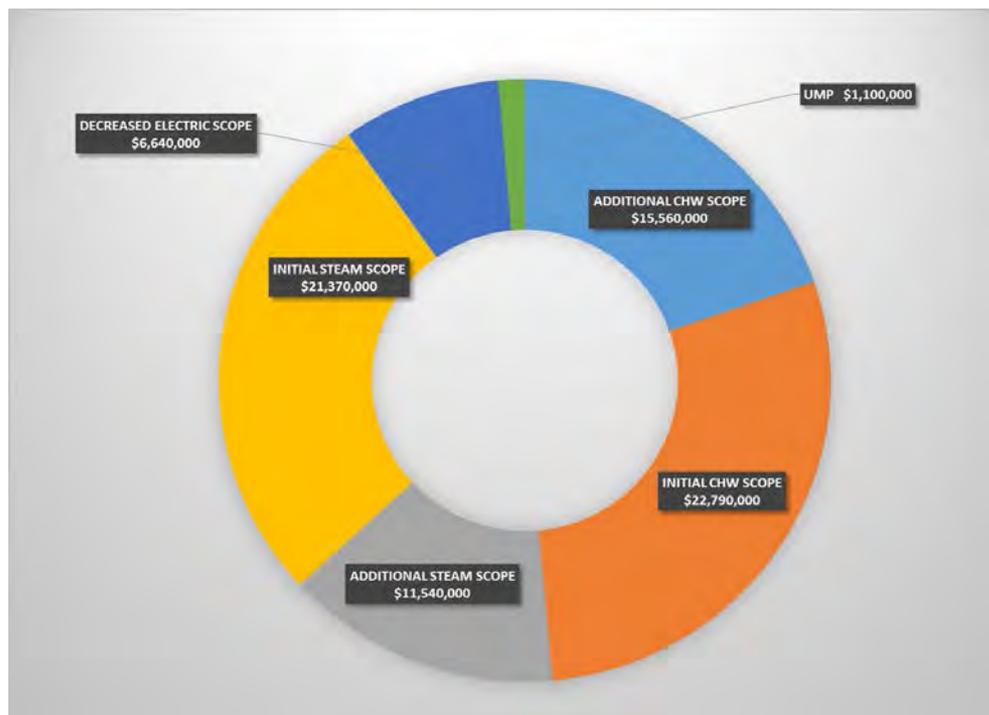


- CMP identified project strategies, but planning was still being developed on project size and relocation strategies
- UMP identified the deferred maintenance conditions (capacity constraints)
- Strategies to reconcile and balance capacity needs and deferred maintenance investments are still being developed
  - Impacts on projects are still being evaluated
- The FY19-FY24 CIP update will incorporate final UMP cost recommendations associated with University project priorities



# Energy Infrastructure Project FY 2017

## \$79M Budget Allocation



- Conservation still key
- Steam
  - Complete transition off coal
  - Address critical infrastructure failures
  - Annual maintenance to keep system operational
- Chilled Water
  - Address building chiller failures
  - Address critical maintenance and safety concerns
  - Meet short term needs to support Clippinger Addition and upgrades to Seigfred Hall
  - Partial funding of new chilled water plant on northeast side of campus
- Electric
  - Deferral of non-critical and non-safety related maintenance needs until at least FY 2023



# Energy Infrastructure Projects (EIP)

## What It Does not Include

- \$8.3M in CIP for utility funding is insufficient to meet needs:
  - Long term growth needs
  - All utility deferred maintenance needs
  - Long term investments required to meet sustainability goals

Funding Strategy	Budget
EIP	\$79.0M
FY 2017 – FY 2022 CIP	\$8.3M
<b>Total Utility Funding</b>	<b>\$87.3M</b>



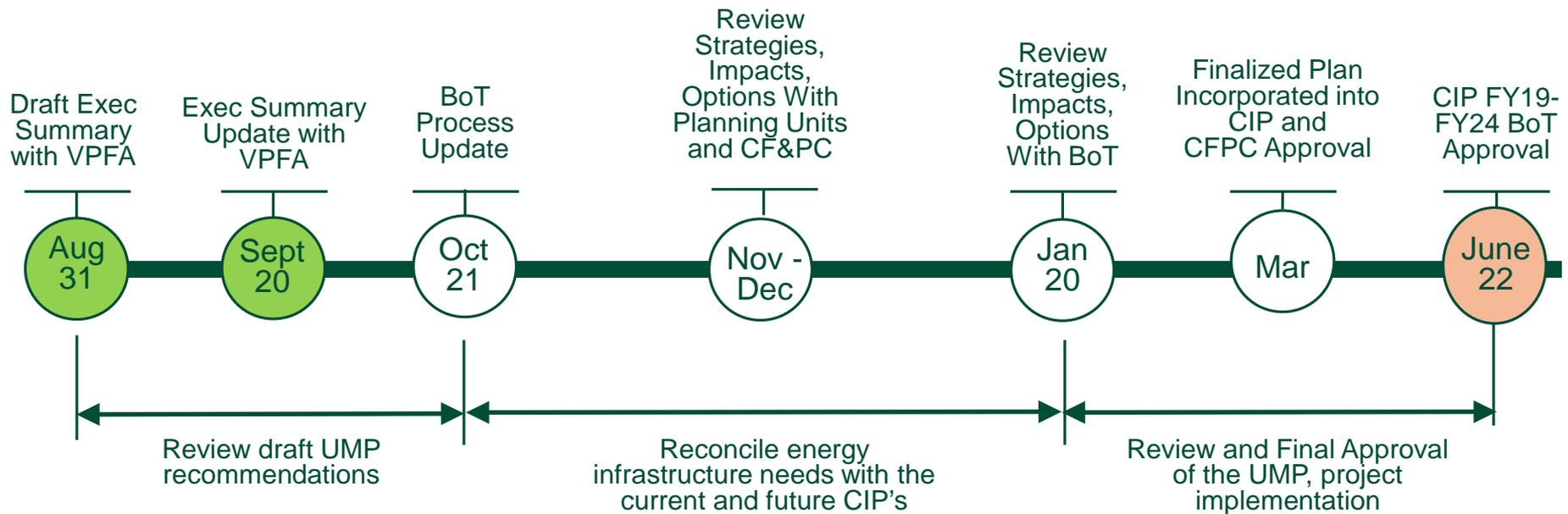
# UTILITY PLANNING UPDATE

## NEXT STEPS

- Major Tasks
  - Reconcile energy infrastructure needs with the current and future Capital Improvement Plans
  - Reprioritize deferred maintenance projects to emphasize short-term energy needs
- Time Frame
  - Review proposed strategies, impacts and options with BoT in January 2017



# Draft Timeline





## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, V.P. Finance & Administration, CFO and Treasurer

**Re:** **Campus Signage & Wayfinding Update**

In March of 2016, the Board of Trustees approved the Comprehensive Master Plan 2016 for the Athens campus. Included in the plan were several recommendations related to OHIO's existing wayfinding system, including a broad recommendation that wayfinding be improved across all of campus, and more specifically that the existing sign standards be updated to address wayfinding deficiencies. Building on that recommendation, the University began a multiphase signage and wayfinding initiative to identify the root causes of wayfinding problems on campus as well as develop new sign standards and guidelines to alleviate these deficiencies. The initiative has the goals of creating a robust system that communicates information to visitors as well as aids in campus navigation, while complementing the University's branding and campus character.

At our October Board meeting, Senior Planner Michael McAvoy, University Planning & Space Management, will share recommendations of the wayfinding and signage initiative as well as invite you to provide feedback. Recommendations for the initiative have not only come from our signage and wayfinding consultant, Ayers Saint Gross, but have also been greatly influenced by a large Advisory Committee, which represents a broad section of campus staff who have frequent contact with first-time visitors (please see the attached list of participants). As the initiative moves towards completion later this fall with the finalization of new sign guidelines, your feedback as well as that from the Advisory Committee will help bring about its successful conclusion. Early in 2017, we will return to the Board for review and approval of the completed sign guidelines.

### *Existing Sign System Background*

The University currently guides visitors across campus with an exterior sign system, which was first implemented in 1987. This system's standards were developed primarily to service building identification needs, with little emphasis placed on vehicular or pedestrian signage to direct visitors to major destinations within the campus. The signs in the standard were created to be attractive, unobtrusive, and complement the campus aesthetic by not detracting from the architecture of the University's buildings.

Over the past three decades, visitor activity has increased significantly at Ohio University. With increasing numbers due to activities such as Bobcat Student Orientation, family weekends, departmental conferences, community use of campus facilities, and ever-larger special events, the current sign system is not capable of adapting to the University's wayfinding needs. As such, University staff have provided routine feedback regarding challenges guests have navigating our campus by vehicle and on foot. Additionally, access from the highways and surface roads into campus can be confusing for visitors, pedestrian signage within campus is essentially non-existent, and our 1970's era campus map is not easily interpreted. Coupled with a cohesive Georgian architectural style that makes one campus green look very similar to another, guests to the University can quickly become disorientated and frustrated. This condition can create a negative first experience of Ohio University for visitors, including prospective students and their families. As a result, many departments and colleges have resorted to their own devices to compensate for the lack of wayfinding, creating an army of unattractive and costly temporary signs that string about the campus for most of the year.

### *Campus Signage & Wayfinding Process*

The process has been established to not only update the University's sign standards, but also to allow for routine review and vetting by administrative and academic leadership groups as well as the University community. The process initially began with Discovery, where the University's existing signage and wayfinding needs were identified, guiding principles for new signs were developed, and a conceptual sketch was created to illustrate potential thematic colors, shapes, and scale of a new sign system. The resulting Discovery efforts were presented to and approved by the *Capital Funding & Priorities Committee* in December 2015.

As of today, the conceptual sketch has been expanded to an entire family of signs, specifically created to address critical wayfinding needs on campus. The effort will culminate later this Fall with the development of sign guidelines, which will not only document the colors, dimensions, and graphic elements of our new signs, but also provide planning principles and placement criteria for their careful and strategic implementation on campus so as to not detract from the University's character.

The process, phasing, and costs for implementing new signs across campus have yet to be determined, though it is anticipated that campus-wide implementation of the entire sign family may be approximately \$3,000,000. However, the costs associated with an initial implementation phase, which includes replacement of all parking and vehicle directional signs across campus, has conceptually been accounted for the FY17-FY22 Six Year Capital Improvement Plan for \$600,000. The costs associated with an initial phase of implementation, as well as for the entire family of signs, will be refined in the coming months as the Signage Guidelines are completed.

If you have any questions, or if I can be of further assistance, please contact me at your convenience.

## Campus Signage & Wayfinding Update

### Planning Team

University Planning  
Consultant

Michael McAvoy, Senior Planner  
Ayers Saint Gross

### Original Advisory Committee

*(note: some committee members have included participation of senior staff)*

<u>Area</u>	<u>Committee Member</u>
Accessibility	Laura Myers, <i>Exec. Dir. of the Office for Institutional Equity</i>
Administrative Services	Joseph Lalley, <i>Senior Associate V.P. for Information Technologies &amp; Administrative Services</i>
Admissions (Provost's Office)	Candace Boeninger, <i>Asst. Vice Provost &amp; Director of Undergraduate Admissions</i>
Architecture, Design & Construction	Richard Shultz, <i>University Architect</i>
Athletics	Jason Farmer, <i>Asst. Athletics Director for Facilities</i>
Baker Center	Dusty Kilgour, <i>Exec. Director of Event Services</i>
Campus Signage	Blaine Gabriel, <i>Director of Printing Services</i>
Campus Visit Programs	Kevin Witham, <i>Sr. Assoc. Director for Campus Visit &amp; Off-Campus Programs</i>
Center for International Studies	Diane Cahill, <i>Senior Business Manager for the CIS</i>
City of Athens	Paul Logue, <i>City Planner</i>
Communications & Marketing	Mark Krumel, <i>Senior Director Marketing Services</i>
Human Resources	Nick Wortman, <i>Director of HR Partnerships &amp; Services</i>
Institutional Equity	Dianne Bouvier, <i>Director of Equal Opportunity and Accessibility</i>
OIT	Ron Williams, <i>IT Design Specialist</i>
OUPD	Andrew Powers, <i>Chief of Ohio University Police</i>
Orientation Programs	Jennifer Klein, <i>Asst. Dean for Persistence &amp; Student Success</i>
Recreation	Mark Ferguson, <i>Exec. Director of Campus Recreation</i>
Residential Housing	Peter Trentacoste, <i>Exec. Director of Residential Housing</i>
Risk Management	Jeff Campbell, <i>Director of Environmental Health and Safety</i>
Student Affairs	Christine Sheets, <i>Asst. V.P. for Capital &amp; Facilities Planning</i>
Transportation & Parking	Martin Paulins, <i>Director of Transportation &amp; Parking Services</i>
Transportation Parking Committee	Greg Kessler, <i>Chair of the Transportation Parking Committee</i>
University Planning	Shawna Bolin, <i>University Planner and Director of University Planning &amp; Space Management</i>

# CAMPUS SIGNAGE & WAYFINDING

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# CAMPUS SIGNAGE & WAYFINDING

## Agenda



- Background
- Objectives & Strategies
- Process
- Recommendations
- Feedback
- Next Steps



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# BACKGROUND

## Concepts



*Aids navigation*



*Carefully sequenced*



*Enhances understanding*



*Uses colors & symbols*

### *Wayfinding*

- A plan for organizing and communicating information
  - Aids navigation with multiple tools
  - Carefully plans a sequence to guide people through a physical environment
  - Enhances their understanding and experience of the space
  - Uses colors, symbols, maps, online tools, & signs for a comprehensive system

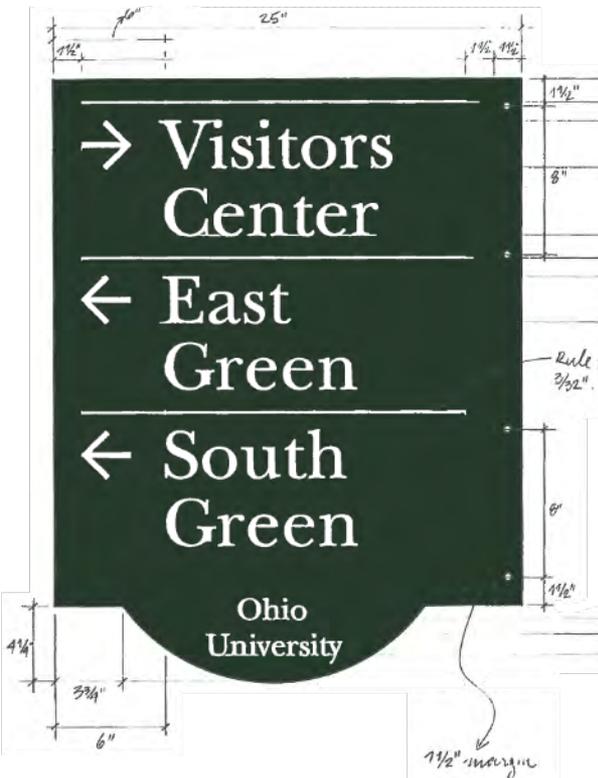
### *Signage*

- Uses visual graphics to convey information to a specific group
  - Communicates to audiences with symbols, messages, and color
  - Provides a strong indication of where a user is and how to get to a new destination from their current location



# BACKGROUND

## Existing Wayfinding System



- Existing campus wayfinding issues
  - Sparse signage for vehicles or pedestrians, with few visual cues
  - Campus green boundaries are indistinct
  - Building and parking lot signage are too small to read from passing vehicles
  - Accessible signs are almost non-existent
- Existing 1987 sign standards
  - Attractive design that succeeds in complementing the campus aesthetic
  - Signs are undersized for the needs of pedestrians and drivers
  - Little emphasis placed on vehicular, pedestrian, or transit signage
  - Sign system is not designed to handle large volumes of new visitors



# BACKGROUND

## Drivers of Change



- Direct feedback from the University and local community
  - Access from the highways is confusing
  - First time visitors get confused driving and walking through campus
  - Departments use temporary signs to compensate for lack of wayfinding
  - Lack of wayfinding creates a negative first impression for prospective students
  
- Existing sign system cannot handle increasing numbers of new visitors
  - Bobcat Student Orientation
  - Family weekends
  - Community use of campus
  - College conferences and guests
  - Ever-larger special events



# OBJECTIVES & STRATEGIES

## Defining a Successful Initiative



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- High level objectives
  - Create a system that communicates information and aids navigation
  - Leverage maps, signs, landmarks, and technology for a comprehensive system
  - Ensure the system enhances the campus aesthetic and reinforces OHIO's brand
- Build from the CMP 2016
  - 5 Core Ideas
    - Stewardship of Assets
    - Distinctive Setting
    - **Campus of Greens**
    - Connected & Integrated
    - **Welcoming & User-Friendly**
  - Wayfinding recommendations
    - Improve wayfinding across campus
    - Develop new signage standards
    - Reconsider locations of signs

# OBJECTIVES & STRATEGIES

## Developing the Initiative



### Advisory Committee Representation

- Accessibility
- Administrative Services
- Admissions
- Architecture Design & Construction
- Athletics
- Baker University Center
- Campus Recreation
- Campus Visit Programs
- Center for International Studies
- Communications & Marketing
- City of Athens
- Human Resources
- Institutional Equity
- OIT
- OUPD
- Orientation Programs
- Printing Services
- Provost's Office
- Residential Housing
- Risk Management
- Student Affairs
- Transportation & Parking
- University Planning

- Create a multi-phase approach
  - Discovery & Concept Development
  - Signage Guidelines
  - Implementation
- Use an Advisory Committee & Working Groups
  - Broad cross section of stakeholders guiding the process at every step
- Establish touchpoints & vetting
  - University Community
  - Academic Leadership
  - Senior Leadership
  - City of Athens



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# PROCESS

## Discovery



- Visioning

- Exploring the University need with the Advisory Committee & Working Groups
- Educating participants on wayfinding and signage principles
- Identifying audiences and destinations
- Hands-on exercises to establish image and style baseline preferences

- Making General Observations

- Confirming the signage concerns
- Observing how visitors and students navigate campus
- Testing effectiveness of existing signs
- Exploring scale and typography



# PROCESS

## Creating Guiding Principles



- Improve the visitor experience, including those with accessibility needs, and support the University brand
- Be extensible and flexible to accommodate an increasing population as well as diverse needs for current and future growth
- Complement the campus character and traditions, while celebrating its best features
- Be effective and efficient, with a thoughtful economy of information in strategic locations
- Support incremental phasing to complement existing campus signs



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# PROCESS

## Testing & Vetting

*Sign principles, recommendations, and conceptual development have been repeatedly tested and vetted*

- Advisory Committee, Academic Leadership, & University Leadership
- Faculty, staff, students, and prospective students at public displays in the Baker University Center
- Field trials with full size mock-ups



# RECOMMENDATIONS

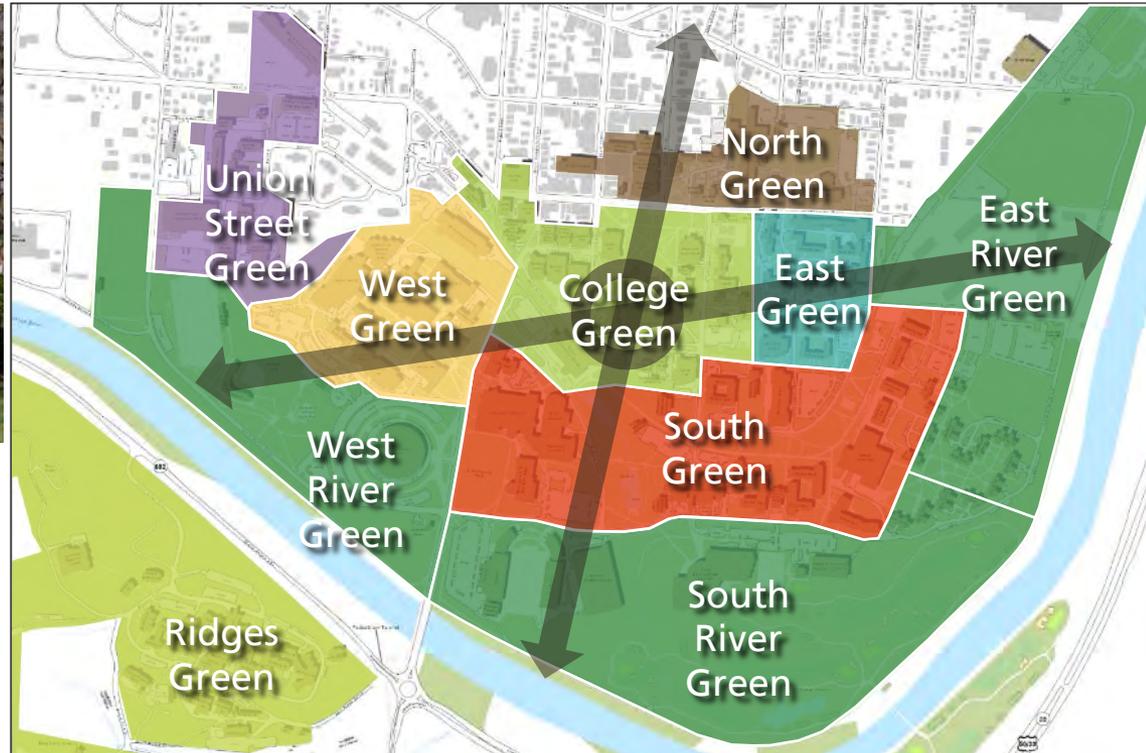
## Leverage Campus Greens

*Issue: campus greens, landmarks, topography, and landscape features are not used to assist visitors*

- Leverage the greens as an organizational theme for navigation
- Establish sign elements to distinguish each individual green



*Above: the edges of College Green have distinctive boundaries and gateways, while most other greens do not have distinctive boundaries, leading to visitor confusion*



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# RECOMMENDATIONS

## Create a Pedestrian Sign Family

*These signs not only reinforce green identity, but they also provide directional cues for pedestrians, providing a level of assurance that currently does not exist on campus*

**Pedestrian  
Directional  
Sign**



**Wall-mounted  
Building Sign**



**Map  
Kiosk**



**Ground-mounted  
Building Sign**



**Interpretive  
Sign**

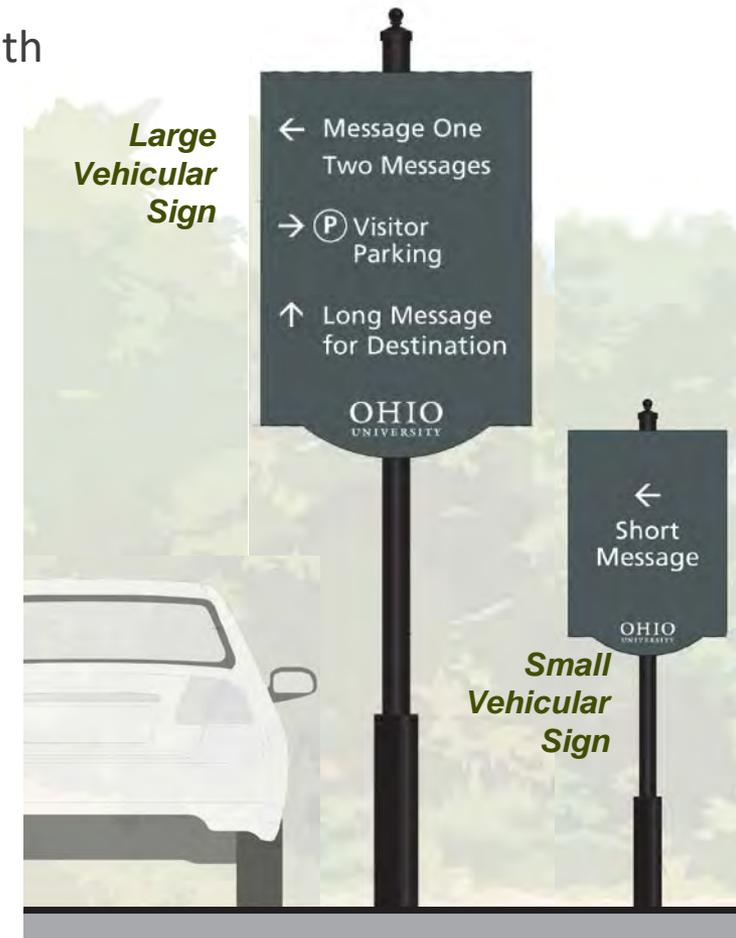
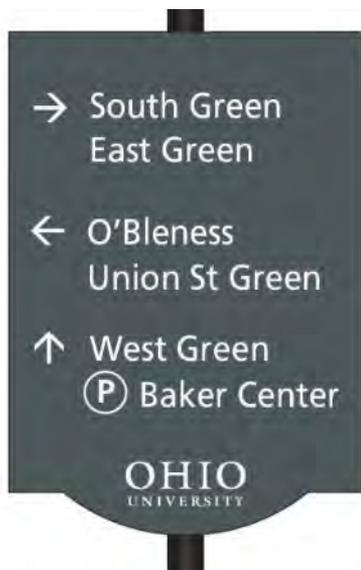


# RECOMMENDATIONS

## Improve Vehicular Signs

*Issue: the vehicular arrival sequence is undersigned and the signs are too small, leading to visitor confusion*

- Simplify campus messaging for visitors in cars with “express” destinations
- Improve sign size and locations



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# RECOMMENDATIONS

## Improve Parking Signs

*Issue: existing parking signs are confusing and detract from a visitor's first impression of campus*

- Reinforce campus location by renaming parking lots based on greens & simplify messaging
- Coordinate new signs to complement future parking policies



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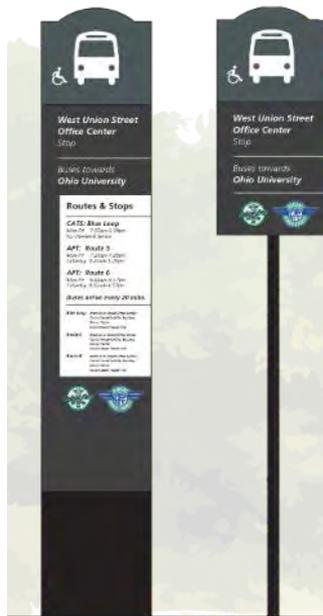
# RECOMMENDATIONS

## Add Transit & Accessibility Signs

*Issue: the University has identified additional signage needs necessary to improve visitor and community experiences on campus*

- New transit signs to unify CATS and APT
- Accessibility signs clarify ADA routes

**Large & Small  
Transit Signs**



**Accessible  
Route Sign**



**Accessible  
Entry Sign**



# RECOMMENDATIONS

## Complement Campus Character

*Pedestrian directional signs, building signs, and map kiosks reinforce each green's identity and complement campus character*



*Above: College Green rendering*



*Above: West Green rendering*



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# RECOMMENDATIONS

## Complement Campus Character

*Vehicular signs are appropriately sized for the environment as well as improved legibility, with simple and clear “express” destinations*



*Above: vehicular sign rendering on South Green Drive across from Ping Center*



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# FEEDBACK

## Advisory Committee & Board of Trustees



# NEXT STEPS

## Completing the Sign Planning Initiative



- Signage Guideline Development
  - Establishes principles for how the signs should integrate with other wayfinding elements such as websites, mobile apps, maps, etc.
  - Includes graphic representations of all signs, including colors, sizes, brand identity, and typography
  - Explains criteria for the placement of each type of sign on the campus
- Anticipated completion this Fall
- UPSM will return to the Board of Trustees for review & approval in early 2017



# NEXT STEPS

## Implementation Planning



Above: mock-up on South Green Drive

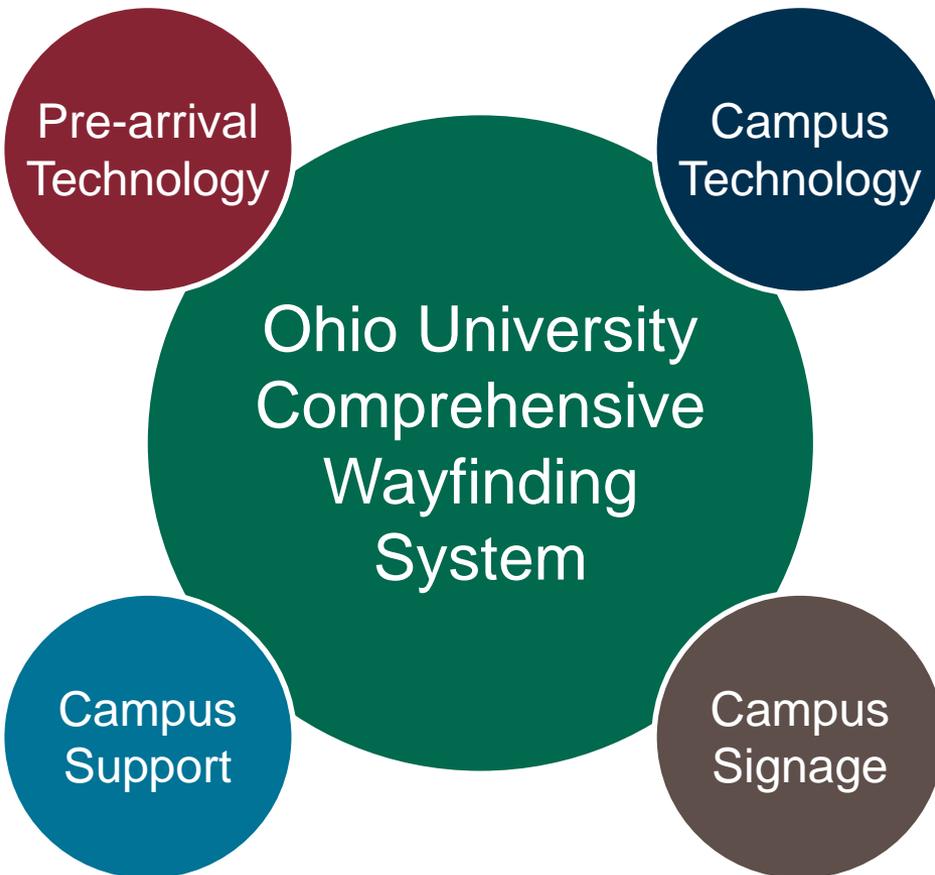
FY17 - FY22 6 Year Capital Improvement Plan		Six Year Total
Classification & Project		Shown in Millions
<b>University Initiatives</b>		<b>\$22.50</b>
Small House Strategy		\$5.00
ADA		\$1.50
Classroom Improvement Plan		\$6.00
Campus Wayfinding Phase One		\$0.60
Park Place Strategy		\$7.00
Real Estate Investments		\$2.40

- Multi-phase strategy to accommodate funding and timing within the context of the CIP
- Strategies for different sign types
  - As part of future parking policy changes
  - As part of individual sign installation projects, campus-wide or by green
  - As part of larger projects, such as renovations or other improvements
- Implementation costs
  - Exact costs are being worked out as part of defining an implementation scope and phasing schedule, but an initial phase is accounted for in the CIP



# NEXT STEPS

## Envisioning a Wayfinding System



- While signage is the most visible component of a wayfinding system, there are other supporting elements
- Pre-arrival technology
  - OHIO website information
  - Online mapping
- Campus technology
  - Mobile navigation apps
  - QR Codes
  - Interactive kiosks
- Campus support
  - Printed maps
  - University staff
- Goal is to improve our wayfinding system so elements work in unison



# NEXT STEPS

## Campus Technology



*Above: Current 1970's era 3-D campus map*



*Above: OHIO's GIS can serve as the backbone for web-based wayfinding and mobile applications*

- There is a broad-based demand from University departments and colleges for online and mobile wayfinding tools
- The existing campus map
  - 3-D format can be confusing to visitors
  - Not flexible for different campus needs (Parking, Athletics, etc.)
  - Does not easily support online and mobile wayfinding tools
- OHIO's GIS data
  - Accurate and up-to-date
  - Can support online and mobile applications
  - GIS data supports turn-by-turn campus navigation and information queries



# CAMPUS SIGNAGE & WAYFINDING SUMMARY

- Updating a 30-year Old Sign Standard
  - Retaining a similar aesthetic style
  - Improving legibility and scale
  - Expanding sign tools to assist visitors
  - Complementing the Comprehensive Master Plan
- New Signage Guidelines Will Establish
  - Sign planning principles
  - Guidance on how to implement the signs
  - Policy recommendations for other elements of a comprehensive system
- GIS-based Wayfinding Maps
  - Accurate and up-to-date
  - Suitable for online & mobile wayfinding applications





## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re: Facility Project Status Report**

In order to keep the Board of Trustees informed regarding implementation status of our Six-year Capital Investment Plan (CIP), we have developed the enclosed "Facility Project Status Report". This report includes all active projects which have been approved for expenditure. The report is categorically organized consistent with the Six-year Capital Investment Plan:

- Academic and Programmatic Renewal
- Deferred Maintenance
- Regional Campuses
- University Initiatives
- Utility System Upgrades
- Auxiliaries & Student Affairs/Housing Residence Life

Each group of projects is further sorted by the date the project design is planned to start or has started in descending order.

Information currently captured on the report includes:

- CIP Reference: Indicating whether the project was specifically included in the Six-Year CIP approved by the Board of Trustees. Projects included in "N/A" may be below the planning threshold, interim project identified by planning units (often funded by department reserves), or emergency projects
- Planned project Design Start and Construction End dates
- Project Budget: Original estimates at project inception/approval and current/revised estimate if relevant
- Current Phase of the project indicating where the project is in its lifecycle: Planning, Design, Construction, Closeout
- Expenditures: Indicates amounts authorized for expenditure to-date against total project budget as well as expenditures incurred and recorded to-date
- Funding sources approved to fund the project

This report will be included as a regular report to the Resources Committee. Highlights of the projects are included in the presentation which will be reviewed at the meeting.

**Ohio University Architecture Design and Construction  
Project Status Report**

Project Name	Part of CIP			Start Date	Finish Date	Budget		Current Phase	Expenditures		Funding Sources			
	FY15-20	FY17-22	N/A			Original	Revised		Authorized	To-Date	Century Bond	State Capital	Gift	Reserves
<b>Academic/Programmatic Renewal</b>														
Clippinger Laboratories Ph 1 Addition		x		Jan-17	Aug-20	\$ 42,600,000		Planning			x	x		x
Alden Library First Phase		x		Jan-17	Aug-17	\$ 2,700,000		Design	\$ 300,000	\$ 100,657		x		x
The Perry and Sandy Sook Academic Center		x		Dec-16	Sep-18	\$ 6,165,180		Planning					x	
Seigfred Hall Renovation Ph 2	x			Nov-16	Aug-18	\$ 17,600,000		Planning			x	x		x
Ellis Hall Renovation 2016	x	x		Oct-16	Aug-18	\$ 13,000,000		Design	\$ 1,300,000			x		x
Grover Public Restroom Improvements	x			Sep-16	Jan-17	\$ 189,000		Design	\$ 189,000					x
Corrosion Center Fume Hoods	x			Sep-16	Dec-16	\$ 37,000		Closeout	\$ 7,700	\$ 6,279				x
Grover E306 Sink	x			Sep-16	Sep-16	\$ 9,000		Closeout	\$ 9,000	\$ 6,150				x
Ridges Observatory	x			Aug-16	Mar-17	\$ 320,000		Design	\$ 1,500,000	\$ 252,893				x
RTEC 105 Renovation	x			Aug-16	Oct-16	\$ 31,150		Planning	\$ 31,150	\$ -				x
Copeland Hall 101 Upgrades	x			Jul-16	Oct-16	\$ 15,000		Closeout						x
HCOM Cleveland/Dublin		x		Jun-16	Mar-17	\$ 880,000	\$ 1,018,160	Design						x
Alden 251 Lab Reconfiguration	x			May-16	Aug-16	\$ 20,200		Closeout	\$ 20,200	\$ 9,700				x
Stocker 326 Renovation	x			May-16	Nov-16	\$ 59,300		Planning						x
Stocker 3rd Floor Carpet, Paint, Signage	x			May-16	Nov-16	\$ 198,000		Construction	\$ 198,000	\$ 54,535				x
Morton Hall 321 Upgrade	x			May-16	Aug-16	\$ 30,000		Closeout	\$ 30,000	\$ 28,077				x
ARC 355 and 359 Lab	x			Apr-16	May-16	\$ 400,000	\$ 439,732	Closeout	\$ 439,732	\$ 420,473				x
Corrosion Multiphase Office Addition	x			Mar-16	Dec-16	\$ 1,600,000		Closeout	\$ 1,600,000	\$ 1,504,548			x	x
Grover Center E-112 Expansion	x			Feb-16	Aug-17	\$ 11,000,000		Construction	\$ 11,000,000	\$ 3,906,313				x
Chubb 060, 140 Reconfigure	x			Jan-16	Sep-16	\$ 241,000		Construction	\$ 241,000	\$ 119,619				x
Morton Hall 201, 235, 237	x			Jan-16	Aug-16	\$ 1,500,000		Construction	\$ 1,477,930	\$ 968,502		x		
Computer Service Center Ground, 1st, and 3rd	x			May-15	Jul-16	\$ 3,000,000	\$ 3,660,000	Closeout	\$ 3,660,000	\$ 3,054,118			x	x
McCracken Hall Renovation	x			Nov-14	Dec-16	\$ 32,100,000	\$ 32,798,000	Construction	\$ 32,798,000	\$ 25,528,585			x	x
<b>Deferred Maintenance</b>														
Perkins Hall Fire Alarm and Electrical Upgrage		x		Jul-17	Nov-17	\$ 800,000		Planning						x
Campus-Wide Steam Dist./Tunnel Imprvmts		x		Jun-17	Nov-17	\$ 1,500,000		Planning			x			
Lot 20 Retaining Wall			x	May-17	Aug-17	\$ 499,000		Planning	\$ 41,000	\$ 92				x
Building Sanitary and Storm Pump	x			Jan-17	May-17	\$ 225,000		Planning	\$ 225,000	\$ 7,620	x			
Fire Panel Replacement Various/Phase I		x		Dec-16	Jun-17	\$ 400,000		Planning	\$ 400,000	\$ -	x			
Library Annex HVAC/Controls	x			Dec-16	Jul-17	\$ 650,000	\$ 967,000	Design	\$ 130,850	\$ 39,424	x	x		
McCracken N Field Lighting Impv			x	Nov-16	Feb-17	\$ 35,000		Planning	\$ 35,000	\$ -				x
Old Heating Plant Roof	x			Nov-16	Jan-17	\$ 150,000		Planning	\$ 150,000	\$ 283	x			
Aquatic Center Roof			x	Oct-16	Dec-16	\$ 150,000		Design	\$ 150,000	\$ -				x
Stocker 051 Air Compressor			x	Aug-16	Nov-16	\$ 3,000		Planning	\$ 3,000	\$ -				x
South Green Dr Culvert Repair			x	Aug-16	Sep-17	\$ 2,000,000		Design	\$ 617,292		x			
Scott Quad Window Replacement	x			Aug-16	Apr-17	\$ 900,000		Planning			x			x

**Ohio University Architecture Design and Construction  
Project Status Report**

Project Name	Part of CIP			Start Date	Finish Date	Budget		Current Phase	Expenditures		Funding Sources			
	FY15-20	FY17-22	N/A			Original	Revised		Authorized	To-Date	Century Bond	State Capital	Gift	Reserves
Scott Quad/Botanical Research Generator Upgrade	x			Aug-16	Jan-17	\$ 400,000		Construction	\$ 400,000	\$ 259,475	x			
Crawford Hall Electrical/Fire System Upgrade			x	Jul-16	Nov-16	\$ 800,000		Closeout	\$ 800,000	\$ 613,965				x
Glidden Hall Stair Repair			x	Jun-16	Jul-16	\$ 59,800		Closeout						x
Cutler Basement Hallway & Restroom Upgrade			x	May-16	Jun-16	\$ 52,200		Closeout	\$ 52,200	\$ 37,418				x
Richland Avenue Safety Lighting COA	x			May-16	Nov-16	\$ 350,000		Construction	\$ 390,000	\$ 259,173	x			
Chubb Hall Chiller Replacement	x			Apr-16	Jun-16	\$ 850,000		Closeout	\$ 850,000	\$ 692,132	x			
Copeland Hall Chiller Replacement	x			Apr-16	Jul-16	\$ 600,000	\$ 725,000	Closeout	\$ 750,000	\$ 680,929	x			
Ellis Hall Chiller Replacement	x	x		Apr-16	May-16	\$ 800,000		Closeout	\$ 800,000	\$ 632,411	x			
Accelerator Lab - OIT Room Generator Connection			x	Apr-16	May-16	\$ 5,500		Closeout	\$ 5,500	\$ 4,146				x
Wilson Hall - 2016 Ext Improvements			x	Mar-16	Dec-16	\$ 150,000		Construction	\$ 5,800	\$ 229				x
Cutler Hall - 2016 Ext Improvements	x			Mar-16	Dec-16	\$ 235,000		Construction	\$ 235,000	\$ 229	x			
Bush Airport Runway Rehabilitation	x			Mar-16	Oct-16	\$ 2,400,000	\$ 2,736,905	Construction	\$ 2,682,346	\$ 236,020			x	x
Washington Hall Stone Entry Repair			x	Mar-16	Dec-16	\$ 70,000		Planning	\$ 70,000	\$ -				x
Van Vorhes Improvements	x			Mar-16	Nov-16	\$ 1,302,000	\$ 850,000	Construction	\$ 810,450	\$ 546,946		x		
Bentley Hall Roof Upgrades	x			Mar-16	Oct-16	\$ 575,000		Construction	\$ 575,000	\$ 155,675	x			
Campus Fire Alarm Upgrades 2015	x			Mar-16	Oct-16	\$ 400,000		Construction	\$ 400,000	\$ 215,811	x			x
Convo - Concrete Ramp Coatings	x			Mar-16	Aug-16	\$ 57,000		Closeout	\$ 57,000	\$ 55,125	x			
2016 Campus Asphalt Maintenance	x			Mar-16	May-16	\$ 150,000		Closeout	\$ 150,000	\$ 108,244				x
Campus Wide Back Flow Preventer inspection/repair	x			Mar-16	Jan-17	\$ 150,000		Construction	\$ 150,000	\$ 37,229		x		
CSC AHUs 1&2 Replacement	x			Feb-16	Jan-17	\$ 240,000	\$ 460,000	Construction	\$ 460,000	\$ 127,223	x			
Stocker Generator/Fire Protection	x			Feb-16	Nov-16	\$ 2,700,000		Construction	\$ 2,700,000	\$ 1,980,842	x			
Shively Rooftop Unit Replacement			x	Feb-16	Oct-16	\$ 200,000		Closeout	\$ 200,000	\$ 29,237				x
Boyd Hall Flat Roof			x	Feb-16	Aug-16	\$ 573,000		Closeout	\$ 573,000	\$ 450,668				x
Seigfred Roof and Window Replacement	x			Feb-16	Mar-17	\$ 3,800,000		Construction	\$ 3,127,143	\$ 133,758	x	x		
Alden Library Roof	x			Feb-16	Oct-16	\$ 2,200,000		Closeout	\$ 1,793,807	\$ 1,092,675	x	x		
Martzolff Catwalk Repair			x	Feb-16	Aug-16	\$ 40,000		Closeout	\$ 40,000	\$ 30,885				x
Lasher Hall Roof Upgrades 2015	x			Jan-16	Aug-16	\$ 380,000		Closeout	\$ 380,000	\$ 285,557		x		
College Green Window Replacement	x			Dec-15	Nov-16	\$ 750,000	\$ 1,500,000	Construction	\$ 1,500,000	\$ 252,893	x	x		
HCOM Dublin Exterior Lighting			x	Oct-15	Jun-16	\$ 80,000		Closeout	\$ 80,000	\$ 72,450				x
Glidden Hall Rm 400 HVAC	x			Sep-15	Feb-17	\$ 200,000	\$ 400,000	Planning	\$ 296,684	\$ 70,359	x	x		
Clippinger Hall Roof Replacement	x			Sep-15	Oct-16	\$ 2,000,000		Construction	\$ 2,000,000	\$ 118,100	x			
Ellis 3rd Floor Water Infiltration	x			Aug-15	Aug-16	\$ 275,000		Closeout	\$ 275,000	\$ 88,586	x			
Galbreath Chapel Door			x	Aug-15	Nov-15	\$ 20,000		Closeout						x
Lin Hall HVAC Upgrades	x			Jan-15	Nov-16	\$ 2,700,000		Construction	\$ 2,697,809	\$ 1,229,781		x		x

**Ohio University Architecture Design and Construction  
Project Status Report**

Project Name	Part of CIP			Start Date	Finish Date	Budget		Current Phase	Expenditures		Funding Sources			
	FY15-20	FY17-22	N/A			Original	Revised		Authorized	To-Date	Century Bond	State Capital	Gift	Reserves
<b>Regional Campuses</b>														
OUC - Bennett Hall Electrical Upgrade Phase II	x	x		Aug-17	Nov-17	\$ 768,700		Design					x	
OUE HPEC Parking Lot Replacement	x	x		Jul-17	Sep-17	\$ 350,000		Planning					x	
OUE Shannon AHU-2 Replacement	x	x		Jun-17	Oct-17	\$ 450,000		Planning					x	
OUS Resource Commons Study			x	Nov-16	Feb-17	\$ 20,000		Design	\$ 20,337	\$ -				x
OUE Great Western School House Reroof			x	Nov-16	Dec-16	\$ 67,000		Planning	\$ 67,794	\$ -				x
OUL-Brasee Gym Roof		x		Oct-16	Jul-16	\$ 485,000		Planning					x	x
OUL-Herrold Hall Roof PhII	x			Aug-16	May-17	\$ 350,000		Planning					x	
OUC Campus Center Roof	x			Jun-16	Sep-16	\$ 900,000		Construction	\$ 900,000	\$ 621,516			x	
Zanesville Herrold Hall Nursing		x		Apr-16	Aug-17	\$ 1,800,000		Design	\$ 126,800	\$ 41,000			x	
OUL Brasee Hall Tutoring Center			x	Jan-16	Dec-16	\$ 126,000		Design	\$ 175,250	\$ 5,413				x
OUC - Bennett Hall Electrical Upgrade Phase I	x	x		Dec-15	May-17	\$ 950,000	\$ 1,131,300	Construction	\$ 827,808	\$ 58,526			x	
OUC Shoemaker Center Bridge Improvements			x	Jul-15	Oct-16	\$ 980,000		Closeout	\$ 1,098,239	\$ 1,057,510			x	x
<b>University Initiatives</b>														
North McKinley Drive Extension			x	Aug-16	Dec-17	\$ 1,306,000		Design	\$ 750,000	\$ -				x
W Union Prkg Lot / Happy Cat Demo			x	Jul-16	Feb-17	\$ 240,000		Planning	\$ 240,000	\$ 1,447				x
Konneker Alumni Ctr. Bldg. Study			x	Jul-16	Dec-16	\$ 12,500		Design	\$ 12,500	\$ 10,000				x
<b>Utility System Upgrades</b>														
WGCWP Upgrades Project		x		Dec-16	Jun-17	\$ 1,000,000		Planning					x	
Richland Bridge Steam System Access			x	Oct-16	Dec-16	\$ 100,000		Planning	\$ 100,000	\$ 153				x
Peden Chiller		x		Sep-16	Oct-16	\$ 450,000	\$ 190,000	Design	\$ 20,000	\$ -			x	
Lausche Boilers Economizers			x	Aug-16	Dec-17	\$ 500,000		Planning					x	
Lot 143 Charging Station Upgrades-2016			x	Jul-16	Sep-16	\$ 8,000		Planning	\$ 8,000	\$ -				x
Campus Refrigerant Monitoring System	x			Jul-16	Oct-16	\$ 175,000	\$ 209,000	Construction	\$ 175,000	\$ 45,140				x
Lausche Boiler # 4 Steam Flow Transmitter			x	Jul-16	Aug-16	\$ 21,000		Construction	\$ 21,000	\$ -				x
Lausche Central Plant Energy Metering	x			May-16	Jun-17	\$ 250,000		Design	\$ 250,000	\$ 16,329		x		
Ping Center Chilled Water Connection		x		Apr-16	Aug-17	\$ 1,400,000		Planning					x	
College Gr Upgrades - Class Gate	x			Feb-16	Oct-16	\$ 1,250,000	\$ 1,700,000	Construction	\$ 1,700,000	\$ 884,826		x	x	x
2016 Steam Distribution System Repairs	x			Feb-16	Dec-16	\$ 2,000,000		Construction	\$ 2,000,000	\$ 1,206,697		x		
EIP Lausche Boiler Replacement	x	x		Dec-15	Dec-17	\$ 15,000,000		Construction	\$ 15,000,000	\$ 880,304		x		x
EIP Boiler Permitting Consultant		x		Jan-15	Jan-18	\$ 400,000		Design	\$ 400,000	\$ 156,687		x		
EIP Energy and Utility Master Plan		x		Jul-14	Dec-16	\$ 1,100,000		Design	\$ 1,100,000	\$ 960,991		x		

**Ohio University Architecture Design and Construction  
Project Status Report**

Project Name	Part of CIP			Start Date	Finish Date	Budget		Current Phase	Expenditures		Funding Sources			
	FY15-20	FY17-22	N/A			Original	Revised		Authorized	To-Date	Century Bond	State Capital	Gift	Reserves
<b>Auxiliaries</b>														
AUX: Dining Hall REfresh -Shively Dining		x		Mar-17	Aug-18	\$ 5,000,000		Planning						x
Bird Arena Deferred Maintenance Upgrades	x	x		Dec-16	Aug-17	\$ 185,000		Planning	\$ 115,000		x			
AUX: Small Cap Proj - Culinary- LATITUDE		x		Nov-16	Aug-17	\$ 1,000,000		Planning						x
Auxiliary Food Truck Pad			x	Jul-16	Sep-16	\$ 35,000		Closeout	\$ 33,414	\$ 20,876				x
WUSOC OIT 9 Factory Relocation			x	Jul-16	Oct-16	\$ 77,305		Closeout	\$ 77,305	\$ 37,456				x
Baker Center West 82			x	May-16	Aug-16	\$ 1,800,000	\$ 2,000,000	Closeout	\$ 2,000,200	\$ 468,167				x
Boyd Dining Hall and Campus market	x			Dec-14	Jun-16	\$ 9,000,000	\$ 12,000,000	Closeout	\$ 12,000,000	\$ 11,380,378				x
<b>Student Affairs/Housing &amp; Residence Life</b>														
Aquatic Center Condensate Improvements			x	Dec-16	Aug-17			Planning						x
EG Bldg Based DHW Upgrades		x		Dec-16	Jan-18	\$ 1,600,000		Planning	\$ 250,000					x
Front Four High Voltage Cable Replacement			x	Oct-16	Jan-17	\$ 400,000		Planning						x
Boyd Garage Lighting Upgrade			x	Oct-16	Aug-17	\$ 200,000		Planning						x
Washington Hall Domestic Water & Restroom		x		Oct-16	Aug-17	\$ 3,200,000		Planning						x
Gamertsfelder Hall Lobby Renovatons		x		Oct-16	Aug-17	\$ 750,000		Planning						x
Back south Demo Phase II - Martzloff, Fenzel,		x		Sep-16	Aug-17	\$ 3,000,000		Planning						x
East Green Landscaping			x	Jul-16	Aug-16	\$ 100,000		Construction	\$ 100,000	\$ 15,441				x
Tiffin Bathroom Upgrades		x		May-16	Aug-17	\$ 1,900,000		Planning	\$ 1,900,000	\$ -				x
Bryan Hall Basement Upgrades			x	May-16	Sep-16	\$ 275,000	\$ 389,480	Closeout	\$ 389,480	\$ 225,349				x
Back South Demolition Ph 1- Cady, Foster,	x			Apr-16	Oct-16	\$ 1,251,000	\$ 1,602,000	Construction	\$ 1,602,000	\$ 1,054,366				x
James Hall Lobby/Bathroom and Apt Upgrade		x		Feb-16	Aug-16	\$ 3,125,700		Construction	\$ 3,125,700	\$ 2,480,356				x
Scott Quad Shower Floors Replacement			x	Jan-16	Aug-16	\$ 185,000	\$ 264,900	Closeout	\$ 264,900	\$ 186,605				x
Jefferson Hall (includes Culinary portion of work)		x		Sep-15	Aug-17	\$ 43,100,000	\$ 40,000,000	Construction	\$ 40,000,000	\$ 7,483,863				x
Boyd Hall Bathroom Upgrades	x			Sep-15	Aug-17	\$ 925,000	\$ 2,400,000	Design	\$ 1,310,000	\$ 83,075				x
Mackinnon Hall Bathrooms Rehab			x	Jul-15	Aug-17	\$ 925,000	\$ 1,120,000	Design	\$ 925,000	\$ 77,201				x
<b>Athletics</b>														
Field Hockey Locker Room Electrical Outlet			x	Sep-16	Sep-16	\$ 2,000		Closeout						x
Peden 110AW Electrical Outlet			x	Sep-16	Sep-16	\$ 2,000		Closeout						x
Softball Bleacher Replacement			x	Aug-16	Mar-17	\$ 251,600		Design	\$ 251,600	\$ -				x
Convo E150/E149 Women's Locker Room			x	Aug-16	Oct-16	\$ 45,800		Design	\$ 45,800	\$ 7,937				x

\*Note: Planning refers to project planning by Architecture, Design and Construction

# FACILITY PROJECTS STATUS UPDATE

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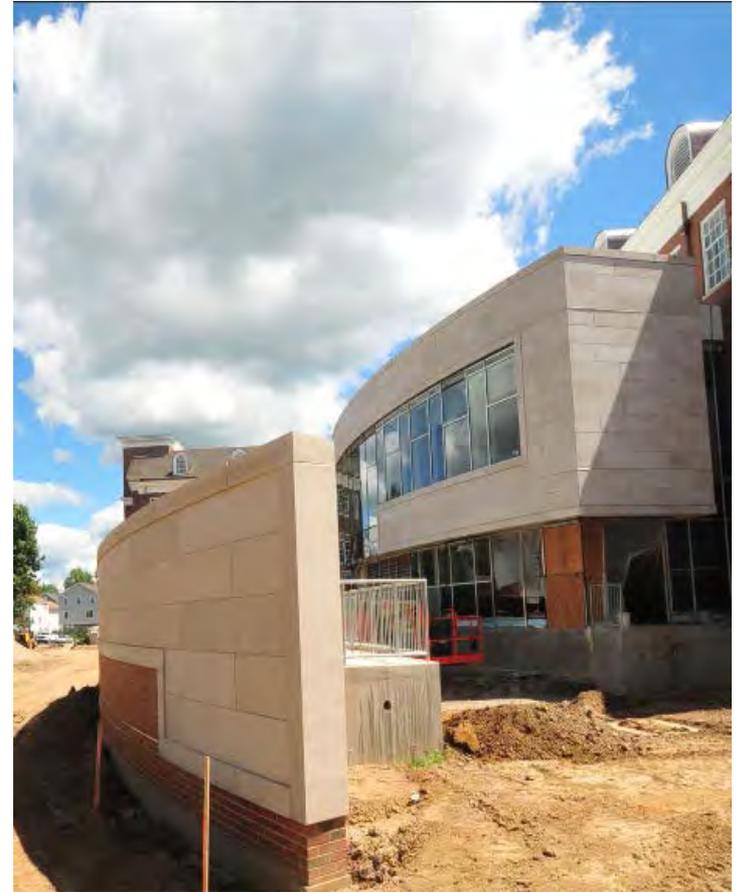
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**OHIO**  
UNIVERSITY

# Large Projects

- McCracken renovation & addition
  - Budget \$32.8M, projected \$32.2M
  - Complete Dec 2016
- Jefferson renovation
  - Budget \$39.1M, projected \$37.3M
  - Complete Spring 2017
- Lausche Boiler Project
  - Budget \$15M
  - Complete Fall 2017



# Building Envelope Projects



- Roof Repairs completed this Summer or Fall:
  - Seigfred Hall
  - Lin Hall Fall
  - Clippinger
  - Bentley Hall
  - Alden Library
  - Stocker Hall
  - Lasher Hall
  - Boyd Hall



# Building Envelope Projects

- To be completed within 6 months:
  - Cutler Hall exterior painting & cleaning
  - Seigfred Windows
  - Wilson Hall roof repainting and masonry repairs/sealing



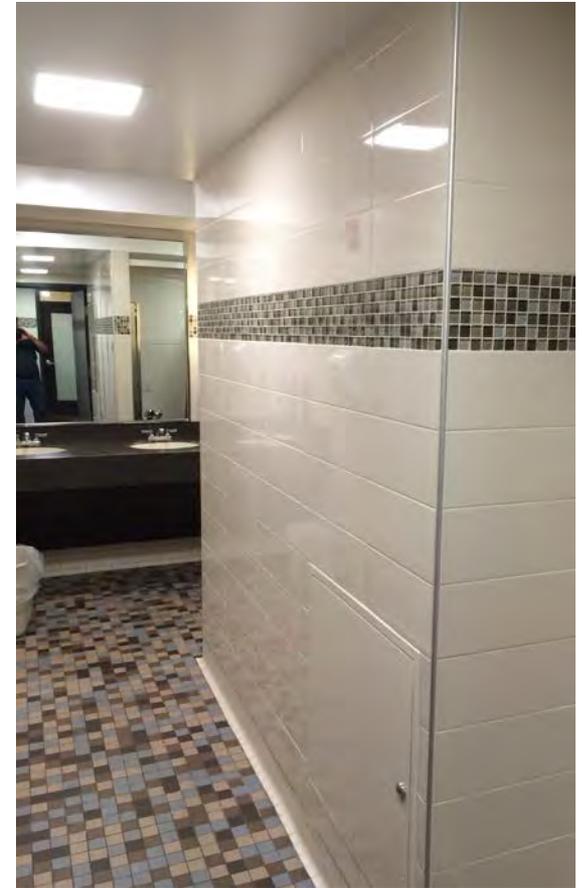
# Recently Completed Mechanical System Projects

- Chiller Replacements:
  - Copeland Hall
  - Chubb Hall
  - Ellis Hall
  - Peden
- College of Business Air Handlers 1 & 2 replacement
- Campus-wide Backflow Preventer testing



# Recently Completed Interior Renovation Projects

- Recently Completed:
  - James Hall Lobby / Bathrooms
  - West 82
  - College of Business Annex
  - Scott Quad Showers & Floors



# Recently Completed Infrastructure Projects



- Class Gateway on College Green
- Campus Asphalt Maintenance
- Building Demolitions:
  - Cady, Foster, Brough
  - PSAC



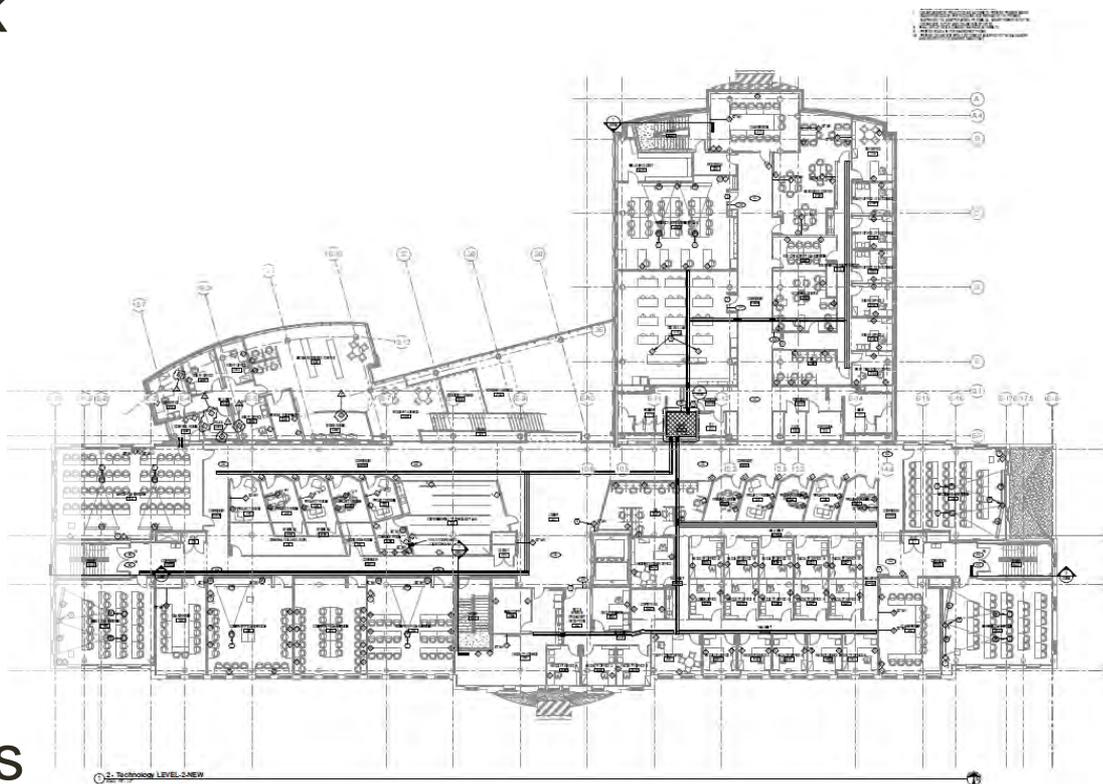
# Emergency Projects

- Masonry Stabilization for:
  - Sargent Hall
  - Peden Stadium
  - Pickering Hall
  - Porter Hall



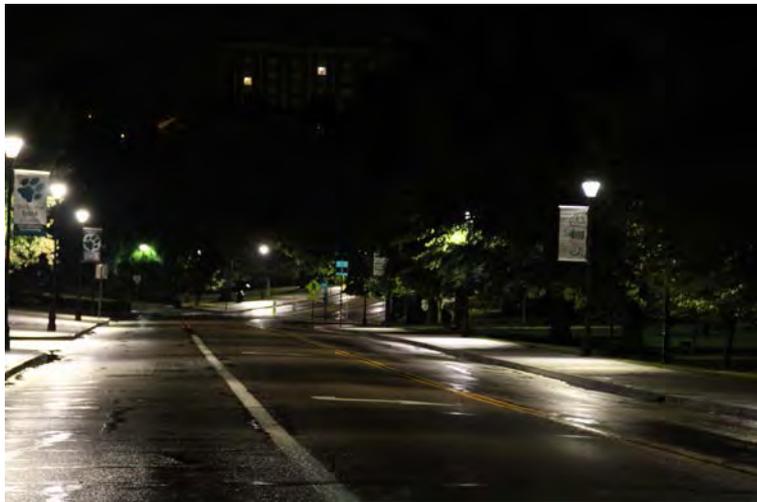
# Projects in Design

- Perry and Sandy Sook Academic Center: consultant selected, MSA
- Seigfred Hall Renovations Phase II: A/E interviews scheduled in Oct
- Clippinger Renovation Phase I: A/E interviews scheduled in Nov



# City of Athens Joint Projects Richland Avenue

- OU replaced sidewalks, curbs and curb cuts



- City installed new LED street lamps and removed unattractive “Cobra Head” street lights







## Interoffice Communication

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Jason B. Pina, Vice President Student Affairs  
Shawna Bolin, University Planner

**Re:** **Park Place Planning Strategy Update**

At the August 2016 Board meeting, a multi-phase planning process to develop recommendations for the highest and best use of space along the Park Place and South Court Street corridors that will promote and support student activities and needs in the center of campus was outlined. The process included establishing a working group, reviewing existing conditions, gathering campus and community input, prioritizing program needs and developing final recommendations.

The President established the Ohio University Park Place Strategy Work Group which is charged with developing the comprehensive recommendation. We will serve as co-chairs and the following members from the University and community have been appointed to represent their key areas.

Key Area	Name	Title
Student	Courteney Muhl	V.P., Student Senate
Faculty	Susan Williams	Chair Faculty Senate Finance and Facilities
Provost	Brad Cohen	Senior Vice Provost for Instructional Innovation
City of Athens	Paul Logue	City Planner
City Council	Chris Fahl	Chair of City Council Planning & Development Committee
Student Affairs	Jason Pina	Co-Chair, V.P. Student Affairs
University Planning	Shawna Bolin	Co-Chair, University Planner

A kick-off meeting of the Work Group is planned for October and a communication plan including a website to share the progress of the planning efforts will be developed. A progress update will be shared with the Board at the January 2017 meeting.



## Interoffice Communication

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **Treasury Report**

The following update has been structured to provide a status report on the following Treasury initiatives:

- Internal Bank and Capital Financing Strategy
- Century Bond and Deferred Maintenance Program

### **Internal Bank: Capital Financing Strategy**

As discussed and approved at the August 2016 Board meeting, the University is moving forward with its capital financing strategy to support the approved Six Year (FY17-22) Capital Improvement Plan (CIP). The capital financing strategy includes establishing a \$50 million bank line of credit, refunding Series 2006A, 2006B, and 2008A bonds, and issuing \$125 million new-money tax-exempt bonds.

Specific activities to implement this capital financing strategy include:

- **Establish a \$50 million bank line of credit:**
  - University staff met with the Vice Chancellor, Finance and Data Management in October 2016 to review the Board approved debt plans in advance of preparing the Chancellor application(s) for the bank line of credit and new bonds.
  - The University will issue a request for proposal (RFP) to prospective banks over the next few months and select a bank before the end of fiscal year 2017;
  - An executed Credit Agreement will be put into place on or before June 30, 2017;
- **Issue tax-exempt bonds not to exceed \$170 million to refund Series 2006A, 2006B, and 2008A bonds and \$125 million of new-money early Spring 2017:**
  - The Treasury team is reviewing underwriters from the pool identified after the last competitive bid and developing financing;
  - Assuming the interest rate environment stays as it is, we will most likely issue fixed rate debt. With the implementation of the Internal Bank model we are now positioned to consider structures which include bullet or other maturity structures and the Treasury Team is analyzing these options;

- Rating agency meetings will occur in November 2016 (S&P) and January 2017 (S&P and Moodys);
- Bond documents and appendix A will be completed in early January 2017;
- The Chancellor application will be completed and submitted based on the amount of time needed to obtain approval by the end of January 2017. Discussions with ODHE, bond counsel, and the Treasury Team regarding the the timing, process and expectations will occur in October 2016;
- Ratings and Chancellor approvals are expected on or before the end of January 2017;
- Preliminary Official Statement available by the end of January 2017;
- Bond Pricing and Final Official Statement available in early February 2017.
- Closing expected the end of February or early March 2017 (dependent upon cash flow and market considerations.)

**Century Bond/Deferred Maintenance Program:**

Since the \$250M Century Bond issuance in November 2014, there has been significant progress implementing a separate Century Bond 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.

The 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) has meetings prior to the Ohio University Board of Trustees meeting to receive reports on program status, review program metrics and dashboards against benchmarks and guidelines.

This includes:

- Principal Sinking Fund status (\$7M initial set aside)
- Pool balances and investment returns
- Spending against approved projects and annual tranches (EIP Project; Partial Clippinger Addition/Renovation; \$10M/year FY15, FY16, and FY17 respectively)
- Post-implementation review of financial modeling and sensitivity analyses. The revised post-implementation model uses updated modeling assumptions reflecting the final terms of the debt issuance, institutional loans and uses, and investment performance to-date of the respective portfolios.
- Deferred Maintenance metric development and benchmarking

We will continue to provide a Treasury update to the Board of Trustees against these initiatives and expect to provide a presentation to the Resources Committee in the January 2017 regarding proposed structure for the \$170M new money and refunding bond issue planned for March 2017.



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **Risk and Insurance Program Report FY 2016**

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. This attached table highlights the FY2016 Risk and Insurance Program premium changes and the report provides a summary of insurance and major claims.

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. Institutional membership in the IUC-IC affords OHIO the benefit of broader coverage, compared to that which would be available through a standalone program. The University also enjoys higher limits through the group purchase of insurance. Shared risk management services among pool members also supports common goals and enables effective benchmarking.

OHIO's continued emphasis on loss prevention supports the realization of considerable savings and helps to lower our risk profile.

### Premium - Percent Change Overview

Basic Coverage Description	2015 Premium	2016 Premium	% Change*	Notes
<b>PROPERTY -</b>				
Boiler & Machinery; auto physical damage; engineering/ administrative fees, etc.	\$663,201	\$752,468	13.5%	<i>Impacted by, but not exclusively, market &amp; acquisitions.</i>
<b>CASUALTY INSURANCE -</b>				
Broad spectrum coverage against legal liability arising from injury and/or damage to property and/or others.	\$705,968	\$763,658	8.2%	
<b>Crime:</b>	\$13,131	\$13,093	-0.3%	<i>Considered to be a flat renewal.</i>
<b>Foreign:</b>	\$5,908	\$8,570	45.1%	<i>Reflects single coverage line.</i>
<b>Medical Malpractice:</b>	\$28,818	\$43,127	49.7%	<i>Addition of HCOM student coverage</i>
<b>Educators Legal Liability:</b>	\$266,705	\$290,437	8.9%	<i>Total program costs.</i>
<b>Study Abroad:</b>	\$52,000	\$52,000	0.0%	<i>Represents estimated totals.</i>
<b>Intercollegiate Athletics:</b>	\$339,406	\$356,431	5.0%	<i>New carrier; zero deductible program.</i>
<b>OTHER -</b> Versus selected insurance.	-\$226,724	-\$225,886	-0.4%	<i>*Balance of total remaining premiums/other charges not selected.</i>
<b>Total</b>	\$1,142,445	\$1,290,240	12.9%	

# **OHIO UNIVERSITY RISK & INSURANCE PROGRAM REPORT**

**Submitted to the Board of Trustees**

**October 3, 2016**

## **Inter-University Council Insurance Consortium (IUC-IC) Group Coverage – Explanation and Summary**

As a member of the IUC-IC Ohio University has been afforded greater long-term insurance cost stability not available through traditional commercial insurance markets. The University's participation in the IUC-IC Group Property Program includes the benefits of "all-risk" property insurance coverage for university buildings, contents, fine arts, libraries and loss of income, with individual and combined insurance limits of up to \$1.25 billion per occurrence. OHIO, along with each IUC-IC member maintains the first \$100,000 of loss (deductible retention). The pool members share in the next \$250,000 of loss and the IUC-IC purchases insurance to cover losses in excess of \$350,000 per claim up to \$1.25 billion. Pool contributions, risk transfer premiums, broker administrative service fees for program administration, engineering and loss control services as well as applicable administrative service fees are invoiced annually, absent necessary modifications resulting from pool agreements, trends, or compliance mandates. (See Premium Overview graphic below). Additionally, the program has chosen to self-insure for Automobile Physical Damage (APD) covering owned, leased or rented vehicles. To mitigate significant swings, due to potential adverse loss experience, members fund the pool based on a 3-year rolling APD claim average.

## Property Self-Insurance Program – Structure

<p><b>\$1, 250,000,000 per Occurrence</b>  <b>Limit per occurrence shared by all members</b></p> <p style="text-align: center;">↓</p> <p><b>\$1000,000,000 per Occurrence</b>  <b>Dedicated Limit to OHIO</b></p> <p style="text-align: center;">↓</p> <p><b>\$350,000 per Occurrence/\$700K Annual Agg.</b></p> <p style="text-align: center;">↓</p> <p><b>\$100,000 per Occurrence (subject to Exceptions)</b></p>	<p>\$1.25 B excess of \$100,000,000  Per Occurrence Shared Layer  Lexington Insurance Company (AIG)</p> <hr/> <p>\$100,000,000 Primary Layer  Dedicated Limit per Member, Per Occurrence</p> <hr/> <p>Pool Deductible  Deductible of \$350,000 per occurrence with a \$700,000 annual policy deductible aggregate. All losses between \$100,000 to \$350,000 erode the \$700,000 aggregate.</p> <hr/> <p>Member Deductible  \$100,000 (or \$25,000 if a Member chooses to buy down the deductible. The "buy down" is paid from the Pool and Member is required to pay back over 3 years, along with penalty payments due.</p>
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The IUC-IC Group Casualty program provides OHIO coverage for a “core” of General Liability, Automobile Liability and Educator’s Legal Liability exposures, again through a combination of institutional retention, self-insurance, and dedicated and shared excess insurance. Each member university maintains the first \$100,000 of each loss, the pool shares in the next \$900,000 of loss and the IUC-IC purchases reinsurance to cover losses up to \$10,000,000 per occurrence. Excess liability insurance is purchased up to \$50,000,000 total limits. Program costs include Pool Loss & Expense Payments, broker administrative service fees for Program Management, Risk Management Information Fees, changes in the Actuarially Determined Reserve, Risk Transfer Premiums as well as General and Administrative Expenses. Furthermore, the program offers group insurance programs for cyber liability, crime, foreign travel services, medical malpractice, and pollution, which members can join at their discretion. OHIO currently participates in all but the Cyber program.

## Casualty Self-Insurance Program-Structure

\$50 Million	Shared Integrated Excess (Endurance America Insurance Company)												
\$25 Million	Shared Excess Liability (United Educators/UE)										Shared Excess Educator's Legal Liability (UE/claims made)		
\$10 Million (Dedicated)	IUC-IC General Liability (Gen Re)						Auto Liability Coverage Agreement (Gen Re)			Educator's Legal Liability Coverage Agreement (Gen Re-claims made)			
\$5 Million													Group Pollution Liability (AIG)
\$1 Million	Member Deductible (\$100K)												
\$900K													
\$100,000													
\$25K													

Coverage synopsis, only; policies contain terms; IUC-IC member participation included; not to scale.

## Marsh Market Highlights

Essential to the IUC-IC are the services of Strategic Partner, Marsh, LLC, which has been retained for purposes of providing business and risk management support toward implementing consortium initiatives. One of the many services the company provides includes market assessment and reporting. A recent report concerning the state of the insurance market affecting higher education reveals that Higher Education (HE) markets remain well capitalized, stable, and competitive. More carriers are reported to be interested in HE risks, particularly in the wake of several mergers, acquisitions, and reorganizations. These include those impacting IUC-IC carrier AIG. All IUC-IC carriers continue to hold very high to highest prime ratings with market Enterprise Risk Management (ERM) underwriting capacity, which readily meets the industry minimums upwards of \$10MM. There is continued casualty risk focus on ERM in the areas of coordination of business continuity, emergency preparedness, crisis response management, employment practices, and student health services programs. Additional areas of concern from an institutional, as well

as underwriting perspective, are Sexual Molestation, Traumatic Brain Injury (TBI), Cyber Risks, Communicable Disease retentions. Exposures in these areas consistently impact litigation risks. Property carriers FM Global and AIG hold the highest reported comparative potential capacity, in excess of \$1 Billion.

## **Market Effects**

The IUC-IC (Inter-University Council Insurance Consortium) continues to benefit from its decision two coverage terms ago to adjust retention levels and shore up reserves, following several group losses and market fluctuations resulting in some rate increases. OHIO's comparative loss experience in this area over the immediate past term remained insignificant. As in previous terms, agreed value adjustments, completed projects, and investment/protection options account for premium fluctuations. For IUC-IC coverages the overall property and casualty plan renewal for 2016 resulted in premiums of \$1,290,240, a 13% increase in costs over the previous 2015 term. Athletics student health insurance costs continue to reflect considerable improvement over historical coverage options, and have experienced only a 5% increase in premium from 2015 to \$356,431 in FY2016. (Ref. Premium – Percent Change Overview).

## **Self-Insurance Program**

Dating to FY1999, the implementation and funding of a self-Insured retention continues to be a cost-effective alternative to first-dollar (typical zero deductible or retention) insurance. The University realizes savings in insurance costs by retaining larger deductibles for both property and liability insurance. The lower costs of primary insurance layers facilitate the University's higher liability limits in order to achieve better protection from the impact of larger, catastrophic events.

## **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 beginning this 2016 term, \$1.25 billion in total excess coverage, which is shared with the other IUC-IC member universities.

As noted in part, 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. The University currently 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 presently exceed \$2.8 billion, and this coverage includes a 2016 business interruption projected valuation of \$4.6M. Our renewal rate is reported as 2 cents per \$100 of value, and remains relatively unchanged from the prior fiscal year. At the 2016 renewal, Property insurance premium costs increased approximately 13% from \$663,201 in 2015, to \$752,468. The increase reflects new acquisitions for property and equipment, and the overall renewal for all IUC-IC members is considered comparatively flat. The current multi-term arrangement for no inflation factors remains effective, and serves to facilitate and offset appraisal costs, as agreed to by IUC-IC membership to verify coverage values. 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 2016 renewal premium for this 3-year policy decreased just under 3% to \$13,093, from a prior \$13,131 premium in 2015.

## **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 Insurance

Foreign liability coverage protects employees and students while traveling abroad, and total program costs were up over 40% from the prior term, with a premium of \$8,570 at the 2016 renewal. Total FY2016 premium costs for Foreign Liability, International SOS, and Special Accident coverage for travel by over 800 study abroad program participants is \$12,745.

### Medical Malpractice Insurance

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. The Ohio University Heritage College of Osteopathic Medicine and University Medical Associates currently maintains a separate medical malpractice insurance program. Changes to this coverage are anticipated to take effect in January 2017 and fall within the umbrella of the University's professional liability coverage offerings. The Doctor's Company currently 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. For the prior term, premiums for this coverage were limited to those risks associated with the University's Allied Health Professions programs. Beginning July 1, 2016 the addition of Heritage College of Osteopathic Medicine student coverage to the program policy resulted in 50% increase in insurance cost. Upon program stabilization the premium should level off and become reflective of the total exposure and fair market pricing. (See Premium Overview comparison chart).

### Aviation Insurance

Aviation insurance protects the University with respect to the operation of corporate aircraft, the airport, and the flight training program. Two years ago this program was marketed and awarded to AIG, effective

at the 2015 renewals; and the total renewal premium, plus administration fees resulted in a 40% decrease over 2014; similar savings are still being realized, as the 2016 renewal premium totaled \$96,471, representing a flat renewal for the current year, and a 37% decrease in premium expenditures since new program inception.

### 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 2016 renewal was 9% higher, at \$290,437; compared to \$266,705 for the previous year term.

### Specialized Insurance

A few University departments continue to purchase insurance, as necessary, in order to bolster the effectiveness of their various missions, and these are discussed below. With the exception of the Ohio University Inn plans for the current term are to effect direct oversight of such coverages through the Risk Management and Insurance Office.

- The Office of Global Affairs (OGA) 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, unchanged from the previous year. OGA also procures political evacuation coverage, which provides for the repatriation of students and faculty from dangerous or life threatening situations. International SOS provided related services last term for a total of \$8,570.
- Intercollegiate Athletics maintains medical insurance providing 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 current policy includes available limits of up to \$1M and provides for greater control over coverage costs for qualified reportable injuries. The 2016 premium for this zero deductible insurance was 5% higher than the previous year, or \$356,431, (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 \$1,385, in FY2015.
- The Ohio University Inn currently purchases cost-effective 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 IUC-IC program coverage is not written to exclusively address this specialty line of coverage and, therefore does not offer competitive rates in some areas; the 2016-17 program was subjected to significant changes subsequent to a merger and acquisition, which continue to favorably impact both billing and premium payments processed throughout the year under the new program.

## **Worker's Compensation Coverage**

Self-insured status was granted to Ohio University by the Ohio Bureau of Worker's Compensation, effective January 1, 2013. All claims subsequent to this date are managed by the Ohio University Workers Compensation team. Existing claims at the date of self-insured status are still under the management of the Ohio Bureau of Workers Compensation.

## **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 three years. Reserves for this loss for the maximum loss expectancy were initially at approximately five hundred thousand dollars, the maximum allowed. The claim developed, and was ultimately settled at roughly \$198K. See Figure 1 (below).

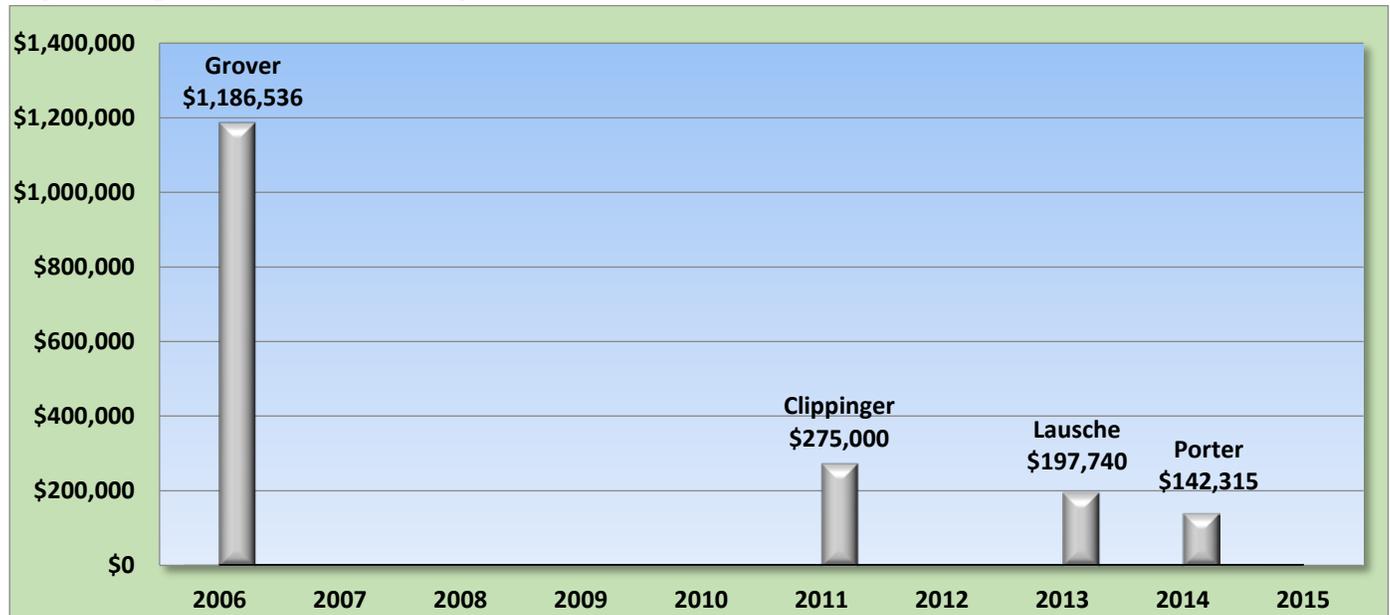
### Property Claims and Losses

To date, OHIO's property loss experience remains comparatively low amongst peer IUC-IC institutions. The largest singular property loss occurred 10 years ago. A 2006 flood 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:

- 2006 Grover Center-Flood)
- 2011 Clippinger-Fire
- 2013 Lausche Heating Plant-Fire
- 2014 Porter Hall Water Leak

Figure 1, below reflects this loss experience with values exceeding our deductible retention. As the loss development during 2015 for Porter totaled just over 30% excess of OHIO's property coverage deductible no claim was submitted to the IUC-IC for handling or reimbursement, and this risk was fully assumed by the University. Currently, a few other similar losses are currently being developed, including potential third and first party equipment damage, incurred due to falling concrete and debris during late summer 2016 semester, from the Peden Stadium.

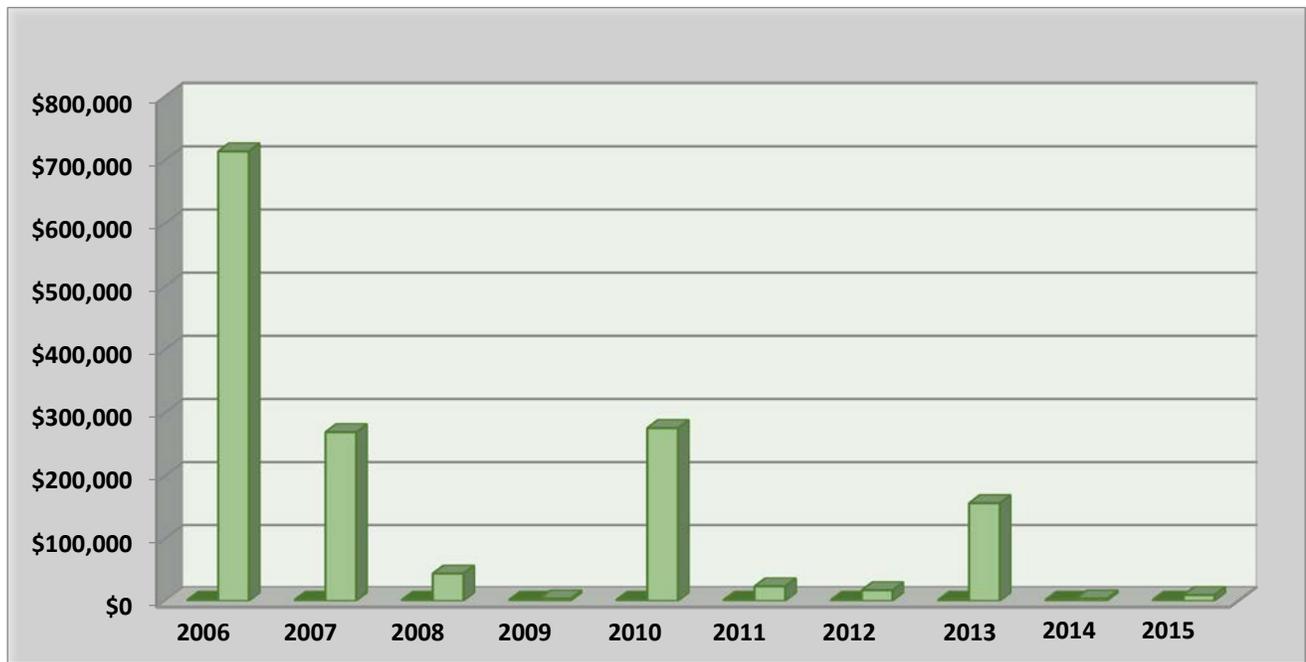
**Fig. 1- Property Losses Exceeding \$100,000 Deductible Retention - Past 10 Years**



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 2015, the University's liability losses, once more fell within the first layer of retention for the same period. These losses, amounting this past term to \$9,597 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, creating long term partnerships, and collaborating toward loss prevention and mitigation efforts in order to hold down costs. With respect to current claims management and strategy our property and casualty loss experience continues toward a downward trend and the University's association with the IUC-IC pool has proven to be a cost effective relationship; this affords OHIO the opportunity to participate in the group purchase of insurance at a reduced cost, and to share risk in a mutually beneficial manner. The addition of nearly 40% of excess property coverage, at no additional premium, is a recent example of the benefits of pool membership. The University's 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.

*Sources: IUC-IC; Marsh, LLC*



## **Interoffice Communication**

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **2016 Annual Clery Fire Report**

Enclosed please find the annual Ohio University 2016 Clery Fire Report prepared by the Department of Environmental Health and Safety under the requirements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998.

The 2016 Annual Fire Report highlights include:

- Fire safety education, training and fire drills
- Fire emergency procedures
- Fire statistics for 2015, 2014, and 2013
- Residence hall fire safety
- 2015 Residential Housing Fire Statistics Summary
  - 1 fire reported as intentional in Residence Halls



**OHIO**  
UNIVERSITY

# 2016

# Annual CLERY Fire Report

## Athens, Ohio Campus



[http://www.ohio.edu/riskandsafety/ehs/fire/clery\\_fire\\_report.htm](http://www.ohio.edu/riskandsafety/ehs/fire/clery_fire_report.htm)

**Environmental Health and Safety**

University Service Center  
49 Factory Street  
Athens, Ohio 45701

(740) 593-1666

<http://www.ohio.edu/riskandsafety/ehs/index.htm>

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## FROM ENVIRONMENTAL HEALTH 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 Environmental Health and Safety, is provided to meet the requirements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998.

**You may obtain a copy of this report by contacting Environmental Health and Safety at (740) 593-1666 or by accessing the following web site:**

[http://www.ohio.edu/riskandsafety/ehs/fire/clery\\_fire\\_report.htm](http://www.ohio.edu/riskandsafety/ehs/fire/clery_fire_report.htm)

The Department of Environmental Health 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
- Sanitation and Pest Control
- Industrial Hygiene
- Environmental Compliance
- Occupational Safety and Health

### **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:

[https://www.ohio.edu/police/upload/Clery\\_Report.pdf](https://www.ohio.edu/police/upload/Clery_Report.pdf)

## **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 Clery Report is for the Ohio University campus located in Athens, Ohio.

## 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 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. Fourteen 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

- **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>
- **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 and OU ID, 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 permit is required for tents, canopies, and membrane structures available from the Ohio Department of Commerce. These permits are not processed by Ohio University.

For more information visit the following website: [http://com.ohio.gov/documents/dico\\_391.pdf](http://com.ohio.gov/documents/dico_391.pdf)

## 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 2013 through 2015.

## FIRE REPORTING

The Ohio University Police Department monitors the status of all fire detection and fire suppression systems in residence halls. If a fire occurs, 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.

## REPORTING 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 Facilities Management and Safety by calling (740) 593-2911 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.

## Appendix A

### Residence Hall Fire Safety Equipment

Residence Hall	Address	Fire Alarm System	Fire Sprinkler System	Fire Extinguishers	Standpipe System	# of evacuation drills conducted each academic year
Adams **	131 South Green Drive	Yes	Yes	Yes	Yes	3
Armbruster *	18 Weld Drive	Yes	No	Yes	Yes	3
Atkinson *	10 Weld Drive	Yes	No	Yes	Yes	3
Biddle **	51 East Green Drive	Yes	Yes	Yes	Yes	3
Boyd *	47 Oxbow Trail	Yes	Yes	Yes	No	3
Bromley **	35 South Congress Street	Yes	Yes	Yes	Yes	3
Brough *	8 Nelson Drive	Yes	No	Yes	Yes	2
Brown **	22 North McKinley Avenue	Yes	No	Yes	Yes	3
Bryan **	34 University Terrace	Yes	No	Yes	No	3
Bush **	50 East Green Drive	Yes	Yes	Yes	Yes	3
Cady *	16 Nelson Drive	Yes	No	Yes	Yes	2
Carr **	97 South Green Drive	Yes	Yes	Yes	Yes	3
Convo **	95 Richland Avenue	Yes	No	Yes	Yes	3
Crawford *	12 North McKinley Avenue	Yes	No	Yes	Yes	3
Dougan *	181 South Green Drive	Yes	No	Yes	Yes	3
Ewing *	167 South Green Drive	Yes	No	Yes	Yes	3
Fenzel *	24 Nelson Drive	Yes	No	Yes	Yes	3

All Residence Halls are equipped with room smoke detectors

\* Stand alone smoke detectors

\*\* Smoke detectors report to fire panel

## Appendix A

Residence Hall Fire Safety Equipment							
Residence Hall	Address	Fire Alarm System	Fire Sprinkler System	Fire Extinguishers	Standpipe System	# of evacuation drills conducted each academic year	
Foster *	14 Nelson Drive	Yes	No	Yes	Yes	2	
Gamertsfelder **	58 East Green Drive	Yes	No	Yes	No	3	
Hoover *	155 South Green Drive	Yes	No	Yes	Yes	3	
James **	8 West Green Drive	Yes	No	Yes	No	3	
Jefferson *	101 East Union Street	Yes	Yes	Yes	No	3	
Johnson **	44 East Green Drive	Yes	Yes	Yes	No	3	
Lincoln **	45 East Green Drive	Yes	Yes	Yes	No	3	
Luchs **	115 South Green Drive	Yes	Yes	Yes	Yes	3	
Mackinnon **	18 North McKinley Avenue	Yes	No	Yes	Yes	3	
Martzloff *	17 Weld Drive	Yes	No	Yes	Yes	3	
O'Bleness *	20 Nelson Drive	Yes	No	Yes	Yes	3	
Perkins **	57 East Green Drive	Yes	No	Yes	No	3	
Pickering *	28 North McKinley Avenue	Yes	No	Yes	Yes	3	
Read **	46 East Green Drive	Yes	Yes	Yes	No	3	
Ryors *	51 Oxbow Trail	Yes	No	Yes	No	3	
Sargent **	43 Oxbow Trail	Yes	No	Yes	No	3	
Scott Quad **	88 University Terrace	Yes	Yes	Yes	Yes	3	

All Residence Halls are equipped with room smoke detectors

\* Stand alone smoke detectors

\*\* Smoke detectors report to fire panel

## Appendix A

### Residence Hall Fire Safety Equipment

Residence Hall	Address	Fire Alarm System	Fire Sprinkler System	Fire Extinguishers	Standpipe System	# of evacuation drills conducted each academic year
Shively **	59 East Green Drive	Yes	Yes	Yes	No	3
Smith *	199 South Green Drive	Yes	No	Yes	Yes	3
Sowle	105 South Green Drive	Yes	Yes	Yes	Yes	3
Tanaka **	121 South Green Drive	Yes	Yes	Yes	Yes	3
Tiffin **	60 East Green Drive	Yes	No	Yes	No	3
Treudley **	41 Oxbow Trail	Yes	No	Yes	No	3
True *	193 South Green Drive	Yes	No	Yes	Yes	3
Voigt **	34 South College St	Yes	No	Yes	No	3
Washington *	48 East Green Drive	Yes	No	Yes	No	3
Weld *	22 Weld Drive	Yes	No	Yes	Yes	3
Wilson **	20 West Green Drive	Yes	No	Yes	No	3
Wray *	175 South Green Drive	Yes	No	Yes	Yes	3
31 S Court **	31 South Court Street	Yes	Yes	Yes	No	3

All Residence Halls are equipped with room smoke detectors

\* Stand alone smoke detectors

\*\* Smoke detectors report to fire panel

## Appendix B

### 2015 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2015	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
Adams	131 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Armbruster	18 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
Atkinson	10 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
Biddle	51 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Boyd	47 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Bromley	35 South Congress Street	0	N/A	N/A	N/A	0	0	N/A
Brown	22 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Brough	8 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Bryan	34 University Terrace	0	N/A	N/A	N/A	0	0	N/A
Bush	50 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Cady	16 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Carr	97 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Convo	95 Richland Avenue	0	N/A	N/A	N/A	0	0	N/A
Crawford	12 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Dougan	181 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Ewing	167 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Fenzel	24 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Foster	14 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Gamertsfelder	58 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Hoover	155 South Green Drive	0	N/A	N/A	N/A	0	0	N/A

## Appendix B

### 2015 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2015	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
James	8 West Green Drive	0	N/A	N/A	N/A	0	0	N/A
Jefferson	101 East Union Street	0	N/A	N/A	N/A	0	0	N/A
Johnson	44 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Lincoln	45 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Luchs	115 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Mackinnon	18 North McKinley Avenue	1	4/3/15	4/3/15 @ 3:54pm	Intentional	0	0	N/A
Martzloff	17 Weid Drive	0	N/A	N/A	N/A	0	0	N/A
O'Brieness	20 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Perkins	57 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Pickering	28 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Read	46 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Ryors	51 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Sargent	43 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Scott Quad	88 University Terrace	0	N/A	N/A	N/A	0	0	N/A
Shively	59 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Smith	199 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Sowle	105 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Tanaka	121 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Tiffin	60 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Treudley	41 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A

## Appendix B

### 2015 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2015	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
True	193 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Voigt	34 South College St	0	N/A	N/A	N/A	0	0	N/A
Washington	48 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Weld	22 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
Wilson	20 West Green Drive	0	N/A	N/A	N/A	0	0	N/A
Wray	175 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
31 S Court	31 South Court Street	0	N/A	N/A	N/A	0	0	N/A

## Appendix C

### 2014 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2014	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
Adams	131 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Armbruster	18 Weid Drive	0	N/A	N/A	N/A	0	0	N/A
Atkinson	10 Weid Drive	0	N/A	N/A	N/A	0	0	N/A
Biddle	51 East Green Drive	1	5/3/14	5/3/14 @ 4:44am	Intentional	0	0	N/A
Boyd	47 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Bromley	35 South Congress Street	0	N/A	N/A	N/A	0	0	N/A
Brough	8 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Brown	22 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Bryan	34 University Terrace	0	N/A	N/A	N/A	0	0	N/A
Bush	50 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Cady	16 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Convo	95 Richland Avenue	0	N/A	N/A	N/A	0	0	N/A
Crawford	12 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Dougan	181 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Ewing	167 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Fenzel	24 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Foster	14 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Gamertsfelder	58 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Hoover	155 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
James	8 West Green Drive	0	N/A	N/A	N/A	0	0	N/A

## Appendix C

### 2014 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2014	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
Jefferson	101 East Union Street	1	11/6/14	11/6/14 @ 10:08pm	N/A	0	0	N/A
Johnson	44 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Lincoln	45 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
MacKinnon	18 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Martzloff	17 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
O'Bleness	20 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Perkins	57 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Pickering	28 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Read	46 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Ryors	51 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Sargent	43 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Scott Quad	88 University Terrace	0	N/A	N/A	N/A	0	0	N/A
Shively	59 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Smith	199 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Tiffin	60 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Treudley	41 Oxbow Trail	1	12/7/14	12/7/14 @ 4:20pm	Intentional	0	0	N/A
True	193 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Voigt	34 South College St	0	N/A	N/A	N/A	0	0	N/A
Washington	48 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Weld	22 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
Wilson	20 West Green Drive	0	N/A	N/A	N/A	0	0	N/A
Wray	175 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
31 S Court	31 South Court Street	0	N/A	N/A	N/A	0	0	N/A

## Appendix D

### 2013 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2013	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
Adams	131 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Armbruster	18 Weid Drive	0	N/A	N/A	N/A	0	0	N/A
Atkinson	10 Weid Drive	0	N/A	N/A	N/A	0	0	N/A
Biddle	51 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Boyd	47 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Bromley	35 South Congress Street	0	N/A	N/A	N/A	0	0	N/A
Brough	8 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Brown	22 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Bryan	34 University Terrace	0	N/A	N/A	N/A	0	0	N/A
Bush	50 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Cady	16 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Convo	95 Richland Avenue	0	N/A	N/A	N/A	0	0	N/A
Crawford	12 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Dougan	181 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Ewing	167 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Fenzel	24 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Foster	14 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Gamertsfelder	58 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Hoover	155 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
James	8 West Green Drive	0	N/A	N/A	N/A	0	0	N/A

## Appendix D

### 2013 Ohio University Residence Hall Related Information for Fire Safety and Statistics

Residence Hall	Address	Total Fires in Each Building 2013	Date Fire Reported	Date & Time of Fire	Classification of Fires	Injuries	Deaths	Property Damage
Jefferson	101 East Union Street	1	9/7/13	9/7/13 @ unknown	Intentional	0	0	\$0.00
Johnson	44 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Lincoln	45 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Mackinnon	18 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Martzloff	17 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
O'Bleness	20 Nelson Drive	0	N/A	N/A	N/A	0	0	N/A
Perkins	57 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Pickering	28 North McKinley Avenue	0	N/A	N/A	N/A	0	0	N/A
Read	46 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Ryors	51 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Sargent	43 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
Scott Quad	88 University Terrace	0	N/A	N/A	N/A	0	0	N/A
Shively	59 East Green Drive	1	4/8/13	4/8/13 @ unknown	Intentional	0	0	\$0.00
Smith	199 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Tiffin	60 East Green Drive	1	2/23/13	2/23/13 @ unknown	Intentional	0	0	\$0.00
Treudley	41 Oxbow Trail	0	N/A	N/A	N/A	0	0	N/A
True	193 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
Voigt	34 South College St	0	N/A	N/A	N/A	0	0	N/A
Washington	48 East Green Drive	0	N/A	N/A	N/A	0	0	N/A
Weld	22 Weld Drive	0	N/A	N/A	N/A	0	0	N/A
Wilson	20 West Green Drive	0	N/A	N/A	N/A	0	0	N/A
Wray	175 South Green Drive	0	N/A	N/A	N/A	0	0	N/A
31 S Court	31 South Court Street	N/A	N/A	N/A	N/A	N/A	N/A	N/A





## Interoffice Communication

**Date:** October 3, 2016

**To:** The President and Board of Trustees

**From:** Deborah Shaffer, Vice President Finance & Administration, CFO and Treasurer

**Re:** **Annual Clery Act Compliance Report – Police**

Enclosed please find the annual Ohio University 2016 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 2015 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.

The 2016 report highlights:

- 2015 saw a notable spike in sexual impositions, which appear as “fondling” offenses in the Clery report. It is likely this increase is partly due to better awareness and reporting. Rapes remained fairly stable in 2015, while the increase in reports of dating violence will be explained below.
- Non-sexual violent crimes (robbery and aggravated assault) dropped in 2015, while property crimes (burglary and motor vehicle theft) saw moderate increases. Some of the motor vehicle thefts were later found not to be crimes, but Clery does not allow us to report motor vehicle thefts as unfounded, regardless of circumstance.
- 2015 saw an increase in drug abuse violations, which are largely officer initiated. Because the increase also correlated with an increase in police staffing, it is likely the increase is not a reliable indication of the number of offenses occurring.
- 2015 saw one offense that met the Clery definition of a hate crime. In that case, person(s) unknown wrote disparaging remarks in a student's notebook related to her being of Romany (Gypsy) descent.

On July 1, 2015 the new language and reporting requirements included in the Violence Against Women Act amendment were finalized and became mandatory for the full calendar year of 2015. Prior to the finalized language, our reporting obligation was to make a “good faith effort” to comply with draft language. Therefore, this document shows some significant increases in reports of dating violence which may be due, in part, to adjusting data collection processes as the amendment's language became final. It should also be noted that at a national level, there has been much commentary about the belief that increasing numbers should generally be viewed favorably, as they are most likely an indication that an institution has good reporting processes.

2016  
Clery Act  
Annual Security Report



**OHIO**  
UNIVERSITY

## **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 non-campus property controlled by the University; and 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.

Compliance with the provisions set forth in this document and specified by the Violence Against Women Reauthorization Act of 2013 does not constitute a violation of section 444 of the General Education Provisions Act (20 U.S.C. 1232g), commonly known as the Family Educational Rights and Privacy Act of 1974 (FERPA).

## **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 32 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 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 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 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 (CSAs) are members of the Ohio University community with significant responsibility for student and campus activities who also have the authority and the duty to take action or respond to particular issues on behalf of the institution. Campus Security Authorities 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](http://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 to, summon the necessary resources for, 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 a 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, would 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 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 plans for the residence halls. Environmental Health and Safety along with Housing and Residence Life are responsible for the coordination of these drills. Residents of the halls will be notified of the drills by Housing and Residence Life staff. The University Critical Incident Response Team (CIRT) also participates in a table top exercise at each of the quarterly meetings. 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 action 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 communication 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. The outdoor emergency notification system will sound from six locations (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 second 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 communication. 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](http://www.ohio.edu)) has an emergency information link and may also be used as a standalone site serving as the sole release point for emergency information.

The emergency information page ([www.ohio.edu/alert](http://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, e.g., 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 the University, 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 situation 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](mailto:hoskinso@ohio.edu). In a short video found [here](#), members of the Ohio University Police Department summarize the strategies of ALiCE.

## **Shelter-in-Place Procedures – What Does 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, Housing and Residence Life Staff, or authorities at your regional campus. Alerts by either 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, and
  - 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 systems 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.

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 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.

## Educational Programs Regarding Sexual Misconduct, Relationship Violence, and Stalking

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 the institution's responsibilities; 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](mailto:kopchicc@ohio.edu) or 740-593-4745. Below is a matrix of current programming initiatives, strategies and campaigns.

**Primary and Secondary Approaches for Addressing Sexual Misconduct/Violence**

	<b>Education &amp; Increased Awareness</b>	<b>Bystander Intervention</b>	<b>Engaging Men</b>	<b>Reducing High Risk Alcohol</b>	<b>Policy Education</b>
<b>Individual Level</b>	-Haven (1 <sup>st</sup> year program) -Violence in America (class) -ROTC Requirements for SA Program -1 <sup>st</sup> year athlete program on Sexual Misconduct -Healthy Masculinity Panels -Health Sexuality Classes -Social Work Courses	-Better Bystanders	-A Mile Together (To end PBPV) -Vanguard	-Alcohol Edu -DOS talk at BSO -BASICS -Screen U -Judicial Intervention	-DOS talk at BSO -DOS folders -Process Advisors -Healthy Majority Programs -Ongoing Awareness Programs -SMP Bulletin Boards -Res Hall floor section meeting (biannual)
<b>Relationship Level</b>	-Peer (POWER/GAMMA) Sexual Assault Programs -Peer programs on sexual communication, healthy relationships, and consent	-Choices (elements of BI and consent)	-Healthy Masculinity Working Group -Black Man Think Tank	-Choices for 1 <sup>st</sup> Year Students -Greek Choices	
<b>Community Level</b>	-Poster Campaigns -Sober Sex posters -POWER/GAMMA visuals in 3 <sup>rd</sup> floor BUC Atrium -Social media feeds about campus resources -Take Back the Night	-RA Training as reporters & bystanders -PBPV training for DOSA student staff		-Resident Hall Better Bystander Programs -Floor meetings -Active programs -Beyond the Buzz posters	

Key:

BI: Bystander Intervention

SA: Sexual Assault

ROTC: Reserve Officer's Training Corp

BSO: Bobcat Student Orientation

DOS: Dean of Students

DOSA: Division of Student Affairs

SAP: Survivor Advocacy Program

SMP: Sexual Misconduct Policy

PBPV: Power Based Personal Violence

## 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](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 in the section for each campus.

## Ohio Legal Definitions Relative to the Clery Act and the 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 laws 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 a family or household member of the other person or cause mental distress to the other person or a family or household member of 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 family or household member or mental distress to the other person or the other person's family or household member, 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 form of written communication or any electronic method of remotely transferring information, including, but not limited to, any computer, computer network, computer program, r-computer system, or telecommunication device shall post a message or use any intentionally written or verbal graphic gesture with purpose to do either of the following:
  - (a) Violate division (A)(1) of this section:
  - (b) 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.

## Disciplinary Complaints

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>).

## University Policy 03.004: Sexual Misconduct, Relationship Violence, and Stalking

### A. Policy

Ohio university prohibits sexual misconduct, relationship violence, and stalking in any of its employment situations or educational programs and activities.

This policy has been developed to provide a fair process for determining if a violation of this policy occurred, to remediate the effects of conduct that violates this policy, and to provide information to prevent sexual misconduct, relationship violence, and stalking.

## **B. Basis for policy**

For purposes of this policy, "sexual misconduct, relationship violence, and stalking" includes sexual harassment and sexual assault, domestic violence and dating violence, and stalking. These behaviors are 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, section 4112.02 of the Revised Code, the Violence Against Women Reauthorization Act of 2013 ("VAWA"), and the Campus Sexual Assault Elimination Act ("Campus SaVE Act").

## **C. Policy application**

The rights, responsibilities, and expectations for conduct contained within this policy apply to all aspects of Ohio university's operations, locations, and programs, including regional campuses and online programs. This policy applies to all students, employees, volunteers, and agents of Ohio university. This policy applies to visitors or guests on campus who make an allegation of sexual misconduct against Ohio university students or employees. Sexual misconduct, relationship violence, and stalking can occur between any persons associated with the university, e.g., an employee and a supervisor; coworkers; faculty members; a faculty, staff member, or student and a customer, vendor, or contractor; students; or a student and a faculty member; etc.

All requirements of this policy are applicable regardless of sexual orientation, gender identity, or gender expression. People who believe they have been harmed by conduct prohibited by this policy may file a complaint or report with the office of equity and civil rights compliance ("ECRC"). Third parties may file a complaint or report on behalf of persons whom they believe have been adversely affected by conduct prohibited by this policy.

Sexual misconduct, relationship violence, and stalking committed against or by an Ohio university student, employee, or agent is prohibited through this policy. Depending on the facts and the individuals involved, it could also have implications under the Ohio university employment policies (e.g., under policy [41.135](#)) or the "Student Code of Conduct." If this policy directly contradicts any other policy or procedures related to protected status discrimination, harassment, or retaliation, this policy takes precedence. An initial choice to use any particular policy does not preclude a later or simultaneous decision to use one or more of the others, or to use the criminal justice system.

Students, faculty and staff members may also be victims of sexual misconduct, relationship violence, and stalking by individuals not associated with Ohio university. In such situations, while the university may not conduct an investigation, all resources described in part (H) are available to those victims.

## **D. Definitions**

The following definitions are used in this policy:

### **1. Complainant**

The person who initiates a complaint or report regarding conduct which falls under the sexual misconduct policy is referred to as the "complainant."

### **2. Respondent**

The person who is alleged to have engaged in behavior in violation of this policy is referred to as the "respondent."

### **3. Consent**

The state of Ohio does not provide a definition of "consent" in state statutes relating to sexual crimes. Ohio University's definition of consent is as follows:

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.

#### **4. Sexual harassment**

Sexual harassment includes sexual advances, requests for sexual favors, and other physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint. Sexual harassment occurs under either of two circumstances, "sexual harassment by quid pro quo" and "sexual harassment by hostile environment," as discussed in parts (E)(1) and (E)(2), of this policy.

#### **5. Sexual assault**

Sexual assault is any type of sexual contact or behavior that meets the definition of "non-consensual sexual intercourse" or of "non-consensual sexual contact," as discussed in parts (E)(3) and (E)(4), of this policy.

### **E. Offenses**

The following types of conduct are violations of this policy:

#### **1. Sexual harassment by *quid pro quo***

Physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint, where:

- a Submission to such conduct is made either explicitly or implicitly a term or condition of a person's employment or academic status; or
- b Submission to or rejection of such conduct by a person is used as the basis for employment or academic decisions affecting such person.

#### **2. Sexual harassment by hostile environment**

Physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint, where:

- a Such conduct has the purpose or effect of unreasonably interfering with a person's work or academic performance or creating an intimidating, hostile, or offensive environment for working, learning, or living on campus.
- b The determination of whether an environment is "hostile" is often contextual and must be based on the circumstances. These circumstances could include:
  - i The frequency of the conduct;
  - ii The nature and severity of the conduct;
  - iii Relationship between the complainant and the respondent;
  - iv Location and context in which the alleged conduct occurs;
  - v Whether the conduct was physically threatening;
  - vi Whether the conduct was humiliating; or
  - vii Whether the conduct arose in the context of other discriminatory conduct.

#### **3. Non-consensual sexual contact**

Non-consensual sexual contact is:

- a Intentional contact with the breasts, buttock, groin, or genitals;
- b Touching another with any of these body parts, or making another touch you or themselves with or on any of these body parts;
- c Any intentional bodily contact in a sexual manner;
- d By a person upon a person;

- e Without consent.

#### **4. Non-consensual sexual intercourse**

Non-consensual sexual intercourse is:

- a Vaginal or anal penetration by any body part or foreign object;
- b Oral copulation (mouth to genital contact or genital to mouth contact);
- c However slight;
- d By a person upon a person;
- e Without consent.

#### **5. Sexual exploitation**

Sexual exploitation occurs when a person, knowingly or recklessly, takes non-consensual or abusive sexual advantage of another for his or her own advantage or benefit, or to benefit or advantage anyone other than the one being exploited, and that behavior does not otherwise constitute one of the other sexual misconduct offenses. Examples of sexual exploitation include:

- a Prostituting another person;
- b Non-consensual video- or audio-recording or photographing of sexual activity;
- c Going beyond the boundaries of consent (such as permitting others to observe you having consensual sex with someone who is not aware of the observation);
- d Voyeurism;
- e Public indecency (such as exposing your genitals to others without consent);
- f Knowingly exposing another person to a sexually transmitted infection ("STI") or Human Immunodeficiency Virus ("HIV") without prior knowledge and consent of the person to be exposed to STI or HIV; or
- g Contact-free coercion (e.g., by threat of violence) causing a person to completely or partially disrobe.

#### **6. Domestic violence**

Domestic violence is defined as physical violence committed by a current or former spouse, or intimate partner of the complainant; by a person with whom the complainant shares a child; by a person cohabiting with the complainant as a spouse or intimate partner; or by a family or household member (i.e., parent, child, other persons related by blood, marriage, or prior marriage); see section 2919.25 of the Revised Code).

Harmful behavior that is not physical in nature will be evaluated through the "severe and pervasive" lens described in part (E)(2) of this policy, "Sexual Harassment by Hostile Environment."

#### **7. Dating violence**

Dating violence is defined as physical violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the complainant; and where the existence of such a relationship shall be determined based on the complainant's statement, and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating violence does not include acts that meet the definition of "domestic violence."

Harmful behavior that is not physical in nature will be evaluated through the "severe and pervasive" lens described in part (E)(2) of this policy, "Sexual Harassment by Hostile Environment."

## 8. Stalking

- a Stalking is engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others; or that would cause a reasonable person to suffer substantial emotional distress. A "reasonable person" is a person under similar circumstances or similarly situated to the victim. "Substantial emotional distress" is significant mental suffering or anguish that may, but does not necessarily require, medical or other professional treatment or counseling.
- b Stalking requires two or more acts, such as the following:
  - i Acts in which the stalker directly, indirectly, or through third parties;
  - ii By any action, method, device, or means;
  - iii Follows, monitors, observes, surveils, threatens, or communicates to or about a person; or
  - iv Interferes with a person's property.
- c The following are examples of behaviors that could constitute stalking:
  - i Sending unwanted emails, texts, letters, or gifts;
  - ii Asking someone or someone's acquaintances where they are or where they are going;
  - iii Repeatedly calling someone on the phone;
  - iv Using the internet to threaten someone;
  - v Appearing at someone's class or workplace without a legitimate reason.

## 9. Retaliatory harassment

Retaliatory harassment is an adverse action or threat of an adverse action taken in response to a person who makes a protected disclosure under this policy. Protected disclosures include:

- a Reporting suspected sexual misconduct, relationship violence, or stalking to a supervisor or appropriate university official;
- b Filing a complaint or lawsuit under federal or state law or university policy that prohibits sexual misconduct, relationship violence, or stalking; or
- c Participating in an investigation or proceeding under this policy.

## 10. Consensual relationships

Consensual romantic or sexual relationships in which one party retains a direct supervisory or evaluative role over the other party are unethical, create a risk for real or perceived coercion, and are expressly a violation of this policy. Furthermore, the possibility of a future amorous relationship may distort the present instructional or advising relationship.

Therefore, persons with direct supervisory, evaluative, grading, or academic advising responsibilities who are involved in such relationships must bring those relationships to the attention of their supervisor. This will likely result in the necessity to remove the employee from the supervisory, evaluative, grading, or academic advising responsibilities.

Ohio University does not intrude upon private choices regarding personal relationships when these relationships do not violate the policies of the university, cause harm to the safety and wellbeing of members of campus community, or increase the risk of harm to the safety and wellbeing of members of campus community.

## F. Reporting

### 1. Duty to report

Immediately upon learning of potential campus sexual misconduct, any employee with a duty to report violations of this policy who receives a complaint of sexual misconduct or who observes or learns of conduct that is reasonably believed to be in violation of this policy, is required to report the alleged conduct to ECRC.

Employees with a duty to report violations of this policy include faculty, administrators, coaches, and staff. Graduate assistants and student employees have a duty to report violations of this policy of which they become aware in the course of their duties when these duties include responsibility for the safety and wellbeing of other members of the campus community or if they have supervisory, evaluative, grading, or advisory responsibility over other members of the campus community.

In addition to the duty to report sexual misconduct to ECRC as identified in the prior paragraphs, in some circumstances there is also a duty to report allegations of criminal conduct to law enforcement. Section 2921.22 of the Revised Code requires every person who knows that a felony has been or is being committed, to report it to law enforcement. It is a criminal offense to knowingly fail to make the report. If you suspect or have knowledge of criminal activity occurring on university property, call the Ohio university police department ("OUPD") at 740-593-1911 (in an emergency, please dial 911 immediately). Incidents that occur off campus or at a regional campus should be reported to local law enforcement.

## **2. Filing a formal report of violation of this policy**

ECRC serves as the recipient for any formal complaint or report of sexual misconduct. Other offices may handle certain aspects of the university response, such as university human resources, dean of students office, office of community standards and student responsibility ("CSSR"), OUPD, etc. ECRC is responsible for investigating complaints of sexual misconduct under this policy, monitoring the response of other campus offices that may respond to complaints of sexual misconduct under this policy, and for responding to complaints of retaliation for filing a complaint on the basis of this policy.

Walk-in or mail: Office of Equity and Civil Rights Compliance  
Title IX Coordinator  
Ohio University  
Lindley Hall 006  
Athens, Ohio 45701

Phone: 740-593-9140

Fax 740-593-9168

E-mail: [equity@ohio.edu](mailto:equity@ohio.edu) OR [TitleIX@ohio.edu](mailto:TitleIX@ohio.edu)

On-line: [https://publicdocs.maxient.com/reportingform.php?OhioUniv&layout\\_id=5](https://publicdocs.maxient.com/reportingform.php?OhioUniv&layout_id=5)

## **3. Self-reporting of sexual offenses**

Persons who are victim or survivors of sexual offenses are encouraged to contact university police. 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 university police 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. See part (F)(4) of this policy for more details. In all cases, victims or survivors are encouraged to avail themselves of existing resources.

Within the university, sexual offenses should be reported to:

Ohio University Police Department  
Main Campus: 740 593-1911

## **4. Privacy and confidentiality**

If a complainant 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 complainant's identity must be disclosed to the respondent. In the event that the complainant's identity is disclosed, where the complainant has sought anonymity, the complainant 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 services. In those cases where the evaluation permits confidentiality,

record-keeping will exclude personally-identifiable information about the complainant.

In general, information received in connection with the filing, investigation, and resolution of allegations will be treated as private, with certain exceptions. These 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, 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.

If the complaint contains sufficiently detailed information about conduct that may constitute a crime, then the matter will be reported to law enforcement, as discussed in part (F)(1) of this policy.

#### **5. Anonymous complaints**

Anonymous complaints will be accepted; however, Ohio university's ability to obtain additional information may be compromised and the ability to investigate or resolve anonymous complaints may be limited.

If the complaint contains sufficiently detailed information about conduct that would constitute a violation of this policy, ECRC will exercise due diligence to address the concerns identified with the affected planning unit to the extent possible with available information.

#### **6. Filing a false complaint**

Intentionally making a false complaint or report of sexual misconduct is prohibited, is a violation of this policy, constitutes misconduct subject to disciplinary action, and may also be a crime. ECRC shall refer evidence of intentional false complaints or reports to the office of legal affairs.

### **G. Investigation guidelines**

#### **1. Preservation of evidence and medical examination**

Evidence of a sexual assault should be preserved as soon as possible after the incident, even if the affected party is unsure about reporting or filing criminal charges. This is because some kinds of evidence may only be collected within a short period of time after an assault, and delaying preservation may reduce the chances of a successful criminal prosecution in the future. A sexual assault forensic examination ("SAFE") will preserve evidence. Therefore, any person who has been subjected to physical sexual violence is urged to go as quickly as possible to the emergency room at any local hospital for medical attention. For a list of hospitals close to each campus, including those with SAFE nurse examiners or staff specially trained for sexual misconduct examination and evidence collection, refer to the "Sexual Misconduct, Relationship Violence and Stalking Resource List" (linked from the "References" part of this policy) or to the resources listed for each campus in this annual security report.

#### **2. Investigation**

Violations committed by persons affiliated with Ohio university who are not students shall be investigated and adjudicated pursuant to the "ECRC Grievance Procedure" (linked from the "References" part of this policy). Violations of this policy committed by students shall be investigated and adjudicated pursuant to the "Student Sexual Misconduct, Relationship Violence and Stalking Process" (linked from the "References" part of this policy).

Such proceedings shall provide a prompt, fair, and impartial investigation and resolution.

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 complainant and respondent 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.

Both the complainant and respondent 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.

### **3. Cooperation with investigation**

A person with a duty to report will actively provide information in the time and manner deemed necessary and appropriate by the university to conduct the investigation. Failure to cooperate with the investigation process in a timely manner may compromise the university's ability to conduct an investigation and fully address allegations.

### **4. Standards of evidence**

In determining a violation of this policy, 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.

### **5. Sanctions and protective measures**

A person or group of persons found to have violated this 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 non-consensual sexual contact, non-consensual sexual intercourse, sexual assault, domestic violence, dating violence, or stalking, additional protective measures may be imposed. In consultation with ECRC, responsible planning units will ensure corrective measures intended to end the prohibited conduct and prevent further violation of the policy.

### **6. Consideration of classroom and instructional settings**

The classroom or other instructional setting (e.g., studio, laboratory, office hours) presents special issues because academic freedom protects the expression of ideas, even where the idea or its expression is perceived to be mature, controversial, explicit, graphic, or offensive. Nevertheless, conduct that would otherwise constitute violation of this policy will not be exempt merely because it occurs in an instructional setting. Rather, the investigation will consider the legitimate pedagogical context and will take into account discipline-specific guidelines for professional practice as defined by the appropriate educational unit.

Accordingly, if the conduct that was the basis for the complaint occurred in an instructional context, broad deference is given. When there is a legitimate pedagogical basis, the presentation or discussion of sexual topics that are mature, controversial, graphic, or explicit shall not be considered sexual harassment even if some persons find these topics subjectively offensive.

## **H. Resource and response guidelines**

### **1. Resources for victims, complainants, and respondents**

Ohio university offers resources for all persons who have been affected by sexual misconduct. ECRC shall maintain information online listing, describing, and linking to on-campus confidential and non-confidential resources, as linked from the "References" part of this policy.

In most circumstances, those designated as confidential resources do not have a duty to report violations of this policy to ECRC or law enforcement other than for statistical record-keeping purposes as required by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, 20 U.S.C. § 1092(f), 34 C.F.R. 688.46. There should be no expectation that a report to these resources otherwise puts Ohio university on notice of a violation of this policy.

### **2. Interim employment and academic arrangements**

As an interim measure, 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 OUPD of the order so that OUPD can assist, as needed, with enforcement of the order.

### **3. Reasonable accommodation for persons with disabilities**

Any persons living with a disability involved in this process have the right to request reasonable accommodation in order to ensure their full and equal participation. Students should make requests to the office of student accessibility services ("SAS") and employees should contact the office for equal opportunity and accessibility ("EOA"). Parties do not have to disclose information about the complaint or charge to request reasonable accommodation, except to the extent that it may assist in the determination of reasonable accommodations. Accommodations are determined on an individual basis by SAS or EOA and are implemented in consultation with the case investigator(s). Examples of reasonable accommodation include sign language interpretation, real-time communication access during hearings, large print documents, extended time to review documents, or assistance with transcribing questions during interviews or hearings.

### **4. Prevention 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. ECRC shall maintain a list of prevention and awareness programs, including those directed at new students and new employees, and make it available online.

### **Reviewers**

Proposed revisions of this policy should be reviewed by:

1. Chief Human Resources Officer
2. Faculty Senate
3. Administrative Senate
4. Classified Senate
5. Student Senate
6. Graduate Student Senate
7. Deans
8. Chairs and Directors
9. Chief of the Ohio University Police Department
10. Director of the Office of Community Standards and Student Responsibility
11. Vice Provost for Diversity and Inclusion

### **Forms, References, and History**

#### **1. Forms**

The following form is specific to this policy:

1. The Discrimination and Harassment complaint form is available online through the ECRC website, "How to File a Complaint," at <https://www.ohio.edu/equity-civil-rights/complaint.cfm>.

#### **2. References**

The following items are relevant to this policy:

1. The "Sexual Misconduct, Relationship Violence, and Stalking Resource List" outlines and describes resources available to the person who has been affected by sexual misconduct and the person being accused of sexual misconduct; it is available online, linked through <https://www.ohio.edu/equity-civil-rights/>.
2. The "Student Code of Conduct" is online, linked through <https://www.ohio.edu/communitystandards/>.
3. The "ECRC Grievance Resolution Procedure" is available online, linked through the Office of Equity and Civil Rights Compliance website, "Grievance Procedures," at <https://www.ohio.edu/equity-civil-rights/grievance.cfm>.
4. The ECRC and CSSR procedure for student-to-student Sexual Misconduct, Relationship Violence, and Stalking cases under this policy is linked at <https://www.ohio.edu/equity-civil-rights/upload/Sexual-Misconduct-Process.pdf>.

5. The ECRC list of prevention programs discussed in part (G)(4) of this policy is linked through <https://www.ohio.edu/equity-civil-rights/>.
6. The Ohio Revised Code is available online, including sections [2921.22](#) and [4112.02](#).
7. The Department of Education "Dear Colleague Letter" (April 4, 2011) is available on-line, at <http://www2.ed.gov/about/offices/list/ocr/letters/colleague-201104.html>.
8. The Violence Against Women Act 2013 Reauthorization is available in several formats online, including <https://www.congress.gov/bill/113th-congress/senate-bill/47>.
9. Policy [03.006](#), "Whistle-blowing and Retaliation."
10. Policy [40.001](#), "Equal Employment and Educational Opportunity."
11. Policy [41.135](#), "Workplace Violence."
12. Policy [44.119](#), "Video Surveillance Systems."

### 3. History

Draft versions of this policy that were circulated for review, their cover memos, their forms, and Reviewers' comments on them are available on the password-protected Review site, at <https://www.ohio.edu/policy2/03-004/>.

Prior versions of this policy were approved on:

1. October 6, 2015
2. August 3, 2012
3. March 27, 2006
4. October 28, 2002
5. November 1, 1994
6. April 1, 1984
7. August 14, 1981

## Student Sexual Misconduct, Relationship Violence, and Stalking Process

This section describes the process for investigating and adjudicating reports of alleged sexual misconduct, relationship violence, and stalking that involve students as the Respondent. This process will be used to adjudicate alleged student violations of Ohio University Policy 03.004 as well as alleged violations of the Student Code of Conduct. This process applies to reported incidents in which the initial interview with the Complainant occurred on or after August 21, 2014.

### A. Definitions

For the purposes of this process, the following definitions apply:

**Sexual Misconduct** – See Policy 03.004: Sexual Misconduct (<https://www.ohio.edu/policy/03-004.html>)

**Respondent** – Person whom it is alleged committed a violation or violations of Policy 03.004 and/or the Student Code of Conduct. There may be more than one respondent for an incident.

**Complainant** – Person who was subject to alleged misconduct as described in Policy 03.004 and/or the Student Code of Conduct. There may be more than one complainant for an incident.

**Witness** – Person who is requested to participate in an investigation or a hearing because they may have information about the alleged misconduct. Witness names may be supplied by the complainant, respondent, or others with knowledge of the matter. All witnesses requested to appear at a hearing will be considered university witnesses.

Hearing Authority – Panel of two individuals chosen from the pool of trained investigators in the Office for Institutional Equity (OIE) and Community Standards and Student Responsibility (CSSR) who have not participated in the investigation of the matter at hand.

Referring Party – Person who reported the alleged policy violation to the Office for Institutional Equity.

Support Person – Any person chosen by either the complainant or the respondent to provide support to them throughout their interactions with OIE and/or CSSR throughout this process. The complainant and respondent are each entitled to one support person at a time, but this person does not have to be the same individual throughout the process. This person does not actively participate in the process, but can be present at meetings and hearings to provide support to the complainant or respondent. The support person cannot be a witness in the matter in question.

Process Advisor – Member of the university community who has been specifically trained to provide guidance and information to complainants and respondents involved in this process. This person does not actively participate in the process, but can be present at meetings and hearings to provide support to the complainant or respondent. Process advisors cannot be a witness in the matter in question. A list of process advisors can be obtained by request from CSSR.

Gatekeeper – Entity responsible for determining if a matter fits within the scope of Policy 03.004 and should therefore be resolved by this process. OIE serves as the gatekeeper for this process.

Preponderance of Evidence – Standard of proof used by the hearing authority. Preponderance of evidence means that the statements and information presented in the matter must indicate to a reasonable person that it is more likely than not that the respondent committed a violation.

#### B. Report of Potential Violation

Complainants may self-report incidents of sexual misconduct, relationship violence, or stalking directly to the Office for Institutional Equity (OIE). Referrals or third party notices of alleged sexual misconduct, relationship violence and stalking also come from a variety of sources, including students, faculty and staff members. With the exception of the confidential resources listed below, all employees of Ohio University have an obligation to report any instances of these behaviors to Institutional Equity. This includes mandatory reporting from the Ohio University Police Department (OUPD) and Office of Community Standards and Student Responsibility (CSSR) to the Office of Institutional Equity. Per Policy 03.004, “Immediately upon learning of potential campus sexual misconduct, any employee with a duty to report violations of this policy who receives a complaint of sexual misconduct or who observes or learns of conduct that is reasonably believed to be in violation of this policy, is required to report the alleged conduct to the Office for Institutional Equity.”

The Office for Institutional Equity will then inform the Title IX Coordinator of the report. OIE is also responsible for notifying the appropriate law enforcement agency if the report indicates that sexual violence and/or another felony may have been committed. While OIE is obligated to contact law enforcement, complainants are not required to speak with the police unless they so choose. OIE will also work with the Ohio University Police Department to assess if a timely warning needs to be issued to the campus community in relation to the report.

#### C. Confidential Resources

The university recognizes that students impacted by sexual misconduct, relationship violence, or stalking may wish to take advantage of health and support resources without disclosing the situation to the university. To that end, there are a number of confidential resources on campus to whom students may speak. These confidential resources are not required to report incidents to the Office of Institutional Equity for further investigation. On campus, those resources are:

- Campus Care  
1st Floor Hudson Health Center  
740-593-1660  
<http://www.oucom.ohiou.edu/campuscare/services.htm>

- Counseling and Psychological Services 3rd Floor Hudson Health Center  
740-593-1616 (24/7 Line)  
<http://www.ohio.edu/counseling/index.cfm>
- Survivor Advocacy Program  
Lindley Hall  
740-597-SAFE (7233) – (24/7 Line)  
[survivor.advocacy@ohio.edu](mailto:survivor.advocacy@ohio.edu)  
<http://www.ohio.edu/survivor>

#### D. Timeline

Guidelines by the Department of Education suggest 60 days as a time limit to complete the investigation and hearing processes. Every effort will be made to adhere to that timeline. However, in some circumstances, this process may require an extension of that time limit. In those instances, the complainant and respondent will be notified in writing of the extension. The timeline begins when OIE receives notice of an alleged violation and ends when the complainant and respondent are notified of the outcome of their matter. It is important to note that the 60-day time limit does not include the appeal process.

#### E. Assessment of Interim Measures

All reports will be reviewed to determine if interim measures are necessary. Interim measures may be implemented even if a formal investigation is unable to proceed. Interim measures may be made at any point after a report is received and may include, but are not limited to:

- Administrative directives for no contact
- Temporary or permanent re-assignment of housing
- Restriction of access to particular areas of campus
- Altered academic arrangements (moving an individual from class, completing work online, etc.)

In most cases, OIE and CSSR will make decisions on interim measures. Professional staff in Residential Housing may initiate an immediate residential move in the case of allegations of sexual misconduct, relationship violence, or stalking. They may also issue temporary administrative directives for no contact under the same circumstances. Residential Housing will notify CSSR in writing of any interim measures they initiate as soon as possible, but no later than the next business day. All interim measures described above will be documented in writing.

Additionally, both OIE and CSSR may jointly assess reports as they are received to determine if there is a need to recommend an interim suspension of the respondent. That recommendation will then be presented to the Dean of Students for consideration. If the decision is made to proceed with a Presidential Interim Suspension, the respondent will be notified in writing by the Vice President for Student Affairs, or designee.

#### F. Resources and Options Meeting

Staff from OIE will reach out to the complainant(s) within one business day of receiving a report of alleged sexual misconduct, relationship violence, or stalking to set up a resources and options meeting with the complainant. During the resources and options meeting, the following will be covered with the complainant:

- Medical, mental health, advocacy, law enforcement, and other resources available to complainants, both on campus and in the surrounding community
- Possible interim measures that are available (see Section E below)
- The obligation of the university to investigate every report of alleged sexual misconduct, relationship violence, and stalking, both under federal law and out of concern for the safety of our campus community
- The process for investigating and resolving alleged violations of sexual misconduct, relationship violence, and stalking
- The rights that the complainant and respondent have in that process (see Section J below)
- The right for the complainant to request confidentiality and the process by which that request will be evaluated (see Section G below)

OIE may also verify the information received in the initial report with the complainant. Complainants are not required to attend this meeting, and if they do attend the meeting, are not required to share any information unless they choose to do so. Should the complainant not respond to OIE's initial attempt to contact them, OIE will make two additional attempts. Should the complainant not respond at all, OIE will send the complainant written acknowledgement of their non-participation, and notice of the next steps in the process. Should the complainant later choose to participate, they may re-engage with the process at any point before the process is concluded.

#### G. Request for Confidentiality

Complainants may request that their name not be used as part of any investigation that the university may initiate. Confidentiality will be discussed during the initial interview. Referring parties may share that a complainant wishes to request confidentiality, but it will not be considered a formal request until made by the complainant to OIE. Complainants requesting confidentiality need to be aware that the inability to use a complainant's name can significantly impede the university's ability to conduct an investigation and, in most cases, the university will be unable to investigate the matter or resolve it through the student conduct process. Additionally, confidentiality can also impact the interim measures the university is able to put in place. For example, a no-contact directive could not be issued if the complainant's name cannot be shared.

Should a complainant wish to request confidentiality, that request will be reviewed jointly by OIE and CSSR. The university will make every effort to honor a complainant's request for confidentiality; however, there are times when that request will not be able to be granted. Some of the reasons a request for confidentiality may be denied include, but are not limited to:

- The reported use of force during the commission of an alleged violation of sexual misconduct, relationship violence, or stalking
- The reported use of a weapon during the commission of an alleged violation of sexual misconduct, relationship violence, or stalking
- Significant physical injury resulting from an alleged violation of sexual misconduct, relationship violence, or stalking
- Prior allegations (substantiated or not) of sexual misconduct, relationship violence, or stalking made against the respondent

The complainant will be notified in writing of the outcome of their request for confidentiality. It is important to note that in situations where confidentiality has been granted, if another report is made regarding the same alleged perpetrator, the request for confidentiality may be reconsidered in the interest of the safety of the campus community. In those instances, OIE and/or CSSR will attempt to contact the complainant to discuss the need to revoke confidentiality. If the complainant is unable to be reached or does not respond after two attempts, OIE and/or CSSR will notify the complainant in writing regarding the revocation of confidentiality before proceeding to use the complainant's name.

If no request for confidentiality is made, the investigation will proceed using the complainant's name.

#### H. Gatekeeping

The Office for Institutional Equity serves as the initial gate-keeper responsible for conducting the preliminary assessment to determine if there is enough information to initiate a formal investigation. This responsibility exists because OIE serves as the university's Title IX compliance office and oversees Title IX grievance processes. If there is no reasonable cause to believe that Policy 03.004 has been violated, OIE will notify appropriate parties and close the matter. OIE may also refer the matter to CSSR for resolution under the student conduct process if the report contains other alleged violations of the Student Code of Conduct. If OIE determines there is reasonable cause to initiate an investigation, that investigation will be conducted in accordance with Section L below.

Both CSSR and OIE are responsible for ongoing gatekeeping once a matter has moved to investigation. There are instances where OIE will initiate an investigation, but through the course of that investigation, it becomes clear that the matter should be handled through another process, such as the student conduct process through CSSR. In situations where this becomes the case, the investigative team will make a written recommendation to the Title IX Coordinator to move the matter from the sexual misconduct

process to the student conduct process. The Title IX Coordinator will review the recommendation and make a decision as to which process is best suited to resolve the issue. If the Title IX Coordinator agrees to move the issue to the student conduct process, the investigative team will issue a letter to both the complainant and respondent with that information and the rationale for that decision, with a copy to the Title IX Coordinator and the director of Community Standards and Student Responsibility.

#### I. Amnesty for Alcohol and Drugs

In an effort to encourage reporting of alleged sexual misconduct, relationship violence, and stalking violations, neither complainants nor witnesses will face referrals for action under the Student Code of Conduct if they personally engaged in the unlawful or prohibited use of alcohol or drugs during the incident when the alleged violation occurred. Additionally, respondents will not face additional referrals for action under the Student Code of Conduct if they personally engaged in the unlawful or prohibited use of alcohol or drugs during the incident when the alleged violation occurred. Please note that amnesty applies only to the personal use of alcohol or drugs and does not extend to other potential violations of the Student Code of Conduct that may have been committed, even if the student may have been under the influence of alcohol or drugs at the time the alleged violations were committed.

#### J. Rights of the Complainant and Respondent

Both complainants and respondents have many of the same rights under this process. Those rights include the right:

- To have a support person, process advisor, and/or legal counsel present during any meetings or hearings that may occur as part of this process
- To have legal counsel advise them whether or not to answer questions. (Please note, legal counsel is not otherwise permitted to participate in the process.)
- To request reasonable accommodations due to disability (see Section K below)
- To have their matter handled in a forthright and timely manner
- To receive advance notice of any meetings in which they are entitled to participate and the purpose of those meetings
- To provide statements, evidence, and information as part of the investigation
- To know the names of all witnesses that are contacted as a part of the investigation
- To know the specific charges being made under Policy 03.004 and the Student Code of Conduct and the range of potential sanctions should a violation be found
- To a copy of the redacted pre-hearing investigative report in order to prepare for the hearing
- To inspect evidence and other information obtained during the investigation in order to prepare for the hearing
- To inspect and review the full record of the matter as provided under the Family Educational Rights and Privacy Act
- To speak or not speak on their own behalf
- To question witnesses that appear through the hearing authority
- To rebut written materials presented in a hearing
- To file a written appeal to the Vice President for Student Affairs

#### K. Reasonable Accommodation for Students with Disabilities

Any student with a disability involved in this process has the right to request reasonable accommodation in order to ensure their full and equal participation in this process. Students wishing to request reasonable accommodations should make those requests directly to the office of Student Accessibility Services (SAS). Students do not have to disclose information about the complaint or charge to SAS to request reasonable accommodation, except to the extent that it may assist in the determination of reasonable accommodations. Accommodations are determined on an individual basis by SAS staff and implemented in consultation with CSSR and OIE. Examples of reasonable accommodation include but not are limited to sign language interpretation, real-time communication access during hearings, large print documents, extended time to review documents, or assistance with transcribing questions during interviews or hearings

#### L. Investigation

Once OIE has determined that a matter will proceed, a joint investigation will be conducted by OIE and CSSR. Each office will assign one investigator to the matter, and that team of two investigators will conduct a prompt, thorough, and impartial investigation.

That team will appoint a primary investigator for the current matter. Investigations will consist of interviews with the complainant, respondent, and relevant witnesses. Witness names may be supplied by either or both the complainant and respondent. Additionally, the investigators may determine through other means that they need to speak with someone and seek that person out independently. Investigators may need to conduct multiple interviews in order to follow up or clarify information provided by others. Student witnesses, while not required to speak, are required to attend scheduled interviews and meetings. Should they fail to attend, they may be charged under the Student Code of Conduct for failure to comply.

At the conclusion of the investigation, the investigative team will write a pre-hearing investigative report. The pre-hearing investigative report will include the following:

- The names of the investigative team and their contact information
- Applicable policies to the matter
- A list of involved parties
- A brief history of the case
- The violations that were alleged to have occurred
- What steps the investigative team took to investigate the matter
- Summaries of the interviews the investigative team conducted
- Any additional information or materials that were considered as part of the investigation

Both investigators will sign off on the report. This pre-hearing investigative report will be made available to both the complainant and respondent at their pre-hearing meetings. The investigator from OIE will also forward the report and all applicable information and evidence to the Title IX Coordinator.

#### M. Pre-Hearing Meetings

Once the pre-hearing investigative report is complete, the investigative team will schedule separate meetings with both the complainant and respondent. In that meeting, the investigative team will go over the pre-hearing investigative report with each party. Both the complainant and respondent will be given access to view the full record of the matter at that time. Additionally, both the complainant and respondent will be provided with a redacted copy of the investigative report. During the pre-hearing meeting, both the complainant and respondent will be informed, verbally and in writing, as to when and where the hearing on this matter is scheduled to take place.

Options for the hearing will also be discussed. Complainants have the right to participate in the hearing in a number of ways. They may participate from another location by phone or video, they may attend in person but request to be screened off from the respondent, or they may attend the hearing without any accommodations in place. Either party may also choose not to attend the hearing at all. In those situations, the hearing will be conducted as scheduled in that person's absence.

The respondent will have three business days from the date of the pre-hearing meeting to decide if they would like to accept responsibility for the charge. If a respondent accepts responsibility for the charge, the hearing will not be held. In the event that a respondent accepts responsibility for the charge, the investigative team will contact the complainant to let them know the hearing has been cancelled due to the respondent accepting responsibility for the charge. The complainant will have an opportunity to provide an impact statement to be used in determining sanctioning. The deadline for the impact statement is three business days from when the complainant is notified that the respondent has accepted responsibility for the charge. The investigative team will then give the report, all evidence and information collected during the investigation, and the impact statement (if any) to the hearing authority. The hearing authority will review those materials, determine an appropriate sanction, and notify the complainant and respondent of their decision in writing, with a copy to the Title IX Coordinator. Both the complainant and respondent have the right to appeal as outlined in Section O below.

#### N. Hearing

A hearing will be conducted for all matters that are not resolved by the respondent accepting responsibility after the pre-hearing meeting. The hearing authority will be a panel of two individuals chosen from the pool of trained investigators in OIE and CSSR who have not participated in the investigation of the matter at hand. The hearing authority will use the preponderance of the evidence standard in making their decision as to whether or not university policy was violated. In order for a respondent to be found in

violation, both members of the hearing authority must agree that the standard of proof has been met. If both of the members of the panel are not in agreement, then there will be no finding of violation.

All hearings under this process will be closed to the public. The complainant and respondent will not be permitted to address each other directly, but may submit questions they would like to have asked to the hearing authority. The hearing authority has discretion to determine which questions are appropriate. For example, questions regarding complainant's sexual history with anyone other than the respondent would be deemed irrelevant and would not be asked. Initial questions that the complainant and respondent would like to ask of the other party should be submitted in writing in advance of the hearing. Those questions should be submitted to the Office of Community Standards and Student Responsibility by no later than 5:00 pm the business day before the hearing is scheduled. Should the need to ask additional questions arise during the hearing, each party will be asked to write their question down and submit the question to the hearing authority for consideration.

The following is a guide as to how the hearing will be conducted:

- The hearing authority will welcome everyone and discuss expectations for the hearing
- The hearing authority will give a brief overview of the investigative report
- The hearing authority may ask the investigative team clarifying questions regarding the investigation at any point during the hearing
- The complainant will be given an opportunity to respond to the investigative report.
- The hearing authority will have an opportunity to ask complainant questions
- The respondent will be given an opportunity to provide the hearing authority with a list of questions they would like complainant to be asked. The hearing authority will have the discretion to determine which questions are appropriate and relevant and ask those questions
- The respondent will be given an opportunity to respond to the investigative report
- The hearing authority will have an opportunity to ask respondent questions
- The complainant will be given an opportunity to provide the hearing authority with a list of questions they would like respondent to be asked. The hearing authority will determine which questions are appropriate and relevant and ask those questions
- The hearing authority will call witnesses, one by one, and ask them questions.
- The complainant will be given an opportunity to ask questions of witnesses through the hearing authority
- The respondent will be given an opportunity to ask questions of witnesses through the hearing authority
- The complainant will be given the opportunity to make a summary statement, including an impact statement, if any, and any requested sanctioning considerations
- The respondent will be given the opportunity to make a summary statement, including an impact statement, if any, and any requested sanctioning considerations

The hearing authority will go into closed session to deliberate on both findings and sanctions. Once the panel has reached their decision, the parties will be called back into the hearing. The finding of violation or not in violation will be given, along with a rationale for why the decision was made. If there is a finding of violation, the sanction will also be given, along with a rationale as to why that sanction was chosen. CSSR is responsible for the determination of sanction, in consultation with OIE. Sanctions will be determined in accordance with the sanctioning guidelines for sexual misconduct maintained by CSSR. Both parties will receive a formal written notice of the outcome of the hearing within two business days of the conclusion of the hearing, with a copy to the Title IX Coordinator.

While every effort will be made to reach a decision on the matter at the time of the hearing, there may be some instances in which the hearing authority may require additional time to deliberate. If a finding cannot be reached that day, the hearing authority will adjourn the hearing and both the complainant and respondent will be notified of the outcome in writing within two business days, with a copy to the Title IX Coordinator.

Both the complainant and the respondent will have three business days from the written notification of the decision from the hearing authority to appeal. Both parties have the right to appeal on the following grounds:

- Inappropriate sanction (cases of clear abuse of discretion by the hearing authority);
- Procedural defect in the original hearing (cases where a defect substantial enough to change the outcome of the finding is present); and/or

- Presence of new evidence that was not available at the time of the hearing (evidence which was not available at the time of the original investigation and is found to be substantial enough to have changed the outcome of the finding).

If either party submits an appeal, that appeal will be shared with the other party who will then have three business days to write a rebuttal. The appeals and rebuttals will be submitted directly to the Vice President for Student Affairs, or designee, who will review the appeal(s) and any rebuttal(s). The Vice President for Student Affairs, or designee, will make a final determination, in consultation with the Title IX Coordinator. The Vice President, or designee, may alter the sanction, order a new hearing, or uphold the decision. The appeal process is not a re-hearing on the matter. The appeal process is a closed process and is limited to the review of written documents and the case file.

#### P. Notice of Final Determination

If there is no appeal, the Office of Community Standards and Student Responsibility will issue a notice of final determination to both the complainant and respondent once the appeal period has passed, with a copy to the Title IX Coordinator. If there is an appeal, the Vice President for Student Affairs will issue a letter stating the outcome of the appeal. The Vice President for Student Affairs will send that letter to both the complainant and respondent, with a copy to the Title IX Coordinator and the director of Community Standards and Student Responsibility. Unless a new hearing is granted, the letter from the Vice President for Student Affairs is considered the notice of final determination in the matter.

#### Q. Sanction Monitoring

The Office of Community Standards and Student Responsibility is responsible for monitoring completion and compliance with all sanctions. Should a student suspended via this process petition to re-enroll, that petition will be reviewed with the Office for Institutional Equity prior to a decision on re-enrollment being made. Absent unusual circumstances, if a student has complied with all components of their sanctions and completed the re-enrollment requirements, they will be permitted to re-enroll.

#### R. Process Review

The offices of Community Standards and Student Responsibility, Legal Affairs, Dean of Students, and Institutional Equity will review these process changes periodically to assess effectiveness and continued compliance. This group will make recommended changes, if any, to be reviewed by the Review and Standards Committee for possible implementation.

## 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 contact(s) designated by the missing student and 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 Housing and Residence Life 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” (e.g., fall 2016-17), (2) complete the “confidential emergency contact” web field, then (3) save the information by selecting the “submit my personal preferences” button. The Office of Housing and Residence Life 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**

### **I. Sexual Assault (Sex Offense) Definitions**

Any sexual act directed against another person, without consent of the victim, including instances where the victim is incapable of giving consent.

**A. Sexual Assault Classifications-** beginning in 2014, the following definitions were used to classify reported sexual assaults

#### **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.

#### **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.

#### **3. Incest**

Non-forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

#### **4. Statutory Rape**

Non-forcible sexual intercourse with a person who is under the statutory age of consent.

### **B. 2013 Sex Offenses Definitions**

In 2013, sex offenses were reported in two different categories. Statistics for “forcible sex offense” comprised reports of rape, sodomy, sexual assault with an object, and fondling; while statistics for “non-forcible sex offense” were made up of reports of incest and statutory rape. This year represents the final year the Annual Security Reports will feature statistics from these old definitions along with the new categories that began in 2014. This may create some confusion looking at the tables. For instance, in 2013, for the Athens campus, you will see 9 cases of rape and 9 cases of fondling reported in the table. In fact, there were a total of 9 forcible sex offenses reported, combining both reports of rape and fondling, which is how those crimes were counted in 2013.

## **II. Crime Definitions**

As per the Clery Act, the following definitions were used to classify reported offenses.

### **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. (All cases where automobiles are taken by persons not having lawful access even though the vehicles are later abandoned, including joyriding, are classified as motor vehicle thefts.)

### **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**

The violation of laws prohibiting the production, distribution and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use. The unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation or importation of any controlled drug or narcotic substance. Arrests for violations of state and local laws, specifically those 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 – manufactured narcotics which can cause true addiction (Demerol, methadone); and dangerous non-narcotic drugs (barbiturates, Benzedrine).

### **I. Liquor Law Violations**

The violations of laws or ordinances prohibiting: the manufacture, sale, transporting, furnishing, or possession of intoxicating liquor; maintaining unlawful drinking places; bootlegging; operating a still; furnishing liquor to a minor or intemperate person; underage possession; 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 prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices, or other deadly weapons. This classification encompasses weapons offenses that are regulatory in nature, such as the manufacture, sale, or possession of deadly weapons; carrying deadly weapons, concealed or openly; using, manufacturing, etc. of silencers; furnishing deadly weapons to minors; aliens possessing deadly weapons; and all attempts to commit any of the aforementioned.

### **III. Violence Against Women Act Offense Definitions**

The "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 Clery offenses for the years 2013, 2014 and 2015. VAWA also added two categories of bias for the reporting of hate crimes (see section V 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 or intimate partner; by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; 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 in which the crime of violence occurred.

#### **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; and
  - (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; or
- (B) suffer substantial emotional distress.

### **IV. Violence Against Women Act Policy Definitions**

#### **A. 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.

#### **B. 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.

#### **C. Ongoing Prevention and Awareness Campaigns**

Ongoing awareness and prevention campaigns refers to campaigns that are sustained over time focusing on increasing awareness or understanding of topics relevant to sexual assault, domestic violence, dating violence, 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.

#### **D. 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, preventing initial perpetration or victimization through the promotion of positive and healthy behaviors and beliefs. Efforts to change behavior and social norms; promote healthy relationships, healthy sexuality and egalitarian gender roles; understand risk factors and protective factors for bystander inaction; and change social norms around bystander inaction are all examples of primary prevention.

#### **E. 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 sexual violence, domestic violence, dating violence, and 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, bystander intervention programs that educate the campus on how to recognize and interrupt situations of harm, and communications systems that can notify the entire campus community of immediate threats to security.

#### **V. 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 reported: Murder/Non-Negligent Manslaughter, Negligent Manslaughter, Robbery, Aggravated Assault, Simple Assault, Motor Vehicle Theft, Arson, Burglary, Sexual Assaults (rape, fondling, incest, and statutory rape), VAWA offenses (domestic violence, dating violence, and stalking), Larceny-Theft, Intimidation, and Destruction/Damage/Vandalism of Property. The hate crime statistics for each campus can be found at the bottom of their Campus Statistics table.

#### **VI. 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](http://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](http://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](http://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](http://www.notalone.gov)

### **National Sexual Assault Hotline**

RAINN (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](http://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](http://www.thehotline.org)

### **PFLAG (Parents, Families, Friends, and Allies united with LGTB people)**

Provides resources and support.

202-467-8180

[www.pflag.org](http://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](http://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](http://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](http://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](http://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](http://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, 3<sup>rd</sup> Floor

740- 593-1616 (offers 24-Hour Crisis Intervention Service)

[www.ohio.edu/counseling](http://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](http://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](http://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/](http://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](http://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](http://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](http://www.ohio.edu/isfs)

**Office of University Equity and Civil Rights Compliance**

Information on how to get help with sexual harassment, affirmative action, discrimination, and Title IX compliance.

006 Lindley Hall

740-593-9140

[equity@ohio.edu](mailto:equity@ohio.edu) OR [TitleIX@ohio.edu](mailto:TitleIX@ohio.edu)

[www.ohio.edu/equity-civil-rights/index.cfm](http://www.ohio.edu/equity-civil-rights/index.cfm)

**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](http://www.ohio.edu/lgbt)

**Multicultural Programs (MCP) and Multicultural Center (MCC)**

Programs, resources, and information that support and promote multicultural awareness.

Baker University Center 205

740-593-4027 (MCP)

740-593-2110 (MCC)

[www.ohio.edu/culturalcenter](http://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](http://www.ohio.edu/deanofstudents)

**Residential Housing**

Information, contacts, 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, and dating or domestic violence.

038/034 Lindley Hall

740-597-SAFE (7233) – (24/7Line)

[www.ohio.edu/survivor](http://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](http://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](http://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, or drug addiction.

Careline: 1-888-475-8484 (24-Hour Hotline)

740-592-6724 or 1-866-614-9588

[www.hrs.org](http://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](http://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.msathens.org](http://www.msathens.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](http://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, 5<sup>th</sup> Floor

Athens, OH 45701

740-594-2276

[www.ovbh.org/consumer/treatment](http://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](http://www.tcmhcs.org)

### Athens Campus - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities	Hate Crimes	Unfounded <sup>1</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	
Negligent Manslaughter	2015	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	
Rape	2015	20	0	0	20	19	0	2
	2014	19	2	0	21	19	0	0
	2013 <sup>2</sup>	9	0	0	9	8	0	
Fondling	2015	9	0	1	10	6	0	1
	2014	1	0	0	1	0	0	0
	2013 <sup>2</sup>	9	0	0	9	8	0	
Incest	2015	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	
Statutory Rape	2015	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	
Robbery	2015	0	0	2	2	0	0	0
	2014	1	0	0	1	0	0	1
	2013	2	0	2	4	0	0	
Aggravated Assault	2015	0	0	1	1	0	0	0
	2014	0	0	2	2	0	0	0
	2013	0	0	2	2	0	0	
Burglary	2015	10	1	0	11	2	0	1
	2014	6	0	0	6	6	0	1
	2013	20	5	0	25	13	0	
Motor Vehicle Theft	2015	7	0	0	7	0	0	0
	2014	3	0	0	3	0	0	0
	2013	1	0	0	1	0	0	
Arson	2015	2	2	0	4	1	0	0
	2014	2	0	0	2	0	0	0
	2013	4	0	0	4	3	0	
Domestic Violence <sup>3</sup>	2015	1	0	0	1	0	0	0
	2014	1	0	0	1	1	0	0
	2013	0	0	0	0	0	0	
Dating Violence <sup>3</sup>	2015	22	0	1	23	16	0	0
	2014	9	0	1	10	6	0	0
	2013	2	0	0	2	0	0	
Stalking <sup>3</sup>	2015	8	0	0	8	5	0	0
	2014	10	0	0	10	1	0	0
	2013	6	0	0	6	2	0	

<sup>1</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>2</sup>In 2013, there were a total of 9 forcible sex offenses reported, combining both reports of rape and fondling. In 2013, the categories of rape, sodomy, sexual assault with an object, and fondling were all reported together as “forcible sex offenses” as one. See pg. 13.

<sup>3</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

### Athens Campus – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities
<b>Arrests</b>						
Liquor Law Violations	2015	20	0	2	22	5
	2014	27	3	5	35	16
	2013	183	5	33	221	45
Drug Abuse Violations	2015	297	0	9	306	117
	2014	155	0	8	163	103
	2013	142	1	6	149	51
Weapons: Carrying, Possessing, etc.	2015	2	0	0	2	0
	2014	0	0	0	0	0
	2013	1	0	0	1	0
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	531	0	10	531	521
	2014	684	0	0	684	684
	2013	426	0	0	426	422
Drug Abuse Violations	2015	96	2	1	98	95
	2014	115	3	0	118	115
	2013	78	0	0	78	74
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	0
	2014	0	0	0	0	0
	2013	0	0	0	0	0

### Athens Campus – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>1</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Vandalism, Property crime, etc.	2015	0	0	0	0	0	1	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	

<sup>1</sup>Beginning for the year 2014, the Violence Against Women Act required that institutions report any unfounded crimes (see pg. 3).

\*The 2015 ethnicity-based hate crime of vandalism, property crime, etc. occurred on campus and in a residence hall.

**Cambridge Center**  
**7077 Glenn Highway**  
**Cambridge, OH 43725**  
**740-432-4404**

## **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](http://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](http://www.cambridgeoh.org/police)

### **Ohio State Highway Patrol**

7051 John Glenn Highway

Cambridge, OH 43725

740-439-1388

[www.statepatrol.ohio.gov](http://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**

66755 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

Information for the Cambridge Center is listed here as a separate section for ease of accessing resources. Crime statistics for the Cambridge Center are reported under the "Non-Campus" section of the Ohio University Zanesville Campus.

**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](http://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](http://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](http://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.spmhc.org](http://www.spmhc.org)

### **Adena Regional Medical Center**

272 Hospital Road  
Chillicothe, OH 45601  
740-779-7500  
[www.adena.org](http://www.adena.org)

### Chillicothe Campus - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>	Hate Crimes	Unfounded <sup>2</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Fondling	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Incest	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Statutory Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Robbery	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Aggravated Assault	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Burglary	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Arson	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Domestic Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Dating Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Stalking <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	

<sup>1</sup>The Chillicothe Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>3</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

### Chillicothe Campus – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	

### Chillicothe Campus – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>2</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	

<sup>1</sup>The Chillicothe Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, Violence Against Women 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 Heights, 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 West 3<sup>rd</sup> St.  
Cleveland, OH 44113  
216-443-6000

### **Campus Resources**

#### **Cleveland Onsite Administrator**

4180 Warrensville Center Rd.  
Warrensville Heights, 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, 5<sup>th</sup> Floor  
Cleveland, OH 44114  
216-443-7800  
<http://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 2015.

**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](http://www.clevelandrapecrisis.org)

**Domestic Violence and Child Advocacy Center**

216-391-4357 (HELP) (24-hour hotline)  
[www.dvcac.org](http://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](http://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 will be 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.

### Cleveland Campus<sup>1</sup> - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>2</sup>	Hate Crimes	Unfounded <sup>3</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014							
	2013							
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014							
	2013							
Rape	2015	0	0	0	0		0	0
	2014							
	2013							
Fondling	2015	0	0	0	0		0	0
	2014							
	2013							
Incest	2015	0	0	0	0		0	0
	2014							
	2013							
Statutory Rape	2015	0	0	0	0		0	0
	2014							
	2013							
Robbery	2015	0	0	0	0		0	0
	2014							
	2013							
Aggravated Assault	2015	0	0	0	0		0	0
	2014							
	2013							
Burglary	2015	0	0	0	0		0	0
	2014							
	2013							
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014							
	2013							
Arson	2015	0	0	0	0		0	0
	2014							
	2013							
Domestic Violence <sup>4</sup>	2015	0	0	0	0		0	0
	2014							
	2013							
Dating Violence <sup>4</sup>	2015	0	0	0	0		0	0
	2014							
	2013							
Stalking <sup>4</sup>	2015	0	0	0	0		0	0
	2014							
	2013							

<sup>1</sup>The Cleveland Campus opened for classes in July 2015, statistics reported here are for a partial year.

<sup>2</sup>The Cleveland Campus does not have any Residential Facilities.

<sup>3</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>4</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

### Cleveland Campus<sup>1</sup> – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>2</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014					
	2013					
Drug Abuse Violations	2015	0	0	0	0	
	2014					
	2013					
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014					
	2013					
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014					
	2013					
Drug Abuse Violations	2015	0	0	0	0	
	2014					
	2013					
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014					
	2013					

### Cleveland Campus<sup>1</sup> – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>3</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014									
	2013									
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014									
	2013									
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014									
	2013									
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014									
	2013									

<sup>1</sup>The Cleveland Campus opened for classes in July 2014, statistics reported here are for a partial year.

<sup>2</sup>The Cleveland Campus does not have any Residential Facilities.

<sup>3</sup>Beginning for the year 2014, the Violence Against Women Act required that institutions report any unfounded crimes (see pg. 3).

## **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](http://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 5<sup>th</sup> Street

Marysville, OH 43040

937-645-4100

[www.co.union.oh.us/Sheriff](http://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](http://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](http://www.syntero.org)

### Dublin Campus<sup>1</sup> - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>2</sup>	Hate Crimes	Unfounded <sup>3</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Fondling	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Incest	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Statutory Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Robbery	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Aggravated Assault	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Burglary	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Arson	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Domestic Violence <sup>4</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Dating Violence <sup>4</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							
Stalking <sup>4</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013							

<sup>1</sup>This campus opened for classes on July 7, 2014. Statistics reported for the Dublin Campus are for a partial year of 2014 only.

<sup>2</sup>The Dublin Campus does not have any Residential Facilities.

<sup>3</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>4</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

### Dublin Campus<sup>1</sup> – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>2</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013					
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013					
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013					
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013					
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013					
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013					

### Dublin Campus<sup>1</sup> – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>3</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013									
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013									
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013									
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013									

<sup>1</sup>This campus opened for classes on July 7, 2014. Statistics reported for the Dublin Campus are for a partial year of 2014 only.

<sup>2</sup>The Dublin Campus does not have any Residential Facilities.

<sup>3</sup>Beginning for the year 2014, the Violence Against Women 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](http://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](http://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](http://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](http://www.tricountyhelp.org)

### **St. Clairsville Health Center**

51339 National Road E  
St. Clairsville, OH 43950  
740-695-1210  
[www.wheelinghospital.org](http://www.wheelinghospital.org)

### Eastern Campus - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>	Hate Crimes	Unfounded <sup>2</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Fondling	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Incest	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Statutory Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Robbery	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Aggravated Assault	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Burglary	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Arson	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Domestic Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Dating Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Stalking <sup>3</sup>	2015	0	0	0	0		0	0
	2014	1	0	0	1		0	0
	2013	1	0	0	1		0	

<sup>1</sup>The Eastern Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>3</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

### Eastern Campus – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	

### Eastern Campus – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>2</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	

<sup>1</sup>The Eastern Campus does not have any Residential Facilities.

<sup>2</sup>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](http://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](http://www.sheriff.fairfield.oh.us)

### **Campus Resources**

Always NOTIFY the Information Office (3<sup>rd</sup> Floor Brasse) in the event of emergency by calling 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](http://www.co.fairfield.oh.us/prosecutor)

#### **New Horizons Mental Health Services**

1592 Granville Pike  
Lancaster, OH 43130  
740-687-0835  
[www.newhorizonmentalhealth.org](http://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

### Lancaster Campus - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>	Hate Crimes	Unfounded <sup>2</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Fondling	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Incest	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Statutory Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Robbery	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Aggravated Assault	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Burglary	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Arson	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Domestic Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Dating Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Stalking <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	

<sup>1</sup>The Lancaster Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, the Violence Against Women (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>3</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

## Lancaster Campus – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	

## Lancaster Campus – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>2</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	

<sup>1</sup>The Lancaster Campus does not have any Residential Facilities.

<sup>2</sup>Beginning 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](http://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](http://www.co.fairfield.oh.us/prosecutor)

#### **New Horizons Mental Health Services**

437 Hill Road North  
Pickerington, OH 43147  
[www.newhorizonmentalhealth.org](http://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

Information for the Pickerington Center is listed here as a separate section for ease of accessing resources. Crime statistics for the Pickerington Center are reported under the "Non-Campus" section of the Ohio University Lancaster Campus.

**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 Proctorville Center 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](http://www.lawcoso.com)

#### **Ohio State Highway Patrol**

The Ohio State Highway Patrol, along with the Lawrence County Sheriff's Office, have jurisdiction at the Proctorville Center.  
141 Township Road 161  
South Point, OH 45680  
740-377-4311 or 911 if an emergency  
[www.statepatrol.ohio.gov](http://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](http://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](http://www.shawneemhc.org)

#### **Hope's Place**

Info, referrals, hospital advocacy, and Sexual Assault Nurse Examiner (SANE) program  
1-866-325-4737 (24-hour Hotline)

Information for the Proctorville Center is listed here as a separate section for ease of accessing resources. Crime statistics for the Pickerington Center are reported under the "Non-Campus" section of the Ohio University Southern Campus. "Non-campus" areas of the Ohio University Southern campus include the Proctorville Center, the Ohio Horse Park located at 400 Bobcat Lane, Franklin Furnace, OH 45629, the Child Development Center in Hanging Rock located at 300 Main Street, Ironton, OH 45638, and the Campus and Community Center in Ironton.

**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](http://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](http://www.statepatrol.ohio.gov)

### **Ironton Police Department**

301 South 3<sup>rd</sup> Street  
P.O. Box 704  
Ironton, OH 45638  
740-532-2338 or 911 if an emergency  
[www.ironton-ohio.com](http://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 property." 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](http://www.sciotocountysheriff.com)  
[scso@sciotocountysheriff.com](mailto: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

"Non-campus" areas of the Ohio University Southern campus include the Proctorville Center located at 111 Private Drive 516, Proctorville, OH 45669, Ohio Horse Park located at 400 Bobcat Lane, Franklin Furnace, OH 45629, the Child Development Center in Hanging Rock located at 300 Main Street, Ironton, OH 45638, the Campus & Community Center in Ironton, and vacant property in Hecla.

**Proctorville Center- Director's Office/Counseling Services/Office of Student Services**

Greg Smith Hall

740-886-7655

**Ironton Area Resources**

**Lawrence County Prosecutor's Office Victim/Witness Assistance Program**

1 Veterans Square

Ironton, OH 45638

740-533-4360

[www.lawrencecountyprosecutor.org](http://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](http://www.shawneemhc.org)

**Pathways (Drug Abuse Prevention and Rehabilitation)**

3701 Landsdowne Drive

Ashland, KY 41102

606-324-3005

[www.pathways-ky.org/boyd](http://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 or 740-532-3526

*(Lawrence Co. Sheriff Dispatcher for Ironton Police Department)*

Ohio State Highway Patrol 740-377-4311

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:

<b>DEPARTMENT</b>	<b>OFFICE</b>	<b>OFFICE PHONE NUMBER</b>
Facilities Management	Director	4618 or 740-533-4618
Facilities Management	Maintenance Supervisor	4572 or 740-533-4572
Dean's Office	Administrative Coordinator	4611 or 740-533-4611
Student Services	Front Desk	4600 or 740-533-4600
Faculty Office	Front Desk	4540 or 740-533-4540
Evening Shift Coverage	John Boright	740-533-4573

## Southern Campus - Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>	Hate Crimes	Unfounded <sup>2</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013 <sup>3</sup>	1	0	0	1		0	
Fondling	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013 <sup>3</sup>	1	0	0	1		0	
Incest	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Statutory Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Robbery	2015	0	0	1	1		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Aggravated Assault	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Burglary	2015	0	1	0	1		0	0
	2014	0	2	0	2		0	0
	2013	0	0	0	0		0	
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Arson	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Domestic Violence <sup>4</sup>	2015	0	0	1	1		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Dating Violence <sup>4</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Stalking <sup>4</sup>	2015	0	0	0	0		0	0
	2014	1	0	0	1		0	0
	2013	1	0	0	1		0	

<sup>1</sup>The Southern Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>3</sup>In 2013, there was 1 forcible sex offense reported, combining both reports of rape and fondling. In 2013, the categories of rape, sodomy, sexual assault with an object, and fondling were all reported together as "forcible sex offenses" as one. See pg. 13.

<sup>4</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

### Southern Campus – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	

### Southern Campus – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>2</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	

<sup>1</sup>The Southern Campus does not have any Residential Facilities.

<sup>2</sup>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](http://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](http://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.genesisihcs.org](http://www.genesisihcs.org)

### **24-Hour Crisis Line/Emergency Services**

740-453-5818

### **Muskingum Behavioral Health**

601 Underwood Street  
Zanesville, OH 43701  
740-562-4427

**Transition Inc. Domestic Violence Shelter**

740-454-3213

**Response Victim Assistance Program**

1175 Newark Road  
Zanesville, OH 43701  
740-454-6001

**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 Public Safety at [Sgallagher@zanestate.edu](mailto:Sgallagher@zanestate.edu) or by calling 740-588-1397. Reports can also be emailed to the Associate Dean at [kiel@ohio.edu](mailto: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 Public Safety at [Sgallagher@zanestate.edu](mailto:Sgallagher@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.

### Zanesville Campus- Crime Statistics

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>	Hate Crimes	Unfounded <sup>2</sup>
Murder/Non Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Negligent Manslaughter	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Fondling	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Incest	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Statutory Rape	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Robbery	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Aggravated Assault	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Burglary	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	1	0	0	1		0	
Motor Vehicle Theft	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Arson	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Domestic Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Dating Violence <sup>3</sup>	2015	0	0	0	0		0	0
	2014	0	0	0	0		0	0
	2013	0	0	0	0		0	
Stalking <sup>3</sup>	2015	0	0	0	0		0	0
	2014	2	0	0	2		0	0
	2013	0	0	0	0		0	

<sup>1</sup>The Zanesville Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, the Violence Against Women Act (VAWA) required that institutions report any unfounded crimes. See page 3 for details.

<sup>3</sup>Beginning for the year 2013, VAWA required these non-hierarchical offenses to be reported.

## Zanesville Campus – Arrests and Judicial Referrals

Crimes Reported	Year	On Campus	Non-Campus	Public Property	Total	Residential Facilities <sup>1</sup>
<b>Arrests</b>						
Liquor Law Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	2	0	0	2	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
<b>Disciplinary Referrals</b>						
Liquor Law Violations	2015	1	0	0	1	
	2014	0	0	0	0	
	2013	0	0	0	0	
Drug Abuse Violations	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	
Weapons: Carrying, Possessing, etc.	2015	0	0	0	0	
	2014	0	0	0	0	
	2013	0	0	0	0	

## Zanesville Campus – Additional Hate Crimes

Crimes Reported	Year	Race	Gender	Gender Identity	Religion	Sexual Orientation	Ethnicity	Disability	National Origin	Unfounded <sup>2</sup>
Larceny-Theft	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Simple Assault	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Intimidation	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	
Vandalism, Property crime, etc.	2015	0	0	0	0	0	0	0	0	0
	2014	0	0	0	0	0	0	0	0	0
	2013	0	0	0	0	0	0	0	0	

<sup>1</sup>The Zanesville Campus does not have any Residential Facilities.

<sup>2</sup>Beginning for the year 2014, the Violence Against Women required that institutions report any unfounded crimes (see pg. 3).



**OHIO**  
UNIVERSITY

**Internal Audit**

1 Ohio University  
WUSOC 166  
Athens OH 45701-2979

Date: October 3, 2016

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 20, 2016 Audit Committee meeting. The status of the FY17 audit plan, the Audit Committee Charter and the FY16 quality assessment recommendations will be addressed.

The University's auditor, Plante Moran, will discuss the status of the FY16 external audit.

I will be pleased to answer any questions.

# {Ohio University}

Audit Committee

October 20, 2016

plante moran  


audit • tax • consulting • wealth management



# Agenda

- **Ohio University Audit Team Leaders**
- **Required Communications**
- **Summary of Audit Differences**
- **New Pronouncements**
- **Appendix – Definitions**

# Audit Team

**Keith Martinez**

(Columbus)

**Partner**

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**614.222.9086**

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(Columbus)

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**614.222.9064**

**Danny Sklenicka**

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**Manager**

Danny.Sklenicka@plantemoran.com

**614.222.9133**

**Jessi McKinnon**

(Columbus)

**In-charge**

Jessi.McKinnon@plantemoran.com

**614.222.9032**

# Required Communications

- **Plante Moran Reports**
  - Opinion on FY 2016 financial statements.
  - Foundation presented as a component unit.
  - Issuing an “unmodified opinion” on the financial statements.
  - Our second report addresses internal control over financial reporting and compliance and other matters as required by *Generally Accepted Governmental Auditing Standards* (GAGAS).
- **Plante Moran Responsibilities under GAAS and GAGAS**
  - To gain a basic understanding of the internal controls, policies and procedures in order to design an effective and efficient audit approach, not for the purpose of providing assurance on the internal control structure.
  - To test compliance with certain provisions of laws, regulations, contracts, and grants that have a direct and material effect.
  - To gain an understanding of internal control over financial reporting.
  - To express an opinion on the University’s financial statements.
  - To provide reasonable, not absolute, assurance of detecting material misstatements.

# Required Communications (continued)

- **Significant Accounting Policies**

- The significant accounting policies used by Ohio University are described in the notes, specifically footnote 1, to the financial statements. The adoption of GASB Statement No. 72, *Fair Value Measurement and Application*, is considered a change in accounting policy and is described in footnote 1.

# Required Communications (continued)

- **Management Judgments and Accounting Estimates**

- We are required to report to you amounts in the financial statements that are subject to management's judgment in what is recorded as well as items, that by their nature, are significant accounting estimates.
- Significant estimates made by management include:
  - The fair value of alternative investments (hedge funds, limited partnerships, etc.), footnote 2.
  - The allowance for doubtful accounts receivables, footnote 3.
  - The allowance for doubtful student loan notes receivable, footnote 4.
  - Net pension liability for STRS and OPERS, footnote 11.
  - Accrued self-insurance liabilities including healthcare and dental, footnote 12.
  - Liability for pollution remediation, footnote 15.

- **Significant Auditing Adjustments**

- Management has taken responsibility for passed adjustments as immaterial to the overall financial statements both individually and in the aggregate. We have concurred. Details of passed adjustments are presented on page 10.

# Required Communications (continued)

- **Quality of Accounting Policies**
  - Ohio University's accounting policies are consistent in their application and the information presented in the financial statements and related disclosures is complete and presented clearly.
- **Disagreements with Management**
  - There were no disagreements with Management on financial accounting and reporting matters.
- **Consultation with Other Accountants**
  - To the best of our knowledge, Management has had no consultations with other independent accountants regarding accounting or auditing matters or alternative presentations.
- **Discussion Prior to Retention**
  - All discussions with Management occurred in the normal course of our professional relationship and the responses were not a condition of our retention. This is our ninth year as Ohio University's auditors.
- **Management Cooperation**
  - Management cooperated with us and provided us with complete access to the books and records of Ohio University.

# Required Communications (continued)

- **Communications with Management**

- There were no communications with Management other than our engagement letter, Management's representation letter to us, and a management letter. In the course of our audit, the University's Internal Counsel provided us a schedule of current litigation and similar matters of a significant nature for our review.

- **Significant Additions to Management's Representations**

- There were no significant additions to management's representations.

- **Independence**

- The Plante Moran audit team was independent of Ohio University throughout the year in the performance of the audits.

- **Internal Audit**

- We have received and have reviewed the reports issued throughout fiscal year 2016.
- As part of the external audit, Internal Audit staff completed a portion of the NCAA agreed-upon procedures.

# Required Communications (continued)

- **Other Services**

- Plante Moran completed audits for:
  - Federal Awards (single audit)
    - Tested student financial assistance cluster, R&D cluster, and highway planning and construction cluster
  - The Ohio University Foundation
  - Housing for Ohio, Inc.
  - Inn-Ohio of Athens, Inc.
  - Russ Research Center LLC
  - WOUB
- NCAA Agreed-upon Procedures
- Review of income tax entries, preparation of income tax returns and maintenance of tax and AMT depreciation schedules for Inn-Ohio of Athens, Inc.

- **Related Party Transactions**

- Related organizations include The Ohio University Foundation and its subsidiaries, as well as the component units described in Note 1.

# Summary of Audit Differences

Pending – To be provided for October 20, 2016 presentation

# New Pronouncements

## Current Year's Impact – Reporting Changes

- GASB 72 – Fair Value Measurement and Application
  - Effective for the fiscal year ending June 30, 2016.
  - Updated definition of fair value for more consistent measurement of certain assets and liabilities.

## Future Years' Impact – Reporting Changes

- GASB 75 – Financial Reporting for Postemployment Benefit Plans Other Than Pensions
  - Effective with the fiscal year ending June 30, 2018.
  - Addresses reporting by governments that provide postemployment benefits other than pensions (OPEB) to their employees.
  - Requires the recognition on the face of the financial statements the proportionate share of the net OPEB liability related to the STRS and OPERS plans.

# New Pronouncements (continued)

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## Future Years' Impact – Reporting Changes (continued)

- Accounting for Leases – Proposed Standard
  - Would establish a single model for lease accounting based on the foundational principle that leases are financings of the right to use an underlying asset (very similar to FASB standard)
  - Lessee would be required to recognize a lease liability and an intangible right-to-use lease asset
  - Lessor would be required to recognize a lease receivable and a deferred inflow of resources
  - Anticipated proposed effective date of June 30, 2020, with early application permitted

# Appendix- Definitions

- **Control Deficiency**
  - A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect and correct misstatements on a timely basis. Control deficiencies may involve one or more of the five interrelated components of internal control.
- **Significant Deficiency**
  - A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.
- **Material Weakness**
  - A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented or detected and corrected on a timely basis.
- **FASB**
  - Financial Accounting Standards Board is the governing accounting body that issues reporting pronouncements for private sector organizations. The Foundation prepares its financial statements in accordance with these pronouncements and guidance.
- **Fraud**
  - The term "fraud" includes "misstatements" arising from fraudulent financial reporting and misstatements arising from misappropriation of assets.
  - "Misstatements" arising from "fraudulent financial reporting" are intentional misstatements, or omissions of amounts or disclosures in financial statements intended to deceive financial statement users.
  - "Misstatements" arising from "misappropriation of assets" involve the theft of assets where the effect of the theft causes the financial statements not to be presented in conformity with GAAP.
  - The University is responsible for the design and implementation of programs and controls to prevent and detect fraud.
- **GASB**
  - Governmental Accounting Standards Board is the governing accounting body that issues reporting pronouncements. OU prepares its financial statements in accordance with these pronouncements and guidance.

# Appendix- Definitions

- **GAAP**
  - Generally Accepted Accounting Principles. Used by almost all entities in the USA to prepare periodic financial statements.
- **GAAS**
  - Generally Accepted Auditing Standards. The standards that govern the conduct of independent audits of non-public companies, as determined by the Auditing Standards Board (ASB) of the AICPA.
- **GAGAS**
  - Generally Accepted Governmental Auditing Standards. Informally known as “Yellow Book”, these standards guide all audits of governmental units.
- **Unmodified Opinion**
  - A signed representation by an auditor as to the reliability and fairness of a set of financial statements. The opinion could be qualified, unmodified, or adverse. For the University, the opinion is unmodified, which is the best opinion to have from an auditor.
- **Auditor Opinion Date**
  - The date the audit is completed and the auditor can provide their opinion. This is defined as the date the audit fieldwork and reviews are completed and the date management has reviewed the financial statements and provided a signed representation letter to the auditors.
- **Material Misstatement**
  - To present accidental or intentional untrue financial statement information that influences a company’s value and such.
- **Significant Adjustments**
  - A material error in financial reporting discovered by the auditor during performance of their audit fieldwork which was large enough that it was required to be booked to the financial statements and disclosed to the audit committee or board.
- **Passed Adjustments**
  - A summary of proposed account adjustments not recorded by management and reviewed by auditors and determined, individually or in the aggregate, not to have a significant effect on the financial reporting process and therefore they are not recorded in the financial statements.

# Appendix- Definitions

- **Factual Adjustments**
  - These are specific misstatements identified during the audit arising from omission of disclosures and the incorrect selection or misapplication of accounting principles or misstatements of facts identified.
- **Judgmental Adjustments**
  - These are estimate adjustments based on miscellaneous differences between detail information and the general ledger, differences related to accounting estimates, and/or selection or application of accounting policies that we consider inappropriate.
- **Component Unit (GASB)**
  - Component units are legally separate organizations for which the elected officials of the University are financially accountable. In addition, component units can be other organizations for which the nature and significance of their relationship with the University are such that exclusion would cause the University's financial statements to be misleading or incomplete.
- **Group Audit**
  - The audit of Group financial statements, where the group represents all the components whose financial information is included in the Group financial statements.
- **Component (AICPA)**
  - An entity or business activity for which Group or component management prepares financial information that is required by the applicable financial reporting framework to be included in the Group financial statements.

# Appendix- Definitions

- **Allowance**
  - An estimate determined by management, for instance, of the amount of receivables at June 30 not expected to be received.
- **990-T**
  - Corporate income tax form for exempt organization unrelated income. This primarily relates to income earned on limited partnerships that is considered taxable by the IRS (real estate and natural resources), and non-educational use of institutional property.
- **Uniform Prudent Management of Institutional Funds Act (UPMIFA)**
  - UPMIFA provides guidance and authority to charitable organizations concerning the management and investment of funds held by those organizations and imposes additional duties on those who manage and invest charitable funds. The objective is these duties will provide additional protections for charities and also protect the interests of donors who want to see their contributions used wisely.
- **Statement on Auditing Standards AU 265 – Communicating Internal Control-Related Matters Identified in an Audit**
  - Establishes requirements and provides guidance on communicating matters related to the Foundation’s internal control over financial reporting identified during the audit of the financial statements. Depending on the severity of the issue, the internal control matter can be classified as a control deficiency, a significant deficiency or a material weakness. The definitions of these items per AU 265 are included on page 13.
- **Statement on Auditing Standards AU 260 – The Auditor’s Communication with Those Charged with Governance**
  - Requires two-way communications with those charged with governance (The Ohio University Audit Committee) before and after the audit.
  - Defines primary subjects required to be communicated.

{ Thank you }

We appreciate the opportunity to  
serve Ohio University.

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# Audit Committee

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Trustee Janelle Simmons

Audit Committee Chair

October 20, 2016

# Chief Audit Executive Report

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Jeff Davis, CPA

# Agenda

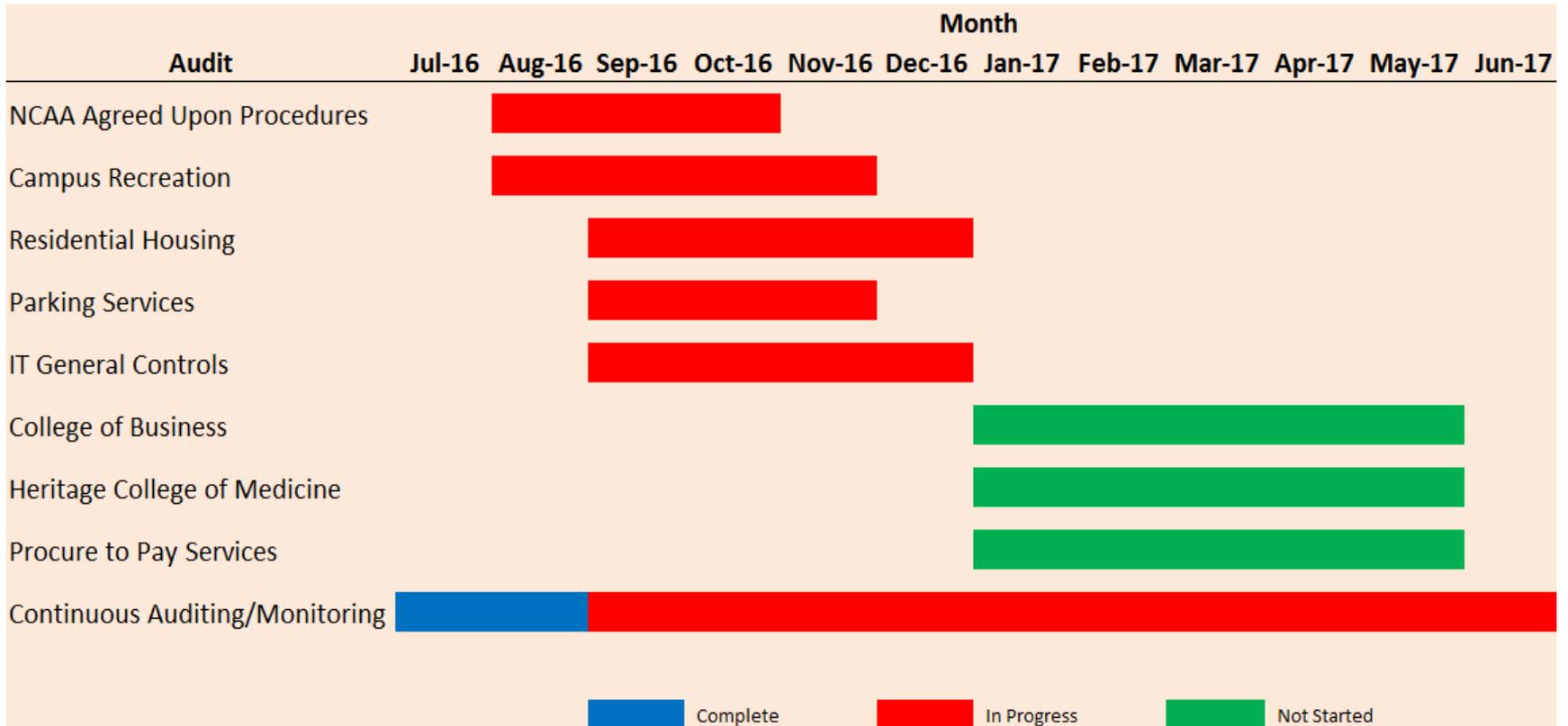
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- FY17 Audit Plan Status
- Audit Committee Charter
- Quality Assessment and Improvement Program

# FY17 Audit Plan Status

Audit	Auditor	Status	Report Date
Campus Recreation	Boyle/Ennis/Tong	In Progress	
External Audit Support – NCAA Agreed Upon Procedures	Boyle/Saunier	In Progress	
Parking Services	Boyle/Ennis/Tong	In Progress	
IT General Controls	Tong	In Progress	
Residential Housing	Boyle/Tong/Ennis	In Progress	
College of Business	To be Assigned	Planned	
Heritage College of Medicine	To be Assigned	Planned	
Procure to Pay Services	To be Assigned	Planned	
Continuous Auditing/Monitoring	Jago/Saunier	In Progress	

# FY17 Audit Schedule



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# Audit Committee Charter

# Audit Committee Charter

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- The Audit Committee Charter was discussed in detail at the June and August meeting
- A number of potential changes have been identified
- A resolution has been proposed to adopt a revised charter
- A final change has been made regarding the reporting of university legal counsel

# Audit Committee Charter (con't)

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## Suggested Change:

- At least annually, obtain updates from management and, as appropriate, from university legal counsel regarding compliance matters that may have a material impact on the university's financial statements or compliance policies.

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# Quality Assessment and Improvement Plan (QAIP)

# QAIP

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- *International Standards for the Professional Practice of Internal Auditing* require the Chief Audit Executive (CAE) to develop a Quality Assurance and Improvement Program (QAIP) incorporating both internal assessments and external assessments
- The goal of the QAIP is to measure whether internal audit is meeting its own objectives, as well as those of the University

# QAIP (con't)

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- IA has developed a document which summarizes the QAIP for the office
- The QAIP document includes ongoing monitoring:
  - Monitoring of audits (project status reports, workpaper review, audit reports/communication)
  - Performance Metrics
  - Professional Development and Training
  - Staff Coaching and Evaluation
  - Audit Planning

# QAIP (con't)

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- The QAIP also includes the following annual periodic assessment procedures:
  - Comparison to IIA standards
  - Workpaper review/assessment
  - Audit charter review and discussion with the committee
  - Staffing review including job descriptions
  - Evaluation of the CAE by the Audit Committee
  - Audit process/scope review

# QAIP (con't)

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- Reporting on the QAIP:
  - On an annual basis, the results of the internal assessment will be reported to the Audit Committee and senior management.
  - The results of the external assessment that is completed every five years will also be reported to the Audit Committee and senior management.

# Conclusion

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- Questions?

## **AUDIT COMMITTEE CHARTER**

### **RESOLUTION 2016 -**

**WHEREAS**, the Bylaws of the Board of Trustees require the standing appointment of the Audit Committee;

**WHEREAS**, the Board recognizes the benefit of maintaining a charter that addresses the Audit Committee's role, authority, responsibility, scope, and accountability;

**WHEREAS**, establishing and periodically revising the Audit Committee charter is consistent with best practices within the audit industry;

**WHEREAS**, the most recent revision of the Audit Committee charter was approved by the Board in January 2009 (Resolution No. 2009-3100);

**WHEREAS**, the Board has completed its periodic review of the charter and wishes to adopt certain revisions.

**NOW, THEREFORE, BE IT RESOLVED** that the Ohio University Board of Trustees adopts the revised Audit Committee Charter attached hereto.

## OHIO UNIVERSITY BOARD OF TRUSTEES AUDIT COMMITTEE CHARTER

### I. PURPOSE

The Audit Committee is appointed by the Board of Trustees to consider and make recommendations for action by the board related to the audit committee's oversight responsibilities. The audit committee will oversee: the university's process for the recommendation to the board for the appointment of the external audit firm; external audits of financial operations, including the receipt of related reports; the internal audit function, including receipt of its reports; the effectiveness of the university's internal control and risk management system and its process for monitoring compliance with laws and regulations; and the university's whistleblower reporting mechanism. The committee will take all actions it deems appropriate to set the university's overall tone for sound financial and risk practices, and ethical behavior.

### II. COMPOSITION

- a. The Board of Trustees chairperson (chairperson) will annually appoint no fewer than three (3) audit committee members.
- b. At least one member of the audit committee should have expertise in understanding financial statements, internal controls, and audit committee functions. These qualifications shall be determined by the chairperson through a review of the committee member's resume or through an interview with the member.

### III. RESPONSIBILITIES

With regards to each topic, the audit committee will:

#### a. External Audit

- Recommend appointment of the external auditor to the board as authorized by the Ohio Auditor of State for the annual audit of the university. A five-year contract with the external auditor is expected and can be extended, based on the standards of and approval by the Auditor of State. The audit committee will review the university's scoring of the external audit proposals, the results of which will be forwarded to the state for final approval.
- Review the external audit engagement letter that will be signed by the chairperson. Discuss with the external auditors ~~at the last full board meeting each fiscal year,~~ the proposed audit scope and approach, including coordination of audit effort with internal audit, as part of the annual entrance conference prior to the commencement of the audit.
- Evaluate annually, the external auditor's qualifications and performance, ~~including a review and evaluation of the lead partner,~~ taking into account the opinions of management and the ~~internal auditor~~ Chief Audit Executive (CAE), and report ~~its~~ conclusions to the board.

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## OHIO UNIVERSITY BOARD OF TRUSTEES AUDIT COMMITTEE CHARTER

- Following the completion of the annual audit, the audit committee shall review the university's draft audited financial statements, reports on internal controls, compliance and federal programs- and the external auditor's management letter, along with management's response to any weaknesses or deficiencies identified in the report, as part of the annual exit conference.
  - Review any disagreements between the external auditor and management concerning matters that could be significant to the university's financial statement or the auditor's report.
  - The audit committee shall also review work performed by the external auditors.
  - At least annually, the committee shall meet with the external auditors to discuss any matters that the audit committee or the external auditors believe should be discussed privately.
- b. Internal Audit
- Review and authorize any proposed changes to the internal audit charter, which has been established by board resolution.
  - Review all decisions regarding the budget of the internal audit function and the evaluation, compensation, appointment, or removal of the ~~internal auditor CAE.~~
  - Make appropriate inquiries of management and the ~~internal auditor CAE~~ to determine whether scope or budgetary limitations impede the ability of the internal audit function to execute its responsibilities.
  - Review the internal audit risk assessment process and approve the related annual audit plan at the last full board meeting each fiscal year.
  - Review annually at the first full board meeting of each fiscal year, the work plan performance, activity, budget, and staffing of the internal audit function.
  - Regularly receive internal audit reports including management's response as to corrective action taken for internal audit recommendations.
  - As needed, receive presentations by management, related to corrective action taken for any follow-up internal audit report given an ~~internal auditor~~ audit opinion rating of ~~"Needs Improvement"~~ "Improvement Needed" or ~~"inadequate"~~ Major Improvement Needed".
  - On a regular basis, meet with the ~~internal auditor CAE~~ to discuss matters that the audit committee or the ~~internal auditor CAE~~ deem appropriate.
- c. Internal Controls
- Evaluate regularly, through review of external and internal audit reports and communications by management, whether management is establishing the appropriate "control culture".
  - Evaluate regularly, through consideration of internal and external audit recommendations, the overall effectiveness of the university's internal control framework. Review, through internal and external audit reports, whether significant

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## OHIO UNIVERSITY BOARD OF TRUSTEES AUDIT COMMITTEE CHARTER

findings and recommendations made by the internal and external auditors have been implemented by management.

### d. Compliance

- At least annually, obtain updates from management ~~and-and, as appropriate, from~~ university legal counsel regarding compliance matters that may have a material impact on the university's financial statements or compliance polices.
- Annually review the process for communicating the code of conduct to university personnel, and for monitoring compliance with it.
- Ensure that there are effective procedures for anonymous receipt and treatment of complaints regarding the university's accounting, internal controls and audit matters. Annually, review a summary of complaints that have been received.

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*Resolution 2009 – 3100 (Internal Audit Charter) was approved by the Ohio University Board of Trustees January 2009*

# **OHIO UNIVERSITY BOARD OF TRUSTEES AUDIT COMMITTEE CHARTER**

## **I. PURPOSE**

The Audit Committee is appointed by the Board of Trustees to consider and make recommendations for action by the board related to the audit committee's oversight responsibilities. The audit committee will oversee: the university's process for the recommendation to the board for the appointment of the external audit firm; external audits of financial operations, including the receipt of related reports; the internal audit function, including receipt of its reports; the effectiveness of the university's internal control and risk management system and its process for monitoring compliance with laws and regulations; and the university's whistleblower reporting mechanism. The committee will take all actions it deems appropriate to set the university's overall tone for sound financial and risk practices, and ethical behavior.

## **II. COMPOSITION**

- a. The Board of Trustees chairperson (chairperson) will annually appoint no fewer than three (3) audit committee members.
- b. At least one member of the audit committee should have expertise in understanding financial statements, internal controls, and audit committee functions. These qualifications shall be determined by the chairperson through a review of the committee member's resume or through an interview with the member.

## **III. RESPONSIBILITIES**

With regards to each topic, the audit committee will:

- a. External Audit
  - Recommend appointment of the external auditor to the board as authorized by the Ohio Auditor of State for the annual audit of the university. A five-year contract with the external auditor is expected and can be extended, based on the standards of and approval by the Auditor of State. The audit committee will review the university's scoring of the external audit proposals, the results of which will be forwarded to the state for final approval.
  - Review the external audit engagement letter that will be signed by the chairperson. Discuss with the external auditors the proposed audit scope and approach, including coordination of audit effort with internal audit, as part of the annual entrance conference.
  - Evaluate annually, the external auditor's qualifications and performance, taking into account the opinions of management and the Chief Audit Executive (CAE), and report conclusions to the board.
  - Following the completion of the annual audit, the audit committee shall review the university's draft audited financial statements, reports on internal controls,

## **OHIO UNIVERSITY BOARD OF TRUSTEES AUDIT COMMITTEE CHARTER**

compliance and federal programs along with management's response to any weaknesses or deficiencies identified in the report, as part of the annual exit conference.

- Review any disagreements between the external auditor and management concerning matters that could be significant to the university's financial statement or the auditor's report.
- The audit committee shall also review work performed by the external auditors.
- At least annually, the committee shall meet with the external auditors to discuss any matters that the audit committee or the external auditors believe should be discussed privately.

### b. Internal Audit

- Review and authorize any proposed changes to the internal audit charter, which has been established by board resolution.
- Review all decisions regarding the budget of the internal audit function and the evaluation, compensation, appointment, or removal of the CAE.
- Make appropriate inquiries of management and the CAE to determine whether scope or budgetary limitations impede the ability of the internal audit function to execute its responsibilities.
- Review the internal audit risk assessment process and approve the related annual audit plan at the last full board meeting each fiscal year.
- Review annually at the first full board meeting of each fiscal year, the work plan performance, activity, budget, and staffing of the internal audit function.
- Regularly receive internal audit reports including management's response as to corrective action taken for internal audit recommendations.
- As needed, receive presentations by management, related to corrective action taken for any follow-up internal audit report given an audit opinion rating of "Improvement Needed" or "Major Improvement Needed".
- On a regular basis, meet with the CAE to discuss matters that the audit committee or the CAE deem appropriate.

### c. Internal Controls

- Evaluate regularly, through review of external and internal audit reports and communications by management, whether management is establishing the appropriate "control culture".
- Evaluate regularly, through consideration of internal and external audit recommendations, the overall effectiveness of the university's internal control framework. Review, through internal and external audit reports, whether significant findings and recommendations made by the internal and external auditors have been implemented by management.

**OHIO UNIVERSITY BOARD OF TRUSTEES  
AUDIT COMMITTEE CHARTER**

d. Compliance

- At least annually, obtain updates from management and, as appropriate, from university legal counsel regarding compliance matters that may have a material impact on the university's financial statements or compliance policies.
- Annually review the process for communicating the code of conduct to university personnel, and for monitoring compliance with it.
- Ensure that there are effective procedures for anonymous receipt and treatment of complaints regarding the university's accounting, internal controls and audit matters. Annually, review a summary of complaints that have been received.

*Resolution 2009 – 3100 (Internal Audit Charter) was approved by the Ohio University Board of Trustees January 2009*

**OHIO UNIVERSITY AUDIT COMMITTEE  
APPROVAL OF JUNE 30, 2016 FINANCIAL AUDIT STATEMENT**

**RESOLUTION 2016 -**

**BE IT RESOLVED** that the recommendation of the Audit Committee on October 20, 2016, 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, 2016, be approved.

**Amendments recommended by the Governance Committee**  
**On August 25, 2016**

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**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.~~ **subject to the terms of his or her employment agreement.**

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:

1) Academics and Student Success

- a. 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.

Responsibilities also include providing oversight for educational quality and student success by reviewing programs, accreditation, and efforts to create a culture of continuous improvement in student outcomes. The Committee will also review metrics for and evidence of quality and success to inform Board decisions regarding governance, policy and strategy.

2) Audit and Risk Management

- a. 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. Responsibilities also include assessing and reporting to the Board of Trustees respecting risks relating to the long-term fulfillment of the University's teaching, research, and service mission, including but not limited to risks regarding safety, preservation of property, University and Board policies, fiscal integrity, strategic plans, affiliated entities, and the necessary and proper conduct of the University's business and affairs.

3) Compensation and Governance

- a. 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. Responsibilities also include assisting and making recommendations to the Board of Trustees respecting human resource and executive compensation programs and strategy for senior leadership positions. The Committee will also report to the Board respecting the effectiveness of executive compensation, benefits, performance management, and leadership development; and the Committee may further report to the Board on these issues as they relate to other University employees.

4) Resources, Facilities and Affordability

- a. 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. Responsibilities also include monitoring tuition, state appropriations, endowments, and annual giving; and overseeing efforts to maintain the University's fiscal strength in order to improve student affordability and the quality of education.

5) Executive

- a. 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.