Board of Trustees
Ohio University
Athens, Ohio

Agenda

January 19 – 20, 2017
BOARD ACTIVITIES FOR January 19th and 20th, 2017  
Ohio University – Athens, Ohio  
Activity & Committee Meeting Schedule

Thursday, January 19th, 2017

8:15am   Meet at Margaret M. Walter Hall
8:30 a.m. Tour of Immersive Media Group
9:45 a.m. Joint Committee Meeting: Academics and Resources, Margaret M. Walter Hall, Governance Room
11:45 p.m. Lunch in Dining Hall with Dining Hall Student Advisory Group
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
4:45pm   Executive Committee, Margaret M. Walter Hall Room, Governance Room
6:30 p.m. Dinner – Trustees, Discussions on Diversity, President, Board Secretary, Executive Staff and Guests

Friday, January 20th, 2017

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
OPEN SESSION

Roll Call

Approval of Agenda

1. Minutes of Board of Trustees’ Meeting of October 21, 2016.
   • Comments from the Chair of the Board of Trustees

2. Report from the President
   * Faculty Senate Report
   * Building an Innovation Culture
   * Interim President Update

Introduction of Resolutions 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 16 - Resolution, New Program – HTC Bachelor of Social Work
Tab 17 - Resolution, Program Suspension – CAS Mathematics – Meteorology
Tab 18 - Resolution, Name Change – CHSP Master of Science in Nursing Acute Care Nurse Practitioner
Tab 19 - Resolution, Name Change – COFA Master of Music – Music: Performance/Conducting
Tab 20 - Resolution, Name Change PCOE Center for Professional Development School Partnerships
Tab 21 - Resolution, Program Reviews
Tab 22 - Resolution, Housing Development Plan Consultant
Tab 23 - Resolution, Investment Policy Approvals
Tab 24 - Resolution, Quasi-Endowments
Tab 25 - Resolution, Facility Projects – Construction
Tab 26 - Resolution, Real Estate Easements – Athens

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, January 19, 2017 – 9:45 a.m.

3. Financial Update – FY18 Athens Undergraduate Fees
4. Housing Development Plan Update
5. Eastern Campus ET Rover Pipeline Easement
6. Utilities Master Plan Update

Information Items:
7. Advancement Strategy Update
8. OHIO for Ohio Update
AGENDA
University Academics Committee
Margaret M. Walter Hall, Room 125/127
Thursday, January 19, 2017 - 1:45 p.m.

10. College of Arts & Sciences Dashboard
11. Intercollegiate Athletics Update & Dashboard
12. Enrollment Update
13. Academic Quality Points of Pride – Library
14. Academic Quality Points of Pride – Graduate Writing & Research Center
15. HCOM Core Curriculum
16. Consent Agenda, New Program HTC Bachelor of Social Work
17. Consent Agenda, Program Suspension CAS Mathematics-Meteorology
18. Consent Agenda, Name Change CHSP Master of Science in Nursing Acute Care Nurse Practitioner
19. Consent Agenda, Name Change COFA Master of Music – Music: Performance/Conducting
20. Consent Agenda, Name Change PCOE Center for Professional Development School Partnerships
21. Consent Agenda, Program Reviews
22. Resolution, FY18 Athens Undergraduate Fees Approval
23. Consent Agenda, Housing Development Plan Consultant
24. Resolution, Eastern Campus ET Rover Pipeline Easement
27. Consent Agenda, Quasi-Endowments
28. Investment Sub-Committee Report – Managing Fiduciary Review
29. Consent Agenda, Facility Projects – Construction
30. Consent Agenda, Real Estate Easements – Athens

Information Items:
31. Financial Update
32. Facility Project Status Report
33. Park Place Planning Strategy Update
34. Small House Planning Strategy Update
AGENDA
Audit Committee
Margaret M. Walter Hall, Governance Room 104
Thursday, January 19, 2017 - 3:45 p.m.

35. Chief Audit Executive Report (Jeff Davis). The topics will include:
   - FY17 Audit Plan Update
   - Construction Auditing
   - NCAA Agreed Upon Procedures
   - Outstanding (Unresolved Recommendations)
   - External Auditor Evaluation
   - Office Staffing Update

EXECUTIVE SESSION
AGENDA
Governance Committee
Margaret M. Walter Hall, Room 125/127
Thursday, January 19, 2017 - 3:45 p.m.

36. Affiliated Entities Policy Annual Report
37. Board bylaws review
AGENDA
Executive Committee
Margaret M. Walter Hall, Room 125/127
Thursday, January 19, 2017 - 4:45 p.m.

EXECUTIVE SESSION

OPEN SESSION
- Enrollment Update
- Foundation bylaws report
AGENDA
Executive Committee
University Inn
Friday, January 20, 2017 – 8:00am

EXECUTIVE SESSION

OPEN SESSION
- Conceal carry legislation update
- “Sanctuary Campus” issue overview
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 Chairshall 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.
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Ohio University Board of Trustees
Main Board Meeting
October 21, 2016, Friday
Margaret M. Walter Hall, Athens, Ohio

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

Not Present: Trustee Diane Smullen and Trustee Cary Cooper

Chair David Wolfort opened the Main Meeting of the Ohio University Board of Trustees at 10:27am.

Chair Wolfort asked for a motion to approve the agenda for the October meeting of the Ohio University Board of Trustees. Vice Chair King moved. Trustee Viehweger seconded. With all in favor, the agenda was approved.

Chair Wolfort asked for a movement to approve the minutes of the August Meeting of the Ohio University Board of Trustees. Trustee Scholl moved. Trustee Simmons seconded. With all in favor, the minutes were approved.

Chair Wolfort gave an overview of the tours and meals that the Trustees had attended, including a tour of small houses on campus, dinner with City Council on Wednesday, a tour and lunch with Corrosion Center researchers and Innovation Center staff on Thursday afternoon, and a dinner with university researchers on Thursday evening. Chair Wolfort said he and Vice Chair King had attended a Faculty Senate meeting on October 10, 2016, and had dinner with Faculty Senators. He said he and Vice Chair King were glad to be able to answer faculty questions, and looked forward to doing so again.

Chair Wolfort asked attendees to keep Trustees Smullen and Cooper in their thoughts and prayers, as both were experiencing health issues of a personal nature, and unable to attend the October meeting of the Ohio University Board of Trustees.

Chair Wolfort provided an update regarding the Presidential Search Committee meetings: After interviews of three search firms on June 7th, the firm Witt-Kiefer had been chosen, on June 24, 2016, to assist the search committee. Chair Wolfort said that position was
currently being publicly advertised and stated that candidates for Ohio University’s next president had not yet been identified.

Chair Wolford asked President McDavis to present his President’s Report.

President McDavis opened by reiterating Ohio University’s Vision, Core Values, and Strategic Priorities, and then showed a map of the campuses that were overseen by the Board.

President’s Report

#OUUnity: President McDavis spoke of graffiti wall related issues that had occurred in the past months, and reported that he had met with two campus Senates to talk about ways to reduce racism and intolerance on campus. He reported that after those visits he had received a request from the five Senates to start a task force aimed at reducing racism and intolerance, which President McDavis said he agreed to.

Homecoming: President McDavis reported that Homecoming had been a big success. He noted that the parade had returned to Court Street, which proved to be a popular move.

Enrollment Update: President McDavis noted that Senior Vice Provost for Strategic Enrollment Management Craig Cornell and his admissions team had done a wonderful job in elevating enrollment. He noted that this year’s freshmen class was the third-largest in history, and that their academic quality and diversity was impressive, despite the competitive environment.


Cutler Hall Bicentennial Celebration: President McDavis invited everyone to attend the Cutler Hall Bicentennial Celebration, scheduled for later that day.

University Fundraising: President McDavis reported that Jeffery Chaddock and Mark Morrow have committed to giving 97% of their wealth charitably. Recipients of the philanthropy include Ohio University and Athens County, Ohio. President McDavis also reported that Ohio University alumnus Robert Ackley gave $5 million to benefit the Chemistry and Physics departments. Finally, he stated that the estate of Dr. Ralph Ackerman had donated $1.1 million to College of Education.

President McDavis presented recent university Points of Pride, which included:
- The opening of the Phil and Pat Muck Annex in the College of Business
- The launch of Ohio University’s SMART Lab, a student-centered resource that focuses on evaluating and dissecting social media data.
• Ohio University School of Film Professor Rajko Grlic’s win at the Montreal World Film Festival for his film *The Constitution*

• Ohio University Professor Larry Witmer’s role in classifying a recently discovered 230 million year old species of reptile.

• Ohio University’s rank as one of the top 20 most beautiful public college campuses in the nation

• The Black Alumni Reunion, which took place September 15-18, 2016

• Recognition of the Ohio University Innovation Strategy Investment Project as a finalist at the University Economic Development Association.

• The Diversity in the Midst of Change Conference to be held October 22, 2016 at Ohio University.

• Alumni recognition at the 2016 Ohio University Alumni Awards Gala. President McDavis noted that he had been named Alumnus of the Year, an honor that humbled him, and said “Even more importantly, my better half Deborah was named Honorary Alumnus of the Year.”

• The successful restoration of the Ohio University Class Gateway. President McDavis recognized Senior Associate Vice President for Information Technology and Administration Services (SAVP) Joe Lalley for his team’s quick and thorough turnaround on the project, which had added Americans with Disability Act (ADA) accessibility ramps, and had repaired infrastructure surrounded the Gateway.

• The 2016 Faculty Newsmakers Gala

• Golf Cart Karaoke with Jenny Hall-Jones, a web series popular with Ohio University students that featured Dean of Students, Jenny Hall-Jones, singing karaoke with students.

President McDavis introduced Executive Director of Ohio University’s Office for Equity, Civil Rights Compliance, and Accessibility Sara Trower and Director of Equal Opportunity and Accessibility and ADA/504 Coordinator Dianne Bouvier, the University Spotlight presenters, who presented ACCESSIBLE OHIO: Inspiring Inclusion at Ohio University.

Ms. Trower and Dr. Bouvier said Ohio University is working to provide greater accessibility and inclusion of individuals with disabilities on campus. The guiding principles are to make sure that everyone can access and participate in university programs, services and facilities, and to move towards collective responsibility to make those things happen.

Dr. Bouvier and Ms. Trower spoke of “inclusivity liaisons,” students in campus community who are living with disability. The students had class during the Board Meeting, and were unable to attend, but made videos to talk to the Board about the importance and rise of accessibility on Ohio University’s campuses.

Mr. John Mollica, a senior at Ohio University studying systems engineering said he grew up in Athens, and is wheelchair-bound. He said he went into engineering to help provide
accessibility options for others with disabilities, and noted that Ohio University’s increased accessibility in recent years was very important to him.

Ms. Kimberly Dominguez, a student who has bilateral hearing loss, said her motivation to attend Ohio University had to do with diversity and inclusion initiatives that included individuals with disability, and because Ohio University provided assistive technology and additional resources to students with disability.

Dr. Bouvier said that the liaisons were important to moving Ohio University forward, since their firsthand experience with disability and offers a unique, insightful, and helpful perspective in improving the campus. Dr. Bouvier also spoke of the importance of partnerships across University departments in order to be as effective as possible in implementation of accessibility initiatives.

Dr. Bouvier introduced the Presidential Advisory Council on Disability and Accessibility Planning (PACDAP) Committee, some of whom were in attendance at the Board of Trustees meeting, and provided a long list of many groups and individuals on campus who involved in disability and accessibility efforts.

President McDavis opened the floor to the Board for questions.

Trustee Goodman referenced recent Braille violations at the University of Miami, and asked about Ohio University’s work to prevent and evaluate potential Office of Civil Rights (OCR) violations. Dr. Bouvier said that, after the announcement of the Department of Justice’s case regarding Miami’s violations, and three other Office of Civil Rights cases involving the same issues, Ohio University’s Information and Technology department had seen “the writing on the wall,” and had developed the draft plan of the policy regarding technology accessibility. She reported that Ohio University was preemptively working to make sure that it continues to effectively implement inclusivity programs correctly from a legal perspective.

Chair Wolfort thanked Dr. Bouvier and Ms. Trower for their presentation. Vice Chair King asked them to pass on the Board’s thanks to the students who had made videos for the Board.

**College Rankings**

Senior Vice President for Strategic Initiatives (SVP) Stephen Golding filled in for Executive Vice President and Provost Pam Benoit to present on College Rankings.

SVP Golding presented some slides to show how various college rankings are weighted, and noted that Presidents, Provosts, and guidance counselors were all invited to fill out the survey. He asked the Trustees to consider, of the many institutions that the survey respondents were asked to consider, how many respondents would be intimately familiar with the workings of the various universities. He questioned whether a survey instrument that is evaluating over a thousand schools can capture the nuance of a university’s unique mission and quality.
SVP Golding reported that participating in the US News and World Report is elective; universities can choose not to participate.

Rankings versus Weightings

SVP Golding outlined ranking criteria used by US News and World Report:

- Academic Reputation (22.5%) – involves peer assessment, counselor assessment
  - Vice Chair King asked who the counselors were that were reporting, and asked if that made a difference. SVP Golding affirmed that high school counselors electively provided information, and that the make-up of respondents could influence the counselor assessments of reputation.
- Graduation and Retention (22.5%) – Ohio University’s retention rate has gone up from 80% to 82.5%. 6 year graduation rate
- Faculty resources – class sizes, terminal degrees, student/faculty ratio, compensation, full-time faculty percent. SVP Golding noted that BOT faculty compensation efforts had led to the increase in ranking of faculty compensation. He noted that the rates listed on the slide indicated where frustrations lay for faculty.
- Student Selectivity – SAT/ACT Scores, % Top ten percent high school class, and acceptance rate.
- Financial Resources
- Graduation Rate Performance – predicted versus actual graduation rates. Looks at expected student success based on student metrics versus actual graduation rates. OHIO is above average on actual grad rates. Shows Ohio University is providing the support students need to succeed.
- Alumni Giving
- Overall Ranking Trend

Trustee Viehweger stated that if she saw Ohio University focusing on trying to manipulate the rankings for the sake of a more impressive rank, she would feel very uncomfortable. “I think that’s not where we want to be or what we want to do,” she said.

SVP Golding also provided information about how other rankings were collected and evaluated, including rankings from:

- Washington Monthly (OHIO’s Overall Rank is currently #239)
- Sierra Ranking – Sustainability efforts
- Forbes
- Wall Street Journal/Times Higher Education – Engagement, Resources, Outcomes, Environment – SVP Golding indicated that the poll is relatively new, and the metrics are still evolving, but OHIO currently in top 25%
SVP Golding said that the take-away is that universities have to decide what they want to measure, and then make sure their dashboard metrics provide effective information.

SVP Golding passed out a sheet regarding the Yuba Group’s ranking methodology. He pointed out how great institutions are regularly knocked off various rankings based on what metrics are used for measurement. “You have to know what you want to measure, and understand the weightings involved in the metrics,” he said.

Chair Wolfort stated that it is concerning when the metrics stay the same, but our rankings drop. “The problem is that we won’t get the opportunity to talk to every family to explain how the rankings work or don’t work,” in order to make a case for the university, he said. “Additionally, I think that if the ranking were inverse, and showed us moving up the ladder, we would be touting it. I want to applaud the great efforts our university is making, but I am concerned that we have to answer for ratings differential,” he added.

Trustee Scholl said that he felt that the most important metric in the various rankings was the one that showed that students who are considered not likely to succeed are succeeding at above expected rates at Ohio University. “The second thing that is important to me is what is our potential for recruiting, who is considering us, and, if they are not coming to Ohio University, which college is actually landing them, and why,” he said. “I would like to see those numbers, and see where we can improve,” he added.

Student Trustee Roden noted that the business ranking that named OHIO 15th in nation for business, ranked Ohio University graduates lower in salary, but high in employer satisfaction.

Student Trustee Mauro said that her decision to attend Ohio University had been informed by rankings that reported how OHIO was ranked by students who attended.

Committee Reports

Academics
Committee Chair Goodman reported that the Academics Committee received the Scripps College of Communication Dashboard, updates on Enrollment, the Innovation Strategy, and the Global Strategy. Additionally, he reported that the committee had a presentation on the Arts & Sciences Curricular Themes Initiative. Committee Goodman made special mention that 87% of Scripps grads are employed immediately following graduation.

Committee Goodman reported that the following consent agenda items were reviewed by the committee and are recommended for inclusion and full board approval as part of the Consent Agenda:

- **Review of Centers and Institutes**
  This resolution resolves that the following Centers and Institutes continue:
• Center for Law, Justice and Culture  
• Ohio Center for Ecology and Evolutionary Studies  
• Quantitative Biology Institute  
• Child Development Center  
• Academic Advancement Center

and that the following Institute be **discontinued:**  
• Institute for the African Child

• New Program - Master of Global Health  
  This resolution approves the creation of the Master of Global Health degree. This degree will prepare post-baccalaureate students to engage with health issues transcending national and international borders.

Committee Goodman reported that there were no further resolutions and that detailed minutes of the committee’s discussions will be made available on the Board of Trustees website.

**Audit Committee**  
Committee Chair Janelle Simmons reported on the Audit Committee. She said that the Committee had received an update from external auditor Plante Moran and University auditor Jeff Davis.

Committee Chair Simmons introduced the following resolutions:  
• Changes to Audit Committee Charter  
• Financial Audit Statement
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.
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 first 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.
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 of 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
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, 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
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 (chairs) 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
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AUDIT COMMITTEE CHARTER

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, 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
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AUDIT COMMITTEE CHARTER

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.

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 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.

Resolution 2009 – 3100 (Internal Audit Charter) was approved by the Ohio
University Board of Trustees January 2009

Committee Chair Simmons moved, Trustee Goodman seconded. Chair Wolfort
called the vote. With all in favor, the motion passed.
RESOLUTION 2016 - 3590

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.

Committee Chair Simmons moved. Trustee Scholl seconded. Chair Wolfort called the vote. With all in favor, the motion passed.
**Governance Committee**
Trustee Goodman filled in for Committee Chair Cooper to report on the Governance Committee. He said that the President, Provost, and VPFA would be asked to review suggested changes to the bylaws with reference to new the committee descriptions.

Trustee Goodman reported that there are no consent agenda items and no resolutions from the Governance Committee and that detailed minutes of the committee’s discussion will be made available on the Board of Trustees website.

**Resources Committee**
Committee Chair Scholl reported that the committee received a report reviewing the following information regarding financial results:
- FY16 financial results and analysis
- FY16 Senate Bill 6 Ratio Analysis
- FY17 FY18 financial forecast and analysis

Committee Chair Scholl also reported that the committee received updates on the Student Investment Program, on Utilities Planning, Campus Signage and Wayfinding, and received an update on the Park Place Planning Strategy, the Internal Bank and Capital Financing Strategy, and the Century Bond and Deferred Maintenance Program.

Committee Chair Scholl lastly reported that the committee received reports on the Annual Risk and Insurance Program as well as our Annual Fire and Police Clery reports.

Committee Chair Scholl reported that the following consent agenda items were reviewed by the committee and are recommended for inclusion and full board approval as part of the Consent Agenda:
- **Consent Agenda, Establishment of University Quasi-Endowments**
  This resolution approves the establishment of two quasi-endowments. 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.

  The first quasi-endowment to be established is the 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.

  The second quasi-endowment to be established is the 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.

- **Consent Agenda, Local Administration Certification**
  This resolution authorizes university officials to participate in Local Administration Certification Program and agrees to the following stipulations:
  - 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.

- **Consent Agenda, Facility Projects – Construction**
  This resolution requests for approval to undertake construction on the following projects:
  - Boyd Hall bathroom upgrades,
  - Mackinnon Hall bathroom rehabilitation,
  - HCOM Cleveland 3rd floor expansion,
  - Alden library renovation
  - Back south demolition
  - Campus steam system repairs
  - Copeland hall roof replacement,
  - Front room and latitude 39 upgrades,
  - Lindley Hall roof replacement,
  - Perkins Hall electrical and fire alarm upgrades,
  - RTEC roof replacement
  - South green culvert drive repair

Trustee Scholl reported that there were no further resolutions to bring forward and that detailed minutes of the committee’s discussions will be made available on the Board of Trustees website.

**Joint Committee**
Chair Wolfort reported that the Joint Committee had presentations on the Advancement Strategy, Title IX Review, the Small House Planning Strategy, and an update on the Housing Development Plan Strategy.

Chair Wolfort reported that the details of the presentations are in the agenda online and the details of our discussion will be in the minutes.
Executive Committee
Chair Wolfort reported that the Executive Committee went into Executive Session to consider the employment or compensation of a public employee, to consider the purchase or sale of property for public purposes, to protect the confidentiality of student information, and to discuss threatened or pending litigation.

Chair Wolfort reported that there were no additional issues were discussed.

Consent Agenda
Chair Wolfort introduced the consent agenda as follows:
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
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 inter-professional 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.
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.
APPROVAL OF PARTICIPATION IN THE LOCAL ADMINISTRATION CERTIFICATION PROGRAM FOR CAPITAL IMPROVEMENT PROJECTS

RESOLUTION 2016 - 3592

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.
APPROVAL TO PROCEED WITH CONSTRUCTION FOR THE
BOYD HALL BATHROOM UPGRADES,
MACKINNON HALL BATHROOM REHABILITATION,
HCOM CLEVELAND 3rd FLOOR EXPANSION,
ALDEN LIBRARY RENOVATION PHASE I,
BACK SOUTH DEMOLITION PHASE II,
CAMpus STEAM SYSTEM REPAIRS 2017,
LINDLEY HALL ROOF REPLACEMENT,
FRONT ROOM AND LATITUDE 39 UPGRADES,
PERKINS HALL ELECTRICAL AND FIRE ALARM UPGRADES,
RTEC ROOF REPLACEMENT, AND
SOUTH GREEN CULVERT DRIVE REPAIR

RESOLUTION 2016 - 3595

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 3rd 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.

Chair Wolfort asked for a motion to approve the consent agenda. Trustee Lake moved. Vice Chair King seconded. With all in favor, the consent agenda was approved.
There was no old business.

There was no new business.

Secretary Moore reported that the next meeting of the Ohio University Board of Trustees would occur on January 19-20, 2016.

Chair Wolford adjourned the meeting at 11:50am.
Ohio University Board of Trustees
University Academics Committee
October 20, 2016, Thursday
Margaret M. Walter Hall, Room, Athens, Ohio

Present: Committee Chair N. Victor Goodman, Trustees Kevin B. Lake and Janelle Simmons, Student Trustee Brooke Mauro, National Trustee David Pidwell, Alumni Representative Ronald Teplitzky, and Faculty Representative David Thomas.

Committee Chair Goodman called the meeting to order at 1:59 p.m.

Dr. Laura Myers, the provost’s chief of staff, substituted for Pam Benoit, Executive Vice President and Provost (EVPP), at the meeting.

**Scripps College of Communication Dashboard**

Scott Titsworth, Dean of the Scripps College, shared the college’s innovations, priorities, opportunities, commitments to students, and its commitment to maintaining its strong national academic reputation as well as the more detailed information contained in the dashboard.

Dean Titsworth wanted to provide information so the Trustees can be informed ambassadors for the Scripps College as they are already for the University.

One of the college’s goals is for students to have choices and discover who they want to be as people. Experiential learning supports this and other goals such as key priorities that include student success, leadership development, and becoming technological leaders.

The college houses five different schools. Over the last several years, integrated activities have been added to the curriculum. Students are involved in project based learning and are not siloed by their fields of study. They are rather encouraged to be involved in broader activities that the college considers a critical part of students' learning experiences.

High caliber students are attracted to the college. Students are retained at a high rate, their degree completion rate is good, and the first year retention rate of 89% is very high.

Dean Titsworth discussed the efforts that lead to this sort of student success, primarily the very integrated and coordinated strategy to promote student success through the Harris Student Support Center. Greg Moeller, Assistant Dean for Student Success, who runs the Center was introduced to the committee.
There is a very low rate of students who are on probation. When students are on probation, the college works hard to help them get off of probation. Less than 1% of students who have academic difficulty end up having to leave the University.

Pre-graduation checks are an option for students. Students can drop in at the Harris Center and have an advisor go over their transcripts with them. Since the 2015 spring semester, over 610 students have taken advantage of this intense transcript analysis. This has saved approximately 6% of students from having issues that would have caused them to not graduate on time (about 36 of the 610 students).

As a result of an initiative supported by EVPP Benoit, student success advisors are embedded in the colleges. These advisors assist students who may not be failing, but are not performing as well as they might. The advisor in the Scripps College, Paula Linscott, was introduced by Dean Titsworth. Ms. Linscott had, in spring of last year, 185 advising appointments, six advising sessions for new incoming students, and has taught two learning community courses. Faculty and students in the college are very appreciative of Ms. Linscott’s efforts.

Dean Titsworth went on to describe the Critical Listening and Post Production Laboratory that is part of the new Schoonover Center. This completely acoustically isolated room designed specifically to hold a control console, that is cutting edge technology, used by students learning about digital audio. He noted that product vendors, including Yamaha, are writing stories and doing videos about Ohio University because of how the Scripps College is training students on this cutting edge equipment. Dean Titsworth acknowledged the work of Kyle Snider, Lecturer in the School of Media Arts & Studies, and Hans Kruse, Professor in the School Information and Telecommunication Systems (ITS). Dr. Kruse brought his ITS students in to help with the project.

Some exciting programs include: The Game Research and Immersive Design (GRID) Lab, using an Innovation Strategy grant, is training students to create virtual and augmented reality, one of the next big media platforms. The SMART Lab – Social Media Analytics – students learn analyze social media trends, etc. Students work with businesses that want to strategically use social media, increase use of, etc. Developing Broadcast Meteorology Program in conjunction with the College of Arts and Sciences meteorology program. Working with the College of Fine Arts to develop a masters of fine arts in communication media arts would be a nationally distinctive program. Additionally, the college hopes to work with the Heritage College of Osteopathic Medicine so the college will increase its presence on the Dublin Center through two programs: the masters of information and telecommunication systems and the masters of organizational communication which should fit the workforce in that area well.

National Trustee Pidwell commended Dean Titsworth on the activities in the college and was pleased with the college’s efforts to engage its students beyond the college. He felt this would provide students with more real-world experiences as students in communication fields would learn to work with students in other disciplines.
Dean Titsworth noted that the college goes beyond the collaborations across colleges to include engaging with private sector partners, such as Scripps Company, in activities such as those in the SMART lab.

Committee Chair Goodman noted that he was pleased to see the excellent rate of employment after graduation.

Dean Titsworth replied that the college hoped to bring that number even higher by informing students of the various ways they can leverage their education to obtain employment.

Trustee Simmons asked if the rate of employment was because of the internship programs.

Dean Titsworth replied that he felt internships have a definite impact. Students in Journalism and some other schools are required to have an internship. Many students have more than one. All students in the college are highly encouraged to obtain internships. It is estimated that over 75% of the students in the college complete at least one internship and there is a significant number that do multiple ones. These internships augment what students do in the classrooms, in their student organizations, and so forth.

Trustee Simmons noted that as an alumna who benefitted from an internship, she wanted to thank the dean and the college for continuing that tradition.

Committee Chair Goodman asked about the college entrance requirements.

Dean Titsworth replied that the entrance requirements are the same as for the University with the exception of the School of Journalism and the School of Visual Communication have slightly elevated requirements.

**Consent Agenda, Review of Centers and Institutes**

Chief of Staff Myers introduced Joseph Shields, Vice President for Research and Dean of the Graduate College, who furnished information about this agenda item. Vice President Shields provided an overview of the review process.

Committee Chair Goodman asked what happens if centers’ support is withdrawn by the funding sources identified in the summaries. He also asked, given the value of the centers, why they do not receive their own funding.

Vice President Shields replied that there are about forty centers and institutes. They are highly diverse in the scope and scale of what they do, so there are various levels and types of support needed. Seminar series can be supported with very modest funding. Others have very significant infrastructure. Therefore, the funding models differ. While some funding by the University is tied to the center or institute being able to bring in grants, the funding provided by the University does indicate strong support of these endeavors. This also encourages centers and institutes to pursue external funding sources. Should the funding source for a center or institute be withdrawn or reduced, they might
pursue additional funding either by requesting funds from the college dean or making a case for funding elsewhere.

Faculty Representative Thomas noted that prior to a center or institute being presented to the Board of Trustees, the funding sources are determined.

The committee agreed that the resolution regarding centers and institutes will remain on the consent agenda for review by the full Board.

**Enrollment Update**

Craig Cornell, Senior Vice Provost for Strategic Enrollment Management, provided the committee with an update on enrollment.

Senior Vice Provost Cornell emphasized the word “evolving” in the strategic enrollment management language in the presentation. Multimodal, multilevel, multi-campus educational opportunities are really becoming the forte of what we do at Ohio University and how those blend in and out of our normal numbers are starting to become quite interesting. So, it’s not just about the freshman numbers, the Athens numbers, etc., it’s really the significant impact of each of these and the interplay between them.

New freshman enrollments this year gave us the 3rd highest class in our history. This is down 2.6% from last year, but still up by 425 students from our recent low point in 2011.

The transfer student profile is changing as more are students are choosing to take online courses.

College Credit Plus (CC+) students are mostly at the regional campuses. Eighty new students started at the Athens campus. There are about 1,000 students in the overall program.

Overall multicultural student enrollments are at a record high. African American student enrollments are also at a record high. We have beat our records each year for approximately the past fourteen years.

Out-of-state enrollments are down for the freshman class, possibly due to market issues. Senior Vice Provost Cornell and others will be meeting to discuss this. Ohio University is now a common application school so that should help make these applications easier as it broadens our exposure.

Freshman quality is good with students having record high school grade point averages which is a strong indicator of student success.

eLearning enrollments are up by about 2% and will increase somewhat because of Nursing enrollments that have different start dates during the year.

Graduate enrollments, especially in online programs, are up significantly, partially due to expanded OUHCOM opportunities with new campuses in Dublin and Cleveland.
At our regional campuses, student headcount vs. FTE numbers are impacted by the CC+ students who are part-time.

Our Federal Cohort Default Rate (students who, one year and one day after graduation, when they should start paying back their student loans don’t do so) had the largest drop rate in the state. Defaults were among our Regional Higher Education (RHE) students predominately. Enrollment Management and Bill Willan, Executive Dean for Regional Higher Education, worked a lot to improve these numbers through various efforts.

Faculty Representative Thomas asked Executive Dean Willan a question regarding CC+. At a previous meeting, the topic of CC+ was discussed, in particular, the issue quality of CC+. Faculty Representative Thomas did not realize the number, of CC+ students, was this high. He asked Executive Dean Willan if he, his regional campus deans, or his faculty were seeing an issue with impact of CC+ in the classroom.

Executive Dean Willan responded that there is a considerable range of providers for CC+. Executive Dean Willan and others will be checking to see how the overall quality of CC+ programs across the state is maintained.

Senior Vice Provost Cornell noted that the impact of CC+ on overall enrollments here will depend on the number of credits CC+ students enrolling and how many course credits they will be bringing with them.

Committee Chair Goodman expressed a concern that remediation may be necessary for these students if the quality of CC+ courses are not up to standard.

Senior Vice Provost Cornell responded that those sorts of things are yet to be determined because we are only in the second year of this program. Ohio University is working hard to ensure that the quality of our own CC+ courses remains high. He also noted that there is a transferability guarantee in Ohio that requires an institution to accept other institutions’ credits. We will be looking to see how other institutions handle this and will work with the state to address issues as the program moves forward.

National Trustee Pidwell had several questions; if we draw a trend line of our enrollment over the past few years, is it up and to the right; do we expect that this trend line will continue in that direction? Are we doing marketing and promotion, etc. to continue that trend or is the market that we are addressing shrinking in numbers and compromising our ability to maintain this increase?

Senior Vice Provost Cornell replied that we are targeting opportunities for growth with the goal of balancing things out. While we may not grow enrollment at the Athens campus, given housing and other constraints, there are ways to grow strategically through online programs, distance education, etc. The university is working to achieve the right balance and growth up and to the right will most likely be through eLearning and other online programs rather than growing on-campus enrollment in Athens by much more.

Trustee Pidwell noted that multicultural enrollment has been increasing, yet out-of-state enrollment is declining, and asked how we reached those reduced numbers.
Senior Vice Provost Cornell replied part of the reason for the reduced numbers is heavy competition for out-of-state students and many institutions marketed heavily toward those students. Another thing to consider is that international students are considered out-of-state students and are included in those numbers. The university is looking at growing its international market, too, and is targeting different populations to grow pockets of students.

National Trustee Pidwell asked if it is feasible for students to get a four-year undergraduate degree through the eLearning program or does it require some time on campus or some other additional work?

Senior Vice Provost Cornell responded that we do not market for online four-year degrees. We market for degree completion, graduate programs, etc.

National Trustee Pidwell asked if Senior Vice President Cornell could envision a time when a student could graduate from high school and obtain a bachelor’s degree through an online program, considering that the market for these programs is growing considerably.

Senior Vice Provost Cornell answered that this would be an entirely new market for us and we would have to begin these programs from scratch. While this is on our radar, we won't be pursuing it anytime soon. Right now we're growing existing programs.

Committee Chair Goodman had a question for Dean Titsworth regarding what we are doing with the Roger Ailes scholarship given the name change for the newsroom and that the money has been returned.

Dean Titsworth responded that one student receives the scholarship and that faculty are discussing the issue of the scholarship. The scholarship money comes from an endowment.

Senior Vice Provost Cornell responded that the university will make sure these students don't suffer.

**Global Strategy**

Lorna Jean (L.J.) Edmonds, Vice Provost for Global Affairs and Director of International Studies noted that one in five jobs are tied in some way to global trade. Talent is our nation’s most valuable resource and higher education is very competitive. Diversity and Inclusion is at the core. We want all of our international students to get jobs, whether here or in their home country. We do not want to differentiate them in the classroom - Ohio University is one community. We want to build the university’s global profile and recognize the importance of Athens and Ohio as a part of our global strategy. We want globalization to be a part of the curriculum across the university and to be a part of every student’s experience.

Trustee Pidwell noted that he has personally seen this globalization in his field and is glad that our students are learning that this is a global world and wished Vice Provost Edmonds the best of luck.
Vice Provost Edmonds outlined international relationships and the importance of having strategic partners in countries where we want to develop these relationships. We do not currently have strategic partners in Africa or the Middle East.

**Innovation Strategy Update**

Vice President Shields provided an update on the Innovation Strategy.

The process begins with a letter of intent. Thirty-one letters of intent were received by the deadline last week. These projects would involve 172 individuals from among a broad range of college, departments, and programs. Membership on teams must be from more than one college or program. Activities the funding supports are broad.

Total funds available is 4.4 million dollars. We do not guarantee that we will give out all of this money. There is a quality standard that must be met. There is a very large review team to ensure that the standard is met.

This program is receiving recognition on the state level and nationally. Very positive feedback has been received from the governor’s staff.

**Academic Quality Points of Pride – Arts & Sciences Curricular Themes Initiative**

Robert Frank, Dean of the College of Arts and Sciences, gave this presentation.

Two faculty joined Dean Frank. They were Paul Patton, Professor of Anthropology, and Nukhet Sandal, Professor of Political Science.

Curricular themes are a set of courses and extracurricular activities (related courses and experiences) that allow students to explore topics beyond their majors. Affiliation Groups are small groups of faculty and students talking about various issues. For example, “Making and Breaking the Law” breaks down what law is, how it develops, etc.

It is common for themes to join forces i.e. there are overlaps in types of things different themes are discussing. This has generated clubs, etc. that go beyond the normal classroom. Faculty from six colleges and many departments are involved. Activities include sponsored speakers, sponsored films, field trips, internships, etc.

Professor Sandal shared that international security issues are of interest to her. She works with faculty from the hard sciences, engineering, etc. on the War and Peace theme. These experiences have led to faculty collaborations and team teaching opportunities.

Professor Patton shared the impact that the themes initiative has had on students. For instance, Professor Patton became acquainted with an anthropology student who had dropped out of the university. The student’s great interest was food for the community. When Professor Patton shared that themes were available on the subjects she was interested in, she ended up re-enrolling. She has graduated and is now working in her field of interest. Themes help students see the complexity of problems and solutions to problems.
Student Trustee Mauro asked if students can change themes.

Dean Frank replied that yes, they do, and do so often.

Student Trustee Mauro asked if students can receive a certificate for completing any of the themes.

Professor Sandel replied that some themes apply toward certificates or majors and some do not.

Alumni Representative Teplitzky asked if the themes involved only in Arts and Sciences.

Dean Frank replied that the themes cross many colleges and departments.

Professor Patton noted that student groups, with students from multiple colleges, have been developed around themes.

Faculty Representative Thomas asked how Dean Frank was able to reach out to other colleges and departments to encourage them to become involved.

Dean Frank explained that faculty interested in developing a theme reach out to external partners, faculty in other colleges or departments, and others themselves. For example, outside partners for one theme includes local food producers and processors, Wayne National Forest (native and prehistoric foods), Rural Action (biodiversity in the region), and others.

**Consent Agenda, New Programs CHSP – Master of Global Health**

Dean Randy Leite provided information about this multi-disciplinary program. Medical students both here and at other institutions in the U.S. and abroad have shown interest.

The committee agreed that the resolution would remain on consent agenda for consideration by the full Board.

Committee Chair Goodman adjourned the meeting at 3:53 p.m.
Ohio University Board of Trustees  
Audit Committee Meeting  
October 20, 2016, Thursday  
Margaret M. Walter Hall, Athens, Ohio

Present: Audit Committee Chair Janelle Simmons, Trustees Dave Scholl and Peggy Viehweger, 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 4:15 PM.

Plante Moran - FY16 Audit

Robert Shenton and Danny Sklenicka of Plante Moran were present to discuss the FY16 audit. Their presentation included: required communications; summary of audit differences; and new accounting pronouncements. Plante Moran reported that the audit report for the University and all component units was filed with the Ohio Auditor of State on October 13th.

There was one item listed in the Summary of Audit Differences which was a judgmental adjustment related to the recording of accounts payable invoices due to timing differences as of June 30, 2016. This item was not considered materially significant by Plante Moran and no adjustment was made to the financial statement.

Trustee Dave Scholl made a motion to approve a resolution accepting 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. The motion was seconded by Trustee Peggy Viehweger. Vote was unanimous.

FY17 Audit Plan Status

Jeff Davis, Chief Audit Executive discussed the FY17 audit plan. The NCAA Agreed Upon Procedures and audits of Campus Recreation, Parking Services, Residential Housing and IT General Controls are underway. Mr. Davis discussed the need to postpone the audit of Procure to Pay Services to a future fiscal year. Mr. Davis stated that Senior Auditor Susan Jago had been serving as the interim Accounts Payable manager and recently accepted the position full time. This has impacted productivity in the office. In addition, Procure to Pay Services is going through a reorganization and is in the process of changing internal procedures. Mr. Davis stated that both of these factors are justification for postponing the audit. Trustee Scholl asked about the significance of the audit and the impact of delaying the audit. Mr. Davis explained that he has been kept
apprised of the changes occurring in the Procure to Pay Services department and also the extent to which Internal Audit reviews transactions that are processed by the department on an ongoing basis. The committee agreed with the change to the audit plan.

**Audit Committee Charter Resolution**

Mr. Davis provided a summary of the proposed changes to the Audit Committee Charter. The changes were also discussed at the June 2016 and August 2016 meetings. The charter outlines the committee’s responsibilities related to oversight of the external audit, the Internal Audit Office and compliance matters.

Trustee Dave Scholl made a motion to approve a resolution accepting the proposed changes to the Audit Committee Charter. The motion was seconded by Trustee Peggy Viehweger. Vote was unanimous.

**Quality Assessment and Improvement Program**

Mr. Davis discussed Internal Audit’s Quality Assessment and Improvement Plan (QAIP). Mr. Davis will report the results of the QAIP annually with the Audit Committee and senior management.

Trustee Scholl asked if Mr. Davis was able to identify an evaluation template for the Chief Audit Executive (CAE) Evaluation. Mr. Davis stated he had and would share that evaluation template with the committee.

At 4:42 PM. Committee Chair Janelle Simmons motioned to move to executive session. Trustee Peggy Viehweger seconded. The executive session was for the sole purpose of details relative to the security arrangements for the university, pursuant to the provisions of Ohio Revised Code Section 121.22(G)(6). Trustees Janelle Simmons, Dave Scholl and Peggy Viehweger all voted yes. Vote was unanimous.

The executive session ended at 5:10 PM.

There was no unfinished business.

Audit Committee Chair Simmons adjourned the meeting at 5:11 PM.
Present: Acting Committee Chair Goodman, Board Chair Wolfort, Trustee Lake, National Trustee Pidwell, Student Trustee Mauro, Secretary Moore, General Counsel Biancamano, Vice President for Finance and Administration (VPFA) Shaffer

Acting Committee Chair Goodman, standing in for Committee Chair Cooper, called the meeting to order at 4:17 PM.

Bylaws and Committee Descriptions

Secretary Moore introduced the discussion with a summary of the modification to the bylaws approved by the committee in August. Board Chair Wolfort reported that he had asked Committee Chair Cooper to generate an initial draft based on the conversation at the August Board Retreat. The draft of the bylaws considered by the committee has the original modifications as well as additional changes to committee names and descriptions suggested by Trustee Cooper.

A brief conversation ensued regarding the merits, scope, and placement of a compensation committee and a risk management committee.

The Committee charged Secretary Moore to submit the draft to Executive Staff for comments and suggestions and to return in January to present findings and an updated draft for consideration.

Acting Committee Chair Goodman adjourned the meeting at 4:57PM.
Committee Chair Dave Scholl called the meeting to order at 2:00 pm. Other board members present included Board Chair David Wolfort, Trustee Peggy Viehweger, Student Trustee Patrick Roden, National Trustee Laura Brege, Faculty Representative Susan Williams, and President Roderick J. McDavis.

Trustee Scholl opened the meeting by praising the high quality of information shared in the agenda materials for these committee meetings.

**Financial Update**

Vice President Finance and Administration (VPFA), Deb Shaffer, shared results and analyses from the FY16 Audited Financial Statements as well as the current FY17 financial forecast. This presentation is consistent with the move to report updated forecasts at each meeting and share developing trend data driving the budget development. VPFA Shaffer highlighted several key budget drivers comparing FY16 actuals, FY17 budget and FY17 forecast as follows:

- FY17 State Share of Instruction (SSI) reflects formula changes which reduced at-risk weightings that caused overall reduction in Ohio’s expected allocation of $5.6M which was funded from one-time reserves. This will have to be absorbed by the academic units in FY18. A formula change has been voted on to change the FY18 allocation to add an at-risk factor for First Generation students which is a priority at Ohio University.

- As the OHIO Guarantee implementation continues we are applying annual enrollments and the varying cohort tuition and retention rates to forecast tuition and fee revenues. FY17 tuition and fees are currently forecasted approximate to budget - out-of-state enrollments were lower than projected but in-state were higher. A 2017-2018 OHIO Guarantee cohort increase based on statutory rate caps and the five-year average Consumer Price Index (CPI) is being considered due to the projected increase in expenditures for FY18 and flat growth projections for other revenue sources.

- Compensation budgeting typically includes all positions for a unit, not factoring in staffing fluctuations throughout the year. The FY17 $10M+ favorable salaries and benefits forecast is based on trending actual year-to-date expenditures and applying benefits percent to salary year-over-year trends.
Non-operating investment income forecasted to exceed the budget for FY17 forecast due to market performance in the first quarter; an update will be provided at the next meeting. The Century Bond Advisory Committee, comprised of trustees from each board as well as a faculty member in the Business school, meets regularly prior to the University board meetings to review performance of the program and adherence to the program guidelines. A two-year review of the Century Bond / Deferred Maintenance Program will be presented at the January meeting.

The FY17 GAAP Adjusted forecast approximates budget. The FY17 budgeted increase in net position is $88.4M and the forecast is currently at $90M, with the $1.6M variance driven by investment income.

**Student Investment Program Update**

VPFA Shaffer introduced David Stowe, College of Business Assistant Professor and Faculty Advisor to the two groups which comprise the Student Investment Management Program – the Equity and the Fixed Income groups. The student groups manage a portion of University working capital valued at $6.1M at June 30, 2016. The groups are tasked with managing the portfolios within the investment policy and are provided guidance by an Alumni Advisory Board with oversight by the Foundation and its Investment Sub-Committee. Trustee Scholl commended Professor Stowe’s involvement in the Century Bond Advisory Committee and remarked on the professionalism and insight his involvement brings to their discussions.

Professor Stowe introduced Student Dane Hudson who shared that the Fixed Income Group manages $2.8M in investments split equally between a traditional portfolio and a sustainable investment fund. Student Travis Blair shared that the Equity Group oversees $3.5M in investments - $1.76M in a traditional portfolio and $1.58M sustainable. The students described their management philosophy and the activities of their members regarding their holdings. Recruiting efforts by the student investment groups have expanded to other majors beyond the College of Business. The members enjoy access to program alumni who come back to campus, talk through opportunities, and offer them career advice and guidance.

Student group performance for these portfolios as of June 30, 2016 show positive returns which lag benchmarks. Trustee Scholl requested an addendum to this annual report to formally document the group’s oversight and governance.

**Consent, Establishment of University Quasi-Endowments**

VPFA Shaffer discussed the request to establish two University quasi-endowments to benefit the departments of Chemistry and Physics from the estate of Ileane Ackley. The funds came into the Foundation as unrestricted to those units. Leadership recommends the creation of two quasi-endowments for the long-term benefit of the respective departments. The Foundation board will vote on the resolution at its November meeting.
The Committee recommended that the Consent resolution for the Establishment of University Endowments be retained on the Consent Agenda for the October 21, 2016 Board of Trustee meeting.

Consent, Local Administration Certification

Senior Associate Vice President (SAVP) Joe Lalley discussed the request for board action to continue participation in the State of Ohio Local Administration Certification for Capital Improvement Projects program. Action is required to recognize the change in state agency oversight from the Department of Administrative Services (DAS) to the Ohio Facilities Construction Commission (OFCC).

Consent, Facility Projects – Construction

SAVP Lalley provided construction updates on a couple of issues for which no Board action is required.

- The University completed the Ohio EPA Voluntary Action Plan Phase 1 assessment at the Lausche Switchyard. The levels of soil contamination around what is now known to be an abandoned well remain below reportable levels. ODNR will be approached about Orphaned Well Program coverage; otherwise, plans will be made for remediation to grout the well as well as fix other issues discovered during the Lausche Electric Yard Sinkhole Repairs: Soil Stabilization Phase 1.
- In 2012 energy performance contractor Constellation New Energy (CNE) was selected for a $28.3M project for energy improvements and to meet HB 251 goals. Missed completion dates have occurred throughout the project, but we are looking for project completion by the end of November. Measurement and verification reporting from Constellation will follow to prove performance with oversight by Internal Audit. If contract performance is not realized, then Constellation will need to provide remedy. CNE’s delinquency has been mainly due to the lack of coordination with subcontractors working in campus facilities.

The request for construction approval for twelve projects includes three projects with budget amendments: bathroom renovation projects in the Boyd and MacKinnon Residence Halls to reflect increases associated with underestimating finish work; and the HCOM Cleveland 3rd Floor Expansion project where certain required elements were not adequately estimated. SAVP Lalley discussed remediation steps taken to reduce the likelihood of similar estimate errors in future contract bidding.

New projects for construction approval include Alden Library Phase I renovation, Phase II Back South Green demolition, 2017 steam system repairs, Copeland Hall, Lindley Hall and RTEC roof replacements, Front Room and Latitude 39 upgrades, Perkins Hall electric and fire system upgrades, and the South Green Drive culvert repair project. The
Back South demolition includes three Residence Halls (Martzolff and O’Bleness, with Fenzel to be bid as an alternate) scheduled for demolition next summer.

SAVP Lalley remarked that coordination with the City, OUPD, university departments, and event planning regarding contractors on campus does occur as it relates to campus safety and the impact of construction on campus residents and the city. In light of the Joint Committee Title IX discussion, SAVP Lalley will follow-up with Sara Trower on what Title IX obligations might exist as they relate to contractors or vendors.

The Committee recommended that the two facilities related Consent resolutions be retained on the Consent Agenda for the October 21, 2016 Board of Trustee meeting:

- Local Administration Certification
- Facility Projects – Construction

Utilities Planning Update

SAVP Lalley updated the board on development of the Utilities Master Plan and related projects. In 2014 the Board approved a $79M set of projects (Energy Infrastructure Projects (EIP)) which included the development of a Utilities Master Plan to define, map, inventory, and assess the state of our energy infrastructure and recommend a plan to address deferred maintenance and meet current and planned capacity (as defined by the Comprehensive Master Plan).

Prior to the EIP Ohio University did not have a comprehensive energy study or strategy. The complicated infrastructure is comprised of miles of tunnels and piping, high voltage distribution, underground wiring, and domestic hot water / steam systems. Draft recommendations, costs estimates, and the respective plan will be presented to the Joint Committee of the Board in January, 2017, with the goal of the final plan being integrated into the FY19-24 CIP Update presented in June, 2017.

Campus Signage and Wayfinding

Michael McAvoy, Senior Planner in the Office of University Planning and Space Management, was introduced to provide an update of the ongoing signage and wayfinding project. The presentation reflects the work to improve the 30-year old signage standards as well as provide a comprehensive framework for a variety of wayfinding tools. The project, an outcome of the Comprehensive Master Plan, began in 2015 and reflects the work of the consultant, Ayers Saint Gross, with a large Advisory Committee of staff who routinely deal with first-time visitors.

The existing signage system is too small for the increased volume of University visitors, and together the consultant has worked with the Advisory Committee to improve campus signs. A set of guiding principles was developed to ensure the signs will serve the University for decades, and many of those signs have been tested to vet various design aspects such as size, color, levels of hierarchy, and message simplification.
presentation highlighted recommendations such as leveraging the campus greens, creating pedestrian signs, improving vehicular and parking signs, and improving signs for transit and accessibility. The concepts have been tested with a variety of faculty, staff, students, and prospective students.

Board discussion occurred around providing a technology solution to accomplish wayfinding and possibly add historical notes based on OHIO GIS data. Mr. McAvoy noted that a variety of digital solutions are being investigated as part of a comprehensive system, including aids for international visitors, with implementation criteria to be included in the guidelines. He noted that estimates for an initial phase were included in the current six-year Capital Improvement Plan (CIP), and that the guidelines will be brought back to the Board for review and approval in early 2017, and that they will include project phasing and cost strategies for the FY19-24 CIP Update and University Budget Planning.

Facility Project Status Update

VPFA Shaffer briefly discussed the Facilities Project Status Report which will become a regular Resources Committee information item. The report, organized consistent with the CIP, includes active facility projects approved for expenditure and information on budget, expenditures, project timeline and progress.

Information Items: No Discussion

Informational Updates were also provided in the materials for committee members for which no specific presentation was discussed:

- Park Place Planning Strategy Update
- Treasury Report
- Annual Risk and Insurance Program Report
- Annual Clery Report – Fire
- Annual Clery Report – Police

At 4:04 pm Committee Chair Dave Scholl adjourned the meeting.
Present: President Roderick McDavis, Chair David Wolfort, Trustees Dave Scholl, Janelle Simmons, N. Victor Goodman, and Peggy Viehweger, National Trustees Laura Brege and David Pidwell, Student Trustees Brooke Mauro and Patrick J. Roden, Alumni Representative Ron Teplitzky, Faculty Representatives Susan Williams and David Thomas, and Secretary David Richard Moore.

Not Present: Trustee Diane Smullen, Vice Chair Janetta King, and Trustee Cary Cooper

Chair David Wolfort called the meeting of the Joint Committee to order at 10:02am. He began the meeting by announcing that Trustee Diane Smullen would not be present due to medical issues with which she is dealing.

He thanked President McDavis and City Council President Chris Knisely for hosting a dinner between Athens City Council and the Ohio University Board of Trustees.

Advancement Strategy: AdvancingOHIO

Vice President for Advancement J. Bryan Benchoff presented on a new fundraising initiative that the Ohio University is developing. With him were:

- Ms. Jennifer Neubauer, Assistant Vice President (AVP), Alumni Relations & Executive Director, Ohio University Alumni Association (OUAA)
- Mr. J.R. Blackburn, Assistant Vice President (AVP) for Development & Associate Campaign Manager
- Mr. Joe Pauwels, Assistant Vice President (AVP), Advancement Services
- Ms. Deb Shaffer, Vice President for Finance and Administration (VPFA)
- Ms. Candice Casto, Chief Financial and Investment Officer (CFIO) for The Ohio University Foundation

VPA Benchoff introduced presenters, and also highlighted the contributions of EVPP Pam Benoit, who was unable to attend the meeting.

VPA Benchoff reported that Advancement collaborates with both Ohio University and the Ohio University Foundation, and is beholden to the academic mission and vision of
Ohio University. He noted that Advancement works not just at the university level, but also at the individual college levels.

Advancement’s Advancement Strategy is called AdvancingOHIO. VPA Benchoff outlined the strategy, which hopes to eventually reach a $50 million a year run-rate for Ohio University’s endowment. VPA Benchoff says he sees the new strategy as a starting point, rather than an ultimate goal. The current strategy will run through 2029, at which point Advancement will have fully realized the goal.

He said that AdvancingOHIO is separated into three timeline phases:

- Phase I, during which time Advancement hopes to raise $35 million a year
- Phase II, during which time Advancement hopes to raise $45 million a year
- Phase III, during which time Advancement hopes to raise $50 million a year

VPA Benchoff reported that AdvancingOHIO’s principles were divided into three parts:

- Fundraising
- Infrastructure
- Engagement

Phase I
Phase one will inform the conversation as OHIO moves into phases II and III. VPA Benchoff noted that reaching the goal depended on a massive volume of work required to attain the goal, and laid out the numbers needed to realize the goal:

- Fundraising: 303 new major gifts must be secured
- 8,000 calls must be made
- 2,400 visits must be made
- 500 solicitations with a 50% closure rate must be made

VPA Benchoff introduced AVP Blackburn, who said that Advancement did not want to lose the momentum of the Promise Lives Campaign. AVP Blackburn said his team had begun to identify specific strategies to reach the goals. He introduced AVP Neubauer, who he said would outline how Advancement had changed in the past few years. AVP Neubauer reported that Alumni Relations had identified 10 different exploratory key markets on which to focus in the new fundraising efforts, including Dayton, Ohio and Washington D.C.

AVP Neubauer said that 5,000 students are engaged with Alumni services each year, and that they hope to further improve upon that engagement. Alumni Relations to engage more unique attendees at events, to eventually help Ohio University garner more gifts and greater support in the long-term.

AVP Blackburn said that Advancement is engaging with Alumni Relations. AVP Neubauer provided an example of work done in Washington, D.C. to engage people who
had not previously been engaged, and said that Alumni Relations had been able to get them to be speakers and presenters at events.

AVP Blackburn said that inclusion of the new Dublin campus represented an enormous opportunity for Advancement to increase engagement.

AVP Pauwels talked about his office’s input, which involves background research on alumni for potential engagement, and hard data regarding trends in donor relations. He reported that the average first time $10,000 donor is in his or her 60s, and has had at least a 10-year active relationship with Ohio University. AVP Pauwels talked about OHIOToday’s current redesign plans, which he hopes will encourage people to keep and return to each issue as proud conversation pieces.

AVP Blackburn said that the resources of organizational giving has to be centered in the identified markets, and indicated that such an idea is laid out in their plan. He indicated that ramping up the number of gifts and the quality of gifts now will affect university success 20 years down the road.

Chair Wolfort asked if Advancement was taking into consideration that in the next 12 years, there will be approximately 60,000 new alumni, and also a drop-off rate as older alumni die. He noted that long-term Development Officers (DOs) would be needed to build long-term relationships with donors, and also to understand the various markets.

VPA Benchoff introduced VPFA Shaffer, who explained the funding that would be needed to move the Advancement Strategy forward. She outlined the actual and projected costs of running the Advancement department by year:

- Financial Year 2015 (FY15): $105 million
- FY16: $104 million
- FY17: 109 million

VPFA Shaffer said that Finance and Administration continues to analyze the feasibility of the program.

Trustee Viehweger asked how Advancement and Finance and Administration had determined the cost of housing new staff in the new markets. VPA Benchoff and VPFA Shaffer indicated that the costs indicated hard numbers, and not estimates of the potential cost. AVP Pauwels noted that Dublin was raw space that could be developed.

Chair Wolfort asked VPA Benchoff how he envisioned intertwining past campaigns with the current plan. VPA Benchoff noted that many institutions are utilizing either mini-campaigns or perpetual campaigns, and that that was something Ohio University was considering, as well.
AVP Pauwels said that Advancement did not take into consideration the three transformational gifts that Ohio University received when evaluating whether or not the new plan was workable, as they were outliers in the previous campaign.

President McDavis reported that there may be new transformational gifts from institutions that had not yet been identified.

Trustee Goodman asked why Advancement had not utilized class gifts through class-related five-year reunions? He stated that these campaigns were very successful with his alma mater, and wondered why Ohio University was not organizing these kinds of events. AVP Neubauer said that she was seeing a trend moving away from class giving and towards affinity giving. She said that as populations of graduates get bigger, they are less connected to their classes, just due the sheer number of graduates in each class. She said that there are several class reunions they do for major milestones, but that Alumni Relations is growing its production of affinity-related events.

National Trustee Brege asked how AVP Neubauer planned to engage the growing number of online students. AVP Neubauer planned they are still evaluating that. She indicated that regional campus students feel affinities for their branches, rather than with Athens, but that online students seem to be hungering for a connection that is difficult to establish remotely, so they are focusing more on engaging the online students and online graduates.

VPA Benchoff addressed the concept of “benchmarking,” which OHIO is doing by employing Eduventures. He outlined how much various institutions can reasonably fundraise based on their living alumni base, and noted that Ohio University is getting close to reaching the top tier of number of living alumni (285,000).

VPA Benchoff provided details of the projected plan, and outlined that the University has garnered about $3.51, on average, for every dollar spent. He also noted the factors affecting the return on investment over time. He noted the parameters by which Advancement will measure its success in each phase, which laid out the specific amount of engagement, number of gifts, and number of new, first-time gifts. He also noted the goals for staff retention, as long-term employees would be important in establishing long-term relationships with alumni. VPA Benchoff acknowledged that the people sitting at the table were responsible for hitting the $500 million dollar mark in the Promise Lives Campaign, and was pleased that the team was still intact.

Trustee Pidwell asked, “When you compare the aggressive growth plan that you are developing, how does that compare to the kinds of strategies that other institutions are implementing? Are we in line with other institutions, or are we at the top end or low-end of fundraising goals?”

VPA Benchoff responded that the fiscal reality of public education funding drives the aggression needed in Advancement departments. So more aggressive plans are being utilized.
Trustee Viehweger noted that the various benchmarks (slide 20) seemed to indicate that it would be very difficult to reach the early benchmarks, while the later benchmarks were much lower.

AVP Blackburn said they were using an aggressive growth model, and said that they were focusing, early, on the infrastructure they would need now in order to be successful later.

AVP Pauwels noted that he had seen four campaigns close at various institutions, and had never seen a President push like Dr. McDavis.

Trustee Scholl asked about cost-efficient ways to engage younger alumni sooner after their graduation to yield more early-giving.

AVP Pauwels reported that the average first time donor is 40. “We are looking at whether we want to engage four $25 donors, or 1 $100 donor, and which contribution is more valuable in the long-term,” he said.

Trustee Simmons asked VPA Benchoff to outline how he is attracting top talent?

VPA Benchoff said that the average length of time to get a staff member engaged and fully educated is 24 months, which is also the length of time for average turnover of staff. He said that the pay schedule/rates for staff limit their ability to attract and retain various staff. Staff are “starting out at Ohio University, getting good, and then going elsewhere.” VPA Benchoff said that they are focusing on recruiting at the annual, national CASE conference that is coming up. Another mechanism employed is to reward existing staff for their involvement in various recruiting efforts.

Chair Wolfort thanked VPA Benchoff and team for the work they are doing to engage alumni, and for their presentation.

**Title IX Review and Update**

Laura Myers, J.D., Chief of Staff for the Executive Vice President and Provost, and Sara Trower, J.D., Executive Director, University Equity and Civil Rights Compliance, presented an update on Title IX operations.

Myers introduced new Title IX coordinator Sara Trower, from University of Kansas, and has 27 years of experience. Ms. Trower gave a brief outline of the origins of Title IX in the 1970s, including barriers to education and employment based on gender. The federal government voted to not award funding to organizations that engaged in gender discrimination. Ms. Trower said that Title IX has been transformative for engagement of not just women, but also to gender-nonconforming students, pregnant students, minorities, etc.
She said that the principles and involvement of Title IX are embedded and obligated in recruitment, admissions, financial assistance, employment, academics, discipline, residence life, athletics, field trips, study abroad, upward bound, etc. Ms. Trower reported that Title IX compliance applies both on and off-campus.

Ms. Trower reported that Title IX ensures recognition that sex discrimination, including sexual harassment/violence, is not a barrier to educational opportunities and programs. She noted that in 2013, the “Violence Against Women” act was renewed, and put more focus on campuses.

Ms. Trower provided an update regarding Title IX obligations:
- Must have coordinator
- Must publish and disseminate notice of non-discrimination
- Must adopt and publish grievance procedures providing for prompt, equitable resolution of student and employee sex discrimination complaints
- Must establish prompt, thorough investigations

Ms. Trower outlined OHIO’s coordinated response to sexual misconduct, involving the Provost, Legal Affairs, individual departments, Student Affairs, and Finance.

Ms. Trower outlined the process for addressing sexual misconduct complaints, from both students and faculty/staff, and how those individuals would be assisted throughout the process of investigation.

Trustee Goodman stated that in the investigations, the preponderance of evidence is the report that the complainant has brought forward. He said he worried that the respondent, who may or may not be able to respond adequately to the allegations levied against them, may waive a right to privacy at the university level of investigation that would hinder them if they move into a criminal court. “I’m suggesting that if he or she responds, he or she may be waiving privacy if the evidence on campus is then handed over to criminal jurisdiction,” Trustee Goodman added.

Ms. Trower said she disagreed with the assessment. She said it has not been her experience that respondents do not engage, and do not have the opportunity to defend themselves.

Faculty Representative Thomas said he is concerned about the process in a way different from Trustee Goodman. He said he is speaking for faculty and staff, and wonders if faculty/staff receive the same opportunities to respond, as he did not see it laid out on the faculty/staff side of the process that was outlined in Ms. Trower’s PowerPoint presentation.

Ms. Trower said that the process ends with where the interviews begin. She said that the faculty/staff are told that an investigative interview will be scheduled, and that they will have time to think about the allegations against them, and to provide their own evidence and information regarding the complaint.
Faculty Representative Thomas asked if the increase in sexual assault report statistics is in line with what is being seen on a national level.

Ms. Trower said she couldn’t speak to data nationally, but that “it is, however, in line with my experience with other institutions. I have not found an easy way to pull that data across all institutions.”

Chair Wolfort thanked Ms. Trower for her presentation, and stated that the President, Provost and the Board would like to lead the way on equality.

**Small House Planning Strategy**

Trustee Wolfort introduced University Planner (UP) Shawna Bolin, who had given the Board a tour of the “small houses” on campus that morning. VPFA Shaffer said that the tours were related to a number of things UP. Bolin was doing as part of the Campus Master Plan (CMP). UP Bolin will lead the effort in planning small-house CMP.

UP Bolin said that the university originally built small houses for faculty. In the beginning of the institution’s existence, OHIO’s boundaries were set at college green. She noted that the small houses were important to the character of the university and to College Green.

UP Bolin listed the small houses and their levels of utilization, ages, and state of maintenance. These included Pilcher House, Trisolini House, Jennings House, Yamada International Center, Brown House, McKee House, Konneker Center, Ping Cottage, 35 Park Place, 29 Park Place, Walter International Education Center, Sing Tao House, Crewson House, and Bingham House.

She reported that a lot of the houses are not good for business and office uses. UP Bolin stated that she wanted to establish a work group to evaluate the best investment and use of each of the houses.

**Housing Development Plan Strategy Update**

Vice President for Student Affairs (VPSA) Jason Pina provided a housing update, showing the implementation of the Housing Strategy so far, and where the university would like to see it end up. He stated that various setbacks and delays had affected the ability to fully implement future phases, and that much of phases II and III were on hold pending further debt analysis. VPSA Pina indicated that three dormitories had been demolished, that more suite-style housing was being planned for future projects. He highlighted past successes, modifications made to existing plans, and renovation projects that had either been completed, or were in the process of being completed.

Chair Wolfort thanked UP Boling and VPSA Pina for their presentations, and adjourned the meeting of the Ohio University Board of Trustees Joint Committee at 12:08pm.
Ohio University Board of Trustees  
Executive Committee  
October 21, 2016, Friday  
University Inn, Athens, Ohio

Present: Chair David A. Wolfort, Vice Chair Janetta King, Trustees, N. Victor Goodman, Kevin B. Lake, Dave Scholl, Janelle N. Simmons, 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, and President Roderick McDavis.

Chair Wolfort called the meeting to order at 8:07am.

Chair Wolfort suggested that the committee move into Executive Session to consider the employment or compensation of a public employee, to consider the purchase or sale of property for public purposes, to protect the confidentiality of student information. 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 10:04am Chair Wolfort 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 10:04am.
PRESIDENT’S REPORT

presented to
Ohio University Board of Trustees
January 20, 2017
Professor of Environmental & Plant Biology Dr. Sarah Wyatt, and her OHIO graduate students Colin Kruse, Proma Basu, and Alexander Meyers, presented their research at the GeneLab symposium at the 2016 American Society for Gravitational and Space Research. Dr. Wyatt’s experiments went to space in 2015.
Dr. Juliana De Paula Souza honored OHIO Associate Professor of Environmental & Plant Biology Dr. Harvey Ballard by naming a violet she discovered after him, *(Anchietea ballardii)*. Dr. De Paula Souza worked with Dr. Ballard as a post-doctoral student whose research was supported, in part, by a Baker Fund grant.
Dr. John Staser, Assistant Professor of Chemical Engineering will lead a team researching ways to process the main waste products of biorefineries into profitable resins that can be used in construction.

Dr. Staser received the grant from the Department of Energy.
Points of Pride
Observatory finds new home at The Ridges

Construction of a campus observatory is underway at the Ridges site where the Tuberculosis Ward once stood. The observatory is stationed close to usable seminar space so that classes can be held at the location.

OHIO’s Physics and Astronomy department also plans to use the observatory for their public outreach programs to teach the community about the universe.
HCOM Physician Dr. Todd Fredericks and Associate Professor of Media Arts & Studies Brian Plow have made a documentary to help student physicians better understand veteran health challenges. Dr. Fredericks’ research on miscommunication between civilian doctors and veteran patients inspired the documentary.
Thanks to Board approval and recent accreditation of the program, the College of Health Sciences and Professions now has a Doctor of Nursing (DNP) program. This program will provide better career opportunities for nurses in Appalachia while helping to fill the need for highly qualified health professionals in Appalachia.
Points of Pride

Ohio State Bar Association awards grants for two OHIO-based projects

Pre-Law Advisor Larry Hayman was awarded a grant to support the Ohio University Center for Law, Justice & Culture’s Summer Law & Trial Institute, a program that teaches high school students about law.

Associate Professor of Sociology Ursula Castellano received a grant to complete a video project about veteran treatment courts, which aim to reduce recidivism and improve outcomes for veterans embroiled in the justice system.
Alumnus Dave Malloy (BMusComp, ’98) earned praise from the New York Times for his play “Natasha, Pierre & the Great Comet of 1812.” The play, a musical inspired by the novel War and Peace, was named amongst the “Best Theater of 2016.”

Photos to come
Points of Pride

OHIO Bobcats played Troy Trojans on December 23rd in the Dollar General Bowl in Mobile, Alabama.
Points of Pride

Intercollegiate Athletics & College of Communication Partner with New ESPN3 Network

The project, funded by Athletics, produces and broadcasts over 35 live ESPN HD quality OHIO athletic events each year.

This hands-on, real world experience in a professional live production environment provides our students with skills that will translate directly to their professional careers.
University Spotlight

Presenters:
Richard Murray
Executive Director of CORAS
Cindy Hartman
Associate Director of CORAS
Renée A. Middleton
Dean of The Patton College of Education
Jon Saxton
Past President of CORAS

Coalition of Rural and Appalachian Schools
The Gladys W. and David H. Patton College of Education
Concealed Carry (SB 199/ HB 48) & Academic Freedom

Title IX & Due Process

US News Rankings—Academic Resources

Group I Hiring Trends

Shared Governance
Concealed Carry (SB 199/ HB 48) & Academic Freedom

Whereas the full and free discussion of potentially controversial ideas and knowledge is essential to the academic mission of the University; and

Whereas the possible presence of concealed weapons in instructional spaces and faculty offices will have a chilling effect on the free exchange of ideas;
BE IT RESOLVED that the Faculty Senate urges the Ohio University Board of Trustees to take no action that would allow concealed carry on any of our campuses in order to reaffirm our commitment to a weapon free campus.
Title IX & Due Process

• June 2016 Report from American Association of University Professors (AAUP): “The History, Uses, & Abuses of Title IX”

• Original Broad Definition of Title IX
Title IX

• “Clear and Convincing” v. “Preponderance of Evidence”

• “Colleges and universities should include the faculty in all stages of Title IX policy development, implementation, and enforcement.”
# Faculty Resources

- **Classes <20**: Percent of undergrad classes with fewer than 20 students
- **Classes >50**: Percent of undergrad classes with 50 or more students
- **Compensation**: Faculty average compensation (2-year average)
- **Terminal Degrees**: Percent full-time faculty with terminal degrees
- **Student/faculty ratio**: Number of students per faculty member
- **Full-time Faculty Percent**: Percent of faculty who are full time

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<td>Classes &lt; 20</td>
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<td>41%</td>
<td>37%</td>
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<td>31%</td>
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<td>Classes &gt; 50</td>
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<td>Compensation (in thousands)</td>
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<td>Terminal Degrees</td>
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<td>Student / Faculty Ratio</td>
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<td>19:1</td>
<td>18:1</td>
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<td>Full-time Faculty Percent</td>
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<td>Faculty Resource Rank</td>
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<td>174</td>
<td>201</td>
<td>219</td>
<td>219</td>
<td>259</td>
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# Group I Hiring Trends

Ohio University

Headcount of Full-Time Group I Faculty

2009 - 2015

|                  | 09-10 | 10-11 | 11-12 | 12-13 | 13-14 | 14-15 | 15-16 | % Change  
|------------------|-------|-------|-------|-------|-------|-------|-------|-----------
| Athens Campus    | 727   | 725   | 686   | 663   | 660   | 678   | 671   | -7.7%     
| Osteopathic Medicine | 63   | 61    | 62    | 59    | 58    | 57    | 58    | -7.9%     
| Regional Higher Ed | 131  | 130   | 122   | 121   | 121   | 121   | 115   | -12.2%    
|                  |       |       |       |       |       |       |       | -5.0%     

% Change 09-15 14-15

-7.7% -1.0%

-7.9% 1.8%

-12.2% -5.0%
Shared Governance

• Faculty Senate Board Representatives
• Presidential Search
• Future
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Financial Update – FY18 Athens Undergraduate Fee Increases

At the January board meeting, we will be asking the Board to approve Tuition, Room and Board increases for freshman and transfer students who will matriculate in the fall of 2017 as the 3rd cohort under the OHIO Guarantee. In addition, we will be seeking approval to increase the Tuition for continuing students that are outside of an OHIO Guarantee cohort. In considering what these increases should be, we have developed, in consultation with the Budget Planning Council, a series of assumptions related to our institutional priorities and developed multi-year projections as to what resources will be necessary to sustain these commitments going forward. The PowerPoint attached to this memo provides detail associated with these assumptions and projections in order to provide the Board with the rationale supporting our proposed increases. We are providing this information today to help inform our January discussions.

We also included information on the rates of increase of Tuitions and State Appropriations. As you are aware, these are the two primary revenue sources available to public institutions to support our instructional mission. Consequently, increases, or lack of, in one of these directly correlates to the institutions need to impact the other. The national data we will review indicates that the state of Ohio has had the lowest rate of tuition increases during the period of FY08-FY15 (Ohio is tied with 3 others), while our rate of State Appropriation changes have shown modest increases. Tuition and State Appropriations are our two primary revenue sources, but are also important to understand in the context of one another because SSI exists to subsidize the cost of tuition for the residents of the state of Ohio. We believe this information will be valuable to the Board both in terms of helping inform the decisions we are asking you to make this year, but also in terms of laying the groundwork for decisions that you may be asked to make in the future.
FINANCIAL UPDATE AND FEE APPROVAL

Tab
## State Appropriations

<table>
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<tr>
<th>(in millions)</th>
<th>Athens Colleges &amp; Schools</th>
<th>Regional Campuses</th>
<th>Auxiliaries</th>
<th>Academic Support</th>
<th>Operating Unit Subtotals</th>
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<td>FY17 Budget</td>
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<td>FY16 Actual</td>
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### SSI $'s in Millions

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<tr>
<th>FY14</th>
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<th>FY17</th>
<th>FY18 Planning</th>
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<tr>
<td>Statewide Total</td>
<td>1,378.3</td>
<td>1,399.1</td>
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<td>2.4%</td>
<td>1.5%</td>
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<td>% Share - Ohio University</td>
<td>10.6%</td>
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<td>Growth</td>
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<td>Ohio University</td>
<td>146.4</td>
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<td>155.8</td>
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<tr>
<td>Growth</td>
<td>7.3%</td>
<td>5.3%</td>
<td>1.1%</td>
<td>1.1%</td>
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### College Allocations

- College Allocations | 137.8 | 149.2 | 152.9 | 159.7 | College Allocations must absorb $5.2M loss being covered by reserves
- 2% Conservatism | 2.8 | 2.9 | 2.9 | 2.9 |
- Additional Surplus/Deficit | 5.8 | 2.0 | - | -5.2 |
- Subtotal | 146.4 | 154.1 | 155.8 | 157.4 |
Tuition, Room & Board

<table>
<thead>
<tr>
<th>(in millions)</th>
<th>FY16 Actual</th>
<th>FY17 Budget</th>
<th>FY17 Forecast</th>
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<tbody>
<tr>
<td>Undergraduate Tuition &amp; Educational Fees</td>
<td>257.0</td>
<td>256.1</td>
<td>260.6</td>
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<tr>
<td>Undergraduate Financial Aid</td>
<td>(47.0)</td>
<td>(48.7)</td>
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<td>Net Undergraduate Tuition &amp; Fees</td>
<td>210.0</td>
<td>207.4</td>
<td>211.2</td>
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<td>Graduate Tuition &amp; Educational Fees</td>
<td>99.7</td>
<td>111.2</td>
<td>108.7</td>
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<td>Graduate Financial Aid</td>
<td>(27.6)</td>
<td>(28.1)</td>
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<td>83.0</td>
<td>80.7</td>
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<td>Room &amp; Board</td>
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Athens UG Enrollment, by Student Cohort

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<th>FY15</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
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<td>Applied – as of Jan 3</td>
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<td>16,964</td>
<td>21,835</td>
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<tr>
<td>Admitted – as of Jan 3</td>
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<td>11,062</td>
<td>15,000</td>
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<td>Applied – Final</td>
<td>20,997</td>
<td>20,625</td>
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<tr>
<td>Admitted – Final</td>
<td>15,629</td>
<td>15,439</td>
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<tr>
<td>Enrolled - Final</td>
<td>4,423</td>
<td>4,309</td>
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FY18 Planning
- Non-Guarantee: Tuition Cap 2%, $1.3M
- Guarantee: Tuition Cap 2% + 1.3% CPI; $1.8M
- Athens UG Enrollment growth: 150 new freshmen, 193 overall; $2.2M
- Aux rate increases & support of CIP
- Program Development
- Signature SFA – Year 3 of $12M growth; FY18:$4.0M
Other Revenue Sources

**Endowment Market Value by Fiscal Year (in millions)**

- **Grants and Contracts**: 39.5 (FY16), 40.7 (FY17), 43.8 (FY17 Budget), 1.7 (FY17 Forecast), 0.1 (FY16 Actual), 0.1 (FY17 Actual), 1.3 (FY17 Budget), 1.1 (FY17 Forecast), 1.4 (FY17 Budget), 6.8 (FY17 Forecast), 7.0 (FY17 Budget)
- **Facilities & Admin Costs Recovery**: 5.5 (FY16), 5.6 (FY17), 5.6 (FY17 Budget), - (FY17 Forecast), 1.3 (FY17 Budget), 1.1 (FY17 Forecast), 1.4 (FY17 Budget), 6.8 (FY17 Forecast), 7.0 (FY17 Budget)
- **Gifts**: 5.7 (FY16), 4.2 (FY17), 4.3 (FY17 Budget), 0.2 (FY17 Forecast), 3.3 (FY16 Actual), 1.7 (FY17 Actual), 1.9 (FY17 Budget), 8.1 (FY17 Forecast), 4.1 (FY17 Budget), 17.3 (FY17 Forecast), 13.6 (FY17 Budget), 10.5 (FY17 Budget)
- **Endowment Distributions**: 12.0 (FY16), 12.5 (FY17), 12.4 (FY17 Budget), 0.5 (FY17 Forecast), 3.3 (FY16 Actual), 16.2 (FY17 Actual), 18.6 (FY17 Budget), 16.2 (FY17 Forecast), 18.6 (FY17 Budget)
- **Investment Income**: - (FY16), - (FY17), - (FY17 Budget), - (FY17 Forecast), 3.8 (FY16 Actual), 5.9 (FY17 Actual), 6.0 (FY17 Budget), 5.9 (FY17 Forecast), 6.0 (FY17 Budget)
- **Other External Sales**: 5.1 (FY16), 4.5 (FY17), 4.3 (FY17 Budget), 0.8 (FY17 Forecast), 18.4 (FY16 Actual), 16.2 (FY17 Actual), 18.6 (FY17 Budget), 17.6 (FY17 Forecast), 18.3 (FY17 Budget)

**FY18 Planning**
- **Endowment**: Declining Market Value, flat growth in Endow. Distributions
- **Research**: Higher proportion of early-career faculty; J-curve

* unaudited
## Compensation

### FY18 Planning
- Raise & Equity Pools: TBD
- Year 3 of PPO Premium & Plan Design Strategy; FY18 Cost Avoidance $.6M
- 5% Healthcare increase: $2.6M

### Three Year PPO Premium and Plan Design Strategy

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<th>Current</th>
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### Cost Avoidance Impact of Healthcare Changes

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### Raise Trend

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<th>Classified/Administrative Staff Equity Pool</th>
<th>Classified/Administrative Staff Subtotal</th>
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### Three Year PPO Premium and Plan Design Strategy

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Other Expenses

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### Century Bond – Deferred Maintenance Program Amortization

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### Internal Debt Service - Operating Unit Subtotals

- **FY18 Planning**
  - Deferred Maint. - $1.3M/yr
  - CIP Debt; Internal loan payments of $7.9M to support $125M issuance

### Operating Budget Impact – Internal Loan Debt Service

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<th>FY in Millions</th>
<th>FY16</th>
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## Non-Operating Activity

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<th>Century Bond FY16 Actual</th>
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<th>Internal Bank FY16 Actual</th>
<th>Internal Bank FY17 Budget</th>
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<th>Non-Operating Unit Subtotals FY16 Actual</th>
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## GAAP Adjusted Totals

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## Entering FY18 Planning

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Ohio University Trends – Tuition and State Appropriations

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<td>• SSI Share %: 2/3 of growth</td>
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<td>• SSI Approp Growth: 1/3 of growth</td>
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<td>Combined (unadj.)</td>
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Tuition & State Appropriation Trends (in millions)

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State of Ohio Trends – Tuition, Room & Board

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Average Annual Increase

- Miami 4.2%
- UC 2.9%
- OU 2.8%
- OSU: 3.3%
- CSU: 3.5%
- UA 2.7%
- KSU 2.9%
- UT 2.3%
- BGSU 2.0%

National Average: 4.3%

* Guarantee cohort programs. OHIO Guarantee inclusive of Program Fees, Course Fees, Health/Wellbeing Fees, Technology Fees; These fees are not represented above for other institutions because they are not assessed as broad-based fees.

Data Source: ODHE Survey of Student Charges
National Trends - Tuition

SOURCE: Huron Consulting Group; Presentation to Ohio Task Force on Affordability and Efficiency in Higher Education
State of Ohio Trends – SSI

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<th>Statewide Total</th>
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<td>FY'08</td>
<td>$121.9</td>
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<td>FY'09</td>
<td>$146.4</td>
<td>$1,526.8</td>
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<td>FY'10</td>
<td>$145.3</td>
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<td>FY'11</td>
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<td>FY'16</td>
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<tr>
<td>FY'17 Forecast</td>
<td>$157.4</td>
<td>$1,523.2</td>
<td>10.3%</td>
</tr>
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</table>
National Trends – State Appropriations

PUBLIC HIGHER EDUCATION EDUCATIONAL APPROPRIATIONS PER FTE:
PERCENT CHANGE, FY 2010-2015

NOTE:  1) For Illinois, a $1.08 billion back payment in FY 2015 to their historically underfunded higher education pension program resulted in past legacy pension funds accounting for 37% of all educational appropriations.
Dollars adjusted by 2015 HECA, Cost of Living Adjustment, and Enrollment Index.

SOURCE: State Higher Education Executive Officers
Ohio University Trends – Enrollment

Graduate and Professional Enrollment

Total Enrollment by Campus

*IN 2016, 2,117 GRADUATE ONLINE STUDENTS ARE IN ELEARNING, PRIOR YEARS INCLUDED THEM IN ATHENS.

*IN 2016, 167 REGIONAL ONLINE STUDENTS ARE IN ELEARNING, PRIOR YEARS INCLUDED THEM IN REGIONAL
Senate Bill 6 Trend

- **OU Rank Score**
  - FY'08: 5
  - FY'09: 4
  - FY'10: 5
  - FY'11: 5
  - FY'12: 1
  - FY'13: 1
  - FY'14: 1
  - FY'15*: 4
  - FY'16***: 3
  - FY'17 Forecast**: 4

- * Excludes impact of GASB 68
- ** Unaudited

**Ohio University**  **State Average**
# FY18 Planning – Resource and Investment Growth

<table>
<thead>
<tr>
<th>Revenue Source</th>
<th>Incremental Revenue ($M)</th>
<th>Investment</th>
<th>Incremental Cost ($M)</th>
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<tr>
<td>Non-Guarantee 2%</td>
<td>1.3</td>
<td>Healthcare</td>
<td>2.6</td>
</tr>
<tr>
<td>Guarantee 3.3%</td>
<td>1.8</td>
<td>CIP: Internal Loans – P&amp;I</td>
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<tr>
<td>Athens Enrollment</td>
<td>2.2</td>
<td>Utilities</td>
<td>.6</td>
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<td>Room and Board</td>
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<td>Online Learning</td>
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<td>FY17 SSI Adj</td>
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<td>Financial Aid</td>
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<td>FY18 SSI Growth</td>
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<td></td>
<td></td>
<td>Compensation</td>
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</tr>
<tr>
<td></td>
<td></td>
<td>OHIO for Ohio</td>
<td>TBD</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Advancement</td>
<td>TBD</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Regionals Business Model</td>
<td>TBD</td>
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<tr>
<td>Subtotal</td>
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<td>13.3</td>
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## Guarantee Model vs Traditional Model

<table>
<thead>
<tr>
<th></th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>Cumulative Cost</th>
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<tbody>
<tr>
<td><strong>OHIO Guarantee Model</strong></td>
<td>$10,000</td>
<td>$10,330</td>
<td>$10,330</td>
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<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
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<td><strong>Traditional Model</strong></td>
<td>$10,000</td>
<td>$10,130</td>
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<td>Rate Increase</td>
<td>1.3%</td>
<td>1.3%</td>
<td>1.3%</td>
<td>1.3%</td>
<td></td>
</tr>
</tbody>
</table>


## Athens UG Tuition and Fee Summary

**Athens Undergraduate Tuition, Room and Board Trend**

### Continuing Students (Non-Guarantee)

<table>
<thead>
<tr>
<th></th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18*</th>
<th>FY19*</th>
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</thead>
<tbody>
<tr>
<td>Tuition</td>
<td>3.5%</td>
<td>1.6%</td>
<td>1.5%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>2.0%</td>
<td>2.0%</td>
</tr>
<tr>
<td>Non-Resident Surcharge</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Room</td>
<td>3.5%</td>
<td>3.5%</td>
<td>3.5%</td>
<td>3.5%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Board</td>
<td>1.5%</td>
<td>0.5%</td>
<td>1.0%</td>
<td>1.0%</td>
<td>0.0%</td>
<td>0.0%</td>
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</tbody>
</table>

### OHIO Guarantee - Class of 2019

<table>
<thead>
<tr>
<th></th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18*</th>
<th>FY19*</th>
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<tbody>
<tr>
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<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Non-Resident Surcharge</td>
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<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
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</tr>
<tr>
<td>Room</td>
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<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Board</td>
<td>1.5%</td>
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<td>0.0%</td>
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### OHIO Guarantee - Class of 2020

<table>
<thead>
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<th></th>
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<th>FY14</th>
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<th>FY16</th>
<th>FY17</th>
<th>FY18*</th>
<th>FY19*</th>
<th>FY20*</th>
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</thead>
<tbody>
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<tr>
<td>Non-Resident Surcharge</td>
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<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
</tr>
<tr>
<td>Room</td>
<td>3.5%</td>
<td>3.5%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
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<tr>
<td>Board</td>
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### OHIO Guarantee - Class of 2021

<table>
<thead>
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<th>FY17</th>
<th>FY18*</th>
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<th>FY20*</th>
<th>FY21*</th>
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</thead>
<tbody>
<tr>
<td>Tuition</td>
<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
<td>3.3%</td>
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<tr>
<td>Non-Resident Surcharge</td>
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<td>3.3%</td>
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<td>3.3%</td>
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<td>3.3%</td>
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<tr>
<td>Room</td>
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<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
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<tr>
<td>Board</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
</tr>
</tbody>
</table>

**Non-Guarantee Cap: Current Planning Assumption of 2%**

4-year rate Guarantee: No fee increases in years 2-4

**Guarantee Tuition Cap: Non-Guarantee Cap (2%) + 5-year average CPI**

*Current Planning Assumptions*

Planning Assumption for Future Guarantee Cohorts: Legislative Cap
WHEREAS, the appropriate planning and consultations within the University have been completed, resulting in recommendations for tuition, fee and rate increases for purposes of investment in identified strategic priorities; and

WHEREAS, these recommendations assume a 2% limitation on tuition, fee and rate increases for students not subject to the tuition guarantee will be authorized by the General Assembly and effective July 1, 2017; and

WHEREAS, Revised Code Section 3345.48 states that tuition, fee and rate increases for students who are subject to the tuition guarantee shall not be greater than the sum of the 60-month rate of inflation as measured by the Consumer Price Index plus the percentage amount increase authorized by the General Assembly for the applicable fiscal year; and

WHEREAS, these recommendations are consistent with the limitations set forth in Section 3345.48 for students who are subject to the tuition guarantee;

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the fee schedules attached hereto as Exhibits A through D, effective Fall Semester 2017 unless otherwise noted.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Jason Pina, Vice President for the Division of Student Affairs

Re: Housing Development Plan Strategic Update Request to Award

Housing and Residence Life seeks Board approval to hire a consultant to update the 2012 Housing Development Plan. Following our October Joint Committee discussion, four highly qualified consultant firms responded to Ohio University’s Housing Development Plan Strategic Update 2017 Request for Proposal (RFP). These four firms will be interviewed on January 4th and the recommended consultant firm and estimated fee schedule will be presented for your consideration during the January Joint Session.

As a reminder, the Housing Development Plan Strategic Update 2017 will

- align the 2012 Housing Development Plan with the strategies of the Comprehensive Master Plan 2016;
- update and align plans with the 6 Year Capital Improvement Plan (CIP);
- retest assumptions from the 2012 Housing Development Plan 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; and
- study and evaluate the housing needs of Athens campus undergraduate and graduate students.

I look forward to reviewing and discussing our selected firm with you to request your approval to award a contract so we may begin this work.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Pamela J. Benoit, Executive Vice President and Provost
      Deborah J. Shaffer, Vice President for Finance and Administration, CFO and Treasurer

Re: Approval of Easement Request from Rover Pipeline, LLC

This resolution seeks approval of a request by an interstate natural gas pipeline company for an easement across the Eastern campus.

Because the project is within the jurisdiction of the Federal Energy Regulatory Commission (“FERC”), the University would be subject to an eminent domain lawsuit absent agreement with the pipeline company.

As described below, the University has negotiated a proposed easement with the company to avoid those proceedings.

Pipeline Company’s Request for Term and Temporary Construction Easements

In July 2014, the University was approached by Rover Pipeline, LLC (“Rover”) regarding its planned natural gas pipeline, which will cross a portion of the Eastern campus in Belmont County. The line on our campus will be located underground. Gas will be transported through the pipeline, but no gas will be drilled or produced from University land.

Maps showing the proposed route are included in the materials. The pipeline will run parallel to existing underground gas distribution lines. Land above the proposed route currently is vacant, with a portion covered by a small hayfield. The Eastern campus currently has no plans for development of the areas impacted by the project.

Over the past several months, representatives of the University, Rover, the Ohio Department of Administrative Services (“DAS”) and other state agencies affected by the pipeline have discussed the project and negotiated easements in an effort to avoid eminent domain litigation.

The proposed negotiated easement includes the following terms:
• One underground pipeline will cross the Eastern campus and will be used to transport natural gas and related products. Pipe will be buried approximately four feet below ground, with a diameter of 42 inches.

• Rover will be granted a 25-year term easement, subject to renewal so long as the line remains in operation and regulated by FERC.

• Rover will retain a 50-foot-wide easement over the line to allow for appropriate operations, inspections, maintenance and repairs. The easement area totals approximately five acres.

• The University may build roads across the easement and use it for agricultural purposes, but it cannot construct buildings or plant trees over the line. These restrictions will not materially affect future development of the Eastern campus.

• Rover will receive an additional temporary easement to access portions of the Eastern campus for construction activities. FERC requires that Rover complete construction within two years of project commencement.

• Rover’s construction will involve excavation of the pipeline ditch on the northern end of the property, on-site welding and assembly of the pipe itself, coordination of horizontal directional drilling and boring on the southern end of the property and laying of temporary road matting to facilitate access by construction trucks and equipment from Route 40.

• Rover will remove trees and other vegetation covering the easement area. Much of the area previously was cleared to accommodate existing underground pipelines. Rover intends to limit additional clearing to only a twenty-foot-wide corridor where possible.

• Construction on campus likely will occur in the first half of 2017, subject to FERC approval. The University will receive advance notice of activities on site.

• Following construction, Rover must restore disturbed areas to “as good or better” condition, including regrading and reseeding (but not replanting of removed trees).

• Rover is subject to federal oversight and safety standards, which are summarized below.

• In exchange for the easement, the University’s Eastern campus will receive a lump sum payment of $334,823.32, plus modest cost of temporary construction fencing. This compensation was determined by an independent appraisal obtained by the University earlier this year. Proceeds will be used by the Eastern campus to develop high-demand academic programs in healthcare, meet critical deferred maintenance needs, fund campus beautification projects and mitigate unexpected budget shortfalls.
Rover’s Eminent Domain Authority

The University negotiated this proposed easement to avoid eminent domain litigation, which likely would result in a less favorable outcome.

Under the federal Natural Gas Act, operators of most FERC-approved natural gas pipelines have eminent domain authority and may sue in federal court to condemn land needed for their projects. We believe this authority extends to state-owned land.

Accordingly, once FERC gives final approval, Rover likely will sue all “holdout” landowners who have refused to agree to easements. Based on similar cases, we expect that a court would grant Rover prompt access to holdout property to begin construction – within weeks after the suit is filed – while the parties litigate the property’s value.

The negotiated compensation is likely to be greater than what could be achieved in litigation.

Rover Pipeline Background

The proposed Rover pipeline will span approximately 713 miles across Ohio, Michigan, West Virginia and Pennsylvania. It is intended to transport 3.25 billion cubic feet per day of domestically-produced natural gas to markets in the Midwest, Northeast, East Coast, Gulf Coast and Canada. The majority of the gas will be utilized by customers in the United States, with the remainder transported to Canada.

This project will be subject to appropriate oversight and safety requirements. During both construction and on-going operation of the line, Rover will be subject to regulation by government agencies including FERC, the U.S. Department of Transportation’s Pipeline and Hazardous Materials Safety Administration and the National Transportation Safety Board.

In accordance with national safety standards, Rover will regularly test and maintain its pipelines, which are made of steel and covered with protective coating to prevent corrosion. Rover will conduct ground and air patrols of the pipeline as part of a regular inspection routine. Other government safety requirements include federally-mandated control room procedures, regular coordination with local emergency responders, redundant automatic emergency shut-off mechanisms and pipe weld-integrity inspections.

The easement includes a provision allowing for termination in the event of noncompliance with applicable laws and regulations.

Conclusion

Given the likelihood of condemnation proceedings absent agreement, we recommend that the Board adopt the accompanying resolution and grant the easement requested by Rover, upon the terms negotiated by the parties, and subject to final approval of the project by FERC.
OU-E
ROVER PIPELINE
EALEMENT
Project Overview

• Rover Pipeline Project
  ▪ A proposed 713 mile high pressure gas line that will pass under Ohio University Eastern Campus lands to the south and west
  ▪ Upon Federal Energy Regulatory Commission (FERC) approval
    • Will construct a pipeline segment from the Midwest Hub in Defiance County, Ohio area through Michigan to an interconnection with Vector Pipeline that passes through two parcels on the OU-E campus
    • Rover can file a lawsuit to exercise eminent domain over parcels for which there is no easement agreement
      o Ohio University currently does not have an agreement, and upon FERC’s final approval, Rover likely would be successful in eminent domain proceedings against hold-out landowners.
Project Overview (continued)

High Pressure gas line construction and operation regulated by:

- FERC
- Pipeline and Hazardous Materials Safety Administration
- National Transportation Safety Board (NTSB)
Project Overview (continued)

- The Rover Pipeline is a 713-mile, 42” pipeline designed to transport 3.25 billion cubic feet per day of domestically produced natural gas from the rapidly expanding Marcellus and Utica shale production areas to markets across the U.S. as well as into the Union Gas Dawn Storage Hub in Ontario, Canada, for redistribution back into the U.S. or into the Canadian market.

- The approximate $4.2 billion pipeline will transport gas from processing plants in West Virginia, eastern Ohio and western Pennsylvania for delivery to pipeline interconnects in West Virginia and eastern Ohio as well as the Midwest Hub near Defiance, Ohio, where up to 68 percent of the gas will be delivered for distribution to markets across the United States.

- The remaining 32 percent of the natural gas will be delivered to markets in Michigan via an interconnect near Livingston County, Michigan, with the existing Vector Pipeline, which has established delivery points to local distribution companies and the vast Michigan storage fields throughout the state. Additionally, Vector will transport natural gas that is not delivered to Michigan markets on to the Dawn Hub in Ontario, Canada.
Site Restoration

- Rover has contracted with Land Stewards, LLC to serve as an independent agricultural auditor to review agriculture mitigation plans and advise on complete restoration. Land Stewards, LLC is an agronomic and environmental services group located in Marion, Ohio.

- The company assists public and private landowners and managers, government, agribusiness, nonprofit organizations, and commodity groups with issues and services related to agricultural production and environmental protection.
Parcels Affected

OH-BE-CC-107.000
OH-BE-CC-104.000
OH-BE-CC-103.000
Existing Pipeline Easements

New pipeline will parallel 3 other existing underground pipelines

Proposed easement does not preclude future development contemplated by the OU-E Master Plan outside of existing and proposed easement area
# Construction Process

<table>
<thead>
<tr>
<th></th>
<th>North Parcel</th>
<th>South Parcel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tree removal</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Open ditch installation of pipeline</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Underground work except for access to monitor drill path during construction</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Horizontal Directional Drill from Bore Hole near south end of North Parcel crossing under:</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>• US Route 40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• South Parcel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• I-70</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Pipeline assembly</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>
North Parcel
Temporary Access Road

• Uses existing gravel driveway from US Route 40 to edge of field
  ▪ Will be returned to “as good or better” state at end of construction
  ▪ Minimal impact on trees
    • Existing driveway is wide enough for delivery of equipment and materials

• Field protected with mats or cribbing removed after completion of work

• Construction fence around School House to keep program participants away from access road
North Parcel (1)

- Looking along proposed right of way to the north-northwest (top)
  - Tree removal along easement (right hand side of top picture)

- Looking along proposed right of way to the south, southeast towards US Route 40 (bottom)
  - No tree removal anticipated
North Parcel (1)

- Looking along proposed right of way
  - to the east towards Shannon Hall (top)
  - to the south, southwest along proposed temporary road towards US Route 40 (bottom)
North Parcel
Temporary Roadway

Existing structures not affected

- Note transition to existing gravel driveway
North Parcel
Temporary Roadway

Existing structures not affected
North Parcel Temporary Roadway

Some signage at curb cut on US Route 40 may be removed during project (top)

- Existing roadway clearance adequate for delivery of equipment and materials
- Minimal impact to trees expected
South Parcel (2)

- Looking along proposed right of way to the south, southwest (top)
  - Tree removal along easement (left hand side of top picture)
- Looking along proposed right of way to the north, northwest across US Route 40 (bottom)
  - No tree removal anticipated
Valuation of Easement

• 6/21/15 - Rover offer: $46,057
• 11/16/16 - OU demand: $345,420
  - $335,420 for easement + $10,000 for timber
    • Easement valuation from OU’s appraisal from the Robert Weiler Company dated 7/20/16.
• 11/29/16 - Rover offer: $334,823.32 plus consideration of temporary fencing cost
  - Linear feet verified by Ohio University Facilities Management Utility Engineering technician on 12/2/16 using on NAD 83 HARN Ohio State Plane South, US Feet Coordinate system
Potential Use of Funds

• Development of high demand academic programs in the healthcare area that will complement programming at Belmont College
• Support or expand existing programs
• Critical equipment needs related to deferred maintenance
• Small campus beautification projects
  ▪ Development of gardens or replanting trees in strategic locations on campus.
We seek approval

• To grant temporary and permanent easements on the OU-E campus to Rover for construction of the Rover Pipeline subject to:
  ▪ Approval by the Board of Trustees
  ▪ FERC approval of the Rover Pipeline Project
  ▪ Payment of at least $334,823.32

RESOLUTION TO APPROVE EASEMENT REQUEST FROM ROVER PIPELINE, LLC

RESOLUTION 2017-

WHEREAS, Rover Pipeline, LLC (“Rover”) has proposed to build an interstate natural gas pipeline that crosses under the property of the University’s Eastern campus; and

WHEREAS, the proposed alignment of the new pipeline easement parallels existing easements granted for three other existing pipelines and does not impair future development of the University’s Eastern campus as contemplated by the Ohio University Eastern Campus Master Plan; and

WHEREAS, upon approval by the Federal Energy Regulatory Commission (“FERC”), Rover would have the legal right to condemn and take the portion of University land necessary for the project; and

WHEREAS, the University has negotiated an easement that is more favorable to the institution than the likely result of such an eminent domain proceeding;

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees hereby approves the request by Rover for a 25-year easement, subject to renewal and FERC approval, across the area depicted in the attached map, in exchange for payment of at least $334,823.32, and upon such other terms and conditions approved by the President.

BE IT FURTHER RESOLVED, that the Board of Trustees hereby authorizes the President or his designee to execute the corresponding easement and other appropriate documentation in accordance with Ohio law.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

Re: Utility Master Plan 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, integrate planning

Planning for energy infrastructure utilities is complex, requiring consideration for the interconnectivity between various systems, respecting and supporting campus growth, and the dynamics of transitioning to more sustainable methods. 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 Athens campus. The scope of the UMP included:

- Evaluation and documentation of existing conditions for all energy systems on the Athens campus: steam; electric; domestic hot water and chilled water
  - Specifically excluded from the UMP were: water lines; storm and sanitary sewer lines; gas lines which are owned and maintained by Columbia Gas of Ohio, Inc.; and, voice and data lines
- Preparation of planning documents for the repair, modification, and capacity additions to energy systems

RMF was engaged to assist in this effort December 2014.

The Utility Master Plan for the Athens Campus provides Ohio University with a long range vision for efficient and reliable utility generation and delivery, as well as effective energy conservation measures. This plan has been done within a context that respects and supports the goals and objectives of the Ohio University Athens Campus-Comprehensive Master Plan, the Ohio University Climate Action Plan and the Ohio University Sustainability Plan.

At the January Board meeting, Senior Associate Vice President Joseph Lalley along with Associate Vice President for Facilities Management and Safety Stephen Wood, and the consulting team from RMF will share high level recommendations from the Draft plan. Highlights of those recommendations are below:

**Manage Risk:**
The UMP contains condition assessments of utility corridors, cooling, electric and heating systems. It documents work recently completed and identifies investments to be considered for both the short term and long term. As with the deferred maintenance for buildings, the list of utilities deferred maintenance exceeds available resources. Projects will have to be prioritized and trade-offs will need to be made when choosing which buildings and utility projects to execute.

**Enable Future Growth:**
This UMP is intended to respond to the new buildings and the renovation of existing facilities over the next 20 years contemplated within the Comprehensive Master Plan and the Capital Improvement Plan. Individual utility loads have been assigned based upon load factors consistent with similar buildings on the existing campus. The building projects were divided into phases as follows:

- Near Term Projects during 2015 - 2017
- Six-Year Plan
- 20-Year Plan
Support Sustainability:
With approximately 85% of the Ohio University carbon emissions related to operation of the utility systems, reducing building energy use and improving the efficiency of energy generation and distribution systems are key to the carbon reduction strategy reduction. The Utility Master Plan explores the viability of alternative energy strategies in the short and long term and the current challenges and opportunities to assist in reducing carbon emissions.

Progress Already:
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
- Progress on sustainability and carbon reduction goals

The University has made good progress on carbon emissions reduction over the last six years, most notably by the transition from coal to gas that was completed in November 2015 and with the purchase of 50% of the electricity with Renewable Energy Certificates that began in January 2016.

Next Steps:
Over the next few months, we will be refining and vetting the draft plan and the respective funding strategy with the Board of Trustees and the campus community. We will continue to coordinate the Draft UMP with the Comprehensive Master Plan, the Capital Improvement Plan and the work currently underway to update the Ohio University Sustainability Plan.

The final recommended UMP is planned for presentation to the Board of Trustees for approval at the June 2017 meeting with the associated FY19-FY24 CIP.
UTILITY MASTER PLAN UPDATE
Agenda

I. Utility Master Plan (UMP) Team
II. EIP History
III. Defining the Need
IV. Principles and Strategies
V. Integration with the Comprehensive Master Plan
VI. Scope of Work
VII. System Needs, Discoveries, Recommendations and Fiscal Impact
VIII. The Path to Carbon Zero
IX. Summary of Costs
X. Recommendations
XI. Way Ahead
Utility Master Plan Team

- Joel Baetens, Director of Utilities
- Brody Bauers, Sr. Design & Construction Project Manager
- Anthony Breeze, Assoc. Director for Infrastructure Projects
- Joseph M. Lalley, SAVP for IT and Administrative Services
- Stephen E. Little, Utility Distribution Engineer
- Stephen Wood, AVP for Facilities Management and Safety
- University Planning & Space Management
- Voinovich School
- Many others

- Rick Borkowicz, Engineering Manager
- Vince Jarrett, Ohio Office Branch Manager
- Andrew Jones, Project Manager
## Evolution of Utility Planning

<table>
<thead>
<tr>
<th>Timeline</th>
<th>Milestone</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011 – 2012</td>
<td>Sustainability and Climate Action Plans</td>
</tr>
<tr>
<td>2012</td>
<td>Pursue Combined Heating and Power Plant</td>
</tr>
<tr>
<td>June 2013</td>
<td>Presentation to the Board on a plan for new co-generation facility</td>
</tr>
<tr>
<td>January 2014</td>
<td>Re-examination of plan to address critical state of utility infrastructure and evaluation of project costs</td>
</tr>
<tr>
<td>March – June 2014</td>
<td>Formulation and adoption of EIP to meet immediate infrastructure needs and regulatory requirements</td>
</tr>
<tr>
<td>July 2014</td>
<td>Initiated Utility Master Plan</td>
</tr>
<tr>
<td>June 2015</td>
<td>Added Chiller Capacity</td>
</tr>
<tr>
<td>December 2015</td>
<td>Transition from coal to gas</td>
</tr>
<tr>
<td>September 2016</td>
<td>Initial conclusions of UMP</td>
</tr>
</tbody>
</table>
UMP: Defining the Need

- Has never been a comprehensive energy utility study at OHIO
- Is 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
# UMP: Principles and Strategies

<table>
<thead>
<tr>
<th>MANAGE RISK</th>
<th>SUPPORT SUSTAINABILITY</th>
<th>ENABLE FUTURE GROWTH</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Improve system reliability</td>
<td>• Responsible energy usage</td>
<td>• Operate and expand energy production</td>
</tr>
<tr>
<td>• Provide system redundancy</td>
<td>• Work towards alternative energy sources</td>
<td>• Modernize energy system infrastructure</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Continual planning</td>
</tr>
</tbody>
</table>
UMP: 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)
- The FY19-FY24 CIP update will incorporate final UMP cost recommendations associated with University project priorities

<table>
<thead>
<tr>
<th>UMP Original</th>
<th>UMP Revised</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Gathering</td>
<td>Analysis</td>
</tr>
<tr>
<td>Data Gathering</td>
<td>Analysis and Coordination with CMP and CIP</td>
</tr>
</tbody>
</table>

*Note: UMP will be coordinated through BoT before finalizing
UMP: Scope of Work

- **Original**
  - Map the existing utilities on the Athens campus including The Ridges
  - Identify existing conditions on main campus only for heating, cooling, and electric
  - Identify University energy requirements based on
    - Sustainability goals
    - FY17-FY22 growth
    - Long-term CMP growth
  - Define strategies to meet the needs

- **Scope Expansion**
  - Develop specific project-based recommendations
    - Seigfred Renovation, Clippinger Addition, Sook Academic Center, HCOM Relocation, WUSOC Renovation, HDP2, and Ping Center Chillers
UMP: New Discoveries

• Through the process of developing the UMP, our assumptions and understandings about OHIO’s energy utilities changed:
  - All utilities were field verified and incorporated into University GIS
  - Field verification showed deferred maintenance needs were higher for all energy utilities than anticipated

• Previously unknown critical projects were identified, including:
  - North and College Greens tunnel repairs
  - Building based chillers
  - Lausche switchyard subsidence

• Significant deficiencies exist with chilled water system distribution
UMP: Chilled Water

System Characteristics:
- Used to cool spaces
- 2 chilled water plants
- 6.8 miles of distribution pipe

Recommendations:
- Address lack of peak load capacity
  - New chilled water plant on east side of campus
- Plan for replacement of 2 plant chillers
System Characteristics:
• Electricity for majority of campus received from AEP at switchyard near Lausche and distributed to campus
• 18.2 miles of high voltage distribution
• Electric substations & switchgear

Recommendations:
• Upgrade electrical distribution & address deferred maintenance
• Long-term: Replace aging switch gear
System Characteristics:
- Steam is used to heat buildings, and in some process loads
- Lausche Heating Plant (4 boilers)
- 4.4 miles of tunnels
- 2.2 miles of direct buried pipes

Recommendations:
- Adequate capacity for next 10 years
- Address failing steam & condensate distribution
- Long-term: Transition to medium temperature hot water
UMP: Heating (District Domestic Hot Water)

System Characteristics:
• Lausche Heating Plant generates hot water distributed throughout campus
• 77 buildings serviced

Recommendations:
• System is inefficient and failing; minimize investment & transition to building based hot water generation
UMP: Sustainability Planning
The Path to Carbon Zero

Conservation is Key
- Improved building energy performance
- Heat recovery systems

Cooling
- Eliminate steam absorption chillers
- Use “green” electricity

Electric
- Procure more “green” electricity

Heating
- Eliminate district domestic hot water system
- Transition from district steam to medium temperature hot water
Current Viability of Renewable Energy Projects

- Solar photovoltaic
- Wind
- Ground Based Heating and Cooling
- Bio Mass
- Bio Gas
- Impact of Energy Markets
UMP: Sustainability Planning
Campus Carbon Zero Efforts

• Continued conservation efforts and change in Lausche Plant from coal to gas are major contributors in this reduction
  ▪ Approximately 85% of total emissions are from Utilities. Other sources of carbon emissions include vehicles, airplane fleet, commuting, business travel, landfill waste generation, etc.

One metric ton of carbon dioxide (CO2) equals the monthly energy demand of the typical American household.

*Does not include credit for purchase of Renewable Energy Certificates
# UMP: Summary of Costs

## Utilities Deferred Maintenance (Millions)

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Project Cost</th>
<th>Prior Year Funding</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
<th>Sub-Totals</th>
<th>FY 23-24</th>
<th>FY25-FY36</th>
<th>Grand Total</th>
</tr>
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<tbody>
<tr>
<td>Chilled Water</td>
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<td>$3.91</td>
<td>$0.06</td>
<td>$0.46</td>
<td>$0.06</td>
<td>$0.06</td>
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<tr>
<td>Steam</td>
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<td>$1.57</td>
<td>$1.57</td>
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## Load Impact (Millions)

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<tr>
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<th>Total Project Cost</th>
<th>Prior Year Funding</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
<th>Sub-Totals</th>
<th>FY 23-24</th>
<th>FY25-FY36</th>
<th>Grand Total</th>
</tr>
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<tbody>
<tr>
<td>Cooling</td>
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<td>-</td>
<td>-</td>
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<td>-</td>
<td>$3.79</td>
<td>$-</td>
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<tr>
<td>Subtotal</td>
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<td>$41.63</td>
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## Costs (Millions)

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Project Cost</th>
<th>Prior Year Funding</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
<th>Sub-Totals</th>
<th>FY 23-24</th>
<th>FY25-FY36</th>
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<tbody>
<tr>
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<tr>
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<td>$50.08</td>
<td>$3.00</td>
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<tr>
<td>Totals</td>
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<td>$19.42</td>
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<td>$104.99</td>
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<td>$188.62</td>
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</table>

## Funding (Millions)

<table>
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<tr>
<th>Item</th>
<th>Prior Year Funding</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
<th>Sub-Totals</th>
<th>FY 23-24</th>
<th>FY25-FY36</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>EIP Budget Included in the FY17-FY22 CIP</td>
<td>$23.99</td>
<td>$19.42</td>
<td>$17.60</td>
<td>$10.94</td>
<td>$5.70</td>
<td>$0.19</td>
<td>$1.16</td>
<td>$79.00</td>
<td>$-</td>
<td>$-</td>
<td>$79.00</td>
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<td>Included in the FY17-FY22 CIP</td>
<td>$1.50</td>
<td>-</td>
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<td>-</td>
<td>$4.50</td>
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<td>$-</td>
<td>$10.46</td>
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<td>Surplus / Shortfall</td>
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<td>-</td>
<td>(6.98)</td>
<td>(6.00)</td>
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<td>-</td>
<td>(15.53)</td>
<td>(4.33)</td>
<td>(79.30)</td>
<td>(99.16)</td>
</tr>
</tbody>
</table>
CIP: Deferred Maintenance Prioritization

- $10M per year in Century Bond Funds ($60M Six Year Total)
- Approximately $22.3M per biennium in State Capital Appropriations ($66.9M Six Year Total)

- Review of comprehensive database and prioritization revealed $228.6M of “Must do” projects.
- Of the $126.9M Century/State funds available, $71.84M has already been prioritized—Examples:
  - Clippinger $34.6M
  - Ellis $7.34M
  - Seigfred $16.1M
  - Emergency Funds $15M

- Remaining $55.06M prioritized towards building envelope, MEP, & other
- $2.5M/year in Emergency funds set aside to offset potential failures
Tough Choices Ahead

Future CIP Planning:
- $173.5M backlog of “must do” unfunded deferred maintenance
- $15.5M additional infrastructure requirements identified in UMP not known at approval for FY17-FY22 CIP
- At least $4.3M of additional utility infrastructure needs in years ’23 - ’24
- At least $79.3M of additional utility infrastructure needs in years ‘25 – ’36

Challenge: Make trade offs between deferred maintenance projects to accomplish short-term energy needs
## UMP: Summary of Recommendations

<table>
<thead>
<tr>
<th>Utility</th>
<th>Recommendation</th>
<th>Improved Reliability</th>
<th>Energy efficiency &amp; carbon redux</th>
<th>Capacity shortfall</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chilled Water</td>
<td>New chilled water plant on east side of campus</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Electric</td>
<td>Upgrade electrical distribution &amp; address deferred maintenance; replace aging switch gear</td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Heat (Steam)</td>
<td>Address failing condensate &amp; steam lines; long-term: transition to medium temperature hot water; new Energy plant on east side</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Heat (District Domestic Hot Water)</td>
<td>System is inefficient and failing; transition to building based domestic hot water generation</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>
UMP: NEXT STEPS

- Reconcile energy infrastructure needs with the current and future Capital Improvement Plans and respective funding strategies
- Reprioritize deferred maintenance projects to emphasize short-term energy needs
- Vetting of the draft UMP with campus and local community
- Review of the draft UMP and input from the Board of Trustees
Proposed Timeline

- **Aug 31**: Draft Exec Summary with VPFA
- **Sept 20**: Exec Summary Update with VPFA
- **Oct 21**: BoT Process Update
- **Nov-Dec**: Review Strategies, Impacts, Options With Planning Units and CF&PC
- **Jan 20**: Review Strategies, Impacts, Options With BoT
- **Mar**: Finalized Plan Incorporated into CIP and CFPC Approval
- **June 22**: CIP FY19-FY24 BoT Approval

- **Aug 31**: Review draft UMP recommendations
- **Nov-Dec**: Reconcile energy infrastructure needs with the current and future CIP’s
- **Jan 20**: Review and Final Approval of the UMP, project implementation
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: J. Bryan Benchoff, Vice President for Advancement

Re: Advancing Ohio Strategic Plan Update

Following is an update on the activities that occurred since the Advancing Ohio Strategic Plan was presented to the University Board of Trustees on October 20, 2016. On November 4, 2016 the leadership team presented the Advancing Ohio strategic plan to the full Foundation Board. The plan was well received, and the board endorsed the goals, objectives, key performance indicators and strategic initiatives as set forth in the plan. In addition to presenting the plan, Vice President for Finance and Administration (VPFA) Deb Shaffer and Foundation Operations Chief Finance and Investment Officer Candice Casto presented data to the Executive Committee focused on historical practice and prospective options that consider benchmarking, current industry trends and institutional goals and priorities. Specific topics included: spending formula structure; spending rate; investment performance impact; historical review of portfolio asset allocation/benchmarks and short term (5 year) outlook. This presentation was designed to provide context for future discussions and determinations regarding a viable funding model for Advancing Ohio. Having secured the endorsement of University leadership, Unit Deans and CFAOs and both Boards, Advancing Ohio was shared with all Division staff in a series of meetings and discussions.

The next step in the process was to meet with the Deans to begin the conversation on how we will operationalize Advancing Ohio. The first meeting occurred on December 20, 2016 with the Deans, Executive Vice President and Provost Pam Benoit, VPFA Shaffer and the Advancement leadership team. This was a highly productive conversation which led to the identification of five key areas for ongoing focus, conversation and strategy essential to the effective implementation of Advancing Ohio. These areas of emphasis are as follows: communication strategy; integration/collaboration/staffing; professional development opportunities for Deans; College/Institutional funding priorities process and alumni engagement. This will serve as the platform for ongoing conversations with the Deans to clarify roles and expectations for how we will work together going forward.

Next steps will include ongoing meetings with the Deans (collectively and individually) to discuss the focal points identified above and formulate a plan to address each. In short, we will define how we will: balance and deploy central and unit based resources; affect a cultural shift...
for how we will further integrate / leverage our efforts; maximize efficiency and ensure effective communication throughout the process and beyond.

After arriving at this point we will be able to focus our conversations surrounding a viable funding model within our RCM environment. Our goal is to bring a management recommendation to the Ohio Board of Trustees and OUF Board of Trustees at their respective June meetings.

I would also like to acknowledge the support, involvement and encouragement of the staff and volunteer leadership throughout this process. Together we are positioned to enter a new and aggressive era of alumni engagement and development efforts essential to realizing Ohio’s long term philanthropic capacity. Thank you.
Attached is an updated version of the OHIO for Ohio document that I shared with you this past summer. This current version has been updated to reflect a number of the comments board members offered at the August Board Retreat and subsequent conversations with college deans and university leadership. While the document has been updated, it’s principle messages do not differ substantially from the original paper. What I have tried to reflect more clearly in this version is that OHIO for Ohio is in its formative stages, it is evolving with significant degrees of program flexibility, that the pace of change will be measured and implementation will take place over an extended time period. I have tried to more explicitly incorporate that OHIO for Ohio is not about any one of our eleven campuses, extension-campuses or centers, but seeks to incorporate the breadth of OHIO’s statewide – and potential global – geographical footprint. And you will find a new matrix provided to me by the individual college deans and academic department heads that is intended to show that while OHIO for Ohio is still very much in its formative stages, the University is already executing on certain parts of the strategy. This memo outlines planning efforts since the last board meeting and I will be touching base with each of the board members in advance to answer any questions that you may have about this material.

Included within the attached document you will note I have added OHIO for Ohio 2.0 which seeks to capture a number of other planning activities being led by the EVP/Provost that are currently underway and integral to the overall strategy that we will be sharing with the board in the coming months. The first example is the Russ College of Engineering and Technology’s Strategic Business Plan and Master Plan for its Beavercreek Research Center in the Dayton area. Later this spring we will share the plan’s recommendations for program development in collaboration with other higher education institutions and governmental agencies in Southwest Ohio not only for the Russ College, but for other OHIO colleges as well given the opportunities that this planning process has identified. A second initiative is the Central Ohio planning process which seeks to develop a coordinated approach to program development within the Central Ohio region which could ultimately include connecting Dayton, Dublin, Lancaster and Zanesville virtually to enhance and improve OHIO’s opportunities for public-private partnerships and synchronous education along the I-70 corridor. And a third activity, but in reality a continuation of OHIO’s historical mission, is a Regional Planning Initiative for Southeast Ohio. Under the leadership of the Voinovich School and in partnership with other colleges, state agencies and private sector entities, OHIO is beginning to help formulate a series of strategies that seek to address some of the more pressing socio-economic challenges facing the region. This initiative will help set-up the opportunity for OHIO to begin to reimagine its
traditional regional campuses in Southeast Ohio and to reaffirm their importance to their local communities and more broadly the State.

While broad-based institutional planning has taken up a considerable amount of time, there have been individual projects that have been completed in the last five months as well that we want to bring to your attention. The first is the previously discussed Dublin Framework Plan which was adopted by the Dublin City Council in early December, which will lead to the transfer of Sub-Area Two (twenty-five acres) to the University by the City sometime in the first half of 2017. A second project is the Hotel Conference Center Study that we were required to undertake as a part of the Dublin Economic Development Agreement (EDA) that the University entered into in 2011 with the gift of the ninety acres. This study by the firm Smart Olympia concluded that a third party developer built Hotel Conference Center would most probably be economically viable in 2021 and has recommended an eighteen-month lead time to allow for additional study and market analysis. We will be meeting with Smart Olympia and the City’s leadership to review the study’s findings and recommendations and determine what if any impact this may have on the current EDA. And finally just before the Winter Break we received the Phase I report on a proposed Dublin Wellness Center – a University, City, Ohio Health collaboration – which concluded that there was economic, as well as pedagogical, justification for supporting such a facility and based on this finding we are commissioning a Phase II analysis which will develop a complete business plan, facility design and proposed governance structure which we will be able to share with potential private developers and independent operators. As was the case with the Dublin Integrated Education Center, Board of Trustees approval would be required for this project to move forward.

In addition to institutional and regional planning initiatives and project specific activities, this past fall has been filled with exploratory discussions around strategic partnerships and joint programming with a number of different individual entities and groups. A number of our colleges met recently with Columbus 2020 to investigate opportunities for shared collaboration with their member institutions and industry partners. We continue to have ongoing conversations with Columbus State College, Ohio Health, and the Dublin School District around specific projects or initiatives that would be beneficial to all parties. We have had discussions with a number of groups in the Dayton-Beavercreek community to find common ground around academic and research collaboration, as well as leveraging community based services related to OHIO’s expertise in technology commercialization and entrepreneurship. Today university representatives are also actively engaged with representatives from Belmont County, the US Department of Energy Office of Environmental Management for the Piketon Region and Wright Patterson’s Air Force Research Laboratory in discussions around topics related to economic development, job training and potential research collaborations. OHIO’s colleges, academic departments and their faculty are demonstrating whether it be through institutional or regional planning initiatives, specific project planning or efforts at joint collaboration, OHIO for Ohio as a strategy is now engaging all of OHIO’s campuses, extension-campuses and centers in its development and execution and thereby creating new opportunities for regional partnerships and growth, while offering our students and faculty access to resources and opportunities not previously available to them.
OHIO for Ohio

Protecting OHIO’s Legacy while Preparing for Its Future
OHIO for OHIO – AN EXECUTIVE SUMMARY

OHIO for Ohio 1.0 at its core is a board adopted multi-dimensional strategy based on a set of long-held values related to the University’s historical tripartite mission of teaching, research and service in order to respond to the current set of challenges confronting public higher education in Ohio and across the nation. The strategy, building on the recent success in Dublin and Cleveland, seeks to incorporate OHIO’s rich history of community engagement and the active integration of academic programming, community-based teaching and research with student experiential learning in order to promote greater pedagogical and social impacts. The strategy is evolutionary and built on the premise that the University in the 21st century must be nimble in order to adapt to an uncertain future and flexible so it can provide the programs and services future generations of OHIO students, the state and its business community will require.

OHIO for Ohio is both top-down with a belief that University leadership will provide the infrastructure and critical support services necessary to promote and underwrite the broader statewide mission; and bottom-up as colleges and academic departments make their own determination as to what programs should be offered and in which markets. OHIO for Ohio is what OHIO University has always been, but viewed through a 21st century lens. It is the University finding new avenues to proactively build community collaborations and partnerships with academic institutions, government and industry in order to help position OHIO to successfully serve the needs of its local and international communities. At its core, OHIO for Ohio seeks to responsibly leverage OHIO’s geographical footprint across the state (and around the globe) to maintain and broaden its market and community penetration so that the University can continue to serve the needs of Ohio residents, its students, alumni and community and industry partners – both nationally and internationally – while simultaneously providing the new investment capital necessary to grow the University into the future.

INTRODUCTION

Today OHIO’s eleven campuses, extension-campuses and centers educate over 43,000 students throughout the state of Ohio, across the nation and around the world, thereby expanding the University’s outreach well beyond its traditional borders of Southeast Ohio. This institutional expansion has occurred as a result of thoughtful “smart growth” in locations such as Dublin and Cleveland as OHIO’s colleges and departments have developed targeted programs and formulated strategic partnerships in support of specific student and market needs. It is advanced by the University’s investments in eLearning, which offers programs throughout Ohio and across the nation. It is promoted by the Office of Global Affairs, which has forged over 65 international programs and partnerships around the world. And it benefits from OHIO faculty’s basic and applied research activity which generates almost $65 million annually in grants and contracts both within Ohio and around the globe; in addition to their entrepreneurial activity which today contributes over $10 million in licensing revenues from nationally and internationally commercialized technologies. Collectively these accomplishments and many others have been instrumental in OHIO’s recent designation as an Association of Public Land-Grant Universities Innovation and Economic (IEP) University, a leading indicator that OHIO’s growth in outreach has been both strategic as the University has consciously adapted to changing domestic and international market forces and responsive to the needs of its students, the state and the nation.

CURRENT ENVIRONMENT

This strategic growth has led to OHIO being academically and financially stronger than at any previous time in its history and yet it finds itself at a crossroad. External socio-economic forces impacting all of Ohio’s public higher education institutions are pressing University leadership to consider how best to adapt the way OHIO undertakes its core mission of teaching, research and service in order to address the evolving needs of its students and remain economically sustainable. While the characteristics of many of these forces (noted below) are not new to higher education or OHIO, it is their collective convergence at a single point in time that makes the case for rethinking the University’s pedagogical and business models so compelling.
• Growing competition for market share and a decline in the funding necessary to sustain quality educational programs and services;
• The “democratization of knowledge” that is creating new competitive channels and delivery platforms and requiring OHIO to re-think its traditional market niches;
• The influence of disruptive technologies that are impacting course content delivery and creating new opportunities for OHIO to expand its geographical footprint;
• Changing demographics and shrinking national borders as net international migration is projected to overtake natural increases as the U.S. population driver for population growth by 2023 reshaping both the state and national workforce while increasing international competition for students and academic talent;
• Increasing industry pressure on OHIO to seek new ways to differentiate its teaching and learning opportunities for students and to provide access to alternative forms of funding and research partnerships for faculty in the name of innovation and economic growth; and
• Increasing pressure from state government and industry to deliver career ready graduates in response to emerging workforce needs in a compressed time period and at a lower cost.

The impact of these external forces in an environment where knowledge is expanding exponentially is already leading to changes in the breadth of educational experiences students require; where they access these opportunities; how institutions teach the competencies they need; and a growing recognition that graduates with baccalaureate degrees will need to find new pathways to access continuing education in order to keep pace with their respective job markets. Responding to these evolving requirements, universities, including OHIO, have had to rethink their educational delivery platforms and the ways in which students learn and access educational opportunities – within the state, across the nation and around the globe today and in the future. They have come to appreciate the importance of the non-traditional student segment of adult learners for the higher education marketplace and how their business model needs to change in order to serve the expanding requirements of this segment of students.

BACKGROUND

Given this backdrop, OHIO University with board oversight has begun to formulate a long-term multi-dimensional strategy for addressing these forces, but with the clear goal of protecting OHIO’s rich legacy of teaching, research and service while preparing for its future – OHIO for Ohio. The strategy is evolutionary and built on the premise that the University in the 21st century must be nimble in order to adapt to an uncertain future and flexible so it can provide the programs and services future generations of OHIO students, the state and its business community will require. OHIO for Ohio is both top-down with a belief that the University leadership will provide the infrastructure and critical support services necessary to promote and underwrite the broader statewide mission; and bottom-up as colleges and academic departments make their own determination as to what programs should be offered and in which markets. At its core, OHIO for Ohio seeks to responsibly leverage OHIO’s geographical footprint across the state (and around the globe) in order to maintain and broaden its market penetration so that the University can continue to carry out its historical mission for Ohio, while simultaneously generating the revenues necessary to fund institutional operating costs and maintain and protect the OHIO brand.

Early efforts by OHIO’s colleges, academic departments and regional campuses to execute on the OHIO for Ohio strategy can already be demonstrated as shown by the following matrix of state-wide initiatives. It is evidenced by their innovative academic program offerings designed to address the needs of new and emerging statewide student populations. It is promoted by their development of targeted programs and services intended to provide for the specialized needs of a local community or region. It is evidenced by their faculties’ involvement in OHIO’s Innovation Strategy interdisciplinary community-based research initiatives seeking to find solutions to some of society’s more challenging problems. Combined these initiatives demonstrate the evolving nature of the student populations OHIO’s colleges and academic departments serve state-wide, an unwavering commitment to community outreach across OHIO’s eleven campuses, extension-campuses and centers, and their willingness to seek new and innovative solutions to the challenges facing their local
communities and regions. The chart represents efforts at various levels of development and discussion as colleges and academic departments explore the potential of *Ohio for Ohio* in multiple locations, different populations, and community needs, which are explained in a little more detail in the NEXT STEPS section below.

<table>
<thead>
<tr>
<th>College of Arts &amp; Sciences</th>
<th>Academic Outreach</th>
<th>Community Programs</th>
<th>Research Projects</th>
<th>Planned New Initiatives</th>
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<tbody>
<tr>
<td></td>
<td>Masters of English (on-line); Social Sciences for high school teachers; Masters of Financial Economics (on-line); Wayne National Forest Program – teaching, research and internships</td>
<td>Psychology collaboration in Columbus and Logan-Hocking; Advanced Greek (Miami) and Cybersecurity (Wright State), partnerships with Community Food Initiative, Rural Action, Sunday Creek Associates and many other local social services organizations</td>
<td>Five US National Labs, NIST, National Arboretum, American Red Cross, US Geological Survey, Merck, USDA, Promliad Biopharma</td>
<td>on-line TOEFL certificate, on-line GIS certificate, on-line MS Chemistry, on-line BA Psychology, continuing education and certificates in data sciences, MA in security studies, MA in Law and Society, BS in broadcast meteorology, workshops on workplace diversity</td>
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</tbody>
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| College of Business | Suite of Professional Masters degrees: including Masters of Business; Master of Accountancy, Master Management Sciences. Masters of Business Analytics | Expanded executive education programs tailored to Central Ohio businesses focused primarily in leadership development, analytics and sales/sales management | Grid Lab – Health training and education program | BBA/BSAM - Partnering with corporations to develop undergraduate degree completion opportunities for employees Professional credit and non-credit certificates including CEU-continuing education credit programs. |

| Scripps College of Communication | Applied Communication Degree Completion Masters in Organizational Communication Masters in Information and Telecommunication Systems Communications Studies BA | | Grid Lab – Health training and education program | Post graduate training with either stackable or micro-certificates in such areas as data visualization, social media strategy and execution, social media analytics, ITS and potentially others based on market need |

| Heritage College of Osteopathic Medicine | Dublin and Cleveland Campuses Centers for Osteopathic Research and Education (CORE): 3rd and 4th year students and GME | Community Health Programs (Vans, Free Clinic, Screening and Care Delivery Programs) Americorp | Diabetes Infectious and Tropical Disease Institute | Clinical Education Network /Health Professions Education and Research Network (Evolution of the CORE) SEOH Diabetes Care Delivery and Research Collaborative (O’Bleness/Marietta/Camden Clark) |

| Patton College of Education | Mentor Teacher Quality Modules for in-service teachers (eCampus) Master’s in Coaching Education (eCampus) | Ohio Center for Equity in Mathematics and Science (OCEMS) – various professional development workshops in local | Longfellow Foundation funded Grant: “Developing Globally Competent Teachers through Cross-Cultural | Transition-to-Work Endorsement (online delivery) Pre-K / Special Needs Endorsement (online delivery; eCampus) Sexual Offender Treatment Program (Hybrid Workshop_
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<tr>
<th>Early Childhood Generalist Endorsement (eCampus) Reading Endorsement (eCampus) Bachelor Completion program – Customer Service major (eCampus) Regional Campus cohorts: Special Education master’s (Southern); Counseling Master’s (Chillicothe); Educational Administration Master’s (Principal Preparation; Zanesville, Chillicothe, Southern)</th>
<th>school communities for mathematics and science teachers and families of school children Center for Professional Development School Partnerships – shared resources to provide additional licensed teachers in area schools/classrooms Service Learning programs in Little Cities of Black Diamond (e.g. sponsoring Emancipation Day, community educational tours, Annual Sponsorship of ‘PCOE Mini-Grants’ that support outreach scholarship (approximately $7,500 annual disbursement via competitive proposals)</th>
<th>Experiential Learning” Grant funded support for Counseling doctoral students holding internships with Hopewell Health PCOE Regional Research Grant in collaboration with Southeast Ohio Teacher Development Collaborative (SEOTDC) partners to support the Clinical Model in Education ($150,000 supporting 3 research project in 2016-17) PCOE Interdisciplinary Research Grant to support the Clinical Model in Human Services ($10,000 supporting 3 research project in 2016-18)</th>
<th>Bachelor Completion program – Human Services major (eCampus) Regional Campus cohorts: Higher Education Master’s (Columbus State); Counseling Master’s (Chillicothe) Superintendent Licensure Program (various regional locations) Educational Policy Certificate (eCampus)</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Fine Arts</td>
<td>Tantrum Theater – Dublin (teaching, research/creative activity, internships; partnership with the City of Dublin and the Dublin Arts Council)</td>
<td>K-12 Arts Workshops and Camps – partnership with Dublin Arts Council</td>
<td>Targeted programs in planning phase include Music Therapy Master’s degree (and accompanying research/outreach), and Arts Management/Entrepreneurship (Dublin); online Master’s in Music Education; creativity-oriented programming for communities and businesses</td>
</tr>
<tr>
<td>College of Health Sciences and Professions</td>
<td>Completion Degrees (RN-to-BSN, BIHS) MS in Corporate/Community Wellness CEU/CME programming in health leadership, health informatics, and health policy</td>
<td>Value-Based Care – Dublin; Marietta/Washington County student community engagement initiatives; Perry County health access plan; Appalachian Rural Health Institute</td>
<td>Patient Care Coordination initiative with Central Ohio Primacy Care</td>
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<tr>
<td>Voinovich School</td>
<td>MPA - Dublin Center for Entrepreneurship, Professional &amp; Executive Education Workshops for local government</td>
<td>TechGROWTH; SBDC, PTAC, EDA University Center, Ohio Innovation Fund, Battelle K-12 Pathways Initiative; Sugar Bush Foundation, Environmental stream clean-up; Piketon site clean-up plan</td>
<td>Diabetes project with HCOM, I-Corps@Ohio, Major multiple projects in education, health, prevention and environment</td>
</tr>
<tr>
<td>Office of Global Affairs &amp; International Studies</td>
<td>Offers over 50 domestic and international study away programs Summer Swahili Program</td>
<td>Ohio Valley International Council (OVIC) outreach to K-12</td>
<td>ANEP Continuation, Social Enterprise partnership with FAO &amp; ARC, Rural Initiative, Dayton ESP-type collaborative</td>
</tr>
<tr>
<td>Regional Higher Education</td>
<td>Expanded online TAS and SAM College Credit Plus Internships; BSAM internship grant Prior Learning Assessment / experiential learning BTAS cohort at business locations and other community organizations</td>
<td>Host conferences and meetings; room rental Partner with community service organizations: community action, childcare services TechGrowth Ohio partner First-Responder Training Center Somerset Innovation Gateway</td>
<td>Research projects: Muskingum River Water Quality; social work grant on child abuse prevention; prostate cancer research project with Wheeling Hospital Ohio Valley Research Consortium Eastern campus as Jobs for Ohio training site Expanded water quality research</td>
</tr>
</tbody>
</table>
This commitment to innovative community outreach is not new to OHIO and in fact has deep roots. The University’s first efforts in this regard date back to the early 1900’s when university leadership established an Extension Department and enrolled its first 50 students from across Southeastern Ohio taught by the Athens’ faculty. With the passage of the GI Bill and a call by state government to provide expanded opportunities for returning veterans, the University established three campuses at Portsmouth, Zanesville and Chillicothe and by the late 1950s had opened additional branch campuses in Lancaster, Ironton and Martins Ferry. Since its inception in the early 70’s, OHIO Regional Higher Education has continuously evolved from hiring campus based faculty to expanding regional campus footprints, from developing targeted associate and baccalaureate degree programs to being in the vanguard of OHIO’s first efforts around distance education. And in more recent time, it has been exemplified by the Heritage College of Osteopathic Medicine with its statewide footprint of clinical campuses through the Centers for Osteopathic Research and Education and now its two new academic extension-campuses in Dublin and Cleveland. OHIO’s commitment to community outreach is now over a hundred years old and while the locations, the methods of delivery and the curriculum may have changed, its commitment to the mission of providing innovative programs and services to the citizens of Ohio has not wavered.

As OHIO enters the 21st century, it finds itself at another historical inflection point and along with most of Ohio’s other public higher education institutions is beginning to experience sustained environmental head winds whose impact can be felt through increased market competition, changes in state support, and increasing public scrutiny regarding institutional costs, student accessibility, completion and employability. These head winds can also be seen in the changing demographics of OHIO’s admission pools, the accelerating impact of technology on how students learn and their growing demand for internships and experiential learning opportunities. In recognition of these forces of change, OHIO for Ohio seeks to promote a university-wide discussion as to what the institution’s long-term strategy should be to insure that OHIO’s future is bright. It seeks to build on OHIO’s rich legacy of community outreach, while employing many of the same strategies the institution has used previously to meet the needs of its students, the state and the nation.

The foundation to achieve this goal is already being laid as demonstrated by the recently implemented Innovation Strategy which provides for a comprehensive multi-disciplinary approach to rethinking how the University will innovatively carry out its teaching, research and service mission in the 21st century. It is buttressed by an institutional commitment to invest in new academic technologies so that the University can provide high impact (transformative) learning experiences with access to the expertise, leadership development and career service resources essential for undergraduate degree completion, as well as to graduate/professional programs. The OHIO for Ohio strategy’s primary challenge is to determine how best to effectively leverage the strategic opportunities provided by OHIO’s three new urban campuses strategically located in Dublin, Dayton and Cleveland that today offer access to resources, industry relationships and segments of student populations that have not been historically available to OHIO’s colleges and academic departments. And its success will be measured by how effectively it can eliminate the structural and financial operating barriers between OHIO’s eleven campuses, extension-campuses and centers in order to seamlessly deliver high quality academic programs to students wherever they are in a more cost effective and efficient manner.

As a strategy, OHIO for Ohio seeks to encourage the University to reimagine each of its campuses as 21st century Knowledge Communities where they build regional partnerships through their academic departments with industry and government in order to provide mission critical programs and services. It promotes a vision of OHIO’s campuses as both platforms and portals where their community partners can more easily access ALL of OHIO’s wealth of subject matter expertise and interdisciplinary research capabilities from anywhere within the state or around the globe. It envisions OHIO University as a “system” that will exploit technology to build and leverage a distributive instruction delivery model in order to maximize institutional resources. A
system in which OHIO’s eleven campuses and centers are technologically linked in order to deliver academic programs and services to their local regions in a more cost-effective and efficient manner. A model very much in-line with the University’s emphasis on Teaching and Learning Innovation articulated in OHIO’s Innovation Strategy, and a growing recognition that academic program planning and content delivery can no longer be thought of entirely in terms of a single location or content delivery methodology if OHIO is to efficiently broaden its geographical footprint in order to create new accessibility pathways for non-traditional students.

The University’s eleven campuses, extension-campuses and centers already exhibit many system characteristics, but its challenge today is to define what OHIO as a system will need to look like in the 21st century to be sustainable. To be fully implemented, OHIO for Ohio would require the University to develop a new set of protocols for academic program development (and expansion) in order to address broader questions about system-wide program planning and just as importantly the viability of differing funding/revenue/management models that incentivize the efficient use of college-based resources. OHIO for Ohio appreciates the import of these changes on current business practices and thus does not suggest that the University’s business model should change immediately, but rather that it should evolve over time. OHIO for Ohio strongly endorses the University’s current efforts to rethink OHIO’s Instructional Technology pricing and revenue distribution algorithms by the On-Line Learning Work Group and encourages that review to take into consideration a broader view of OHIO as a network of campuses that leverage institutional resources wherever they are located in order to achieve a higher level of efficiency and productivity than can be achieved under current institutional policies.

For OHIO for Ohio as a strategy to be successful, Athens must be the cornerstone of the system based on the broad array of resources its colleges and academic departments have assembled and the statewide relationships they have forged. It seeks to ensure that the University’s academic colleges, departments and programs remain economically viable and are able to maintain their competitive advantage. But OHIO for Ohio recognizes that changing market demographics require a new working relationship between Athens and Regional Higher Education. It envisions a blended/hybrid model for delivering educational programs, one that can be delivered on campus or virtually by any academic/program unit within the University. It seeks to promote the alignment of academic units, programming and leadership centered in Athens, but with an understanding that regional campus faculty are an untapped resource that need to be better utilized if OHIO’s Knowledge Communities are to effectively respond to the needs of their local communities in an efficient and cost effective manner. And it seeks to build on Athens’ rich history of innovative community outreach and services from regional education programs to healthcare and business development, from environmental clean-up to supporting community social service agencies, from arts and cultural programs to support for local school districts. OHIO for Ohio intentionally leverages all of the Athens and regional campuses resources, in partnerships between Athens and Regional Higher Education, in order for OHIO to carry out its statewide mission of teaching, research and service.

While Athens is the cornerstone, OHIO for Ohio anticipates that each of OHIO’s regional campuses will continue to develop and maintain their own unique identities, but with the overarching goal of being unique 21st century “Knowledge Communities” bringing together industry partners, academic departments and governmental agencies to leverage OHIO’s wealth of resources to address the needs of their local communities. The strategy is not intended to define what these Knowledge Communities should look like or which programs and services are offered. The strategy anticipates the answer to these questions will be addressed by each campus, but believes there will be certain common characteristics that will emerge over time. The regional campuses will focus more on adult learners and post-baccalaureate programs to meet the needs of their local student populations in order to produce the talent necessary to support Ohio’s economic development goals. They will be innovative, becoming more and more dependent on blended learning models/technology in program development and course offerings, while concurrently leveraging programs from other campuses and developing new ones that can be offered on a system-wide basis in a more cost-effective manner. They will be more cognizant of the challenges facing their local communities with OHIO faculty and students engaged in multi-disciplinary, problem-focused research and innovation with other institutions and the private sector
building partnerships and collaborations in order to make their local community and Ohio a place where people want to live, work, and raise a family.

**NEXT STEPS**

While *OHIO for Ohio* 1.0 is slowly emerging as an institutional strategy, under the direction of the EVP/Provost, work on *OHIO for Ohio* 2.0 has already started. In the coming months, the Russ College of Engineering and Technology will be completing a Strategic Business and Campus Master Plan for its Beavercreek facility in the Dayton area which will be presented to the Board the later this spring. This plan will set forth a series of long-term recommendations for program development in collaboration with other institutions in Southwest Ohio not only for the Russ College, but for other OHIO colleges as well given the opportunities that the planning process has identified similar to the multi-year Dublin timeframe. A second initiative underway is a Central Ohio planning process which is being coordinated by the EVP/Provost’s Office. This initiative seeks to develop a coordinated approach to program development in central Ohio which could ultimately include connections between Dayton, Dublin, Lancaster and Zanesville to enhance and improve OHIO’s opportunities for public-private partnerships and synchronous education along the I-70 corridor. While a third planning effort, but in reality a continuation of OHIO’s historical mission, is a Regional Planning Initiative for Southeast Ohio. Under the leadership of the Voinovich School and in partnership with the colleges, state agencies and other private sector entities, OHIO is beginning to help formulate a series of strategies that seeks to address some of the more pressing socio-economic challenges facing the region. This initiative sets-up the opportunity for OHIO to begin to reimagine its traditional regional campuses in Southeast Ohio and to reaffirm their importance to their local communities and more broadly the State. While a formal planning effort has yet to start, there are formative discussions already ongoing led by the Executive Dean for Regional Higher Education that will put this process in motion in 2017. *OHIO for Ohio* as an institutional strategy is now engaging all of OHIO’s campuses and colleges in its development and execution creating new opportunities for regional partnerships and growth, while offering our students and faculty access to resources not previously available to them.

**CONCLUSION**

At its core, *OHIO for Ohio* seeks to protect and sustain OHIO’s rich legacy of teaching, research and service, while ensuring its future by:

- providing the resources necessary to insure Athens as the cornerstone of the University System remains academically strong and economically viable in order to maintain OHIO’s competitive advantage;
- recognizing that OHIO’s campus network represents an unprecedented opportunity for sustainable university growth and innovative programming in the 21st century;
- understanding that new program development must be of the highest quality, advance OHIO’s interests, and more effectively leverages resources from across the entire OHIO system/network;
- assuring that each new program or initiative will be economically sustainable with clearly articulated business plans that are aligned with University and college’s strategic plans and OHIO’s smart growth principles;
- supporting the development of a new resource allocation model that will incentivize campuses to work together and one that rewards collaboration and innovation wherever it takes place; while
- understanding that advancing any individual campus should advance “OHIO for Ohio” opportunities to build and strengthen regional partnerships with industry, government, and non-profit organizations to foster innovation.

As a strategy, *OHIO for Ohio* 1.0 seeks to build on OHIO’s rich history of community outreach and the timely development of programs and services designed to meet the needs of Ohio’s citizens in order to help position the University to overcome the numerous challenges currently confronting public higher education in general and OHIO more specifically. *OHIO for Ohio* believes the University must continue to evolve – as it has done
throughout its history - to find new avenues to proactively promote community partnerships and collaborations
with industry, government and academic partners in order to address the expanding needs of future generations
of Ohio students, the state and the nation. It imagines OHIO’s campuses as part of a system, technologically
linked, so they can share resources, leverage existing programs and services, and broaden OHIO’s statewide
market footprint. Ohio for Ohio envisions these campuses as 21st century knowledge communities, which serve
as both platforms and portals within their regions in support of OHIO’s teaching, research and service mission,
while promoting greater efficiency and economies of scale. And it recognizes that colleges and academic
departments are already beginning to evolve and notes that as OHIO’s pedagogical model evolves, so must its
business model if it is to generate the sustainable funding streams essential to supporting current initiatives,
while providing the new investment capital necessary to grow the University into the future.
Ohio University Financial Fact Sheet • January 2017

### Capital Expenditure

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<tr>
<th>FY08</th>
<th>FY09</th>
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### SSI Funding* (in millions)

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</table>

* SSI Funding includes both Main and Regional campuses

### Endowment Distributions (in millions)

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<tr>
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* unaudited

### Endowment Market Value (in millions)

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<tr>
<td>$200</td>
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<td>$190</td>
<td>$210</td>
<td>$200</td>
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* unaudited

### Foundation Support of University Funding

<table>
<thead>
<tr>
<th>FY07</th>
<th>FY08</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>Support as % of University Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0%</td>
<td>1.0%</td>
<td>1.0%</td>
<td>1.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>2.0%</td>
<td>5.0%</td>
</tr>
<tr>
<td>3.1%</td>
<td>2.9%</td>
<td>3.1%</td>
<td>3.6%</td>
<td>3.9%</td>
<td>4.5%</td>
<td>4.4%</td>
<td>5.2%</td>
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</table>

* unaudited

### Yearly Administration Fee

<table>
<thead>
<tr>
<th>FY08</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
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</thead>
<tbody>
<tr>
<td>$1.9</td>
<td>$1.9</td>
<td>$1.9</td>
<td>$2.1</td>
<td>$4.8</td>
<td>$6.4</td>
<td>$7.3</td>
<td>$8.5</td>
<td>$8.7</td>
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</tbody>
</table>
Investment Performance (as of 9/30/16)

- Five-Year: OHIO Return 7.5%, Diversified Benchmark 8.0%
- Three-Year: OHIO Return 3.0%, Diversified Benchmark 4.6%
- One-Year: OHIO Return 8.5%, Diversified Benchmark 10.2%

Outstanding Debt (in millions)

- FY08: $193.0
- FY09: $207.0
- FY10: $208.5
- FY11: $200.1
- FY12: $228.9
- FY13: $353.4
- FY14: $337.6
- FY15: $319.7
- FY16: $303.3
- FY17 Forecast: $385.3

Legend:
- Long Term Debt
- Century Bond
Ohio University Enrollment Fact Sheet • January 2017

New Freshman Applications

Applications 2007-2016:
- 2007: 18,030
- 2008: 14,046
- 2009: 14,204
- 2010: 15,366
- 2011: 15,892
- 2012: 17,471
- 2013: 20,745
- 2014: 20,824
- 2015: 21,000
- 2016: 20,828

Acceptance Rate: 58% increase in 9 years

Total Headcount Enrollment

2007-2015:
- 2007: 34,154
- 2008: 35,150
- 2009: 35,635
- 2010: 36,185
- 2011: 36,491
- 2012: 36,872
- 2013: 37,726
- 2014: 38,074
- 2015: 38,855
- Est 2016:
  - 12-month Unduplicated
  - Unduplicated Fall
  - FTE

Total Enrollment by Gender

2007-2015:
- Females: 56%
- Males: 44%

Total Enrollment by Campus

2007-2016:
- Athens: 10,910
- Regional: 7,240
- Intl. Learning: 798

Total Enrollment by Race

2007-2016:
- Caucasian: 88%
- Minorities: 8%
- International: 4%
FY17 Compensation Budget—Salaries & Wages ($363.8 Million)

- Faculty, $144.0, 40%
- Administrative, $125.4, 34%
- Classified, $54.7, 15%
- Graduate Students, $21.9, 6%
- Student Employees, $17.0, 5%
- Other Payroll, $0.8, 0%

FY17 Personnel Share of Budget ($729.9M)

- General Expenses, $247.0, 34%
- Salaries & Wages, $363.8, 50%
- Benefits, $119.1, 16%

FY16 Benefits ($104.4M)

- Health Insurance, $47.7, 46%
- Retirement, $43.3, 41%
- Medicare, $4.1, 4%
- Educational Benefits, $8.3, 8%
- Workers Comp, $1.0, 1%
### Medical / Rx Plan Comparison

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Office Visit Copay</td>
<td>$25</td>
<td>$18</td>
<td>$25</td>
<td>$25</td>
<td>$25</td>
</tr>
<tr>
<td>Deductible</td>
<td>$450 / $900</td>
<td>$400 / $800</td>
<td>$500 / $1,125</td>
<td>$500 / $1,500</td>
<td>$500 / $1,000</td>
</tr>
<tr>
<td>Single/Family</td>
<td>$2,200 / $4,400</td>
<td>$2,632 / $5,349</td>
<td>$2,700 / $6,200</td>
<td>$3,000 / $6,000</td>
<td>$2,000 / $4,000</td>
</tr>
<tr>
<td>Co-Insurance %</td>
<td>80% / 20%</td>
<td>85% / 15%</td>
<td>80% / 20%</td>
<td>80% / 20%</td>
<td>90% / 10%</td>
</tr>
<tr>
<td>Rx Retail Copay</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Generic</td>
<td>$20</td>
<td>$10</td>
<td>$11</td>
<td>$11</td>
<td>$15</td>
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<tr>
<td>Brand Formulary</td>
<td>$30</td>
<td>$29</td>
<td>$30</td>
<td>$31</td>
<td>$30</td>
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<tr>
<td>Rx Mail Copay</td>
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<tr>
<td>Generic</td>
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<td>$21</td>
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<tr>
<td>Brand Formulary</td>
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<td>$63</td>
<td>$66</td>
<td>$40</td>
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</table>

### Faculty & Staff Trends

<table>
<thead>
<tr>
<th></th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
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</thead>
<tbody>
<tr>
<td>College Admin</td>
<td>329</td>
<td>353</td>
<td>362</td>
<td>392</td>
<td>408</td>
<td>447</td>
</tr>
<tr>
<td>ICA</td>
<td>71</td>
<td>73</td>
<td>70</td>
<td>72</td>
<td>74</td>
<td>72</td>
</tr>
<tr>
<td>Library (A)</td>
<td>38</td>
<td>34</td>
<td>34</td>
<td>34</td>
<td>35</td>
<td>39</td>
</tr>
<tr>
<td>President (B)</td>
<td>37</td>
<td>37</td>
<td>32</td>
<td>33</td>
<td>39</td>
<td>38</td>
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<tr>
<td>Provost (A)</td>
<td>80</td>
<td>68</td>
<td>84</td>
<td>96</td>
<td>105</td>
<td>131</td>
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<tr>
<td>Advancement (B)</td>
<td>42</td>
<td>53</td>
<td>56</td>
<td>58</td>
<td>61</td>
<td>64</td>
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<tr>
<td>Finance &amp; Admin (B)</td>
<td>279</td>
<td>274</td>
<td>285</td>
<td>303</td>
<td>338</td>
<td>355</td>
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<td>Research (A)</td>
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<td>35</td>
<td>37</td>
<td>38</td>
<td>38</td>
<td>46</td>
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<tr>
<td>Student Affairs</td>
<td>69</td>
<td>63</td>
<td>78</td>
<td>89</td>
<td>101</td>
<td>103</td>
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</table>
Professional Staff: Annualized Salary

<table>
<thead>
<tr>
<th>Job Family</th>
<th>Number of Employees</th>
<th>Average OHIO Professional Staff Compa Ratio*</th>
<th>Average OHIO Professional Staff Salary**</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic &amp; Program Management</td>
<td>102</td>
<td>1.02</td>
<td>$72,222</td>
</tr>
<tr>
<td>Academic Services</td>
<td>178</td>
<td>0.96</td>
<td>$57,321</td>
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<tr>
<td>Administrative Management</td>
<td>56</td>
<td>0.97</td>
<td>$75,107</td>
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<tr>
<td>Administrative Services</td>
<td>327</td>
<td>0.95</td>
<td>$38,272</td>
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<tr>
<td>Athletics</td>
<td>45</td>
<td>0.87</td>
<td>$41,761</td>
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<tr>
<td>Auxiliaries</td>
<td>65</td>
<td>0.93</td>
<td>$58,168</td>
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<tr>
<td>Aviation</td>
<td>4</td>
<td>0.89</td>
<td>$59,559</td>
</tr>
<tr>
<td>Communications &amp; Marketing</td>
<td>105</td>
<td>0.97</td>
<td>$58,753</td>
</tr>
<tr>
<td>Development &amp; Inst. Advancement</td>
<td>66</td>
<td>1.02</td>
<td>$72,902</td>
</tr>
<tr>
<td>Education</td>
<td>115</td>
<td>1.04</td>
<td>$48,738</td>
</tr>
<tr>
<td>Engineering, Architecture &amp; Plng</td>
<td>44</td>
<td>0.93</td>
<td>$77,816</td>
</tr>
<tr>
<td>Enrollment Services</td>
<td>66</td>
<td>0.98</td>
<td>$52,681</td>
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<tr>
<td>Enrollment Services Registrar</td>
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<td>0.96</td>
<td>$59,199</td>
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<tr>
<td>EnvironSafety &amp; Police Services</td>
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<td>0.91</td>
<td>$40,293</td>
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<td>Event Management</td>
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<td>0.91</td>
<td>$49,153</td>
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<td>Facilities &amp; Operations</td>
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<td>0.97</td>
<td>$60,042</td>
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<tr>
<td>Finance &amp; Business</td>
<td>174</td>
<td>0.98</td>
<td>$57,339</td>
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<tr>
<td>Fine &amp; Performing Arts</td>
<td>12</td>
<td>1.02</td>
<td>$52,516</td>
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<tr>
<td>Health Services</td>
<td>80</td>
<td>0.95</td>
<td>$67,528</td>
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<td>Human Resources</td>
<td>34</td>
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<td>Information Technology</td>
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<td>Instructional Technology</td>
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<td>1.01</td>
<td>$64,838</td>
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<tr>
<td>Legal &amp; Compliance</td>
<td>26</td>
<td>0.93</td>
<td>$73,230</td>
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<tr>
<td>Library Services/Museum</td>
<td>76</td>
<td>1.01</td>
<td>$56,531</td>
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<td>Media Production</td>
<td>39</td>
<td>1.00</td>
<td>$51,948</td>
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<tr>
<td>Records Management</td>
<td>81</td>
<td>0.96</td>
<td>$40,298</td>
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<tr>
<td>Research &amp; Labs</td>
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<td>$57,244</td>
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<td>Research Administration</td>
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<td>Risk Management</td>
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<td>1.02</td>
<td>$62,935</td>
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<tr>
<td>Student Affairs</td>
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<td>0.93</td>
<td>$45,856</td>
</tr>
<tr>
<td>Grand Total</td>
<td>2380</td>
<td>0.97</td>
<td>$56,509</td>
</tr>
</tbody>
</table>

*Compa Ratio is a formula commonly used by compensation professionals to access the competitiveness of an employee's pay level i.e., placement in pay range. Calculated as the employee's current salary divided by the current market rate as defined by the company's competitive pay policy (midpoint of the range).

**Salary data as of 7/1/2016.

Compa Ratio Examples:

<table>
<thead>
<tr>
<th>Compa Ratio</th>
<th>Relation to Industry Average</th>
<th>Relation to Mid Point of Pay Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.00</td>
<td>Pay is comparable to the industry average</td>
<td>Pay is at the pay grade mid point</td>
</tr>
<tr>
<td>0.75</td>
<td>Pay is 25% below the industry average</td>
<td>Pay is below the pay grade mid point</td>
</tr>
<tr>
<td>1.15</td>
<td>Pay is 15% above the industry average</td>
<td>Pay is above the pay grade mid point</td>
</tr>
</tbody>
</table>
Faculty Distributions—Tenure vs Non-Tenure Track

Athens Faculty Headcount

- Non-Tenure Track, 382, 34%
- Tenure Eligible, 733, 66%

National

- Tenure Eligible, 35%
- Non-Tenure Track 65%

Faculty Distributions—Full Time vs Part Time

Athens Campus

- Part Time, 356, 26%
- Full Time, 1014, 74%

Public - Comprehensive*

- Part Time 46%
- Full Time 54%

Full-time faculty (both tenure track and non-tenure track) make up 74% of the faculty headcount while nationally the percentage drops to 54%.

Regional Campuses

- Part Time, 500, 76%
- Full Time, 162, 24%

Public - Two-Year*

- Part Time 69%
- Full Time 31%

Regional campuses have to respond to enrollment fluctuations so they have more part-time faculty (76%) compared to Athens. The closest national comparison is two-year public schools, but this group includes community colleges.

Ohio University Compensation & Workforce Fact Sheet • January 2017

Faculty Salary, Compensation, and Headcount Comparison: Ohio Peers
After Year 2 of Faculty Compensation Initiative

<table>
<thead>
<tr>
<th>Professors</th>
<th>Salary</th>
<th>Rank</th>
<th>Compensation</th>
<th>Rank</th>
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<td>$112,200</td>
<td>6</td>
<td>$144,200</td>
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<tr>
<td>BOWLING GREEN</td>
<td>$104,700</td>
<td>10</td>
<td>$131,800</td>
<td>10</td>
</tr>
<tr>
<td>CINCINNATI</td>
<td>$119,100</td>
<td>2</td>
<td>$159,000</td>
<td>3</td>
</tr>
<tr>
<td>CLEVELAND STATE</td>
<td>$105,400</td>
<td>9</td>
<td>$134,900</td>
<td>9</td>
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<tr>
<td>KENT STATE</td>
<td>$111,700</td>
<td>7</td>
<td>$143,400</td>
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<tr>
<td>MIAMI</td>
<td>$116,300</td>
<td>4</td>
<td>$163,400</td>
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<tr>
<td>OHIO STATE</td>
<td>$145,500</td>
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<td>$181,100</td>
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<tr>
<td>OHIO UNIVERSITY</td>
<td>$112,800</td>
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<td>$146,200</td>
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<tr>
<td>SHAWNEE STATE</td>
<td>$73,100</td>
<td>12</td>
<td>$106,700</td>
<td>12</td>
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<tr>
<td>TOLEDO</td>
<td>$117,200</td>
<td>3</td>
<td>$156,900</td>
<td>4</td>
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<tr>
<td>WRIGHT STATE</td>
<td>$110,700</td>
<td>8</td>
<td>$143,900</td>
<td>7</td>
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<tr>
<td>YOUNGSTOWN</td>
<td>$88,300</td>
<td>11</td>
<td>$120,600</td>
<td>11</td>
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</table>

Distance to 3rd: $4,400 4% $12,800 9%

<table>
<thead>
<tr>
<th>Associates</th>
<th>Salary</th>
<th>Rank</th>
<th>Compensation</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
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<td>$83,200</td>
<td>7</td>
<td>$109,100</td>
<td>8</td>
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<tr>
<td>BOWLING GREEN</td>
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<td>9</td>
<td>$102,700</td>
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<td>CINCINNATI</td>
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<td>MIAMI</td>
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<td>3</td>
<td>$121,000</td>
<td>3</td>
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<tr>
<td>OHIO STATE</td>
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<td>$126,300</td>
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<tr>
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</tr>
<tr>
<td>SHAWNEE STATE</td>
<td>$63,500</td>
<td>12</td>
<td>$95,200</td>
<td>12</td>
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<tr>
<td>TOLEDO</td>
<td>$92,600</td>
<td>2</td>
<td>$125,500</td>
<td>2</td>
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<tr>
<td>WRIGHT STATE</td>
<td>$84,200</td>
<td>5</td>
<td>$112,300</td>
<td>6</td>
</tr>
<tr>
<td>YOUNGSTOWN</td>
<td>$73,000</td>
<td>11</td>
<td>$101,200</td>
<td>11</td>
</tr>
</tbody>
</table>

Distance to 3rd: $1,900 2% $7,600 7%

<table>
<thead>
<tr>
<th>Assistants</th>
<th>Salary</th>
<th>Rank</th>
<th>Compensation</th>
<th>Rank</th>
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<tbody>
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<td>$93,200</td>
<td>7</td>
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<tr>
<td>BOWLING GREEN</td>
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<td>$88,800</td>
<td>9</td>
</tr>
<tr>
<td>CINCINNATI</td>
<td>$72,000</td>
<td>8</td>
<td>$96,500</td>
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<tr>
<td>CLEVELAND STATE</td>
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<tr>
<td>KENT STATE</td>
<td>$73,200</td>
<td>6</td>
<td>$98,200</td>
<td>5</td>
</tr>
<tr>
<td>MIAMI</td>
<td>$86,200</td>
<td>1</td>
<td>$121,200</td>
<td>1</td>
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<tr>
<td>OHIO STATE</td>
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<td>2</td>
<td>$112,100</td>
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<td>$74,700</td>
<td>4</td>
<td>$102,500</td>
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<td>$53,600</td>
<td>12</td>
<td>$72,300</td>
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<td>YOUNGSTOWN</td>
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<td>11</td>
<td>$83,700</td>
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Distance to 3rd: $8,100 11% $0 0%

* Did not report data for 2015-16

Faculty Headcount for Tenure Track Faculty

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<td>404</td>
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Group I Faculty Retention

![Graph showing Group I Faculty Retention from 2008-9 to 2015-16](image-url)
Ohio University has a presence throughout the state with a main campus in Athens, Ohio, five Regional Campuses and two extension locations.

<table>
<thead>
<tr>
<th>Campus Location</th>
<th>Acres</th>
<th>Buildings</th>
<th>GSF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athens Campus</td>
<td>2,219</td>
<td>211</td>
<td>8.4M</td>
</tr>
<tr>
<td>Chillicothe Campus</td>
<td>339</td>
<td>12</td>
<td>197K</td>
</tr>
<tr>
<td>Eastern Campus</td>
<td>748</td>
<td>8</td>
<td>154K</td>
</tr>
<tr>
<td>Lancaster Campus</td>
<td>116</td>
<td>9</td>
<td>227K</td>
</tr>
<tr>
<td>Southern Campus</td>
<td>251</td>
<td>22</td>
<td>248K</td>
</tr>
<tr>
<td>Zanesville Campus</td>
<td>167</td>
<td>3</td>
<td>139K</td>
</tr>
<tr>
<td>Dublin Extension</td>
<td>61</td>
<td>4</td>
<td>197K</td>
</tr>
<tr>
<td>Cleveland Extension</td>
<td>--</td>
<td>1</td>
<td>79K</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>3,901</td>
<td>270</td>
<td>9.6M</td>
</tr>
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</table>

Ohio University: Acreage

Campus Acreage

- Athens, 2,219
- Chillicothe, 339
- Eastern, 748
- Lancaster, 116
- Southern, 251
- Zanesville, 167
- Dublin, 61
- Cleveland Extension, 61

Total Campus Acreage: 3,901 acres
Ohio University: Gross Square Footage (GSF)

Campus GSF

- Southern, 248K
- Zanesville, 139K
- Eastern, 154K
- Lancaster, 227K
- Dublin, 195K
- Chillicothe, 197K
- Athens, 8.4M

Note: The 3.2M square foot difference between Athens Campus GSF and NASF is due to Non-Assignable spaces (circulation, mechanical, etc.) and the thickness of interior and exterior walls.

Ohio University: Athens Main Campus Net Assignable Square Footage (NASF)

Athens Campus 5.2M NASF

- Housing/Culinary: 25%
- Office: 17%
- Athletic/Event Space: 14%
- Library: 5%
- Vacant: 5%
- Classroom/Class Lab: 11%
- Research/Open Lab: 10%
- Other (Storage, Service Space, Shop, etc.): 13%
Building Age Balance

A 50% balance between buildings that are 25 years and younger and buildings 26 years and older, including investment to maintain this average, assists with managing the balance between life cycle needs and annual investment in newer facilities.
<table>
<thead>
<tr>
<th>College of Arts and Sciences</th>
<th>Undergraduate Forensic Chemistry program</th>
<th>Philosophy graduate program in top 16</th>
<th>PhD Program in Creative Writing # 3 in nation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td># 1 in Toxicology (# 3 overall)</td>
<td>(Leiter Report)</td>
<td>(Poets &amp; Writers Magazine)</td>
</tr>
<tr>
<td></td>
<td>On Forensic Science Assessment Test</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>(American Board of Criminalistics)</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Voinovich School and College of Business</th>
<th>Industrial/Organizational Program # 1 in research productivity per faculty member (# 24 if unadjusted)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(Beiler, Zimmerman, Doerr and Clark, 2014)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Global Affairs and Int’l Studies</th>
<th>African Studies Program in top 20 (U.S. Dept. of Education)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td># 39 (Best Value School’s Top 50 Most Innovative Public Service Schools)</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Voinovich School and College of Business</th>
<th>Center for Entrepreneurship # 1 Emerging Entrepreneurship Program (U.S. Association for Small Business and Entrepreneurship)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>College of Business</th>
<th>Undergraduate Public Business School # 15 (Bloomberg Businessweek)</th>
</tr>
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</table>

<table>
<thead>
<tr>
<th>College of Business</th>
<th>Masters of Athletic Administration # 8 ranked Most Affordable Online Master’s in Athletic Administration (Sports Management Degree Guide)</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Sports Course (MBA/MSA dual degree, PMSA online) # 1 (worldwide) (SportsBusiness International)</td>
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<table>
<thead>
<tr>
<th>College of Fine Arts</th>
<th>Ceramics graduate program # 3 (U.S. News and World Report)</th>
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</table>

<table>
<thead>
<tr>
<th>College of Fine Arts</th>
<th>Printmaking graduate program # 10 (U.S. News and World Report)</th>
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</table>

<table>
<thead>
<tr>
<th>College of Fine Arts</th>
<th>College of Fine Arts # 33 ranked School of Art + Design (U.S. News and World Report)</th>
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</table>

<table>
<thead>
<tr>
<th>College of Fine Arts</th>
<th># 1 ranked Marching Band in the Country Marching 110 (collegesports-fans.com)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>College of Health Sciences and Professions</th>
<th>Communication Sciences and Disorders undergraduate Program in top 24 (Gourman Report)</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>College of Health Sciences and Professions</th>
<th>Doctor of Clinical Audiology (AUD) # 37 out of 74 programs (2016 U.S. News and World Report)</th>
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<table>
<thead>
<tr>
<th>College of Health Sciences and Professions</th>
<th>Speech Language Pathology Masters Program # 46 out of 249 (2016 U.S. News and World Report)</th>
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</table>

<table>
<thead>
<tr>
<th>College of Health Sciences and Professions</th>
<th>Doctor of Physical Therapy (CPT) # 46 of 233 programs (2016 U.S. News and World Report)</th>
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</table>

<table>
<thead>
<tr>
<th>Heritage College of Osteopathic Medicine</th>
<th>in top 20 for the percentage of graduates in both primary care and family medicine (Med School Mapper)</th>
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</table>

<table>
<thead>
<tr>
<th>Heritage College of Osteopathic Medicine</th>
<th>Honors Tutorial College in top 20 Public University Honors Programs (a Review of Fifty Public Honors Programs)</th>
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</thead>
<tbody>
<tr>
<td>Patton College of Education</td>
<td>Ohio University Top 50 Ranked Programs Fact Sheet • January 2017</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| **Master's in Curriculum and Instruction (online)**  
# 9  
(TheBestSchools.org) | **Undergraduate Retail Merchandising and Fashion Product Development**  
# 36  
(FashionSchools.org) |
| **Online Master's in Coaching Program**  
# 3 in the 15 Best Online Masters in Coaching Education  
(Sports Management Degree Hub) | **Online Masters in Reading**  
# 7 in the 25 Best Online Masters in Coaching Education  
(The Best Schools — www.thebestschools.org) |
| **Organizational Communication doctoral program**  
# 9  
(National Communication Association) | **Health Communication doctoral program**  
# 10  
(National Communication Association) |
| **E.W. Scripps School of Journalism**  
in top 8  
(Internationally (only one in North America))  
(Carriere Della Sere Style Magazine, Italy’s equivalent to NYTimes magazine) | **Intercultural-International Communication**  
# 12  
(National Communication Association) |
| **Rhetorical Communication doctoral program**  
# 18  
(National Communication Association) | **Critical-Cultural Communication doctoral program**  
# 20  
(National Communication Association) |
| **Interpersonal/Small-Group Communication doctoral program**  
# 20  
(National Communication Association) | **School of Communication Studies**  
in top 20 for research  
(Communication Institute for Online Scholarship) |
| **School of Visual Communication**  
in top 5  
(Magazine for Emerging Photographers and Photo Educators) | **Critical-Cultural Communication**  
# 23  
(National Communication Association) |
| **Communication and Technology**  
# 26  
(National Communication Association) | **Games and Animation major**  
# 36  
(2015 Animation Career Review) |
| **Mass Communication**  
# 28  
(National Communication Association) |  |
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Robert Frank, Dean, College of Arts and Sciences

Re: Academic Quality Dashboard Presentation for the College of Arts and Sciences

Thank you for this opportunity to provide an update of the academic quality dashboard for the College of Arts and Sciences. As many of you know, our degree programs and scholarly activities span the humanities, natural sciences and social sciences. The College supports the education of every undergraduate student on the Athens campus in addition to those with majors within the college. We offer a range of master’s and doctoral degrees across the natural sciences, social sciences and humanities.

Over the five years summarized by the dashboard, the measures of student academic quality and success have been stable. The demographics of our students have remained the same as well, with 29% of our freshman being first generation and 19% being students of diversity. Arts and Sciences had its largest freshman class since 1995 last fall, but looking across the five year period, enrollments declined with the transition from quarters to semesters, recovering in the past few years. The number of tenure track faculty has increased modestly over the five-year period, and the performance of the faculty in terms of grant support and publications has remained strong. Finally, the dashboard shows that recent efforts to increase faculty salaries have been effective.

The college is well-aligned with the four fundamentals. Arts and Sciences’ faculty are frequent recipients of top university awards for their teaching and research, and many have international reputations for their scholarly work. They are actively engaged in innovative academic programs including those associated with the curricular themes, on-line learning and experiential learning. Student services are strong including recent efforts to improve advising, develop career-oriented programming, and launch programs to help students struggling academically and financially. Pre-professional advising for students interested in medicine or law is very strong. This year we launched a program called STEMStart that offered freshman chemistry and biology majors an opportunity to develop their study skills and refresh their science content knowledge just prior to the beginning of fall semester. The post-program evaluation by faculty and students revealed very high levels of satisfaction, and we are anxiously awaiting an analysis of the program’s impact on academic performance in freshman science courses.
There are numerous examples of the college’s alignment with university-wide initiatives. Arts and Sciences faculty contributed substantially to several successful Innovation Strategy proposals including the Academic Innovation Accelerator. Three of our buildings (Ellis, Morton, Clippinger) are important components to the Capital improvement Plan (CIP). The college has been an active partner in efforts to diversify the faculty and students of Ohio University. We have partnered on multiple projects with other academic units, Student Affairs and administrative units. Finally, we have taken the lead on building stronger relationships with a number of local organizations such as Rural Action and the Wayne National Forest.

Areas of emphasis within our strategic planning include:

- New academic program development
- Better support for faculty research and scholarship
- Alumni outreach initiatives
- Providing better support for faculty promotion to full professor
- Expanding opportunities for student experiential learning
- Integrating staff support services within the college
A&S Departments and Programs

- African American Studies
- Biological Sciences
- Chemistry & Biochemistry
- Classics and World Religions
- Economics
- English
- Environmental and Plant Biology
- Geology
- Geography
- History
- Linguistics
- Mathematics
- Modern Languages
- Philosophy
- Physics & Astronomy
- Political Science
- Psychology
- Sociology and Anthropology
- Women’s and Gender Studies
Students in transition: Changing majors in A&S
Alignment with Four Fundamentals

• Inspired teaching & research
• Innovative academic programs
• Exemplary student support services
• Integrated co-curricular activities
Alignment with Institution-wide initiatives

• Innovation Strategy
• Capital Improvement Plan - Clippinger, Ellis, Morton
• RCM
• Diversity initiatives
• Partnerships with other units within the university
• Local partnerships
Strategic Plans

• New program development
• Better supporting research and scholarship
• Alumni outreach
• Faculty promotion support
• Expanding opportunities for experiential learning
• Integrating staff support services
• Building a liberal arts curriculum for the 21st century
Specific Examples of Initiatives Advancing Strategic Plans

- Programs reaching out to new student populations
- Research challenge/consulting program
- *Engage* (Alumni newsletter) and Career Week
- Promotion and Tenure workshops
- Internships
- Search committee orientation program
- Planning for integrated business offices in Ellis and Clippinger
- College-wide conversations about the future of higher education
Alumni feedback, ’05 graduates

Percent very satisfied and satisfied

• Level of rigor/scholarship (93%)
• Relevance of degree to career goals (94%)
• Interaction with faculty (88%)
• Quality of instruction (97%)
• Overall satisfaction (99%)
• Academic advising (62%)
• Career planning (58%)

Areas of concern
Advising Survey Results

3. About your Advisor and your advising experience

3.1) My advisor is a good listener.

3.2) My advisor is punctual for appointments.

3.4) My advisor is approachable.

3.5) I find it easy to communicate with my advisor.

3.6) My advisor provides me with accurate information about academic requirements, prerequisites, etc.

3.7) My advisor encourages me to take an active role in planning my academic program.

3.8) My advisor assists me with questions I have about my major.

3.9) My advisor assists me with questions I have about my career goals.

3.11) My advisor helps me select courses that match my interests and abilities.

3.12) My advisor shows concern for my personal growth and development.

3.14) My advisor is knowledgeable about other offices and services on campus.

3.15) My advisor is a helpful, effective advisor whom I would recommend to other students.
Career Advising & Support

• Joint position with Center for Leadership & Career Development
• Careers in the Liberal Arts course
• Career Week
• Internships
• Alumni outreach
“To be clear, the idea is not that there will be a big financial payoff to a liberal arts degree. It is that there is no guarantee of a payoff from very practical, work-based degrees either, yet that is all those degrees promise. For the liberal arts, the claim is different and seems more accurate, that it will enrich your life and provide lessons that extend beyond any individual job. There are centuries of experience providing support for that notion.”
Humanities & Social Sciences majors close earnings gap with Professional majors

Source: AAC&U “How Liberal Arts and Sciences Majors Fare in Employment” (see www.aacu.org)
The Challenge

**Humanities or Liberal Arts Graduate**
Writing- and presentation-intensive courses cultivate strong communication skills in these graduates, who often have time in their schedule to pursue study abroad experiences and leadership roles in extracurricular activities. Despite a plethora of soft skills necessary for long-term success in the workforce, these graduates lack the specialized technical skills required for most entry-level employment.

**STEM Graduate**
Coursework in high-demand fields like engineering and computer science lead to multiple post-graduation job offers, but stringent major requirements limit time spent in writing-intensive electives and extracurricular organizations. Despite early success on the job market, these graduates often lack the management skills and creativity required for advancement in competitive technical fields.

Educational Advisory Board report, 2014
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Jim Schaus, Director of Athletics

Re: Intercollegiate Athletics Update and Dashboard

I am, once again, grateful for the opportunity to update the Board on the academic progress of students participating in intercollegiate athletics. Attached, please find a PowerPoint presentation and a dashboard highlighting the most updated data and statistics since the last presentation.

I would like to bring particular attention to a few points made in the PowerPoint and Dashboard:

1. For 2015-16, OHIO’s estimated Academic Progress Rate (APR) reveals that 11 of our 16 teams are estimated to improve their multiyear APR or remain the same when compared to the previous year. In addition, 15 of our 16 teams will post above a 970 multiyear score, with 13 posting above a 980 multiyear score.

2. OHIO student-athletes continue to demonstrate a high level of success in the classroom. Grade point averages for student-athletes continue to increase, as our student-athletes posted a 3.208 GPA after the spring of 2016, which is the highest GPA in the history of the athletic department. In addition, OHIO student-athletes were retained at a rate of 96.5% last year.

3. OHIO’s FGR and GSR numbers both improved when compared to the previous year. OHIO posted an FGR of 73%, which is an improvement of two percentage points. This number ranks OHIO 2nd when compared to other MAC institutions. OHIO posted a GSR of 86%, which is an improvement of three percentage points. This number ranks OHIO 3rd when compared to other MAC institutions.

4. Ohio student-athletes are currently pursuing degrees in 93 different majors, as well as 19 minors and 23 certificates.

5. The Intercollegiate Athletics Committee (IAC) hosted the 4th annual *Chat with the ‘Cats* event for the spring semester which allowed an open forum for faculty members to address and inquire about pertinent topics related to both coaching and
athletic administration staffs. Over 50 people were in attendance, marking the highest participation since the inception of the event.

6. OHIO Student-Athlete Advisory Committee (SAAC) and the Athens Community Center After School program have created a partnership involving four events during the fall semester, and four events during the spring semester. Student-athletes from various teams created a one-hour program where they instructed After School Program participants on the fundamentals of a given sport, and also worked on arts and crafts. In September, the Men’s and Women’s Basketball teams organized an event where 44 After School Program children were able to receive instruction from OHIO Men’s and Women’s Basketball student-athletes, as well as play games. The Community Center staff praised the student-athletes and said it was the best event any group has put on for the After School Program.

7. The Mid-American Conference (MAC) is a leader within NCAA Division I athletic programs in addressing student-athlete time demands and has implemented 4 policies that will aid in balancing the demands of academic and athletic responsibilities.

I look forward to the opportunity to speak with the Academics Committee and answer any questions that you may have regarding these updates.
Intercollegiate Athletics Update
Athletics Update

Agenda

• Dashboard – ICA Academic Statistics
• Academic Update
• Academic Progress Rate (APR)
• Majors, minors and course selection
• Functions of NCAA Eligibility and Student-Athlete Success
• Faculty Involvement
• Student-Athlete Involvement in the Community
• Time Demands – MAC Leading the Way
### Intercollegiate Athletics Dashboard

#### Retention
- **4-Year Federal Graduation Rates (FGR):** 73%
  - Assesses first-time, full-time freshman cohort graduating from institution of initial enrollment.
- **6-Year Graduation Success Rates (GSR):** 86%
  - Begins with federal cohort (FGR) and factors in transfers, mid-year and non-scholarship enrollees.

#### Transfer Data
- **Number of Student-Athletes on Aid:**
- **Student-athletes on aid transferred to Ohio:**
- **Student-athletes on aid transferred from Ohio:**

#### Single Year Federal Graduation Rates (FGR):** 76%
- Assesses first-time, full-time freshman cohort graduating from institution of initial enrollment.

#### GPA Statistics for ~400 Student-Athletes
- **3.0 and Above:**
- **3.5 and Above:**
  - Fall 2014: 146, Spr 2015: 156, Fall 2015: 186, Spr 2016: 169
- **Dean's List:**
  - Fall 2014: 106, Spr 2015: 114, Fall 2015: 143, Spr 2016: 106

#### Cumulative GPA Comparison
- **3.208**
- **Student-Athletes:**
- **Comparisons:**
  - MAC Average: 3.14
  - NCAA Division I Average: 3.07
Academic Update
Current Status of Student-Athletes’ Academics

• From fall 2015 to fall 2016, student-athletes on athletic aid were retained at a rate of 96.5%.

• Only 12 student-athletes on athletic aid left the university.

• The cumulative GPA for all student-athletes after spring 2016 was a 3.208 – the highest departmental GPA since 2009.

Sources: Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success and National Collegiate Athletic Association
Academic Update
Current Status of Student-Athletes’ Academics

• The Graduation Success Rate (GSR) for the 2009 cohort was 86%, which is competitive with the national rate.
  - *GSR takes into account incoming transfers who graduate from a different institution than the one they started at and transfers who leave an institution in good standing.*

• The Federal Graduation Rate (FGR) for the 2009 cohort was 73%, which is the highest FGR since 2004 and a 2% increase from the previous year.
  - *FGR measures the percentage of first-time, full-time freshman who graduate within six years of entering their original four-year institution. The FGR treats transfers as non-graduates for the original institution the student-athlete attended, even if that student-athlete later graduates from another institution.*
Academic Progress Rate (APR)

**APR Definition**

- The Academic Progress Rate (APR) measures the academic achievement of Division I teams during each academic term.
- Each student-athlete can earn two points per term. One point for retention and one point for academic eligibility.
- The maximum score a team can earn is 1000. The minimum multiyear score needs to be a 930 or above to avoid NCAA sanctions.
- The multiyear APR score is a combination of the single-year score and the three previous years.

**OHIO APR Snapshot**

- 11 of our 16 teams are estimated to increase their multiyear APR or remain the same when comparing the 2014-2015 multiyear APR to the estimated multiyear for 2015-2016.
- 15 of our 16 teams are estimated to post above a 970 multiyear APR for 2015-2016.
- 13 of our 16 teams are estimated to post above a 980 multiyear APR for 2015-2016.
- The remaining teams are estimated to post a 974, a 974, and a 959, respectively.

Sources: Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success and National Collegiate Athletic Association.
## Ohio University Academic Progress Rate

### Multi-Year for 2014-2015 and Estimated 2015-2016

<table>
<thead>
<tr>
<th>Sport</th>
<th>Multi-Year</th>
<th>2015-16 (Estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseball</td>
<td>962</td>
<td>959</td>
</tr>
<tr>
<td>Men’s Basketball</td>
<td>990</td>
<td>985</td>
</tr>
<tr>
<td>Women’s Basketball</td>
<td>983</td>
<td>992</td>
</tr>
<tr>
<td>Men’s Cross Country</td>
<td>986</td>
<td>987</td>
</tr>
<tr>
<td>Women’s Cross Country</td>
<td>1000</td>
<td>1000</td>
</tr>
<tr>
<td>Field Hockey</td>
<td>979</td>
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<tr>
<td>Men’s Golf</td>
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<tr>
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<td>Softball</td>
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<td>Women’s Soccer</td>
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<tr>
<td>Swimming &amp; Diving</td>
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<td>Women’s Track</td>
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<tr>
<td>Volleyball</td>
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<td>995</td>
</tr>
</tbody>
</table>

### Sources:
Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success and National Collegiate Athletic Association
Majors, Minors & Course Selection

- OHIO student-athletes are currently pursuing degrees in 93 different majors.

- In the fall of 2016, student-athletes were enrolled in courses spanning across 94 different subject areas.

- Student-athletes are pursuing 19 minors and 23 certificates.

Sources: Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success and National Collegiate Athletic Association
Functions of NCAA Eligibility and Student-Athlete Success Office

• Academic advising
• Academic weekly meetings with at-risk student-athletes
• Monitor continuing eligibility
• Create travel letters and communicate with faculty about academic progress
• Monitor study hall and coordinate tutoring appointments
• Facilitate recruiting visits with prospective student-athletes and their families

Sources: Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success
Faculty Involvement

- During the 2015-2016 academic year, ICA hosted the 4th Annual Chat with the ‘Cats event

- All Ohio University faculty were invited via email through the Faculty Senate listserv, as well as hard copy invitations

- The event gave everyone in attendance the opportunity to meet and chat with our coaches and administration

- Faculty were encouraged to attend Men’s and Women’s Basketball Faculty Appreciation Games in February where they were honored on the court

Sources: Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success
Athens Community Center – After School Program

• OHIO Student-Athlete Advisory Committee (SAAC) and the Athens Community Center After School program have created a partnership.

• There were four events hosted during the fall semester, with four more scheduled in the spring semester.

• Student-athletes from various teams created an one-hour program where they instructed After School Program participants.

• The Community Center staff praised the student-athletes and said it was the best event any group has put on for the After School Program.

Sources: Ohio Athletics Office of NCAA Eligibility and Student-Athlete Success.
Time Demands
MAC Leading the Way

• The Mid-American Conference (MAC) is at the forefront of ensuring the student-athletes are experiencing a well-balanced student-athlete experience

• 4 conference policies were adopted by the MAC as a pilot program for the 2016-2017 academic year with the plan of full implementation starting 2017-2018

• Prior to this pilot program, the coaches at Ohio University used these as a best-practices model for their current student-athletes
Time Demands
MAC Leading the Way

• **Policy 1:**
  • 2 weeks off all athletic activity after championship segment

• **Policy 2:**
  • 1 week off at the beginning of the semester for student-athletes that are out-of-season

• **Policy 3:**
  • No practice or required team activity at least 8 hours following the return to campus from away competition

• **Policy 4:**
  • At least a 24-hour notification of change in practice schedule
Time Demands
MAC Leading the Way

• The conference SAAC (Student-Athlete Advisory Committee) deserves a tremendous amount of credit for bringing these topics to the conference level which allowed the MAC to be proactive in addressing this matter.

• The NCAA will be voting on all 4 policies in 2017 – if adopted all Division I institutions will be required to adhere to all policies starting in the fall of 2017.

• Regardless, of the NCAA’s decision – the MAC will continue to have all 4 policies for our conference.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Enrollment Update

Craig Cornell, Senior Vice Provost for Strategic Enrollment Management, will provide preliminary up-to-date information following the Spring Semester start date of January 9th.

This presentation will highlight the following:

- Spring semester preliminary enrollment challenges, achievements and milestones,
- New Ohio high school graduation projections as well as an analysis of how OHIO has fared in the past compared to these projections.
- Fall 2017 application data with discussion on how we reached the milestone numbers that will be provided.
Preliminary Spring Enrollments
Preliminary Spring Enrollments

• Current Highlights
Spring unduplicated all campus enrollment:

- Spring unduplicated all campus enrollment:
Enrollment Update
Spring 2017 – Overall

Overall Preliminary enrollment analysis –

• Undergraduate Athens Enrollment –
• Undergraduate E-Learning Enrollment –
• Graduate Student Enrollment –
• College of Medicine Enrollment –
• Regional Higher Education Enrollment –
New State of Ohio High School Graduation Projections and OHIO’s success
State of Ohio High School
Graduating Class Projections
FY02-FY32

Source: Knocking at the College Door, Projections of High School Graduates, December, 2016; WICHE
State of Ohio High School Graduating Class Projections
FY09-FY24

Source: Knocking at the College Door, Projections of High School Graduates, December, 2016; WICHE
OHIO Enrollments in Ohio
Based on percentage change year-over-year
FY09-FY17

Where we actually are
+ 581

Where we would have been if we followed our historic trends against state projections

Source: Knocking at the College Door, Projections of High School Graduates, December, 2016; WICHE
Current Fall 2017 Application Analysis
Fall 2017 Application Analysis

• Current Highlights
Fall 2017 Application Analysis

Reasons for application milestones:

- Inaugural year with The Common Application
  - December 1 early action deadline
- Sophomore and junior high school inquiry students
- Re-targeting existing seniors names
- Re-targeting in and out of-state to concentrate for outreach and marketing
- Additional investment and time put toward targeted and segmented recruitment communication plans

OVERALL these efforts, allowing us to be in front of more students, combined with OHIOs reputation for academic excellence and student success, provides the right mix of factors to attract a larger audience and see the growth in applications we are experiencing
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Academic Quality Points of Pride – Library

Ohio University’s Vernon R. Alden Library stewards more than 3,500,000 print volumes, 1,100,000 electronic books, 75,000 electronic journal subscriptions, as well as significant special collections in World War II, Asian art and culture, and regional history. Our 48 librarians and 41 para-professional staff are dedicated to the success of Ohio University’s students and faculty. With the invitation to join the Association of Research Libraries in 1996, Alden Library is recognized as being one of the top 100 research libraries in North America.

More importantly, our library is used more today than at any time in its’ 200-year history. Student and faculty use of electronic resources has nearly tripled in the past 5 years. The Ohio University community performed over 11,000,000 electronic resource searches in 2016. On average, every student downloaded 45 articles in 2016—up from 23 annually only 5 years ago. Since 2014, OHIO students and faculty have download more e-books than borrow print books.

With ubiquitous online access to scholarly resources it might be assumed that fewer would be students visiting the library. In fact, Alden Library recorded 1,133,000 entrances in 2016, an increase of 17% over the past 5 years. Librarians are transforming Alden Library from single-user study carrels to workspaces that accommodate both collaborative and contemplative work while, as seamlessly as possible, integrating access to information technology. That the Library’s second-floor Learning Commons is open—and staffed—24-hours a day surprises some alum but late-night work is now a fact of student life and one of Alden Library’s peak usage times is 2:00AM.

The Library has also leveraged social media to transform how our library listens and speaks to our community. Alden Library, for example, produces dozens of YouTube videos annually pertaining to course content with over 38,000 views in 2016 representing 92,000 minutes of instructional support.

Leveraging social media to answer routine and frequently asked question has been one of the tools that has allowed the Library to reimagine how librarians contribute to the success of OHIO’s students. Alden Library has reduced the number of reference desks to free our librarians to pilot on-call assistance, to be embedded in departments, and to assist through our Chat service. Rather than waiting behind a reference desk for questions, OHIO Librarians are redefining their roles and connecting to our students in new ways. Librarians, for example, are now more frequently in the classroom and provided course-integrated instruction for 4,000 students in 2016.
Partnering with faculty, librarians saved students over $260,000 in 2016 through our Alt-Text initiative. Librarians and faculty collaborated in eliminating expensive textbooks by substituting already purchased library electronic resources and open education resources for classroom assignments. Again, in collaboration with faculty, the Libraries’ Reimagining the Research Assignment initiative pairs librarians and instructors in crafting undergraduate research assignments that improves research skills and fosters better learning outcomes.

Information has evolved from a print world in which information was scarce, highly organized, authored by experts, and tightly controlled, into a networked world in which information is ubiquitous, disorganized, often authored by amateurs, and widely available. Yet the library is more heavily used today than at any time in its’ 200-year history. That our library maintains its centrality to the academic mission is a testament to its enduring value as a premier learning environment.
Academic Quality
Points of Pride

Library

Tab
Electronic Resource Usage
Worldwide Access for OHIO

Alden Library Without Borders

This map illustrates the number of distinct people who accessed Ohio University’s website in 2014.
Library Visits Increase Annually
Workspaces that Accommodate Technology & Collaboration
Contemplative Spaces
Redefining Librarianship
Course-Integrated Instruction
Unlocking Special Collections
Leveraging Social Media
Partnering with University College for the AAC
Alternative Textbook Initiative

Saved students $260,000 in 2016

Librarians and Faculty Partner to Identify Already Purchased Library E-Resources & Open Education Resources

Substitute Those for Expensive Text Book Purchases
Reimagining the Research Assignment

I was able to see a substantial change in the quality of [my students’] work

Aimee Edmonson, Associate Professor of Journalism and program participant
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Academic Quality Points of Pride – Graduate Writing & Research Center

Overview of the GWRC
The Graduate Writing & Research Center (GWRC) was formed in 2012 with a grant from the Konneker Fund for Learning and Discovery (Candace Stewart, PI) and was initially a collaborative project between the Student Writing Center and University Libraries. In 2014 the GWRC joined the Graduate College under the direction of Dr. Talinn Phillips, Assistant Professor of English. Phillips is a founding board member of the Consortium on Graduate Communication and recently co-edited Supporting Graduate Student Writers: Research, Curriculum and Program Design with University of Michigan Press. Last year the GWRC provided over 1200 sessions to more than 250 graduate students with excellent student satisfaction.

The GWRC was designed on the findings of Phillips’ research into how multilingual graduate students used university services to support their writing development. The GWRC thus approaches writing holistically, providing writers with support from brainstorming through to the final draft. Tutors are recruited from across campus with the aim of providing students with the most diverse disciplinary and professional expertise possible. The GWRC offers graduate students one-on-one writing tutoring, writing workshops, writing groups, and thesis/dissertation tutoring. It also provides students with research support; tutors will help students work through methodological questions and provide support with statistical analysis of students’ quantitative data. To our knowledge, the GWRC is the only writing center in the world that is integrating research support into its services for graduate students.

The GWRC’s core work is providing one-on-one tutoring for graduate writers and all of its services are free to students. Last year more than 97% of writers agreed or strongly agreed that they would use the writing center again. In addition, more than 97% also agreed or strongly agreed that they would recommend the writing center to a friend. Astrid Kaemmerling, who recently earned a doctorate in Interdisciplinary Arts, writes, “Kathy is an amazing tutor and has helped me incredibly over the past few weeks. She supports me in my endeavors and secures that I stay on track, overcome writing anxieties, and remain productive even during times in which I am juggling multiple tasks at the same time…. I would not have been able to complete my Ph.D. within less than 4 years without the amazing support of the writing center.” Arin Hening, a recent doctoral graduate from engineering, writes, “I am really grateful that this option is available to graduate students like me who could use the time to develop more ideas through intense discussion during my [dissertation] proposal development.”
In addition to the GWRC’s tutoring work, we highlight three of its current initiatives below.

**The Long Night Against Procrastination**
The “Long Night Against Procrastination” is a 6-hour writing marathon to help students jump-start their end-of-semester writing projects. This project is a collaboration with Alden Library and the Student Writing Center. LNAP provides a designated writing space in a motivating environment with walk-in tutoring, walk-in research support, snacks, and stress relief activities. The first LNAP was held in April 2016 with a second event in November that reached even more students. The library is now taking the lead on this project with the GWRC providing tutoring and writing workshops during the event. Since the library is now managing the majority of the advertising and organization, we are able to use the GWRC’s resources most effectively.

**“Being An Ally”: A Tutor Training Video Project**
The GWRC is also currently collaborating with OHIO’s Student Writing Center to create a tutor training video on working with multilingual writers. There are no existing video projects of this kind; thus, the final product should be valuable for training tutors at OHIO but also be disseminated globally online. Further, we anticipate showcasing the video at various national and international conferences. The project’s filmmakers are OHIO graduate students and many current and former tutors and students are participating. This project begins filming January 20.

**Dissertation Writing Retreats**
Last summer the GWRC offered the university’s first Dissertation Writing Retreat with great feedback. The retreat was launched with a small group of participants which meant that the GWRC tutors were able to offer plenty of individual attention while also piloting the retreat’s curriculum. The daily schedule involved at least 4 hours of writing as well as brief lessons on managing the writing of the dissertation (e.g. writing literature reviews and abstracts, developing storyboards) and managing related aspects of the dissertation (e.g. mental and physical health, stress management, TAD services). Two participants made significant revisions to a dissertation proposal and a third made major revisions to a chapter.

The feedback on the retreat was positive, with everyone agreeing or strongly agreeing that they had made progress on their dissertation during the week and that they would recommend the retreat to a friend. When asked about the most valuable aspect of the retreat, participants responded “Besides all the writing time, I think it was nice to work while others were doing something similar. I think, also, that all of what I learned will be immensely helpful as I move forward.” Another commented on the value of “a focused writing session with tutor support persons to reflect on this intense portion of writing and detailed expectations and feedback.”

**Conclusion**
At the heart of its identity, the GWRC tutors see themselves as allies for OHIO’s graduate students, supporting them through their academic and pre-professional challenges. One-on-one tutoring thus will remain at the core of the GWRC’s work in the future, but the staff will also continue to develop a variety of services to support the full range of graduate students’ writing and communication needs.
Academic Quality
Points of Pride
Graduate Writing & Research Center
Our Philosophy

- Provide holistic communication support
- Provide the most diverse tutoring expertise possible
- Be an ally for graduate students
- Create a community of graduate writers
Our Services

- Writing, presentations, multimedia projects, research methodologies, and statistics support
- Long-term thesis and dissertation tutoring
- Graduate writing groups
- Specialized genre support
- Workshops & Writing Marathons
- Dissertation Writing Retreats
The Tutor Experience

David Johnson
- doctoral student in the Department of English
- Assistant Director of the GWRC
The Student Experience

Jenna Alvarez

- doctoral student in the Patton College of Education
- working weekly with a tutor
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Heritage College of Osteopathic Medicine – Curriculum Revision

The OU-HCOM curricular revision has been approved by the University Curriculum Council (UCC) and the Commission on Osteopathic College Accreditation (COCA).

Rationale for Curricular Change

In 2011, in response to these and other trends in medical education and healthcare delivery, the Osteopathic Heritage Foundation awarded a transformational $105 million grant to assist the Heritage College in becoming a nationally prominent institution in the training of primary care physicians to serve the rural and underserved areas of Ohio. The Heritage College's strategic plan and Vision 2020 grant includes strategies designed to increase the number, quality and training of primary care physicians practicing in Ohio. A key part of this effort includes transforming and optimizing the curriculum at the Heritage College.

The last curriculum revision at the Heritage College was made nearly two decades ago, long before the recent changes in healthcare delivery and medical education. The Clinical Presentation Continuum (CPC) was developed before the expansion of the Heritage College and its shift in focus to: increasing the number of primary care physicians in Ohio, an enhanced research-based culture, expanding access to quality healthcare services in rural and urban underserved areas, and improved technological infrastructure; and before many of the changes in healthcare delivery, educational strategies, and single GME accreditation. These changes led to a decision to update and transform the Heritage College curricula.

Some specific factors in the Heritage College's decision to change its curriculum include:

1. Setting an overarching goal of being a leader in osteopathic medical education.

2. Need to incorporate contemporary and critical elements into a modern and leading curriculum (e.g., interprofessionalism, professionalism, new healthcare delivery methods such as the Patient-Centered Medical Home, Patient-Centered Primary Care, change from fee- to value-based care, etc.) to address:
   a. New goals outlined in our strategic plan
b. New skills demanded by changes in the healthcare environment

c. New emphases funded by our Osteopathic Heritage Foundation grant for primary care

3. A nationwide implementation of innovations in medical education science, such as Entrustable Professional Activities, competency-based education and asynchronous learning, which are not included adequately in our current curriculum.

4. A need to further embed osteopathic principles in the curricula, made more urgent by the decision to move toward a single Graduate Medical Education accreditation system.

5. Responding to thought leadership in medical education (AMA, 2015, AACOM 2012) which challenges us to:

   a) developing flexible, competency-based pathways;
   b) teaching new content in health systems science;
   c) working with healthcare delivery systems in novel ways;
   d) making technology work for learning;
   e) envisioning the mastery of adaptive learning;
   f) shape tomorrow's leaders
   g) create sets of performance indicators to meet the current needs of patients, modern health systems, and the changing landscape of medical education

Additionally, the Heritage College has been on a different academic calendar than other programs at Ohio University, which creates significant barriers to collaboration with other University departments for training in interprofessionalism. The new model will operate on the same University calendar for other programs.

We are proud to have also been approved for “The Transformative Care Curriculum”. This is a pathway within the curriculum based in Cleveland. This was developed in close partnership with the Cleveland Clinic. This demonstration project is one of the most innovative medical education programs in the country. The program integrates medical school and residency in a continuous longitudinal program, decreases the medical school period of time from 4 to 3 years, is seamlessly integrated into a co-designed population–based integrated care model, and builds community health partnerships. This program has already been recognized as one of only 32 medical schools in the country for the AMA’s Accelerating Change in Medical Education initiative which is designed to create the medical school of the future.

Accompanying this memo are the proposal and documentation to the UCC for a program change, and a presentation to the Board of Trustees highlighting the curricular changes.
PROPOSAL FOR CHANGES IN PROGRAM

__Undergraduate  __Masters  ____Doctorate  ____Certificate  ___Medicine

Program Code:  DO1210

Program Name:  Doctor of Osteopathic Medicine

Contact name and email for this proposal:  Nicole Wadsworth, D.O., wadwort@ohio.edu

Brief (< 250 word) Summary of Proposed Changes and Rationale:
[Note any impact on total program hours, any impact on resource requirements or faculty, and identify patron departments (departments affected by the change) to be included in the approval queue]

The Heritage College proposes a transition in our curricular model to incorporate the American Association of Colleges of Osteopathic Medicine’s framework of Osteopathic Considerations for Core Entrustable Professional Activities for Entering Residency. The transition would align the college with Ohio University’s academic calendar and credit hour formula, which would result in fewer weeks of instruction and fewer credit hours though the instructional content will be relatively equivalent. This equivalence would be achieved by eliminating redundant content and by switching from a teacher-centered to a student-centered approach of learning through “flipping” content from lecture to self-directed learning activities.

Students would be minimally impacted during the transition. The new curriculum would launch with an incoming class, while other active classes would complete the current curriculum. The Heritage College has been working for the past year to improve and update workflow systems, identify faculty and staff workload needs and update infrastructure to manage both curricula during the transition year and thereafter. These preparations included suspending one of our two curricular tracks to focus resources on the new model. We anticipate our students will continue to elect to take courses/programs across the university at the current volume.

We estimate the new curricular model needing 60,000 Pre-Clinical faculty hours per Academic Year - which is equivalent to our current needs.

The proposed changes will not impact OU accreditation as the Heritage College is accredited by the Commission on Osteopathic College Accreditation (COCA). Our transition requires OU approval prior to applying for accreditation approval.

Detailed Description of Proposed Changes and Rationale (for changes that require additional explanation):

Our environment has changed significantly, both internally and externally since our last curriculum redesign. The Heritage College has recently experienced rapid growth, and now delivers education to 250 students per class, across three academic campus
locations and multiple clinical campuses. Health care delivery is also rapidly changing, which necessitates the proposed changes. Additional rationale for updating our curriculum include:

**Alignment of standards** – A new curriculum will allow us to align our standards with those set by national and reputable bodies like the American Association of Medical Colleges (AAMC) and the American Association of Colleges of Osteopathic Medicine (AACOM), and our accrediting body, the Commission on Osteopathic College Accreditation (COCA).

**Alignment of Calendars** – Aligning the Heritage College and OU calendars will allow us to meet national and accreditation standards. For example, a new COCA standard on interprofessional education requires that student curricular experiences “should include practitioners and/or students from other health professions and encompass the principles of collaborative practices”. Meeting this requirement will be much easier to achieve if our students are on the same academic calendar as the other OU colleges.

**Response to a rapidly changing external environment** – By 2020, all American Osteopathic Association (AOA) approved residencies will need to migrate to the allopathic (M.D.) American College of Graduate Medical Education (ACGME) standards. Aligning with the AAMC standards will ensure that our students are well prepared to match into and be successful in the ACGME environment.

**Creativity and Innovation** – The proposed changes will allow a more flexible curriculum, with space for additional elective courses, opportunity to incorporate new teaching technology, and to vary our methods of assessments.

**Efficiency** – Our current curriculum is very resource-intensive to manage. Our hope is to simplify the curriculum to make related processes more efficient and, easier to administer, and a better experience for faculty, staff and students.

**Modernization** – There are new opportunities in medical education from which our current curriculum is not benefitting. The proposed curricular plan will address many of these issues, with wellness being front and center, as well as the amount of time students spend in the classroom, particularly in the first two years. Additionally, shifting some content to the third year can enable additional time for content in patient safety, population health, community health, leadership, teamwork, and interprofessional education.

**Meet our overarching goal** - In order to meet the initiative of increasing the quality and number of primary care physicians in Ohio, we need to provide our students with a contemporary, well-organized, and flexible curriculum.
Part of a Movement – Many osteopathic schools are moving towards new curricular models proving that the Heritage College is not alone in its efforts. Current literature supports that competency based education is a popular approach to education, that active learning techniques lead to higher knowledge retention rates, and that a curriculum integrated with critical thinking and problem solving prepares students to meet the needs of the 21st century health care environment.

Conversations around a curricular change began in August 5, 2013 and has engaged the Heritage College community via:
- 5 task force groups
- 7 content expert speakers
- 9 college-wide community forums
- Monthly updates at College Standing meetings (Curriculum Advisory Committee, Executive Committee, College Faculty Committee and Departments)
- 13 surveys
- A public website
- Regular College newsletter articles
- Regular e-mail updates
### Curricular Overview (Current vs. Proposed)

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<th>Category</th>
<th>Current Curriculum</th>
<th>Proposed Curriculum</th>
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| Global              | 271 credit hours for Degree Program - Doctor of Osteopathic Medicine - Clinical Presentation Curriculum | 221 credit hours for Degree Program - Doctor of Osteopathic Medicine - Pathways to Health and Wellness Curriculum (traditional 4 year degree program at all 3 campuses)  
• 56 credit hours for first two years (12 foundation & min. of 2 elective credit hours/semester x 4 semesters for first 2 years)  
• 162 credit hours for last 2 years (2 credit hours/rotation week plus min. of 2 elective credit hours/semester) |
|                     | 153 credit hours for Transformative Care Curriculum (TCC) elective pathway (a 3-year degree pathway pilot with Cleveland Clinic). Our partnership with the Cleveland Clinic has allowed the opportunity for 8 of our Cleveland students to pilot a 3 year degree pathway. Students in this pathway will take all of the required course the traditional pathway requires during Years 1 - 3, in addition they will be required to follow a particular lockstep offering of elective courses. Since the partnership guarantees a direct match for 8 students into primary care residency slots at Cleveland Clinic, these 8 students will not need to complete the required rotation electives traditionally taken during the 4th year of medical school to auditioning for a residency match. If the pilot is successful, there is future potential to include more students (locally and across campuses) in this 3 year degree pathway. These course have been submitted to the Individual Course Committee for approval this fall.  
• 33 credit hours (3 Longitudinal Integrated Clerkship (LIC) elective credit hours/semester x 7 semesters + 12 Interprofessional Education (IPE) elective credit hours)  
• 48 credit hours for first two years (12 foundation x 4 semesters for first 2 years)  
• 72 credit hours for the 3rd year (2 credit hours/rotation week x 36 weeks) |
| Scheduling          | Heritage College specific calendar  
153 weeks over four years (42 weeks Year 1, 34 weeks Year 2, 45 weeks Year 3, 32 weeks Year 4) | OU calendar  
141 weeks over four years (32 weeks Year 1, 32 weeks Year 2, 45 weeks Year 3, 32 weeks Year 4 (except for TCC); COCA requires 130 total week minimum). |
|                     | 24 hours per week of student time with no required activities to be used for self-directed study, electives and personal wellness | 18 required in-class contact hours per week of student time, plus a minimum of 6 out of class hours to be used for self-directed study. Additional time freed for electives and personal wellness, as well as for developing content to meet new needs of a changing healthcare environment  
• Dedication to retaining unscheduled time even as new content is added through strategic planning of the curriculum |
|                     | Inflexibility in the schedule for adding new content to the curriculum to meet needs of a changing healthcare environment | Flexibility in the schedule for adding new content to the curriculum to meet needs of a changing healthcare environment |
| Assessment of Learning Outcomes | Primarily summative assessment  
• Infrequent high stakes assessment  
• Knowledge-based assessment | Primarily formative assessment  
• Frequent low stakes assessment  
• Assessment as low stress learning opportunity  
• Outcome-based assessment |
| Curricular Design   | Silos of teaching disciplines  
Lack of integrated osteopathic thinking | Horizontally and vertically-integrated teaching of disciplines  
Seamless integration of osteopathic thinking and |
<table>
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<th>Category</th>
<th>Current Curriculum</th>
<th>Proposed Curriculum</th>
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| Challenges in scheduling interprofessional experiences | osteopathic manipulative medicine throughout the curriculum                        | The Commission on Osteopathic College Accreditations new standard requires that student "experiences should include practitioners and/or students from other health professions and encompass the principles of collaborative practices."
<p>| Discontinuity between pre-clinical (1 &amp; 2) years and clinical years (3 &amp; 4) | Continuity and integration across all years via mentorship, portfolio, didactic discipline threads |                                                                                                                                                    |
| Limited ability for personalization of the learning experience | Personalization of the learning experience through:                                 |                                                                                                                                                    |
| Impact on other University Programs          | Enhanced elective course and elective pathway opportunities that support college’s vision, mission, and values |                                                                                                                                                    |
|                                             | Longitudinal mentoring and coaching                                                 |                                                                                                                                                    |
|                                             | Portfolio that charts academic and professional development of learner              |                                                                                                                                                    |
|                                             | Students will continue to take OU degree programs and courses for credit, e.g. IHS 5510 and IHS 5518 (see cell to left). The only change will be that they may get credit toward their required Electives, if approved by OUHCOM. |                                                                                                                                                    |
|                                             | Potential for future benefit to non-Heritage College OU students to take Heritage College elective course offerings alongside medical students. |                                                                                                                                                    |</p>
<table>
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<tr>
<th>Semester/Year</th>
<th>Current Course Requirements</th>
<th>Proposed Course Requirements</th>
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</thead>
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| **Courses - Fall Semester Year 1 Students** | Six (6) courses (27 credit hours): OCOM 6002 Introduction to Primary Care Medicine (2 credit hours), OCOM 6001 Clinical Anatomy Immersion (6 credit hours), OCOM 6010 Musculoskeletal (5 credit hours), OCOM 6015 Blood (3 credit hours), OCOM 6020 Infection & Immunity (4 credit hours), OCOM 6080 Clinical Skills 1 (7 credit hours), | One (1) required course (12 credit hours) + optional electives @ a 2 credit hour minimum:  
  - Osteopathic Approach to Patient Care 1 (12 credit hours; in OCEAN for ICC approval)  
  - Elective course(s) of student's choice @ 2 credits each |
| **Courses - Spring Semester Year 1 Students** | Five (5) courses (30 credit hours): OCOM 6025 Cardiovascular (6 credit hours), OCOM 6030 Respiratory (5 credit hours), OCOM 6035 Gastrointestinal (5 credit hours), OCOM 6040 Urogenital Tract (5 credit hours), OCOM 6090 Clinical Skills 2 (9 credit hours), | One (1) required course (12 credit hours) + optional electives @ a 2 credit hour minimum:  
  - Osteopathic Approach to Patient Care 2 (12 credit hours; in OCEAN for ICC approval)  
  - Elective course(s) of student's choice @ 2 credits each |
| **Courses - Fall Semester Year 2 Students** | Four (4) courses (21 credit hours): OCOM 7000 Neurology (7 credit hours), OCOM 7005 Ear, Eyes, Nose, Throat (4 credit hours), OCOM 7010 Psychiatry (3 credit hours), OCOM 7080 Clinical Skills 3 (7 credit hours), | One (1) required course (12 credit hours) + optional electives @ a 2 credit hour minimum:  
  - Osteopathic Approach to Patient Care 3 (12 credit hours; in OCEAN for ICC approval)  
  - Elective course(s) of student's choice @ 2 credits each |
| **Courses - Spring Semester Year 2 Students** | Five (5) courses (24 credit hours): OCOM 7015 Endocrine & Metabolism (6 credit hours), OCOM 7020 Obstetrics-Gynecology (4 credit hours), OCOM 7025 Pediatrics (2 credit hours), OCOM 7035 Geriatrics (2 credit hours), OCOM 7030 Addition/Pain & Palliative Care (2 credit hours), OCOM 7085 Clinical Skills 4 (8 credit hours), | One (1) required course (12 credit hours) + optional electives @ a 2 credit hour minimum:  
  - Osteopathic Approach to Patient Care 4 (12 credit hours; in OCEAN for ICC approval)  
  - Elective course(s) of student's choice @ 2 credits each |
<p>| <strong>Courses - Years 3 &amp; 4 Students</strong> | 3rd &amp; 4th Year Required Rotation and Required Elective Rotation Courses (165 credit hours): OCOM 8020 - Emergency Medicine, OCOM 8040 - Pediatrics, OCOM 8050 - Women's Health, OCOM 8060 - Psychiatry, OCOM 8100 - General Internal Medicine, OCOM 8101 - Internal Medicine Subspecialty - Adolescent Medicine, OCOM 8102 - Internal Medicine Subspecialty - Allergy/Immunology, OCOM 8103 - Internal Medicine Subspecialty - Cardiology, OCOM 8104 - Internal Medicine Subspecialty - Endocrinology, OCOM 8105 - Internal Medicine Subspecialty - Gastroenterology, | 3rd &amp; 4th Year Rotation Courses remain the same (162 credit hours) except for changes necessary for the TCC pathway (See details in Column 3, Row 1). |</p>
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>OCOM 8106</td>
<td>Internal Medicine Subspecialty - Geriatrics</td>
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<td>OCOM 8107</td>
<td>Internal Medicine Subspecialty - Hematology,</td>
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<td>Internal Medicine Subspecialty - Hospital Medicine,</td>
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<td>OCOM 8109</td>
<td>Internal Medicine Subspecialty - Infectious Disease,</td>
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<td>Internal Medicine Subspecialty - Nephrology,</td>
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<td>OCOM 8111</td>
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<td>Internal Medicine Subspecialty - General Internal,</td>
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<td>OCOM 8117</td>
<td>Internal Medicine Subspecialty Selective - House Nights,</td>
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<td>OCOM 8118</td>
<td>Internal Medicine Subspecialty - Sleep Medicine,</td>
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<td>Internal Medicine Subspecialty - Hospice and Palliative Care,</td>
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<td>Selective Surgery - Obstetrics and Gynecology,</td>
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<td>OCOM 8200</td>
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<td>OCOM 8201</td>
<td>Elective - Aerospace Medicine,</td>
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<td>OCOM 8203</td>
<td>Elective - Cardiology,</td>
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<td>OCOM 8204</td>
<td>Elective - Cardiovascular, Vascular, and Thoracic,</td>
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<td>OCOM 8206</td>
<td>Elective - Otorhinolaryngology,</td>
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<td>OCOM 8207</td>
<td>Elective - Emergency Medicine,</td>
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<td>OCOM 8208</td>
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<td>OCOM 8218</td>
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<td>OCOM 8219</td>
<td>Elective - Osteopathic Manipulative Medicine,</td>
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<td>OCOM 8221</td>
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<td>Elective - Laboratory Medicine/Pathology,</td>
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<td>OCOM 8223</td>
<td>Elective - Pediatrics,</td>
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<td>OCOM 8224</td>
<td>Elective - Physical Medicine and Rehabilitation,</td>
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<tr>
<td>OCOM 8226</td>
<td>Elective - Psychology,</td>
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<tr>
<td>OCOM 8227</td>
<td>Elective - Pulmonary Medicine,</td>
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<td>OCOM 8228</td>
<td>Elective - Radiology,</td>
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<tr>
<td>OCOM 8229</td>
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<td>OCOM 8231</td>
<td>Elective - Urology,</td>
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<tr>
<td>OCOM 8233</td>
<td>Elective - Maternal Fetal Medicine,</td>
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<td>OCOM 8238</td>
<td>Elective - Trauma,</td>
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<tr>
<td>OCOM 8239</td>
<td>Elective - Critical Care Medicine,</td>
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<td>OCOM 8240</td>
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<tr>
<td>OCOM 8241</td>
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<td>Elective - Oral Surgery,</td>
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<td>OCOM 8243</td>
<td>Elective - Sports Medicine,</td>
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<td>Elective - Infectious Disease,</td>
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<tr>
<td>OCOM 8245</td>
<td>Elective - Allergy/Immunology,</td>
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<tr>
<td>OCOM 8247</td>
<td>Elective - Plastic/Reconstructive Surgery,</td>
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<tr>
<td>OCOM 8248</td>
<td>Elective - Endocrinology,</td>
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<tr>
<td>Courses - Electives</td>
<td>Minimal pre-clinical electives offered</td>
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</table>
| Currently Offered OCOM electives: | | - Retain current offerings.  
- Develop additional OCOM elective course offerings according to formal guidelines and approval processes.  
- Transformative Care Curriculum Electives: LIC and IPC. See details in Column 3, Row 1. |
| OCOM 7110 - Osteopathic Manipulative Medicine (OMM) Honors 1 | | |
| OCOM 7115 - OMM Honors 2, (3 credit hours) | | |
| OCOM 7930 - Directed Studies in Pre-Clinical Osteopathic Medicine | | |
| OCOM 7940 - Research and Scholarly Advancement Fellowship | | |
| OCOM 6500 - Special Topics in Osteopathic Medicine | | |
| OCOM 8921 - Elective - Academic Osteopathic Manipulative Medicine | | |
| OCOM 8930 - Directed Studies in Osteopathic Medicine | | |
| OCOM 8931 - Elective in EKG Reading – Self Study | | |
| OCOM 8900 - Special Topics in Osteopathic Medicine | | |
| OCOM 8911 - Elective - Global Health | | |
| OCOM 8912 - Elective - Academic Medicine | | |
| OCOM 8940 - Research Elective - Introduction to Research | | |
| OCOM 8941 - Scholarly Work - Required Paper | | |
| OCOM 8942 - Research Elective - Critical Literature Review | | |
| OCOM 8943 - Research Elective - Case Based Study | | |
| OCOM 8944 - Research Elective - Retrospective, Prospective, and Meta-Analysis Studies | | |
| OCOM 8945 - Dual Degree Program Capstone | | |
| Extracurricular experiences not for credit, e.g. Rural/Urban Scholarship and Service, Lifestyle Medicine, Professionalism, etc. | | Extracurricular experiences are being developed into elective for credit courses, e.g., Rural/Urban Scholarship and Service, Lifestyle Medicine, Pre-Clinical Research (preparing to send for ICC approval Fall 2016) |
Ohio University
Heritage College of Osteopathic Medicine
New Curriculum
Faculty Initiated Change

Focused on:
  Creativity and Innovation
  Deeper Osteopathic Integration

In Response to:
  Rapidly Changing External Environment

Approved by:
  HCOM Faculty
  OU Faculty Senate
  Commission on Osteopathic College Accreditation
## Curricular Overview: Current vs. New

<table>
<thead>
<tr>
<th>Category</th>
<th>Current Curriculum</th>
<th>New Curriculum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Global</td>
<td>271 Credit Hours for Degree Program</td>
<td>221 Credit Hours for Degree Program</td>
</tr>
<tr>
<td></td>
<td>• Doctor of Osteopathic Medicine - Clinical Presentation Curriculum</td>
<td>• Doctor of Osteopathic Medicine - Pathways to Health and Wellness Curriculum (Traditional 4-year degree program at all 3 campuses)</td>
</tr>
<tr>
<td>Scheduling</td>
<td>Heritage College Specific Calendar</td>
<td>OU Calendar</td>
</tr>
<tr>
<td></td>
<td>• 153 weeks over four years</td>
<td>• 141 weeks over four years</td>
</tr>
<tr>
<td></td>
<td>• 42 weeks Year 1</td>
<td>• 32 weeks Year 1</td>
</tr>
<tr>
<td></td>
<td>• 34 weeks Year 2</td>
<td>• 32 weeks Year 2</td>
</tr>
<tr>
<td></td>
<td>• 45 weeks Year 3</td>
<td>• 45 weeks Year 3</td>
</tr>
<tr>
<td></td>
<td>• 32 weeks Year 4</td>
<td>• 32 weeks Year 4 (except for TCC – Transformative Care Curriculum).</td>
</tr>
</tbody>
</table>
Pathways to Health and Wellness Curriculum

Academic and Scholarly Concentrations (Pathway of Elective Coursework or Research)
Learning Structure of Pathways to Health and Wellness Curriculum

Structured Curricular Learning Activities:
• Small group coaching
• Integrated active learning labs
  • Medical morphology
  • Clinical and osteopathic manipulative medicine skills
  • Clinical reasoning/critical thinking activities
• Clinical and community experiences

Personalized “Pathway to Health and Wellness:”
• Electives
• Self-directed learning
• Mentored portfolio
• Assessment for Learning
• Protected wellness time

*For more detail, see pg. 9 in our submitted document.
Innovative New Pathway: TCC
Transformative Care Curriculum

- Train 8 per year
- 3 Year accelerated Program
- Development of Undergraduate Medical Education Curriculum
- Fund 24 Family Medicine Graduate Medical Education Spots
- Offer contract after successful completion

SHARED
- Develop Selection Criteria
- Program Implementation: Graduate Medical Education curriculum, assessment, faculty development
- Pursue funding opportunities
Innovative New Pathway: TCC Transformative Care Curriculum

Transformative Care Curriculum

The Evaluation of the Patient

- H&P Skills
- Interprofessional Care Course (Summer)

The Experience With the Patient

TRANSITIONS OF CARE
- Patient Navigation
- Center for Connected Care
- Telehealth and Technology
- Pharmacy
- Med/Surg Care Coordination

CLINICAL ROTATIONS

YEAR 1

YEAR 2

YEAR 3
Pathways to Health and Wellness Curriculum

QUESTIONS?
HONORS TUTORIAL COLLEGE & DEPARTMENT OF SOCIAL AND PUBLIC HEALTH
BACHELOR OF SOCIAL WORK IN SOCIAL WORK

RESOLUTION 2017 -

WHEREAS, the Department of Social and Public Health in the College of Health Sciences and Professions has developed a Bachelor of Social Work degree in social work for students enrolled in the Honors Tutorial College, and

WHEREAS, the proposed program has completed University Curriculum Council approval, and

WHEREAS, the proposed degree program

- Will offer an individualized, liberal-arts based course of study for high-achieving students; and

- Will offer another option suited to students with interests in social work; and

- Will balance breadth and rigor with freedom for independent academic and interdisciplinary achievement; and

- Will offer study and career opportunities in a region that has growing need for social workers owing to the economic and health problems endemic to the Appalachian area.

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby approves offering the Bachelor of Social Work in social work by the Department of Social and Public Health through the Honors Tutorial College.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Honors Tutorial College – Social Work – Bachelor of Social Work

A resolution is included seeking board approval for a new Honors Tutorial College (HTC) degree offering a Bachelor of Social Work (BSW) in social work through the Department of Social and Public Health in the College of Health Sciences and Professions.

The OHIO Curriculum Enhancement and Approval Network (OCEAN) proposal materials are presented. University Curriculum Council has approved the program and provides the proposal for your review.

The proposed social work major (BSW) in the Honors Tutorial College (HTC) is designed to meet the needs of high-achieving students who want to pursue a liberal-arts based HTC degree in social work. Currently, the HTC Social Work program offers a Bachelor of Arts in Social Work (BASW) degree that includes a required curriculum as guided by the Council of Social Work Education (CSWE). To mirror the regular social work programs that have a BASW and a BSW, it is proposed to add the BSW degree to the HTC Social Work program options. The only difference between the regular BASW and BSW programs is that the BASW program requires two years of foreign language coursework, whereas the BSW program requires none. Students can take courses other than foreign language to fulfill credit requirements.

The HTC Social Work (BASW) demand is small and currently has only one student who wants to graduate with a BSW. The HTC Social Work program has enrolled at least one student per year in the last eight years, many of whom have completed or nearly completed two years of foreign language by the time they matriculate. It is anticipated that the BSW option will attract an additional student per year. The HTC Social Work BSW offers greater flexibility in degree requirements. Foreign language courses are not required by the CSWE nor needed for professional licensure, graduate school, or most jobs in the field.

The HTC Social Work BSW curriculum includes the same core requirements as any other HTC degree. The proposed HTC Social Work BSW shares with the HTC Social Work BASW the same curriculum with liberal arts general education courses and a series of social work practice, policy and research courses, and structured field experiences.
1) **Summary Statement**

1) Title of Program, Degree to be conferred, Administrative unit proposing program, Date of submission

Honors Tutorial Social Work Program, Bachelor of Social Work (B.S.W.)
Proposed by Department of Social and Public Health – Social Work program, Honors Tutorial College
August 2016

2) A brief (< 500 word) statement summarizing the need / purposes of the program (including the
estimated demand for the program), distinguishing features of the curriculum, a summary of
resource needs (faculty, space, and financial requirements), and the date of proposed
implementation.

The proposed Social Work major (B.S.W.) in the Honors Tutorial is designed to meet the needs of high-
achieving students who want to pursue a liberal-arts based HTC degree in social work. Currently the HTC
Social Work program offers a B.A.S.W. degree that includes the required curriculum as guided by our
accrediting body – the Council on Social Work Education (CSWE). To mirror our regular social work
programs that have a Bachelor of Arts in Social Work (B.A.S.W.) and a B.S.W., we propose to add a
B.S.W. program to the HTC Social Work program options. It’s important to note that the only difference
between the regular B.A.S.W. and B.S.W. program is that the B.A.S.W. program requires two years of
foreign language courses whereas the B.S.W. requires none. Students could take courses other than foreign
language to fulfill their credit requirements.

Given the specialized nature of the program, demand is small. HTC Social Work currently has only one
student who wants to graduate with a B.S.W. We cannot anticipate how many students in the future will prefer
this option. The HTC Social Work program has enrolled at least one student per year for the past eight years
many of whom have completed or nearly completed two years of foreign language by the time they enroll at
Ohio University. We expect that the B.S.W. option could attract an additional student per year. The reasons
for proposing the new program are to better meet the educational objectives of HTC Social Work students
by enabling them greater flexibility in degree requirements. Foreign language courses are not required by
our accrediting body, so taking foreign language courses is not necessary for a degree, professional
licensure, graduate school acceptance or most jobs in the profession.

The curriculum includes the same core requirements as any other HTC degree: minimum 3.5 GPA,
English composition requirements, Honors seminar, six tutorials, two thesis tutorials, and successful
submission of a thesis. The proposed HTC B.S.W. shares with the HTC B.A.S.W the same curriculum with
liberal arts general education courses and a series of social work practice, policy and research courses and
structured field experiences.

The resource needs for the program are minimal. All required courses are already included in the HTC
B.A.S.W. The B.S.W. would not require any foreign language courses allowing students with other special
interests the opportunity to use their time gaining credits in other areas. We hope to implement this
program beginning in academic year 2016-2017.
II) The Need for the Program

1) What is the local, regional, and national demand for graduates of the proposed program?
   (a) Any statistical documentation would be helpful.

Statistical documentation is not available, especially given the unique nature of this HTC program. However, social work as a field is growing because of the changes related to the Affordable Care Act requirements for social work professional and the increase in interdisciplinary work in health that includes social workers. The region has a growing need for social workers due to the economic and health problems endemic to the Appalachian area. Graduates are quickly finding social work jobs without needing a foreign language. Adding the option to graduate without taking a foreign language – as is the case with our regular social work B.S.W. program – HTC social work students could take other courses/minors/certificates that interest them and serve the community more effectively.

According to the U.S. Bureau of Labor Statistics (BLS), between 2014 and 2024 the growth of Social Workers is expected to be 12%, which “is faster than the average for all occupations” (BLS, 2015, December 17, p 1) (http://www.bls.gov/ooh/community-and-social-service/social-workers.htm

2) What other schools within Ohio offer the same or a similar program?
   (a) What has happened to enrollments at those schools in recent years?

In Ohio, no other university has a comparable college to HTC with the Social Work program. Most public and private universities in Ohio or in nearby states have regular Social Work programs comparable to the Ohio University. Other Ohio universities with regular undergraduate Social Work programs are Ashland University, Bluffton University, Bowling Green State University, Capital University, Cedarville University, Central State University, Cleveland State University, Defiance College, Franciscan University of Steubenville, Lourdes University, Malone University, Miami University, Mount St. Joseph University, Mount Vernon Nazarene University, Ohio Dominican University, Ohio State University, Union Institute and University, University of Akron, University of Cincinnati, University of Findlay, University of Rio Grande, University of Toledo, Ursuline College, Wright State University, Xavier University, and Youngstown State University. No other Social Work program in the U.S. features individualized tutorials as a guaranteed feature of the curriculum.

3) How does the proposed program align with the current vision for the university?

Ohio University has been increasingly defining itself as a student-centered experience that is responsive to the specific needs of individual students. OU also has a vision as a public university that offers top-notch educational opportunities. Furthermore, OU supports individual student entrepreneurship in regards to student’s individual academic needs – especially in HTC. This program reflects all of those priorities.

4) What Ohio University program comes closest to duplicating the proposed program?
   (a) More generally, what duplication exists between the proposed program and other Ohio University programs?
   (b) Can students fulfill their educational and/or vocational needs through existing programs? If they cannot, why not?

As described earlier, the B.A.S.W. offered by the Social Work program nearly duplicates the proposed program, but does require two years of a foreign language. So a very high-achieving student who seeks an HTC-level education, but wants to take courses in place of the foreign language is restricted from this option.
5) List departments or other academic units at Ohio University and elsewhere that were consulted in the development of this proposal. Approval is required from departments whose high-demand courses your program will require.

This degree program will not require any high-demand courses from any academic department.

6) From what geographic area do you anticipate that students to the program will be drawn?
   (a) In the case of off-campus technical programs, what are the levels and trends in high school enrollments in the service area?

Students would be drawn from the same geographic areas as current HTC students.

7) How many students do you anticipate will enroll in the program in each of its first four years?
   (a) To what extent will students in the program come from students who would enroll at this University anyhow?
   (b) To what extent is it anticipated that the enrollment will represent "new" (incremental) students?

We expect approximately 1-2 incoming students per year. All of them would likely be new students, who would not otherwise have enrolled at Ohio University.

III) Curriculum

1) Describe the curriculum in a format that defines required courses, electives permitted, "field" requirements, total number of hours required for completion of the program, and the sequencing of courses over the typical student's career. Indicate which of the courses are newly proposed.
   (a) Provide the catalog descriptions for all new courses, and include new course approval forms in the appendix.

The curriculum is as follows:

- HC2500: Honors Seminar (required of all HTC students)
- University English Composition requirement: Complete one First-Year Composition course (1E) and one Junior Composition course.
- All College of Arts and Sciences general education courses (except foreign language courses) are required. AP courses or transfer courses may satisfy those requirements.
- Extra-departmental courses required include: Bios 1030, Math 1200, Psy 1010, Psy 2110, Psy 2410, Psy 2710
- SW pre-major and major courses and field experiences (1000, 2601, 3602, 3701, 3801, 3870, 4801, 4802, 4921, 4922, 4923, 4924)
- Three courses from at least two of the following areas: Anth, Econ, Pols, or Soc.
- Six SW tutorials and two Thesis tutorials taken the senior or final year.

There are no new courses required for the program.

2) How does this curriculum compare with that offered at other institutions with similar programs?
   (a) Specifically, list at least two curricula of other schools offering similar programs, indicating how they compare with Ohio University.
There is no direct comparison to this program, since no other university in Ohio uses the tutorial system.

3) Does the program intend to seek accreditation? If so, what is the name and address of the agency that would accredit the program? (a) Has it been contacted? (b) Is the curriculum in accord with its standards?

All degree programs currently offered by the Social Work program are accredited by the Council on Social Work Education (CSWE), 1701 Duke Street, Suite 200, Alexandria, VA 22314-3457. CSWE accredits our current HTC degree and with the minor differences between the B.A.S.W and proposed B.S.W., and the regular B.S.W., the program would be folded into the current accreditation.

4) Define the proposed policy on accepting transfer of credit from other institutions or other programs at Ohio University.

Transfer of credit from other institutions would be considered in the same way as with any other HTC program. Also, as with any other HTC program, credit from other programs at OU can contribute to the student’s progress toward graduation if they are an approved part of the student’s academic plan.

IV) Faculty and Instruction

1) Will current faculty, new faculty, or a combination of both be used? How? (a) How will new faculty for the program be selected? By whom? (b) What are the minimal qualifications expected of instructors in the program? (c) What is the tenure status of any identifiable current Ohio University faculty who are probable program participants?

The program will use current faculty in the Social Work program, as well as other existing OU faculty who are willing to serve as tutors and are relevant to the student’s course of study. Three-fourths of the probable faculty participants in are tenured (2 Associate Professors, 2 Assistant Professors, 1 Group II).

2) What is the likely teaching load of faculty members?

Faculty members teach tutorials for HTC students in addition to their regular teaching load. Teaching loads in Social Work range from three/two courses per semester for Group I faculty to four courses per semester for Group II faculty.

3) What is the projected ratio of FTE students to FTE faculty? 1:1 or up to 1:3 (based on the tutorial model)

4) Once the program is ongoing, what mechanism will assure that the principle of faculty control of the curriculum will be maintained according to procedures outlined in the Faculty Handbook?

The Director of Studies, a tenured faculty member, serves as the curricular head of the program. The initial program will be vetted through CHSP Department of Social and Public Health Curriculum Committee and the University Curriculum Council.

V) Admission Requirements

1) What are the criteria for admission into the program? Be specific.
Because of the rigorous, one-on-one nature of the tutorial-based program, HTC is a highly selective institution. While exceptional circumstances are considered, ideal HTC applicants should have minimum standardized test scores of about a 30 on the ACT and/or 1300 on the SAT and should be in the top 10 percent of their high school graduating class. An on-campus interview is required and volunteer or work experience are preferred.

2) Are there any upper limits on program enrollment?
   (a) If yes, will you limit admission on a first come/first serve basis, by raising admission standards, or by some other method (specify)?

The program will be limited to 3 in-coming and transfer students per year. As with all HTC programs, admission will be competitive and will be limited to the most qualified candidates. This is in keeping with overall HTC admission policies.

VI) Administration

1) Who chose (or will choose) the administrative officer(s)?

The Dean of Honors Tutorial College will choose the administrative officer.

2) What is the title of the administrator(s) who will administer the program?

The title is Director of Studies, Social Work.

3) Will the administrator(s) have academic rank?
   (a) If a new administrator will be hired, what are the minimal academic credentials acceptable?

As with all HTC Directors, the administrator will be a current faculty member. The position does not require a new administrator (or faculty member) to be hired.

VII) Timing and Evaluation

1) Has any external publicity about this program already been generated?
   (a) If so, by whom and why?
   (b) Have applications for admission already been entertained?

No external publicity has been generated.

2) When do you want the program to start? How will the program be “Phased-in”?
   (a) Allow at least 120 days for University Curriculum Council and Presidential and Trustee approval.

Given how simple this change is, we want to start as soon as possible.

3) New programs will be evaluated annually by their colleges. What additional assessment tools are suggested to evaluate the program once ongoing?

The College receives a qualitative evaluation from students enrolled in the program every semester. Dean Webster evaluates each program and its Director of Studies annually.
VIII) **Budget and Financial**

1) List an anticipated budget of revenues and expenses for at least the first two years of the program.

With the enrollment as high as 2 students in year 1, and 2 additional students added in year 2, the budget estimate of revenue and expenses is as follows:

<table>
<thead>
<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Revenue</td>
<td>$7243</td>
<td>$14,487</td>
</tr>
<tr>
<td>Subvention Tax</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>New Indirect Costs</td>
<td>$5255</td>
<td>$10,509</td>
</tr>
<tr>
<td>New Direct Costs</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Net Available</td>
<td>$1988</td>
<td>$3,977</td>
</tr>
</tbody>
</table>

There are no new costs associated with this program.

2) Under costs, add in the incremental costs of instruction taken in areas outside the program (e.g. electives); if these costs are perceived to equal zero, state why the increased student burden in other areas will not add to financial costs and impede educational quality.

With so few students in the program, we do not anticipate an increased burden in other courses.

3) What is the extent of the fixed costs of the program for the first two years?
   (a) By fixed costs, we mean those expenses that will be incurred even if enrollment is almost zero.
   
   There are no fixed costs for the program.

4) How much would expenses be reduced if enrollment equals only one-half the amount indicated in the budget?

Because the enrollment in this program is small, indirect costs associated with this program are proportional to the number of students. One-half of the anticipated students would reduce costs by one half.

5) What is your estimate of how conservative or optimistic your budget projections are?

Conservative

**Reference**


**Note:** This proposal was adapted from the HTC Dance Studies proposal from 2015.
RESOLUTION 2017 -

WHEREAS, the Department of Mathematics in the College of Arts and Sciences has requested that the Bachelor of Science in Mathematics – Meteorology be suspended, and

WHEREAS, the request for suspended status has been approved by the University Curriculum Council, and

WHEREAS, the lack of faculty expertise and declining enrollment have led to request for program suspension, and

WHEREAS, the sole remaining student will change to the major offered in the Department of Geography.

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby accepts placing the Bachelor of Science degree program in Mathematics – Meteorology on suspended status.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: BS3110 – Mathematics - Meteorology

The Department of Mathematics in the college of Arts and Sciences has requested that the program leading to the Bachelor of Science degree BS3110 – Mathematics-Meteorology be suspended. The University Curriculum Council has approved the request.

The rationale presented for requesting program suspension is based upon lack of faculty expertise and a declining enrollment in favor of the degree offered in the Department of Geography in the College of Arts and Sciences. Only one student is enrolled who will change to the Geography degree program.
PROPOSAL FOR CHANGES IN PROGRAM

_X__ Undergraduate    _ ___Masters    ___Doctorate    ___Certificate

Program Code: BS3110

Program Name: Math - Meteorology

Contact name and email for this proposal: Bob Klein kleinr@ohio.edu

Brief (< 250 word) Summary of Proposed Changes and Rationale:
[Note any impact on total program hours, any impact on resource requirements or faculty, and identify patron departments (departments affected by the change) to be included in the approval queue]

Meteorology at Ohio University is offered in Physics, Math, and Geography. Geography has served the greatest number of these students and does it with faculty who specialize in the area. As such, students are better served there than in the Math Department. Students have figured this out and each year, fewer and fewer students enroll in this major. Currently we have one such student but they plan to switch to Geography. We don’t really have faculty who can claim expertise in this area. Advertising that we support such a program isn’t in students’ best interests and every indication is that it is time to cease offering this program through the mathematics department.

We therefore ask that this program be the phased out as soon as possible.

Detailed Description of Proposed Changes and Rationale (for changes that require additional explanation):
WHEREAS, the School of Nursing in the College of Health Sciences and Professions has proposed a name change to Master of Science in Nursing Adult-Gerontology Acute Care Nurse Practitioner, and

WHEREAS, the proposed name change has been approved by the University Curriculum Council, and

WHEREAS, the proposed name change has been required to be in alignment with the Advanced Practice Registered Nurses (APRN) Consensus Model for national certification, and

WHEREAS, the name change will not impact curricular resources or faculty staffing.

NOW THEREFORE, BE IT RESOLVED that the Master of Science in Nursing Acute Care Nurse Practitioner be renamed Master of Science in Nursing Adult-Gerontology Acute Care Nurse Practitioner.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Name Change - CHSP Master of Science in Nursing Acute Care Nurse Practitioner

A resolution is attached seeking board approval for changing the name of the Master of Science in Nursing Acute Care Nurse Practitioner program to Master of Science in Nursing Adult-Gerontology Acute Care Nurse Practitioner. The University Curriculum Council has approved the request.

As a result of changes to the national certification for acute care nurse practitioner, all acute care nurse practitioner programs must revise their program names to be in alignment with the Advance Practice Registered Nurses (APRN) Consensus Model. A failure to comply will result in students who complete the program being ineligible for national certification.
MSN Proposed Program Changes

PROPOSAL FOR CHANGES IN PROGRAM

___Undergraduate ___Masters ___Doctorate ___Certificate

Program Code: MS1230

Program Name: Master of Science in Nursing Acute Care Nurse Practitioner

Contact name and email for this proposal: Char Miller; millerc3@ohio.edu

Brief (< 250 word) Summary of Proposed Changes and Rationale:

[Note any impact on total program hours, any impact on resource requirements or faculty, and identify patron departments (departments affected by the change) to be included in the approval queue]

The proposed changes to the MSN program ACNP track are a result of the curriculum mapping process prompted by the CHSP Teaching and Learning Committee in 2014, analysis of student feedback regarding course sequencing and clinical experiences, and changes to the national certification requirements for acute care nurse practitioners. The proposed changes represent a realignment of student learning outcomes, curriculum content and clinical hours based on national accreditation standard, certification requirements, and contemporary practice. The proposed changes will result in:

- A name change to Adult-Gerontology Acute Care Nurse Practitioner (AGACNP) program to align with revised national certification requirements
- Changes to admission requirements
- Revision of Student Learning Outcomes to better align with the revised American Association Colleges of Nursing (AACN) MSN Essentials, the core competencies identified by the academic component of our accrediting agency.
- Total credit hour requirements for the MSN ACNP Track major from a variable 39-41 credit hours to a 46 standardized credit hours for the Adult-Gerontology Acute Care Nurse Practitioner (AGACNP track).
- Realignment of clinical course content from four courses to three courses with 650 total clinical hours maintained.
- Realignment of content with elimination of redundancy through combining of four courses’ content into two new courses (NRSE 6021, NRSE 6805).
- Change of the capstone experience to include an on-campus intensive with practice-based simulation, completion of a competency-based portfolio, and preparation and pre-test for national certification exams.
MSN Proposed Program Changes

Name Change

Due to changes to the national certification exam for acute care nurse practitioners, all acute care nurse practitioner programs must revise their program names to be in alignment with the APRN Consensus Model. Failure to comply will result in students who complete the program being ineligible for national certification. This requires that our program change the name to: Adult-Gerontology Acute Care Nurse Practitioner (AGACNP) program.

Admission Requirements

<table>
<thead>
<tr>
<th>Current Admission Requirements</th>
<th>Proposed Admission Requirements</th>
<th>Rationale for change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completion of appropriate application</td>
<td>Completion of appropriate graduate application</td>
<td>Clarification: Students complete the graduate application</td>
</tr>
<tr>
<td>Payment of application fee (non-refundable)</td>
<td>Payment of application fee (non-refundable)</td>
<td>--no change--</td>
</tr>
<tr>
<td>Submission of official copies of all college transcripts with the exception of Ohio University transcripts.</td>
<td>Submission of official copies of all college transcripts with the exception of Ohio University transcripts.</td>
<td>--no change--</td>
</tr>
<tr>
<td>Specified health status requirements</td>
<td>Specified health status requirements</td>
<td>--no change--</td>
</tr>
<tr>
<td>Clean FBI/BCI background checks</td>
<td>Clean FBI/BCI background checks</td>
<td>--no change--</td>
</tr>
<tr>
<td>Minimum GPA of 3.2. Those with GPA less than 3.5 (3.2 to 3.49) must provide documentation of taking the GRE and earned score.</td>
<td>Minimum GPA of 3.2 in undergraduate nursing program(s) for unconditional admission. Minimum cumulative GPA of 3.0.</td>
<td>We have students with previous degrees and transcripts from 15+ years ago that have little bearing on nursing coursework. We believe this criteria will better screen our applicants for potential success.</td>
</tr>
<tr>
<td>Statement of professional goals</td>
<td>Written goal statement response to “Why I want to be an adult-gerontology acute care nurse practitioner” with 3-5</td>
<td>The change of the writing response will require the writing sample to be more individualized. The requirements of using APA style</td>
</tr>
<tr>
<td>MSN Proposed Program Changes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>page limit, APA 6&lt;sup&gt;th&lt;/sup&gt; edition style, required to cite the AACN MSN Essentials document. and providing a resource of the MSN Essentials will also provide an assessment of basic graduate level writing skill.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **Resume or CV** | Resume or CV to include at minimum:  
- Past educational experience  
- Last 5 years work experience  
- License and certifications  
- Relevant community service | This is to clarify the minimum information that should be included on the CV/resume |
| **Three letters of recommendation from individuals who are knowledgeable about the applicant’s ability to complete graduate-level coursework and practice abilities.** | Three (3) letters of references-at least one must be an RN/APRN and at least one must be Master’s or Doctoral level of preparation. | The letters of reference are often from individuals at BSN or ADN level of preparation. These individuals may speak to clinical skill but not necessarily to graduate aptitude. The requirement for MS or higher is more likely to result in assessments congruent with graduate level aptitude. |
| **Evidence of current unencumbered RN licensure in the states in which any clinical experiences will be conducted. International students must be licensed in the U.S.** | Evidence of current unencumbered U.S. RN licensure in the state(s) in which any clinical experiences will be conducted. | Clarification of requirements for licensure. |
| | Evidence of the equivalent of 2 years full time experience working as an RN within the past 5 years | Evidence of 2 years or equivalent as an RN within the past 5 years will help ensure that students are appropriately prepared at the basic level of practice before beginning the transition to advanced practice. |
## MSN Proposed Program Changes

### Student Learning Outcomes

<table>
<thead>
<tr>
<th>Current Student Learning Outcomes</th>
<th>Proposed Student Learning Outcomes</th>
<th>Rationale for change</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Demonstrate use of evidence-based practice in nursing.</td>
<td>1. Synthesize knowledge derived from a scientific foundation and evidence-based practice to demonstrate expertise in advanced nursing practice.</td>
<td>The program outcomes were re-aligned with the revised AACN MSN Essentials (2012). This document is the one that our accreditors use to evaluate MSN programs.</td>
</tr>
<tr>
<td>2. Analyze theories, concepts, and policies from nursing and other disciplines and translates to a wide spectrum of clinical practice settings &amp; diverse populations.</td>
<td>2. Analyze health care policies to enhance and improve population health outcomes across diverse clinical practice settings.</td>
<td></td>
</tr>
<tr>
<td>3. Demonstrate leadership and interdisciplinary collaboration in nursing practice.</td>
<td>3. Demonstrate leadership and interprofessional collaboration for improving clinical prevention and health outcomes.</td>
<td></td>
</tr>
<tr>
<td>4. Synthesize quality improvement strategies and experiences to promote positive nursing practice outcomes.</td>
<td>4. Synthesize and apply quality improvement strategies to promote positive health outcomes.</td>
<td></td>
</tr>
<tr>
<td>5. Develops confidence, knowledge, and skills in the use of technology in nursing practice</td>
<td>5. Develop knowledge, skills, and confidence for entry-level advanced nursing practice.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. Integrate knowledge and skills related to healthcare informatics in the advanced nursing practice role.</td>
<td></td>
</tr>
</tbody>
</table>
## MSN Proposed Program Changes

### Course Sequence and Prerequisites

<table>
<thead>
<tr>
<th>Current Courses/Pre-requisites</th>
<th>Proposed Courses/Pre-requisites</th>
<th>Rationale for change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Core Courses (Taken by all MSN track majors)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NRSE 6010, Theoretical Basis of Practice, 3 credits, Prerequisite is admission to the MSN Program. This is the first course for every MSN student.</td>
<td>NRSE 6010, Theoretical Basis of Practice, 3 credits, Prerequisite is admission to the MSN Program. This is the first course for every MSN student.</td>
<td>--no change--</td>
</tr>
<tr>
<td>NRSE 6020, Theories in Family Care, 3 credits, Prerequisite is NRSE 6010</td>
<td>Delete course</td>
<td>See NRSE 6021 proposed course below</td>
</tr>
<tr>
<td></td>
<td>Add NRSE 6021, Assessment and Intervention in Family Care, 3 credits, Prerequisite is NRSE 6010.</td>
<td>NRSE 6021 is a revised course that combines the essential and common elements from the NRSE 6020 and NRSE 6400 courses into a single course.</td>
</tr>
<tr>
<td>NRSE 6110, Research and Evaluation, 3 credits, Prerequisite is NRSE 6010</td>
<td>Delete course</td>
<td>NRSE 6805/7805 will replace NRSE 6110 and NRSE 6120</td>
</tr>
<tr>
<td>NRSE 6120, Evidence-based Practice, 3 credits, Prerequisite is NRSE 6110</td>
<td>Delete course</td>
<td>NRSE 6805/7805 will replace NRSE 6110 and NRSE 6120</td>
</tr>
<tr>
<td></td>
<td>Add NRSE 6805/7805, Analysis of evidence-based practice for Advanced Nursing Practice, 3 credits, Prerequisite is NRSE 6010 or NRSE 7802.</td>
<td>NRSE 6805/7805 will replace NRSE 6110 and NRSE 6120; Upon curriculum mapping there was found a high degree of overlapping material in NRSE 6110 and 6120. The NRSE</td>
</tr>
</tbody>
</table>
## MSN Proposed Program Changes

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Description</th>
<th>Prerequisites</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRSE 6210, Pathophysiology</td>
<td>NRSE 6210, Advanced Pathophysiology, 3 credits</td>
<td>NRSE 6010</td>
<td>6805/7805 course streamlines the essential content. --no change--</td>
</tr>
<tr>
<td>NRSE 6221, Health Appraisal for NPs</td>
<td>NRSE 6221, Health Appraisal for NPs, 3 credits</td>
<td>NRSE 6010 and NRSE 6210</td>
<td>Clarification only. The NRSE 6221 course includes a campus intensive with clinical simulation emphasizing skills required by NP’s. The NRSE 6220 course is designed for non-NP MSN students. This clarification is to prevent students who switch track majors from expecting NRSE 6220 to be substituted for NRSE 6221.</td>
</tr>
<tr>
<td>OR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NRSE 6220, Advanced Health Appraisal</td>
<td>NRSE 6220, Advanced Health Appraisal, 3 credits</td>
<td>NRSE 6010</td>
<td>THIS COURSE IS FOR THE NURSE PRACTITIONER TRACKS ONLY. STUDENTS WHO ARE NURSE PRACTITIONER DUAL MAJORS (i.e. Family Nurse Practitioner/Nurse Educator) MUST TAKE THIS COURSE; NRSE 6220 IS NOT ACCEPTABLE FOR NURSE PRACTITIONER DUAL MAJORS.</td>
</tr>
<tr>
<td>OR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NRSE 6230, Advanced Pharmacology</td>
<td>NRSE 6230, Advanced Pharmacology, 3 credits</td>
<td>NRSE 6010 and NRSE 6210</td>
<td>The proposed changes facilitate the three P’s (pathophysiology, health appraisal and pharmacology) being completed prior to the beginning of clinical courses for nurse practitioner track majors. These are vital foundational concepts for all clinical courses. The current program requires students to take Pharmacology concurrently with the first clinical course. The proposed change ensures</td>
</tr>
</tbody>
</table>
### MSN Proposed Program Changes

<table>
<thead>
<tr>
<th>Course</th>
<th>New Changes</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRSE 6931 Comprehensive exam, 1 credit. All core and option courses must be complete prior to or concurrently in the same term as NRSE 6931.</td>
<td>For NP track majors: NRSE 6933, Capstone Experience for Nurse Practitioners, 2 credits, Prerequisites NRSE 6822 OR 6825 (may be enrolled in NRSE 6822 OR 6825 concurrently).</td>
<td>The change to the Capstone Experience eliminates the 2-course format of the old curriculum (students were required to take both NRSE 6931 and NRSE 6932). The proposed program curriculum Capstone experience courses are practice-based and model the established core competencies in advanced nursing practice as well as the program outcomes. These courses will include a comprehensive program exam, program outcomes portfolio, and a final comprehensive simulation experience.</td>
</tr>
<tr>
<td>NRSE 6932, Capstone Project (1-8 credits)</td>
<td>Delete course</td>
<td>Replaced by NRSE 6933/6934</td>
</tr>
</tbody>
</table>

### ACNP/AGACNP Track Major Courses

<table>
<thead>
<tr>
<th>Course</th>
<th>New Changes</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRSE 6924, Complex Adult Health Problems I, 3 credits (150 hours practicum)</td>
<td>Delete course</td>
<td>The current clinical courses are 3-4 credit hour courses that actually require 3-4 hours of didactic but also include 150-200 hours of supervised clinical. This does not adequately reflect the amount of work/time required in the course.</td>
</tr>
<tr>
<td>NRSE 6925, Complex Adult Health Problems II, 3 credits, (150 hours practicum).</td>
<td>Delete course</td>
<td>The current clinical courses are 3-4 credit hour courses that actually require 3-4 hours of didactic but also include 150-200 hours of</td>
</tr>
</tbody>
</table>
**MSN Proposed Program Changes**

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Action</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRSE 6300</td>
<td>Acute Care Nurse Practitioner, 3 credits.</td>
<td>Delete course</td>
<td>NRSE 6300 was a course added to the AGACNP track option with the Q2S changes.</td>
</tr>
<tr>
<td>NRSE 6926</td>
<td>Critical Care Concepts and Practice, 3 credits.</td>
<td>Delete course</td>
<td>The current clinical courses are 3-4 credit hour courses that actually require 3-4 hours of didactic but also include 150-200 hours of supervised clinical. This does not adequately reflect the amount of work/time required in the course.</td>
</tr>
<tr>
<td>NRSE 6927</td>
<td>ACNP and Practice, 4 credits (200 hours practicum)</td>
<td>Delete course</td>
<td>The current clinical courses are 3-4 credit hour courses that actually require 3-4 hours of didactic but also include 150-200 hours of supervised clinical. This does not adequately reflect the amount of work/time required in the course.</td>
</tr>
<tr>
<td>NRSE 6826</td>
<td>AGACNP Management of Common Adult Health Problems I, 7 credits (200 hours practicum)</td>
<td>Add course</td>
<td>The AGACNP clinical sequence has been realigned to be 3 courses rather than 4. The credit hours are adjusted to reflect a ratio of 50 clock hours: 1 credit hour for the supervised clinical component plus didactic.</td>
</tr>
<tr>
<td>NRSE 6827</td>
<td>AGACNP Management of Common Adult Health Problems II, 7 credits (200 hours of practicum)</td>
<td>Add course</td>
<td>The AGACNP clinical sequence has been realigned to be 3 courses rather than 4. The credit hours are adjusted to reflect a ratio of 50 clock hours: 1 credit hour for the supervised clinical component plus didactic.</td>
</tr>
<tr>
<td>NRSE 6828</td>
<td>AGACNP in Practice, 8 credits (250 hours of practicum)</td>
<td>Add course</td>
<td>The AGACNP clinical sequence has been realigned to be 3 courses rather than 4. The credit hours are adjusted to reflect a ratio of 50 clock hours: 1 credit hour for the supervised clinical component plus didactic.</td>
</tr>
</tbody>
</table>
### MSN Proposed Program Changes

<table>
<thead>
<tr>
<th>Course</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Add NRSE 6231, Applied Clinical Pharmacology for the AGACNP, 2 credits.</td>
<td>This course provides the necessary content related to acute care pharmacological principles not covered in the basic Advanced Pharm class for all NP majors.</td>
</tr>
<tr>
<td>Add NRSE 6232, Advanced Diagnostics and Procedures for Clinical Decision-Making, 2 credits.</td>
<td>This course provides the necessary additional training for AGACNP students in diagnostics and procedures. Feedback was obtained from our alumni survey indicating that this was a needed area for improvement in the program.</td>
</tr>
</tbody>
</table>
### Year 1

<table>
<thead>
<tr>
<th>Semester 1</th>
<th>Semester 2</th>
<th>Semester 3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NRSE 6010</strong> Theoretical Basis for Practice</td>
<td><strong>NRSE 6021</strong> Assessment and Intervention in Family Care</td>
<td><strong>NRSE 6805</strong> Analyzing EBP for APN</td>
</tr>
<tr>
<td>(3 ch)</td>
<td>(3 ch)</td>
<td>(3ch)</td>
</tr>
<tr>
<td><strong>NRSE 6210</strong> Advanced Pathophysiology</td>
<td><strong>NRSE 6230</strong> Advanced Pharmacology</td>
<td><strong>NRSE 6221</strong> Health Appraisal for NPs</td>
</tr>
<tr>
<td>(3ch)</td>
<td>(3ch)</td>
<td>(3ch)</td>
</tr>
</tbody>
</table>

### Year 2

<table>
<thead>
<tr>
<th>Semester 4</th>
<th>Semester 5</th>
<th>Semester 6</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NRSE 6823</strong>, AGACNP Management of Common Adult Health Problems I (200 hours practicum)</td>
<td><strong>NRSE 6824</strong>, AGACNP Management of Common Adult Health Problems II, (200 hours of practicum)</td>
<td><strong>NRSE 6825</strong>, AGACNP in Practice, (250 hours of practicum)</td>
</tr>
<tr>
<td>(7ch)</td>
<td>(7ch)</td>
<td>(8ch)</td>
</tr>
<tr>
<td>(2 ch)</td>
<td>(2ch)</td>
<td>(2ch)</td>
</tr>
</tbody>
</table>
WHEREAS, the School of Music in the College of Fine Arts has proposed a name change to Master of Music in Conducting (Choral, Orchestral, Wind), and

WHEREAS, the proposed name change has been approved by the University Curriculum Council, and

WHEREAS, the proposed name change has been requested by the National Association of Schools of Music in order to be consistent with national practice and to align to standards, and

WHEREAS, the name change will not impact curricular resources or faculty staffing.

NOW THEREFORE, BE IT RESOLVED that the Master of Music – Music Performance/Conducting be renamed Master of Music in Conducting (Choral, Orchestral, Wind).
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Name Change - CoFA Master of Music – Music: Performance/Conducting

A resolution is attached seeking board approval for changing the name of the Master of Music – Music: Performance/Conducting program to Master of Music in Conducting (Choral, Orchestral, Wind). The University Curriculum Council has approved the request.

The School of Music accrediting body, the National Association of Schools of Music (NASM), stated in its response to a recent program review self-study that the curricular structure of the Master of Music – Music: Performance/Conducting “conforms to that of a major in Conducting rather than a major in Performance.” NASM requested retitling of the degree in order to be consistent with national practice and to align with standards. There is no impact to the curriculum or faculty staffing.
PROPOSAL FOR CHANGES IN PROGRAM

Program Code: MM 5188

Program Name: Music: Performance/Conducting

Contact name and email for this proposal: Matthew James
Associate Director, School of Music
jamesm1@ohio.edu

Brief (<250 word) Summary of Proposed Changes and Rationale:
[Note any impact on total program hours, any impact on resource requirements or faculty, and identify patron departments (departments affected by the change) to be included in the approval queue]

This proposal seeks to change the title for this graduate program to Master of Music in Conducting (Choral, Orchestral, Wind). Neither changes to the curriculum nor staffing changes are necessary for this proposed change.

Detailed Description of Proposed Changes and Rationale (for changes that require additional explanation):

Our accrediting body, the National Association of Schools of Music (NASM), stated in its response to our recent self-study that the curricular structure of this degree “conforms to that of a major in Conducting rather than a major in Performance.” NASM has thus requested the retitling of this degree in order to be consistent with national practice and to align with their standards. They have deferred final approval of this program until this change is made. Thank you for your consideration.
PATTON COLLEGE OF EDUCATION NAME CHANGE FOR THE CENTER FOR PROFESSIONAL DEVELOPMENT SCHOOL PARTNERSHIPS

RESOLUTION 2017 –

WHEREAS, the Center for Professional Development School Partnerships in the Patton College of Education has proposed a name change to the OHIO Center for Clinical Practice in Education, and

WHEREAS, the proposed name change has the support of the Dean of the Patton College of Education and the Vice President for Research and Creative Activity, and

WHEREAS, the proposed name change:
- reflects the broader focus of the Center to develop and support programming that positively impacts PK-12 student learning and education preparation beyond the Professional Development School model;
- reflects the broader focus of the Center to seek cross-collaborations both within and across units of the Patton College; and
- is more sensitive to the current lexicon in educator preparation.

NOW THEREFORE, BE IT RESOLVED that the Center for Professional Development School Partnerships be renamed the OHIO Center for Clinical Practice in Education.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Name Change for the Center for Professional Development School Partnerships

The Center for Professional Development School (PDS) Partnerships in the Patton College of Education has proposed a name change to the OHIO Center for Clinical Practice in Education.

Attached are the letter from the Center Director, Assistant Dean for Academic Engagement and Outreach and Dean requesting the name change and the resolution for the name change.

The requested name change reflects the broader focus of the Center to develop and support programming that positively impacts PK-12 student learning and education preparation beyond the PDS model and to seek cross-collaborations both within and across the Patton College. In addition, the requested name change is more sensitive to the current lexicon in educator preparation.
Patton College of Education
Center Name Change Request

The following narrative is a justification to change the name of The Patton College of Education Center for Professional Development School (PDS) Partnerships to the OHIO Center for Clinical Practice in Education.

With a strong commitment to clinical practice and the clinical model of educator preparation, The Patton College has distinguished itself as a leader in this country. In fact, the American Association for Colleges of Teacher Education selected The Patton College as a Research to Practice Spotlight School in 2016 and released a series of video blogs to showcase the work that is being done in partnership with PK-12 partners and The Patton College. The collaborative work that is done with PK-12 school based teacher educators and university based teacher educators has also garnered national attention and the Center has hosted a variety of other institutions from across the country who have either phone conferenced in for informational meetings or come to Athens to see the OHIO Clinical Model and how The Patton College goes about the business of positively impacting PK-12 student learning and educator preparation.

Although the Professional Development School (PDS) model is a strong component of the Clinical Model at OHIO University, our works now expands beyond our PDS relationships. We are currently working with PK-12 partners and other departments in The Patton College and beyond in new and innovative ways. With this ever changing programming, the Center is now a conduit for the advancement of the Clinical Model and its integration throughout the Unit of Education. The Center will continue to develop and support programming that positively impacts PK-12 student learning and educator preparation as it’s central mission but will now expand beyond the PDS model and actively seek cross-collaborations both within and across Units.

One final rationale for the name change is to ensure that The Patton College is sensitive to the current lexicon in educator preparation. The National Clinical Practice Commission (CPC) is currently developing a white paper in Washington DC to unify the profession by identifying a common language for the important work that is being done in educator preparation. The Patton College recognizes the importance of this work and is committed to ensuring that the OHIO Clinical Model remains a leader across all educator preparation programming in this country and beyond.

Mary Keifer Kennedy, Center Director 12/6/16

Connie Patterson, Assistant Dean for Academic Engagement & Outreach, Patton College of Education 12/6/16

Renée Middleton, Dean, Patton College of Education 12/7/16
MAJOR, DEGREE, AND COLLEGE PROGRAM REVIEWS

RESOLUTION 2017 –

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

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

WHEREAS, the Higher Learning Commission through its Criterion 4A requires, “The institution maintains a practice of regular program reviews.”

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees of Ohio University hereby accepts the program reviews for the following four programs:

College of Communication
- School of Media Arts and Studies

College of Fine Arts
- School of Music

Regional Higher Education – Chillicothe, Lancaster, and Southern
- Human Services Technology
- Law Enforcement Technology
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

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

Re: Academic Program Reviews

The University has a process of internal review for academic programs which strives to ensure programs are continuously adapting and improving. Programs are reviewed by the Academic Program Review Committee of the University Curriculum Council on a regular cycle, typically seven years. A review will occur over an academic year and culminate in a comprehensive report on the viability of the program. Executive summaries of the reviews are submitted to the Academics Committee of the Board of Trustees.

The table below lists the programs reviewed and includes whether the program is recommended as viable. A resolution for board acceptance of the reviews is provided.

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<th>College</th>
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School of Media Arts and Studies  
(Scripps College of Communications, Athens)  
Program-Review Executive Summary

Reviewed AY 2015-16  
Previous Review: AY 2006-7

Finding and Overall Assessment: Viable. The review found the School of Media Arts and Studies (SMAS) to have a high-quality faculty, strong students, and an internationally recognized graduate program.

Degrees: B.S.C., Media Arts and Studies (with emphases in Media and Social Change, Music Production and Recording Industry, Screenwriting and Producing, Games and Animation, and Integrated Media); M.A., Media Arts and Studies; M.A., Communication and Development Studies (with International Studies); M.F.A., Digital Media (with Communication); Ph.D., Mass Communication (with Journalism).

Self-Study Synopsis: Formerly the School of Telecommunication, SMAS serves more than 600 undergraduate majors and approximately 40 graduate students. The school is home to 27 faculty members, including 18 Group I. Undergraduate curricula continually evolve in light of new and changing technologies and structural change within media fields. Substantial revision, including the addition of general-education courses to extend the school’s pedagogical reach on campus, occurred during the Q2S transition. The school also has well-defined learning objectives, assesses learning outcomes, and tracks the successes of alumni. Alumni boast very high rates of employment. At the graduate level, SMAS enjoys long-standing relationships with the Center International Studies (via the renowned M.A. program in Communication and Development Studies, which draws students from across the globe) and the School of Journalism. Graduate students are expected to engage in research and scholarly activities, including the presentation of their work at conferences. Learning outcomes at the graduate level are assessed through comprehensive examinations. Faculty members are expected to sustain a strong record of scholarship, publication, and creative activity, especially if engaged in graduate teaching and mentoring. They are also active in service to the school, the college, the university, and the profession. Since the last review, the school’s infrastructure use has changed dramatically—with the opening of the Schoonover Center—and the school provides necessary and costly AV equipment for student use.

Site-Visit Overview: The site-visit team included one external reviewer: Patrick Burkhart, Professor of Communication at Texas A&M University. It also included three (3) internal reviewers: Pramod Kanwar (Mathematics), Terri Hood-Brown (Nursing), and John Cotton (Mechanical Engineering). The committee commended SMAS for high student enrollments, its high-quality faculty, and its international reputation. It also praised the school’s use of Q2S to restructure its programs. Concerns include the substitution of Group I faculty position with Group II appointees, which could adversely affect graduate training and the number and quality of graduate applications; the need for increased resources to better fund faculty conference travel and fieldwork; and the need to address an imbalance between office-staffing resources and the school’s size and complexity.
Site-Visit Recommendations: Among the committee’s recommendations were for SMAS move to adopt a formal exit-interview strategy to better understand retention issues. Also pertinent was the need to address heavy undergraduate advising loads.
RESPONSE TO THE PROGRAM REVIEW REPORT

We would like to thank the review team for a measured and thoughtful report. We greatly value the effort members invested in this exercise. We do also appreciate the judgment that the School of Media Arts & Studies is "a quality department with outstanding faculty . . . which offers excellent undergraduate and graduate education." As the team noted, the time available for the review was short, and this is a school offering multiple degrees with highly varied and complex programs. Undoubtedly for this reason, a few minor errors in the report are evident, but they do not mar its overall accuracy. Rather than focusing on discrepancies, the comments below attempt to respond broadly to the key concerns raised in the report.

Generally, we have already recognized many of the issues the reviewers noted; and we have been engaged with them over significant periods of time in various retreats, full faculty meetings, and school committee meetings. Our analyses of those issues and our responses to them have continued to evolve as conditions have changed.

Diversity in the school. We have always placed importance on diversity in searches and hiring decisions but we intend to elevate its priority even further. There are serious diversity issues in the media field as evidenced by controversies surrounding the Academy Awards and in the games industry, and we need to play our part in addressing those shortcomings.

Advising. The advising problems mainly stem from a large and growing enrollment and from patterns that arose in the confusing and complicated advising conditions of the transition from quarters to semesters. We recognize that school advising needs an overhaul and this will be high on our agenda over the months ahead. As an example, for the first time this semester we are implementing an advisor evaluation process, the results of which will be fed into annual merit reviews. Changes in the way that advising is overseen are being considered too.

Curriculum. At the time of quarters to semester transition, our faculty took the opportunity to make major changes in our curriculum. As time has gone on, we have begun to see what has worked with those changes and what has not. There are modifications being implemented to address issues that have arisen and they are in the UCC approval process. Additional changes are in processes internal to the school, and these may be reported out within the next academic year. Additionally, the recently approved MFA program will enable us to add courses taught by students in the program, thus affording flexibility in planning and scheduling our course offerings while ultimately providing more curricular stability.

Faculty Communication. The tension between the media production and media studies areas is inherent in our field and major programs like ours across the country face similar issues. Most find the best remedy to be sympathetic and sensitive collegiality. It seems unlikely that these tensions can be entirely eliminated, but the proposal to engage an external agent such as the ombudsman's office is interesting and something we will consider.
ADA compliance. This definitely needs to be addressed; we will perform an evaluation and seek remedies where needed. Studio C, which has been our main multi-camera teaching lab, is a particular concern, but our initial estimates of costs to achieve compliance seem prohibitive. We will study this further, conducting a general review of all our facilities.

Graduate Program. The report suggests PhD enrollments are declining, but this is incorrect. We continue to receive well more qualified applicants than we can accept, and we get acceptances from all or nearly all of those we admit. Teaching and advising capacity in our graduate program is a concern we are addressing by a new Group I hire last year and the replacement of one Group I this year. Moreover, we are working closely with FILM to collaborate in our graduate program, including participation in advising by FILM faculty and their teaching of MDIA courses.

Again, thank you and please contact me if you would like me to elaborate further on any of these points.

Drew McDaniel, PhD
Professor, Director
School of Media Arts & Studies
Saturday, April 16, 2016

Dr. David Ingram
Chair, Programs Review Committee
University Curriculum Council
Ohio University

Dr. Ingram:

I have had the opportunity to review comments provided by the program review team assigned to the School of Media Arts & Studies, as well as their own self-report documents. I appreciate the time of the review team as well as their attention to detail in providing thoughtful suggestions and comments. As I read the report, there were several excellent suggestions, to which I'm sure the School will give direct attention. I focus on three areas in this letter: the Graduate Program and mix of faculty, faculty communication, and sensitivity to inclusion.

1. Future success of the Graduate Program

The School of Media Arts & Studies has a long tradition of excellence in training young scholars in the field through a robust graduate program. The school has directed much attention to its graduate programming in the past several years. In fact, the proposed MFA, which is a graduate-level terminal degree, was recently approved by the University Curriculum Council and is now working through final approvals at other levels. This expansion of the School's graduate program will be quite significant. And, in collaboration with the College of Fine Arts, this initiative has the potential to create a truly distinctive MFA program that competes at the highest levels nationally/internationally.

The PhD program, as noted by Director McDaniel, has remained stable in terms of enrollment. While applications have declined, this pattern may be part of a larger trend in declining international applicants across the college and broader university, to some degree.

The most significant step we are taking to bolster the PhD program involves the hiring of two Group I, tenure-track faculty. One faculty member started in January of 2016 and another will start in August of 2016. Those faculty, coupled with the resources provided through the collaboration with the College of Fine Art’s film program, will greatly enhance course offerings, available advisers, and substantive expertise at the PhD level. I also note that they School is beginning dialogue on revision to several of its programs. My desire for any such revision to align resources and attention in ways that will be beneficial to both the large undergraduate program as well as the distinctive graduate programs.

I also note that a college-wide initiative for the coming year is to promote better collaboration among our three PhD offering units. Such collaboration could better
comingle students in the various programs, thereby opening up new possibilities for coursework, “methods” courses, and other productive opportunities.

2. Faculty Communication

I share in Director McDaniel’s observation that there is commonly a lack of understanding between “media studies” faculty, who often hold the PhD, and “production” faculty, who more typically hold the MFA. Our objectives are to work with faculty so that they better recognize the interrelatedness, and mutually beneficial coexistence, of both “media studies” and “production.” For instance, the introduction of the MFA will actually provide teaching power, through the addition of production oriented graduate students, that will free up faculty to teach graduate level courses (including media studies faculty). Thus, there is a potential benefit for both sets of faculty in the school. Likewise, new Group I faculty hired as media studies faculty offer courses like Social Media Analytics that will be of relevance to those emphasizing production. In short, we will work to help both groups of faculty understand their strengths in collaboration, and in so doing, will hopefully address these concerns.

I will work with Director McDaniel to discuss other approaches to enhancing communication in the School. For example, another School Director started sending an informal “announcement” email each week. I also feel that there could be some utility in revisiting the strategic objectives of the school so that faculty in all areas can potentially reach agreement on outcomes desired for students.

3. Diversity

A core objective of the Scripps College of Communication is to promote a diverse and inclusive environment for faculty, staff, and students. Recent hiring practices demonstrate to me that the School of Media Arts & Studies is taking very seriously this objective and attempting to promote diversity among its faculty. Such actions are critical to also promoting diversity and inclusion among students. To continue these efforts, I will work with Director McDaniel to identify other opportunities to enhance diversity and inclusion in the school. As he noted in his letter, this is critical for the field nationally.

In closing, the review team correctly observed that MDIA is “a quality department [school] with outstanding faculty and well-regarded leadership, which offers excellent undergraduate and graduate education.” I concur with that statement, noting that there are always areas in which improvement is possible. The areas highlighted in this area will be given explicit attention in the next year and beyond.

Sincerely,

Scott Titsworth, Ph.D.
Professor and Dean

Cc: Dr. Drew McDaniel, Director, School of Media Arts & Studies
School of Music (College of Fine Arts, Athens)
Program-Review Executive Summary

Reviewed AY 2015-16
Previous Review: AY 2004-05

Finding and Overall Assessment: Viable. The review found the School of Music (SOM) to have a strong culture of performance and creative activity and to be very effective in preparing students for employment and graduate study.

Degrees: B.Mus. (Music Ed.-Choral, Music Ed.-Instrumental, Music Therapy, Music Composition, Instrumental Performance, Organ, Piano, Piano-Pedagogy Emphasis, and Voice); B.A. in Music; Minor, Music; Minor, Jazz Studies; Master of Music (Therapy, Theory, Performance, Performance-Conducting, Performance-Pedagogy, Composition, Education, and History); and Graduate Certificate in Music Performance.

Self-Study Synopsis: Founded in 1917, the SOM offers an array of undergraduate and graduate degree programs, with more than 231 undergraduate majors and 65 graduate students (the latter figure constitutes a 21% increase since 2004). The school boasts 43 faculty members, with nearly 75% carrying full-time appointments. Teaching is intensive and time consuming (with faculty averaging twenty [20] contact hours per week—one of the highest teaching loads at the university), and includes a significant amount of one-on-one instruction. Outcomes assessment takes many forms across the school’s undergraduate and graduate programs. These include exit interviews, senior recitals for undergraduate students studying performance, and reviews of student teaching in the case of B.Mus.-Music Ed. majors. Assessments of learning outcomes inform curricular decisions and hiring plans for the continued improvement of the school’s programs. Faculty members are actively engaged in research, scholarship, and creative activity, and they provide service to the school, the university, the community, and the profession. Creative activity includes public performances, published work in scholarly journals, recordings, and published compositions. Service includes committee work, performances on campus (through the OU Performing Arts Series, for example), and extensive community work, such as collaborating with the Athens Community Music School. SOM’s challenges involve infrastructure, especially needs related to teaching and rehearsal space. They also include unresolved curricular issues involving the Patton College of Education and the need for additional faculty members in theory, voice, and in the area of string instruments.

Site-Visit Overview: The UCC Program Review Committee accepted the SOM’s accreditation review—conducted in February 2015 by the National Associations of Schools of Music (NASM)—as the external review. The internal reviewers were Lauren McMillis (Chemistry and Biochemistry), Nicole Wadsworth (Heritage College of Osteopathic Medicine), and Robert Williams (Mechanical Engineering). The internal reviewers found their impressions to be in line with those of NASM. Undergraduate programs met standards set forth by NASM, and the internal reviewers noted the appropriateness of the school’s pedagogical practices and praised its outcomes-assessment efforts. They also lauded SOM’s graduate education for its culture of teacher-student interaction and mentoring. There was some concern noted about clarifying the parameters and expectations for graduate
components of dual-listed courses. The internal reviewers found faculty resources to be adequate but raised issues as to facility/space and equipment needs. The reviewers also praised the school or its community outreach and high placement rates for graduates.

**Site-Visit Recommendations:** Reviewers recommended that the SOM attend to space needs and other infrastructure issues (currently being addressed by the College of Fine Arts), increase its graduate stipends, and continue the practice of assessing its programs.
March 20, 2016

Dear Dr. Ingram,

Thank you for the opportunity to respond to the program review report for the School of Music. I appreciate the careful attention provided by the reviewers both in their visit with the unit, and in their reading of the National Association of Schools of Music (NASM) accreditation report. I strongly concur with their assessment that the School of Music is a strong, viable program with “dedicated faculty” and “engaged and strongly motivated students that are well-prepared for both jobs and graduate study.” I wanted to provide some additional context to areas of concern and recommendations that were included in the report.

Facilities
Like many building on campus, Glidden Hall has deferred maintenance needs as well as issues resulting from its original design (e.g., lack of soundproofing, lack of rehearsal space). The most pressing issue is the HVAC concern, because this affects the maintenance, quality, and lifespan of expensive instruments. The HVAC in the Recital Hall is scheduled to be updated this summer. HVAC for the rest of the building is second on the list of college facility priorities (Seigfred Hall is first). In addition, there is no full-time piano technician in the School of Music (this position was cut during the recession). The reviewers cite the NASM accreditation report, which states that “the condition of pianos in particular is inadequate for musical work.” A full-time piano technician position is second on the list of college investment priorities for this budget cycle (after the Tantrum Theater).

Curriculum
As noted in the report, the School of Music is already addressing the curricular issues identified, such as dual-listed courses and increasing the efficacy and efficiency of graduate course offerings across degree programs, including those with smaller enrollments. The college supports efforts to increase retention (which is already very high—most recently 92%) and on-time graduation. In addition, we anticipate that the new faculty hire in Music Education—the position will be 70% in the College of Fine Arts and 30% in the Patton College of Education—will continue to enhance collaboration across colleges in the music education degree.

Other
• PR and marketing: We have added staff at the college level to assist with PR and marketing, especially in the past two years. In addition, the college recently completed a branding initiative with the company Ologie, which should help individual schools produce high-impact marketing materials more quickly and easily when they do not use central college personnel for this.
• Graduate stipends: While the report refers to “extremely low” graduate stipends, the median School of Music stipend is $5792 per semester (plus a tuition waiver). According to the Graduate College, this is in the 40th percentile of all university stipends (including doctoral and master’s degree stipends). As a master’s-only program, this does not appear to be extremely low in the context of the university as a whole. I agree that it is very important to ensure that graduate stipends are at the level needed to recruit high quality graduate students in critical areas.

• Scheduling: Scheduling is challenging in any School of Music because of the need to leave half of the day clear of standard classroom courses to allow for ensemble rehearsals, and because of the large number of required, one-credit courses; this makes it difficult to align the program with the standard course scheduling policy. We will continue to work with the Scheduling Policy Exception Committee to identify alternative scheduling options that better meet our students’ needs.

Thank you for the constructive feedback, and I thank you, your committee, and the reviewers for the time and expertise that you all have brought to the review process.

Sincerely,


Elizabeth Sayrs
Interim Dean, College of Fine Arts
Human Services Technology (OU-C, OU-L, OU-S)
Program-Review Executive Summary

Reviewed AY 2015-16
Previous Review: 2004-05

Finding and Overall Assessment: Viable. The review found Human Services Technology (HST) to be an exemplary program that has received very positive feedback from its students and alumni.

Degrees: A.A.S, Human Services Technology.

Self-Study Synopsis: Founded 40 years ago, HST is a program delivered at the university’s Chillicothe, Lancaster, and Southern campuses to 188 undergraduate majors (as of September 2015), leading to an Associate in Applied Science degree. The program prepares students interested in entering the general field of social services, which includes employment opportunities as chemical-dependency counselor assistants, crisis interventionists, mental-health workers, and prevention specialists. Students often go on to pursue more advanced degrees in such fields as sociology, social work, and psychology. Much has changed in the program since the last review. Lancaster became the third regional campus to offer HST. Moreover, the curriculum has undergone significant revision to address changes in the scope and delivery of social services and to keep up with the evolving demands of a job market in which well-trained people are in high demand. The program’s faculty consists of one (1) Group I faculty member (an Associate Professor who serves as HST’s program coordinator, based in Chillicothe), one (1) full-time Group II, and two (2) Group II faculty members, both with 0.8 FTE appointments. HST also employs Group III faculty members, bringing the program’s total to 16 faculty members as of AY 2014-15. Since 2011, all faculty members have held professional licenses, with supervision credentials in social work or in clinical counseling. Most are active in their social-service fields, providing direct links between students and employers through community-service learning projects and networking. Students must complete 250 hours of volunteer or fieldwork experiences for degree completion. Learning outcomes are assessed at various stages in the program. One example is the review of practicum folders, which contain performance information and evaluations. In addition to teaching, faculty members are engaged in research and creative activity, including the presentation of work at professional conferences, as well as various forms of service on and off their campuses.

Site-Visit Overview: The site-visit committee was comprised of an external reviewer—Brian Moore, MSW, LISW-S, Associate Professor of Human Services and Justice Studies at Stark State College (North Canton, Ohio)—and two internal reviewers: Fuh-Cherng Jeng (Communication Sciences and Disorders) and Orianna Carter (Biological Sciences). The committee was impressed with the program’s quality of instruction, the level of student satisfaction, and the program’s extensive service in and for the community. Some challenges include not having a designated, physical “home space” on any of the campuses, enrollment pressures resulting from a new Bachelor of Social Work degree, and the need to provide outcomes assessment through common tests or certifications across the campuses.
Site-Visit Recommendations: Among the committee's recommendations are that HST establish a more defined program track that clearly identifies courses to be offered in sequence; develop a system of formal peer assessment for faculty teaching; and consider the hiring of an additional full-time faculty member to teach across the campuses and provide administrative assistance to the program.
July 7, 2016

Dr. David Ingram
Chair, Program Review Committee
University Curriculum Council (UCC)

Dear Dr. Ingram:

Thank you for sending the draft of the program review document for the Human Services Technology (HST) Program offered on the Ohio University Chillicothe (OU-C), Lancaster (OU-L) and Southern (OU-S) campuses, and the opportunity to respond to the review. As you know completion of this two year degree program leads to an Associate in Applied Science degree. We would also like to thank Drs. Fuh-Cherng Jeng and Orianna Carter who served as the internal reviewers for the program review; and Mr. Brian Moore, MSW, for his expertise and perspectives as the external reviewer for the program. We greatly appreciate such a complete and thorough review of the program provided by these individuals.

We would very much agree with the reviewers that the HST program is “viable”. Considering the quality of students, program faculty, strength of the curriculum, program facilities and alignment with the mission of our campuses and career opportunities in our service regions; we strongly feel the HST program is a valuable (degree) program offered on our campuses and the program graduates provide an important need in the communities our campuses serve. In addition, there is a great deal of synergy between the HST program, the Bachelors of Social Work (BSW) and the Bachelor of Technical and Applied Sciences (BTAS) programs which expand the curriculum offerings on our campuses.

We would also like to take this opportunity to thank Dr. Barbara Mahaffey, the Regional Higher Education System (RHE) Coordinator of the HST program for her leadership and the other program faculty who have contributed to preparing the review documents and have contributed to the success and viability of the program during this review period.

Responses to the Programmatic/Institutional Challenges and Recommendations

The reviewers expressed concern over the “accessibility” and communication of the curriculum guidelines which help students track required courses and course sequences throughout the program, semester by semester. This appeared to be an issue particularly on the OU-L campus.
The recruiting office on the OU-C campus has worked with Dr. Mahaffey to develop a brochure about the program, including the curriculum sequence to complete the degree. This brochure is distributed to admitted and potential students interested in the program and posted on the campus web site: https://www.ohio.edu/chillicothe/download/loader.cfm?csModule=security/getfile&pageid=2463702. The OU-L campus also distributes a curriculum guide for the HST program to students interested in completing the degree, but this guide does not currently outline the course sequence for each semester enrolled in the program. This guide can be revised to outline the course sequence which should address the issue raised by the reviewers.

There were concerns expressed by the reviewers regarding declining enrollments in the HST program, particularly at the OU-L campus. We share these concerns which was why the RHE deans strongly encouraged the development of a 2+2 articulation agreement (curriculum pathway) between the HST and the BSW degree programs. Through the work of the HST and Social Work (SW) program faculty, an agreement has been recently developed and endorsed by the RHE deans. We feel this agreement may increase enrollment in the HST program as it allows a seamless pathway for students who earn an HST Associate Degree to earn a BSW with an additional 2 years of coursework. We also feel the synergy that exists between the HST degree program and the BTAS degree program may also help increase enrollment in the HST degree by again providing a pathway for students to complete a bachelor’s degree. Finally, with regards to the enrollment trends in HST on the OU-L campus, it should be noted that OU-L did not have a dedicated campus program coordinator in HST for a significant part of the review period. In addition, OUL was the most recent campus to start the social work program resulting in some students declaring pre-social work given a new opportunity. One of the responsibilities of the program coordinator is to recruit students into the program. Now that this individual is in place on the OU-L campus it is expected that the HST enrollments will rebound.

Concerns were expressed by the reviewers regarding the lack of communication between the HST Program Coordinators of the three campuses offering the degree. As it is the responsibility of the RHE System Coordinator to promote such communication, we will encourage the RHE system coordinators to arrange electronic meetings each semester term through SKYPE or using the campus’ OULN system as recommended by the review team.

The reviewers commented that they could not find evidence of program and course assessment methods or indicators as part of the review. There was a recommendation that formal assessments be implemented each semester or annually as a means to evaluate the student’s gain of knowledge. We very much agree with this recommendation, however as this is an issue related to program pedagogy, we feel the concern and how the concern will be addressed would be best expressed in the response from the HST Program Coordinators.

The reviewers expressed concerns that “it is overly burdensome” to expect the program system coordinator to maintain oversight of the program at the three locations in addition to recruiting, advising, scholarship and teaching responsibilities on her home campus. It was suggested that an additional faculty member in HST be hired to lessen the workload of the HST
System Coordinator. We would disagree with this assessment of the workload and the need for additional program faculty. First, these duties are expected of all RHE system coordinators and many of these programs are significantly larger in student numbers than the HST program. RHE Academic Program Coordinators are paid a significant annual stipend to compensate them for their duties related to the coordination of the program. These duties include recruitment for the program, advising, curriculum development and scheduling coordination. If the RHE system coordinator feels the workload, including teaching responsibilities, is too heavy/burdensome to remain active with their scholarship, they have the opportunity to reduce their stipend in exchange for a course reduction. Also, in the case of the OU-C campus (home campus to the current HST system coordinator), the group II faculty member who also teaches in the HST program was converted to a full time (1.0 FTE) position a few years ago and given a significant advising load in the program in order to partly relieve the program coordinator of advising duties.

The reviewers also made claim that the compensation for coordinator duties were not equitable between the campuses. RHE Academic Program Coordinators, including the HST coordinators, receive an annual stipend (including summer work) based on the number of declared (program) majors on the campus. The system coordinator receives an extra stipend for duties related to coordinating the program across multiple campuses. This method of compensation is standard across all of the campuses (while the amount of the stipend may vary depending on the number of campus majors) so it is unclear why the reviewers felt the compensation was not equitable, unless the details of compensation were not clearly communicated during the campus location site visits.

The reviewers recommended that the HST RHE System Program Coordinator have final authority on who is cleared to teach HST courses and have input with regards to budgeting and scheduling changes which effect the HST program. We agree that program faculty leadership such as campus and system coordinators should have a major role in reviewing faculty credentials to instruct courses within the program’s curriculum, as they are in the best position to evaluate an individual’s qualifications to teach a particular course. However, it is important to note that course scheduling and staffing of courses on the regional campuses is the ultimate responsibility of the campus associate dean. It is therefore important that all academic program coordinators within RHE be willing to work with the campus associate deans and maintain a reasonable degree of flexibility in staffing of the course offerings on the individual campuses.

In regards to addressing the issue of reciprocity with Kentucky (Institutional Challenge #4), the reviewers recommended that the agreement should be renegotiated to reflect the reality of the online environment. The regional campus deans have discussed this issue and have developed a process for situations in which the reciprocity students choose to take an online course at one of the other regional campuses at the reciprocity rate. With proper advising, this process is expected to correct the issue.

Finally, the reviewers felt that a lack of “designed space” for the HST program “impedes promotion” of the program. The dedicated space would be used for students, alumni and
faculty to gather for planning and networking activities. As physical facilities on all of our campuses is limited, we feel it is impractical and inefficient to have space dedicated to specific academic programs which are offered on our campuses. That said, academic programs are welcome to make arrangements to reserve facilities on the campuses, including the needed technology, to hold special events or to “brainstorm”, network or conduct planning sessions for the advancement of the program.

In conclusion, we very much appreciate the efforts of the program reviewers to assess the Human Services Technology degree program offered on the Chillicothe, Lancaster and Southern campuses and the opportunity to respond to their findings and recommendations. This process will be invaluable to the program as it plans for the future.

Sincerely,

Martin T. Tuck PhD
Dean
Ohio University Chillicothe

Nicole Pennington DNP
Dean
Ohio University Southern

James Smith PhD
Dean
Ohio University Lancaster
Law Enforcement Technology (OU-C, OU-L, OU-S)
Program-Review Executive Summary

Reviewed AY 2015-16
Previous Review: 2004-05

Finding and Overall Assessment: **Viable.** The review found Law Enforcement Technology to be a strong program with great impact in the community.

Degrees: A.A.S, Law Enforcement Technology.

Self-Study Synopsis: Law Enforcement Technology (LET), founded in 1972, is a program conducted at the university’s Chillicothe, Lancaster, and Southern campuses, leading to an Associate in Applied Science degree. Students may also qualify for certification by the Southern Ohio Police Training Institute. LET, with a total of 267 undergraduate majors (as of Fall 2015), is the second-largest program on the Chillicothe campus. Graduates are prepared to enter the general field of law enforcement or to pursue studies in the Bachelor of Criminal Justice program (administered by University College at the Athens campus) and the Bachelor of Science program in Forensic Chemistry. LET faculty provide critical courses for both of those Bachelor’s programs. The faculty is comprised of four (4) full-time members, including a program coordinator based in Chillicothe, and more than 20 Group III appointees—averaging more than 20 years of professional experience—with expertise in the field. In-person and online instruction includes specified learning outcomes that align with expectations put forth by the State of Ohio’s Office of Criminal Justice Services, the Ohio Basic Peace Officers task Analysis, and the Academy of Criminal Justice Sciences. LET holds that students must exhibit critical-thinking and problem-solving skills and learn to conduct themselves professionally and personally according to high standards of ethical behavior. LET has a partnership with the Chillicothe Police Department in the form of an internship program and Lancaster-campus students also enjoy similar opportunities. Program faculty are extensively involved in university and community service, including work with local vocational schools.

Site-Visit Overview: The site-visit committee was comprised of an external reviewer—Patrick Oliver, director of the Criminal Justice program at Cedarville University—and two internal reviewers: David Castle (History) and Orianna Carter (Biological Sciences). The committee chose to compose two reports: an external review and an internal review. This is common practice and should be understood as a preference. Both reports found the program to be viable and indeed thriving, praised its work, and specified some challenges. The evaluators found the program’s students, who represent a mix of traditional, non-traditional, distance, and onsite learners, to be very pleased with the delivery and quality of LET courses. They also praised the program’s culture of mentoring and for the efficacy of faculty-student communication. The reviews also noted the presence of adequate infrastructure and funding. Challenges identified by the reviewers included workload demands created by the program’s student-centered and hands-on approach to learning (there is one full-time faculty member per campus, and no dedicated support staff.) Full-time faculty members also advise 75-100 students each, in addition to holding full teaching loads and service responsibilities. The reviews also identified a problem with the tuition reciprocity...
program (involving Kentucky students) that negatively impacts LET at the Southern campus.

**Site-Visit Recommendations:** Among the committee’s recommendations are that LET address workload issues through the hiring of an additional faculty member and that OU revisit the agreement regarding tuition reciprocity.
April 18, 2016

Dr. David Ingram
Chair, Program Review Committee
University Curriculum Council (UCC)

Dear Dr. Ingram:

Thank you for sending the draft of the program review document for the Law Enforcement Technology (LET) Program offered on the Ohio University Chillicothe (OU-C), Lancaster and Southern campuses, and the opportunity to respond to the review. We especially appreciate the hard work and insightful review provided by Dr. Orianna Carter, Dr. David Castle and Dr. Patrick Oliver (external reviewer).

We strongly concur with the findings of the external reviewers that the associate of applied science in Law Enforcement Technology (LET) program is viable. Since the previous program review by the University Curriculum Council, I can attest, as the tenured Regional Higher Education (RHE) Program Coordinator of the LET Program, to the efforts of program faculty, campus administrators and students to continuously improve the programmatic quality and meet the recommendations and concerns of the previous review. This effort has resulted in an increase in student diversity, instructor diversity, academic rigor and curricular changes to prepare students for criminal justice positions in an increasingly diverse and socially complex environment. As of this writing, students graduating with an LET degree have fulfilled 21 general education requirements—equaling the highest among associate degree programs offered by the university. As the campus deans acknowledged, the LET program is a 2 + 2 degree program working collaboratively with the Athens-based Bachelor of Criminal Justice degree as well as providing curricular content to the Athens-based Forensic Chemistry program. Additionally, we direct the Southern Ohio Police Training Institute to provide a certification option to meet student aspirations. We remain committed to maintain this quality and address the concerns and recommendations identified by the review team.

The UCC External Review team identified four programmatic challenges in their onsite assessment that I would like to address. First, the reviewers expressed concerns with faculty workload. Since the last program review, a full-time Group 2 faculty member was added at each of the campuses offering the LET program—Chillicothe, Lancaster and more recently Southern. While it may appear that the workload remains heavy, online advising technology, these new faculty resources
and support from student services enables faculty to meet this challenge at the current levels of student enrollments. We would concur with the deans to increase the FTE of these Group 2 faculty to 1.0 FTE for additional instruction reducing the ratio of courses taught by adjunct faculty. Although the LET program is administered on three regional campuses, we operate with a high degree of communication and collaboration. The addition of a monthly SKYPE meeting between LET faculty would increase communication and alleviate the challenges expressed by the reviewers. In terms of additional instruction in theory-based courses, each LET course is text-based and incorporates theory to varying degrees in the course learning outcomes. For example, in LET 1100 Police Role in Juvenile Procedures, students explore theories such as rational choice to understand and respond to juvenile crime. This is difficult to fully demonstrate to reviewers in the limited time they have to examine brief course descriptions. Also, as a 2 + 2 degree, the baccalaureate degree is heavily grounded in theory.

Another challenge identified by the reviewers relates to the quality of the online courses as compared with the face-to-face sections. Currently, clearance to teach online emanates from Chillicothe—the home campus of the LET program and RHE System Program Coordinator. Each instructor desiring to teach online, regardless of campus, completes quality matters training before a clearance is granted according to established policy. This insures consistency in the delivery of online courses. Further, to mitigate this challenge and concern by the review team, the RHE Program Coordinator recommends the associate deans do not schedule LET 1450 Criminalistics in an online format as this course generated the concern raised by the reviewers. In lieu of the online delivery, the RHE Program Coordinator will recommend an OULN delivery with labs provided at Chillicothe, Lancaster and Southern for those students needing a distance delivery option.

The UCC External Review team identified four institutional challenges in their report. The deans collectively responded to each of these challenges in their letter to the UCC. I would like to add to their response regarding two of these challenges—maintaining shared governance curricular control for faculty instructing in the LET program and accurate reporting of LET majors. Since the inception of the LET program in 1972 at the Chillicothe campus and the expansion of the program to the Lancaster and Southern campuses, there has been a concern about maintaining consistency in instruction and program learning outcomes across the regional system. This concern was met by establishing a shared governance course clearance process similar to the process used by associate deans for Athens-based programs. Historically, curriculum vitae for prospective instructors in the LET program were forwarded for review to the RHE Program Coordinator along with a “Staffing and Approval form” by the campus associate dean. [see Appendix 1] After review, the RHE Program Coordinator forwarded the form to the Campus Dean for signature. Once faculty received their course clearances, the associate deans were responsible for scheduling and staffing sections. With the addition of the two Group 2 faculty at the Lancaster and Southern campuses, the LET program continued to follow this process with the Campus Directors at Lancaster and
Southern collaborating with the RHE Program Coordinator to insure consistency in instructional credentials.

The concern expressed by the reviewers emanates from the turnover in deans and associate deans not aware of the historical process but believe that the course clearance process is campus specific and resides under the purview of the associate dean's "scheduling and staffing function." Clearly, this belief could result in inconsistent delivery across the regional system and erode the quality of the LET program. I would point out that if an associate dean needs to "schedule and staff" a course for an Athens-based program, they are not at liberty to use instructors who have not been cleared to instruct by a shared governance function from Athens-based faculty and chair of the home department in Athens. For associate degree programs, I would assert that the process is the same with the home department represented by the regional campus of the RHE Program Coordinator and respective campus dean as has been the historical practice since the inception of the program in 1972. [see Appendix 1] The maintenance of this shared governance function is critical to the viability of the LET program and the consistency of course delivery across the regional campus system. At least one other regional campus has expressed an interest in delivering LET 3550 Criminal Justice Research Methods and LET 3555 Quantitative Applications in Criminal Justice for economic reasons by instructors outside of LET without practitioner experiences or faculty who lack a terminal doctorate degree. Since these two courses were approved by the UCC as options to fulfill sub-requirements of the baccalaureate program, it is critical to maintain the appropriate clearance credentials. Finally, the RHE Program Coordinator is the only full-time tenured faculty member responsible for the coordination of the program across the system and thus should be the faculty signatory along with the campus dean.

Although the reviewers identified the accounting of LET majors as problematic, I would suggest it is more of an unintended consequence of the creation of the ND2210 pre-BCJ degree. The pre-BCJ degree provides for a smooth transition to the associate degree program. Tabulating LET majors and pre-BCJ majors provides an accurate and realistic profile. At some point, the pre-BCJ major will complete the requirements for the associate degree, declare the AA5505 major and continue their studies toward the BCJ.

RECOMMENDATIONS

I would like to respond to the program recommendations of the external reviewers.

Program Recommendations #1 and #2:

In order to ease the workload, it is recommended that LET consider the hire of one additional full time faculty member, for the purpose of contributing course instruction across the campuses to indirectly assist DC in oversight responsibilities and ultimately, to enhance communications from home campus to all other campus locations.
Since the last UCC 7-Year Review, a Group 2 position was added at each of the campuses offering the LET Program. This recommendation should be included in the long-term strategic personnel plan should enrollments increase at OUC by 20% above current levels. In the interim, it could be feasible to increase the FTE of the existing Group 2 faculty member from .80 to 1.0 FTE to assist with advising and decrease the ratio of adjuncts teaching required courses.

**Program Recommendations #3 and #4:**

*While the LET program’s course structure, in terms of syllabi, quality matters, breadth of topics and instructional expertise is impressive, investigating standard testing as part of the final capstone is recommended. Another consideration would be to establish a systematic review of student success, including job placement or career trajectory. This strategy is suggested to further validate its academic rigor, law enforcement training rank in the state and nationally, and to embellish recruiting strategies. In terms of an equal educational experience among all majors (online and live), the curriculum should be vetted any potential discrepancies in the quality of experience and solutions devised to remedy those found.*

The RHE Program Coordinator conducted a feasibility study to implement the ETS standardized test for the AA5505 associate degree program. Site visits to Kent State University revealed inconsistent standardized test scores that adversely impacted the usefulness of this assessment to validate learning outcomes for either state or national comparisons due to student apathy with the standardized testing. In lieu of testing, the RHE Program Coordinator and Campus Directors formulated a series of “evidence-based” program assessments including number of students placed in criminal justice positions, internships and other course-based assessments.

Currently, the course clearance process administered by the RHE Program Coordinator for LET faculty delivering content online requires specific training in the principles of Quality Matters to ensure a consistent educational experience. Further, faculty delivering an online class are required to add the RHE Program Coordinator to their online class for additional support, to aid with consistent delivery and provide follow-up support on an annual basis.

*Institutional Recommendation #1. In order to ensure the quality and consistency of the LET curriculum, the LET Program Coordinator must retain final authority on who is cleared to teach LET courses.*

Since the inception of the LET Program in 1972 and the transition to the current RHE Program Coordinator in 2003, the RHE Program Coordinator has completed “Staffing Request or Approval Forms” co-signed by the Dean of the Home College of the RHE Program Coordinator to ensure faculty scheduled or staffed by campus Associate Deans possess the required qualifications to instruct in the program (See attached example). This process for two-year associate degree programs is consistent with the principles of shared governance and faculty curricular control.
articulated in the Ohio Board of Regents Two-Year Associate Degree manual and exercised by faculty curricular committees for Athens-based baccalaureate programs.

Institutional Recommendation #2. The reciprocity agreement with Kentucky regarding in-state tuition rates for Kentucky-based students taking courses at Ohio University's Southern campus should be renegotiated to reflect the reality of the online environment or a Southern course number could be used for Southern students enrolling in an online LET course that originates from another campus. If the second option is employed, all efforts should be made to maintain current practice in terms of headcount, FTE, and fiscal allocations.

RHE campus deans are in the process of revising the tuition rates for all courses delivered through distance learning.

Institutional Recommendation #3. Reviewers recommend devising a method, which tabulates student data in a more straightforward, and accessible format for future program reviews, identifying those, which are true LET majors, and those enrolled in pre-BCJ.

The implementation of the pre-BCJ (ND2210) major permits a smooth transition for students enrolled in AA5505 to matriculate to the BCJ degree. In the past, students completing AA5505 applied for admission to the BCJ degree and could not schedule classes until officially admitted at times creating financial aid issues. In practice, students cannot graduate with a pre-BCJ degree but will change their major to BCJ once they complete the required associate degree, as this is a 2 + 2 program. To facilitate the accurate tabulation of majors, future reviewers should aggregate the data for declared AA5505 majors and pre-BCJ majors to more fully understand the enrollment data. As illustrated in the report, adding the LET majors and pre-BCJ majors for each of the campuses results in data consistent with enrollments and degrees granted.

Institutional Recommendation #4. Allow the full-time LET faculty to occasionally pick up an additional class in situations where it would serve student needs and allow for curricular enhancements, such as short courses and workshops on specific and relevant topics requiring greater focus than possible in the general curriculum.

Currently, LET faculty can propose to instruct LET 2900 Special Topics from 1 to 15 credit hours on specific or relevant topics with the approval of the Campus Associate Dean. To maximize enrollments, LET faculty are encouraged to develop these courses as "dual-enrollment" options with a non-credit option for delivery to criminal justice practitioners within our service area as well as students.

In conclusion, I would again thank the external reviewers for such a thorough review and look forward to implementing these recommendations and meeting their expressed concerns to the benefit of our students.
Sincerely,

James R. McKeen, PhD
Associate Professor and RHE Program Coordinator
April 14, 2016

Dr. David Ingram  
Chair, Program Review Committee  
University Curriculum Council (UCC)

Dear Dr. Ingram:

Thank you for sending the draft of the program review document for the Law Enforcement Technology (LET) Program offered on the Ohio University Chillicothe (OU-C), Lancaster and Southern campuses, and the opportunity to respond to the review. As you know completion of this two year degree program leads to an Associate in Applied Science degree. We would like to thank Drs. David Castle and Orianna Carter who served as the internal reviewers for the program review; and Dr. Patrick Oliver for his expertise and perspectives as the external reviewer for the program. We greatly appreciate such a complete and thorough review of the program provided by these individuals.

We would very much agree with the reviewers that the LET program is “viable”. Considering the quality of students, program faculty, strength of the curriculum, program facilities and alignment with the mission of our campuses and career opportunities in our service regions; we strongly feel the LET program is one of the strongest associate degree academic programs currently offered on the regional campuses. In addition, the synergy which occurs between the LET program, the Southern Ohio Police Training Institute (SOPTI) and the Bachelors of Criminal Justice (BCJ) degree program offered on regional campuses provides area students a number of options to begin successful careers in the law enforcement field.

We feel a great deal of the credit for the past and recent success of the Regional Higher Education (RHE) LET program should be given to Dr. James McKean, the Program Coordinator. As described in the review report and in the program self-study, Dr. McKean is a highly experienced former Police Officer and has extensive leadership experience in law enforcement as the former Chief of Police from the Grove City, Ohio Police Department. Dr. McKean also has extensive academic experience as both a faculty member and as the Associate Dean of the Chillicothe Campus from 2011-2013. In our opinion, the LET program is very fortunate to have an individual of his caliber and experience to serve as a faculty member, leader and coordinator of the program.
While we feel the LET program has many strengths, two qualities which stand out is Dr. McKean’s efforts to constantly evaluate the curriculum of the program and make changes in order to keep the program current, an example being the recent addition of the Multicultural Policing course. Such curriculum innovations greatly benefit the graduates of the program in securing law enforcement positions, their effectiveness in these positions and advancing their professional careers. In addition, Dr. McKean has been highly innovative in designing the LET program for on line/distance delivery. He has been proactive in recognizing an untapped student market and a need to offer the program in a distance format, and he has been insistent that the quality of the curriculum which is offered on line is not compromised from the “face to face” delivery of the courses.

Before we respond to the challenges, commendations and recommendations of the reviewers, we would like to address two misconceptions found in the review report. First, there is mention in the report on more than one occasion of an “LET Department”. To clarify, LET on the regional campuses should only be considered an academic program. For example, the program as it exists on the Chillicothe Campus (the largest of the LET programs), is housed within the Applied Sciences and Professions (AS&P) Academic Division. There is no LET department on the campuses which offer the program. Second, Dr. McKean is referred to in the report as the “LET Division Coordinator”. While Dr. McKean is currently the Division Coordinator of the AS&P Division on the Chillicothe Campus, his role as the leading faculty member of the LET academic program is due to his position as the RHE System and Chillicothe Campus Academic Program Coordinator.

Considering the continued growth of the LET program, the reviewers expressed concern regarding faculty workload and lack of support staff for the program. The reviewers recommended that an additional faculty member be hired to support the growth of the program, particularly in the area of student advising. We agree that if the program continues to grow it will put a strain on some of the LET faculty, in particular the program coordinators who are responsible for student advising. However, we are not convinced hiring of another full time faculty member is warranted to address this issue.

The group II LET faculty member on the OU-C campus is currently part time (0.8 fte). One possibility to address this concern would be to increase the fte value of this (group II) position to full time with the extra responsibilities being in the area of student advising. Since LET courses are also taught on the Athens campus in support of the BS in Forensic Chemistry program, another possibility to address the issue is to explore a shared faculty position between RHE and the Department of Chemistry and Biochemistry to offer LET courses on the main and regional campuses and serve as a student academic advisor.

There was a statement made in the report regarding Overload Policy which referred to an administrative decision to eliminate campus wide overload teaching for fiscal reasons. The concern was faculty do not have the ability to offer special topics courses/workshops in addition to their normal workload as such course offerings would enhance the program. While there has been a concerted RHE initiative to offer courses more efficiently, in order to reduce
overload and costs of hiring adjunct faculty; there was never an initiative to totally eliminate overload teaching for faculty. Our collective position is that we would be open to offering special topic courses in LET as long as these courses garner significant enrollment and are economically feasible for our campuses.

The reviewers recommended that the LET RHE System Program Coordinator have final authority on who is cleared to teach LET courses. We very much agree with this recommendation as the program coordinator is in the best position to evaluate an individual’s qualifications to teach a particular course. However, it is important to note that course scheduling and staffing of courses on the regional campuses is the ultimate responsibility of the campus associate dean. It is therefore important that all academic program coordinators within RHE be willing to work with the campus associate deans and maintain a reasonable degree of flexibility in staffing of the course offerings on the individual campuses.

In regards to addressing the issue of reciprocity with Kentucky, the reviewers recommended that the agreement should be renegotiated to reflect the reality of the online environment. The regional campus deans have discussed this issue and have developed a process for situations in which the reciprocity students choose to take an online course at one of the other regional campuses. With proper advising, this process is expected to correct the issue.

The reviewers also have made recommendations related the use of standardized testing as a final capstone requirement for the LET program, the introduction of more “theory” into the curriculum and assurances that students who complete online LET courses are provided the same experiences, particularly laboratory experiences, as students who complete these courses in a face to face format. As these issues relate to the pedagogy of the LET curriculum, we feel they will be best addressed by Dr. McKean in his program review response.

Finally, the reviewers made the recommendation to devise a clearer method to track and identify students who are “true” LET majors and not completing the curriculum as part of the BCI requirement. We can see how a more specific means of identifying LET students would be advantageous, particularly for the program review process. As this is an issue best addressed by the Registrar or Institutional Research Offices we are willing to help address this issue in any way we can be of assistance.

In conclusion, we very much appreciate the efforts of the program reviewers to assess the Law Enforcement Technology degree program offered on the Chillicothe, Lancaster and Southern campuses and the opportunity to respond to their findings and recommendations. This process will be invaluable to the program as it plans for the future.
Sincerely,

Martin T. Tuck PhD
Dean
Ohio University Chillicothe

Nicole Pennington DNP
Dean
Ohio University Southern

James Smith PhD
Dean
Ohio University Lancaster
WHEREAS, the appropriate planning and consultations within the University have been completed, resulting in recommendations for tuition, fee and rate increases for purposes of investment in identified strategic priorities; and

WHEREAS, these recommendations assume a 2% limitation on tuition, fee and rate increases for students not subject to the tuition guarantee will be authorized by the General Assembly and effective July 1, 2017; and

WHEREAS, Revised Code Section 3345.48 states that tuition, fee and rate increases for students who are subject to the tuition guarantee shall not be greater than the sum of the 60-month rate of inflation as measured by the Consumer Price Index plus the percentage amount increase authorized by the General Assembly for the applicable fiscal year; and

WHEREAS, these recommendations are consistent with the limitations set forth in Section 3345.48 for students who are subject to the tuition guarantee;

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the fee schedules attached hereto as Exhibits A through D, effective Fall Semester 2017 unless otherwise noted.
### Exhibit A

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*Beyond 20 Hours: Resident Fee is $252/hr. and Non-Resident Fee is $483/hr.
### FY 2018 Tuition Schedule - OHIO Guarantee Students

**Athens Campus Undergraduate Tuition**

**Cohort 2017-18**

(Per Semester)

**UNDERGRADUATE STUDENTS**

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<td>512</td>
<td>4,592</td>
<td>3,728</td>
<td>8,320</td>
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<tr>
<td>9</td>
<td>4,590</td>
<td>576</td>
<td>5,166</td>
<td>4,194</td>
<td>9,360</td>
</tr>
<tr>
<td>10</td>
<td>5,100</td>
<td>640</td>
<td>5,740</td>
<td>4,660</td>
<td>10,400</td>
</tr>
<tr>
<td>11</td>
<td>5,100</td>
<td>640</td>
<td>5,740</td>
<td>4,660</td>
<td>10,400</td>
</tr>
<tr>
<td>12-20*</td>
<td>5,373</td>
<td>693</td>
<td>6,066</td>
<td>4,732</td>
<td>10,798</td>
</tr>
</tbody>
</table>

*Beyond 20 Hours: Resident Fee is $285/hr. and Non-Resident Fee is $539/hr.*
### FY 2018 RESIDENCE & DINING HALL RATE SCHEDULE

#### ROOM RATES (SEMESTER)

<table>
<thead>
<tr>
<th>Room Type</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single</td>
<td>4,190</td>
</tr>
<tr>
<td>Renovated Single &amp; Single Suite</td>
<td>4,464</td>
</tr>
<tr>
<td>Standard Double</td>
<td>3,411</td>
</tr>
<tr>
<td>Renovated Double</td>
<td>3,636</td>
</tr>
<tr>
<td>Multi-Occupancy</td>
<td>3,184</td>
</tr>
<tr>
<td>Renovated Multi-Occupancy</td>
<td>3,392</td>
</tr>
<tr>
<td>Double and Triple Suites</td>
<td>3,869</td>
</tr>
</tbody>
</table>

#### RESIDENTIAL MEAL PLANS (SEMESTER)

<table>
<thead>
<tr>
<th>Meal Plan</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 Meal Plan</td>
<td>1,891</td>
</tr>
<tr>
<td>14 Meal Plan</td>
<td>2,189</td>
</tr>
<tr>
<td>20 Meal Plan</td>
<td>2,338</td>
</tr>
<tr>
<td>14 Meal Plan - Flex</td>
<td>2,895</td>
</tr>
<tr>
<td>20 Meal Plan - Flex</td>
<td>3,228</td>
</tr>
</tbody>
</table>
RESOLUTION TO APPROVE EASEMENT REQUEST FROM ROVER PIPELINE, LLC

RESOLUTION 2017-

WHEREAS, Rover Pipeline, LLC ("Rover") has proposed to build an interstate natural gas pipeline that crosses under the property of the University’s Eastern campus; and

WHEREAS, the proposed alignment of the new pipeline easement parallels existing easements granted for three other existing pipelines and does not impair future development of the University’s Eastern campus as contemplated by the Ohio University Eastern Campus Master Plan; and

WHEREAS, upon approval by the Federal Energy Regulatory Commission ("FERC"), Rover would have the legal right to condemn and take the portion of University land necessary for the project; and

WHEREAS, the University has negotiated an easement that is more favorable to the institution than the likely result of such an eminent domain proceeding;

NOW THEREFORE, BE IT RESOLVED, that the Board of Trustees hereby approves the request by Rover for a 25-year easement, subject to renewal and FERC approval, across the area depicted in the attached map, in exchange for payment of at least $334,823.32, and upon such other terms and conditions approved by the President.

BE IT FURTHER RESOLVED, that the Board of Trustees hereby authorizes the President or his designee to execute the corresponding easement and other appropriate documentation in accordance with Ohio law.
Interoffice Communication

Date: January 3, 2017

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:
  - Cash and Pooled Investments Summary Report
  - Capital Financing Strategy
    - $50 million bank line of credit
    - Tax-exempt bond issue not to exceed $170 million—Proposed bond structure to be presented at the January 2017 Resources Committee meeting.
- Century Bond and Deferred Maintenance Program:
  - Century Bond Guiding Principles: 2 Year Post Implementation Review

Internal Bank: Cash & Pooled Investments-Performance & Evaluation Flash Report
The September 30, 2016 Cash & Pooled Investments Performance & Evaluation Flash Report is attached for your information. As approved at the October 2015 Board meeting, the tiered investment structure for the University’s cash and pooled investments (working capital) has been fully implemented. In addition, the unspent short-term Century Bond proceeds were conservatively invested in order to maximize returns as spending of the short-term proceeds is occurring at a slower pace than originally anticipated.

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.
At the January 2017 Resources Committee meeting, we will present the proposed structure for the $170M new money and refunding bond issue planned for the end of February or early March 2017. We will be introducing a bullet maturity structure for conversation and associated Guiding Principles that will be used by the Internal Bank to manage the bullet principal payments. We believe that the University’s established Treasury function, Internal Bank model, and the Century Bond framework puts us in a good position to manage a bullet structure and optimize the Series 2017 bond proceeds.

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 selected underwriters from the pool identified after the last competitive bid and developed financing structures that will be presented at the January 2017 Board meetings;
  - The S&P annual review meeting occurred on November 16, 2016. We expect S&P’s report and rating update mid-January 2017;
  - Bond working group kick-off meeting occurred on November 30, 2016;
  - Discussions with ODHE and the Treasury Team regarding the timing, process and expectations of the Chancellor application occurred in October 2016 and further discussions with bond counsel occurred in November 2016;
  - The Chancellor application was completed and submitted mid-December;
  - Rating agency meetings including the Series 2017 issue will occur in early January 2017 (S&P and Moody’s);
  - Ratings and Chancellor approvals are expected on or before the end of January 2017;
  - Bond documents and appendix A will be completed in early January 2017;
  - Preliminary Official Statement available by the end of January 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 met over the past two years prior to the Ohio University Board of Trustees meetings to receive reports on program status and review program metrics and dashboards against benchmarks and guidelines. Included in the Century Bond Guiding Principles is a 2 year post implementation review requirement. Since it has been 2 years since the Century Bond issuance, the post implementation review will be the focus of discussion at the January 12, 2017 Century Bond Advisory Committee meeting and also presented at the January 2017 Board of Trustees meeting.

We will continue to provide a Treasury update to the Board of Trustees against these initiatives.
Performance & Evaluation Flash Report
For Period Ended September 30, 2016

Prepared For:
Ohio University Cash and Pooled Investments
Ohio University Cash and Pooled Investments
Plan Summary
Period Ended September 30, 2016

Actual Allocation

Manager

<table>
<thead>
<tr>
<th>Tier</th>
<th>Manager</th>
<th>Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tier I</td>
<td>OU-Checking</td>
<td>$87,342,467</td>
</tr>
<tr>
<td></td>
<td>OU-Star Plus</td>
<td>$20,153,219</td>
</tr>
<tr>
<td>Tier II</td>
<td>OU-Merganser</td>
<td>$120,231,471</td>
</tr>
<tr>
<td></td>
<td>OU-Johnson Short Duration</td>
<td>$6,175,200</td>
</tr>
<tr>
<td></td>
<td>OU-Western Intermediate Bond</td>
<td>$6,227,128</td>
</tr>
<tr>
<td>Tier III</td>
<td>OU-Loomis Core Plus</td>
<td>$6,234,539</td>
</tr>
<tr>
<td></td>
<td>OU-Western Core Plus</td>
<td>$6,188,474</td>
</tr>
<tr>
<td></td>
<td>OU-Scout Unconstrained</td>
<td>$6,204,560</td>
</tr>
<tr>
<td></td>
<td>OU-TCW Unconstrained</td>
<td>$6,224,847</td>
</tr>
<tr>
<td>Tier IV</td>
<td>OU-Diversified Pool</td>
<td>$101,300,170</td>
</tr>
<tr>
<td></td>
<td>OU-Student Pools</td>
<td>$6,300,199</td>
</tr>
<tr>
<td>OU-Total Portfolio</td>
<td>$372,582,285</td>
<td></td>
</tr>
</tbody>
</table>

Strategic Allocation

<table>
<thead>
<tr>
<th>Tier</th>
<th>Current Market Value</th>
<th>Target Dollar Amount</th>
<th>Required Minimum Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>$107,495,686</td>
<td>$75,000,000</td>
<td>$75,000,000</td>
</tr>
<tr>
<td>II</td>
<td>$120,231,471</td>
<td>CIP Dependent</td>
<td>N/A</td>
</tr>
<tr>
<td>III</td>
<td>$37,254,759</td>
<td>Residual Balance</td>
<td>N/A</td>
</tr>
<tr>
<td>IV</td>
<td>$107,600,369</td>
<td>Unitized Portion of Diversified Pool &amp; Student Investment Program</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Returns as of September 30, 2016

- Last Quarter: 1.2%
- Since Inception: 1.2%

Qualitative Review

- Everything is good to excellent in this area
- Caution is warranted but action is not required at this time
- Action is required or is being taken

Legend

- White background indicates a Change in Status
- WL Watchlist Status
The chart on the top shows the Program’s Asset Allocation by Tiers. The chart on the bottom left shows Tier III’s actual asset allocation at quarter-end. The Chart on the bottom right shows Tier III’s strategic asset allocation as outlined in the investment policy statement.

<table>
<thead>
<tr>
<th>Tier I</th>
<th>September 30, 2016</th>
<th>% of Total Assets</th>
<th>Target Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Checking Account</td>
<td>$87,342,467</td>
<td>23.4%</td>
<td>$75,000,000</td>
</tr>
<tr>
<td>Star PLUS</td>
<td>$20,153,219</td>
<td>5.4%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$107,495,686</strong></td>
<td><strong>28.9%</strong></td>
<td><strong>$75,000,000</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tier II</th>
<th>September 30, 2016</th>
<th>% of Total Assets</th>
<th>Target Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Merganser Capital Management</td>
<td>$120,231,471</td>
<td>32.3%</td>
<td>CIP Dependent</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$120,231,471</strong></td>
<td><strong>32.3%</strong></td>
<td><strong>CIP Dependent</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tier III</th>
<th>September 30, 2016</th>
<th>% of Total Assets</th>
<th>Target Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Johnson Short Duration Bond</td>
<td>$6,175,200</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td>Western Asset Intermediate</td>
<td>$6,227,128</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td>Loomis Core Plus</td>
<td>$6,234,539</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td>Western Asset Core Plus</td>
<td>$6,188,474</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td>Scout Unconstrained</td>
<td>$6,204,560</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td>TCW Unconstrained</td>
<td>$6,224,847</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$37,254,748</strong></td>
<td><strong>10.0%</strong></td>
<td><strong>Residual Balance</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tier IV</th>
<th>September 30, 2016</th>
<th>% of Total Assets</th>
<th>Target Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unitized Portion of Diversified Pool</td>
<td>$101,300,169</td>
<td>27.2%</td>
<td>Unitized Portion of Diversified Pool &amp; Student Investment Program</td>
</tr>
<tr>
<td>Student Investment Pools</td>
<td>$6,300,199</td>
<td>1.7%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$107,600,369</strong></td>
<td><strong>28.9%</strong></td>
<td><strong>Unitized Portion of Diversified Pool &amp; Student Investment Program</strong></td>
</tr>
</tbody>
</table>

**Tier III Actual Allocation**

- **TCW Unconstrained**: 16.7%
- **Scout Unconstrained**: 16.6%
- **Western Asset Core Plus**: 16.7%
- **Loomis Core Plus**: 16.7%
- **Western Asset Intermediate**: 16.7%
- **Johnson Short Duration Bond**: 16.7%

**Tier III Strategic Allocation**

- **Unconstrained F/I**: 33.3%
- **Core Plus**: 33.3%
- **Defensive**: 33.3%
Ohio University Century Bond Proceeds
Plan Summary
Period Ended September 30, 2016

Actual Allocation

Baird Short-Term Bond 41.5%
Baird Ultra Short-Term Bond 58.5%

Manager | Market Value
---|---
OU Cent - Baird Ultra Short | $42,760,310
OU Cent - Baird Short | $30,276,612
OU Cent - Total Portfolio | $73,036,922

Returns as of September 30, 2016

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Page #</th>
<th>16</th>
<th>17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Qualitative Review</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Long-Term Performance</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Short-Term Performance</td>
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</tr>
</tbody>
</table>

Legend
- Everything is good to excellent in this area
- Caution is warranted but action is not required at this time
- Action is required or is being taken
- White background indicates a Change in Status

WL | Watchlist Status
Total Fund Performance
The charts below show the Fund’s performance by tier over various time periods versus the appropriate benchmark and peer group.

OU Tier II Returns
for Various Time Periods
Current Quarter Ending September 30, 2016

Last Quarter Since Inception Last Year Last 2 Years Last 3 Years Last 5 Years
(2.0) (1.0) 0.0 1.0 2.0 3.0 4.0 5.0 6.0

Returns

OU-Tier II
ML:1 Yr T-Note
Active Cash Fixed-Inc

Tier III Blended Index* = 67% Barclays Aggregate Index / 33% Barclays 1-3 Year Gov/Credit

OU Tier III Returns
for Various Time Periods
Current Quarter Ending September 30, 2016

Last Quarter Since Inception Last Year Last 2 Years Last 3 Years Last 5 Years
(2.0) (1.0) 0.0 1.0 2.0 3.0 4.0 5.0 6.0

Returns

OU-Tier III
Tier III Blended Index*
CAI Core Plus MFs
Total Fund Performance
The chart below show the Century Bond performance over various time periods versus the appropriate benchmark and peer group.

OU Century Bonds Returns for Various Time Periods
Current Quarter Ending September 30, 2016
### Change in Market Value by Investment Manager

**Prior Quarter Ended September 30, 2016**

<table>
<thead>
<tr>
<th>Tier</th>
<th>Beginning Market Value</th>
<th>Deposits/Withdrawals</th>
<th>Investment Gain/Loss</th>
<th>Ending Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tier I</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OU-Checking</td>
<td>$22,793,539</td>
<td>$64,547,651</td>
<td>$1,278</td>
<td>$87,342,467</td>
</tr>
<tr>
<td>OU-Star Plus</td>
<td>$0</td>
<td>$20,142,894</td>
<td>$10,325</td>
<td>$20,153,219</td>
</tr>
<tr>
<td>OU-Merganser</td>
<td>$119,963,185</td>
<td>($32,356)</td>
<td>$300,642</td>
<td>$120,231,471</td>
</tr>
<tr>
<td><strong>Tier II</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OU-Johnson Short Dur</td>
<td>$3,683,480</td>
<td>$2,478,000</td>
<td>$13,720</td>
<td>$6,175,200</td>
</tr>
<tr>
<td>OU-Western Inter Bond</td>
<td>$3,718,344</td>
<td>$2,429,000</td>
<td>$79,784</td>
<td>$6,227,128</td>
</tr>
<tr>
<td>OU-Loomis Core Plus</td>
<td>$3,743,542</td>
<td>$2,382,564</td>
<td>$108,434</td>
<td>$6,234,539</td>
</tr>
<tr>
<td>OU-Western Core Plus</td>
<td>$3,748,145</td>
<td>$2,394,000</td>
<td>$46,329</td>
<td>$6,188,474</td>
</tr>
<tr>
<td>OU-Scout Uncons</td>
<td>$3,680,303</td>
<td>$2,482,579</td>
<td>$41,678</td>
<td>$6,204,560</td>
</tr>
<tr>
<td>OU-TCW Uncons</td>
<td>$3,691,931</td>
<td>$2,455,000</td>
<td>$77,916</td>
<td>$6,224,847</td>
</tr>
<tr>
<td>OU-Diversified Pool</td>
<td>$93,878,029</td>
<td>$3,639,425</td>
<td>$3,782,715</td>
<td>$101,300,170</td>
</tr>
<tr>
<td>OU-Student Pools</td>
<td>$6,141,556</td>
<td>$0</td>
<td>$158,643</td>
<td>$6,300,199</td>
</tr>
<tr>
<td><strong>OU-Total Portfolio</strong></td>
<td><strong>$265,042,054</strong></td>
<td><strong>$102,918,759</strong></td>
<td><strong>$4,621,472</strong></td>
<td><strong>$372,582,285</strong></td>
</tr>
</tbody>
</table>

### Prior Quarter Ended September 30, 2016

<table>
<thead>
<tr>
<th>Century Bonds</th>
<th>Beginning Market Value</th>
<th>Deposits/Withdrawals</th>
<th>Investment Gain/Loss</th>
<th>Ending Market Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>OU Cent - Baird Short</td>
<td>$30,193,971</td>
<td>$0</td>
<td>$82,640</td>
<td>$30,276,612</td>
</tr>
<tr>
<td>OU Cent - Baird Ultra Short</td>
<td>$47,332,299</td>
<td>($4,716,391)</td>
<td>$144,402</td>
<td>$42,760,310</td>
</tr>
<tr>
<td>OU Cent - Total Portfolio</td>
<td>$77,526,270</td>
<td>($4,716,391)</td>
<td>$227,042</td>
<td>$73,036,922</td>
</tr>
</tbody>
</table>
Executive Summary

Ohio University (“OHIO” or the “University”) received approval from the Board of Trustees (the “Board”) in August 2016 for a bond transaction to be executed in early 2017.

- The Series 2017 plan of finance will include the following components as approved by the Board of Trustees.
  - **Refunding:** All or a portion of the callable Series 2006A, 2006B and 2008A bonds (dependent on market conditions).
  - **New Money:** Finance $125 million of projects under the approved Six-Year Capital Improvement Plan (CIP) FY 2017-FY 2022.

- As an institution with ratings of Aa3/A+, the University has a variety of structuring options for the Series 2017 issue.

- Over the past few months, Ohio Treasury Operations and Prager & Co., LLC (collectively the “Treasury Team”) have analyzed various structures for its Series 2017 plan of finance.

- The approach recommended herein was determined by weighing the tradeoffs in regards to cost, risk and future flexibility.
Plan of Finance Decision Points

**Decision Point #1: Fixed Rate Versus Variable Rate**
- The University will issue fixed rate debt for the Series 2017 transaction.
  - This decision was made given the level of long-term interest rates and expectation of rising interest rates in the short-term market.
  - OHIO has traditionally issued fixed rate debt, aligning this decision with existing debt management practices.

**Decision Point #2: Principal Amortization**
- Refunding: The University will pursue a matched maturity refunding wherein the refunding bonds maintain the same maturity structure as the refunded bonds and annual savings are level through maturity.
- New Money: The University examined the implications of various principal amortization structures for the new money.
  - Presented herein are what the University considers the two best options for the Series 2017 plan of finance.
  - The scenarios under consideration are (1) a long-dated bullet and (2) amortizing level debt service.

**Decision Point #3: Coupon Structure**
- Although 5.00% coupons have been the market standard for tax-exempt bonds over the last decade, there has been increasing demand for lower coupons recently.
- The University will consider various couponing structures to attract the broadest investor base at the time of pricing.
Decision Point #1: Fixed-Rate Versus Variable-Rate

- Current market conditions are characterized by a moderately steep tax-exempt yield curve and low absolute interest rates.
  - SIFMA Index: 0.66% as of 12/15/16 versus 10-year average of 0.77%
  - 30-Year MMD: 3.16% as of 12/15/16 versus 10-year average of 3.76%

- While there is a benefit to borrowing in the short-term market using variable rate debt, the Federal Reserve increased its target policy rate range by 0.25% in December, which could put upward pressure on rates.

- OHIO has traditionally issued fixed-rate debt and given the level of long-term interest rates, the University will proceed with a fixed rate issue for its Series 2017 borrowing.
Decision Point #2: Principal Amortization

The decisions regarding principal amortization should be viewed in the context of the University’s entire debt portfolio as well as the planned new debt in the coming years under the CIP.

- Since the University will issue tax-exempt debt, the U.S. tax code will dictate the allowable average life of the new debt.
  - The weighted average maturity of tax-exempt bonds are limited to 120% of the weighted average useful life of the capital projects financed.

- The Treasury Team evaluated different approaches for the refunding and new money components.
  - **Refunding:** The University will pursue a matched maturity refunding wherein the refunding bonds maintain the same maturity structure as the refunded bonds and annual savings are level through maturity.
  - **New Money:** The amortization of the new bonds will partially be driven by the projects to be financed. New buildings generally have more flexibility for long-term maturities as compared to renovations of existing facilities.
    - The Treasury Team evaluated numerous new money financing scenarios but are focused on two primary options, (1) a long-dated bullet and (2) amortizing level debt service.

- Execution of this strategy will be dependent on market conditions and therefore the Treasury Team will make a final determination at the time of pricing with the appropriate amortizing structure as the backup strategy.
# Summary of Refunding Results – Matched Maturity

The following refunding results are based on a tax-exempt matched-maturity refunding of maturities from Series 2006A, 2006B and 2008A. This analysis assumes current market conditions; which could change over time.

<table>
<thead>
<tr>
<th>SUMMARY STATISTICS</th>
<th>ANNUAL SAVINGS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dated/Delivery Date 3/1/2017</td>
<td>Date</td>
</tr>
<tr>
<td>All-in TIC 3.08%</td>
<td>6/30/2017</td>
</tr>
<tr>
<td>Average Life 8.28</td>
<td>6/30/2018</td>
</tr>
<tr>
<td>Series Refunded 2006AB, 2008</td>
<td>6/30/2019</td>
</tr>
<tr>
<td>Par Amount of Refunded Bonds 40,110,000</td>
<td>6/30/2020</td>
</tr>
<tr>
<td></td>
<td>6/30/2021</td>
</tr>
<tr>
<td></td>
<td>6/30/2022</td>
</tr>
<tr>
<td></td>
<td>6/30/2023</td>
</tr>
<tr>
<td></td>
<td>6/30/2024</td>
</tr>
<tr>
<td></td>
<td>6/30/2025</td>
</tr>
<tr>
<td></td>
<td>6/30/2026</td>
</tr>
<tr>
<td></td>
<td>6/30/2027</td>
</tr>
<tr>
<td></td>
<td>6/30/2028</td>
</tr>
<tr>
<td></td>
<td>6/30/2029</td>
</tr>
<tr>
<td></td>
<td>6/30/2030</td>
</tr>
<tr>
<td></td>
<td>6/30/2031</td>
</tr>
<tr>
<td></td>
<td>6/30/2032</td>
</tr>
<tr>
<td></td>
<td>6/30/2033</td>
</tr>
<tr>
<td></td>
<td>6/30/2034</td>
</tr>
<tr>
<td></td>
<td>6/30/2035</td>
</tr>
<tr>
<td></td>
<td>6/30/2036</td>
</tr>
<tr>
<td></td>
<td>6/30/2037</td>
</tr>
<tr>
<td><strong>TOTAL</strong> 56,509,852</td>
<td><strong>49,966,538</strong></td>
</tr>
</tbody>
</table>

Less Contribution for Accrued Interest: -472,031  
Plus Additional Funds Generated: 111  
Net PV Savings ($): 4,009,498  
Net PV Savings (%): 10.00%

Rates as of 11/29/16; subject to future market conditions. Present value savings are discounted to Dated/Delivery Date at 4.00%.
New Money Structure: Base Scenario (Bullet With Sinking Fund)

The base scenario is a bullet structure with sinking fund maturities from FY 2045 to FY 2048. This scenario could be used to enhance the internal bank framework to the extent funds are loaned internally on an amortizing basis.

Existing Debt Service Profile

Pro Forma Debt Service Profile (Base Scenario)

New Money Statistics

- All-in-TIC: 4.39%
- Average Life: 29.31 yrs.

Rates as of 11/29/16
New Money Structure: Alternative Scenario (Level Debt Service)

The alternative scenario is a level debt service structure with maturities from FY 2018 to FY 2048. The annual debt service for the Series 2017 new money issue will be the same each year.

Existing Debt Service Profile

Pro Forma Debt Service Profile (Alternative Scenario)

New Money Statistics
All-in-TIC: 4.05%
Average Life: 19.57 yrs.

Rates as of 11/29/16
New Money Structure: Managing Bullet Structure

Based on the University’s experience with planning for the Century Bond, its established Treasury function and Internal Bank model, OHIO is well equipped to manage a bullet structure.

<table>
<thead>
<tr>
<th>Infrastructure Needed For Internal Bank with Bullet Structure Strategy</th>
<th>Ohio University Experience</th>
</tr>
</thead>
</table>
| **Comprehensive Treasury Function:** Careful coordination of internal working capital, external financing, and the capital (debt) program is essential. | ▪ Hired Director of Treasury Management in 2014.  
▪ Hired short-term (working capital) investment advisor in 2014. |
| **Internal Bank Model:** A treasury mechanism for centralizing management of the balance sheet to optimize resources. Holistic framework based on de-coupling internal and external borrowing. | ▪ Established in 2014 along with Century Bond Model. |
| **Internal Lending Program:** Establishes internal lending guidelines that will allow the Internal Bank to lend funds to units and collect debt service for projects funded through the bank. | ▪ Implemented in 2014; internal loans are set at a uniform rate across units and the rate will be updated periodically. |
| **Guiding Principles:** Provides a roadmap for the management of internal funds and future repayment of external principal. Includes periodic reporting to the Board. | ▪ Established in 2014 along with Century Bond Model. |
| **Analytical Tools & Industry Best Practices:** Developing analytical tools (e.g. cash forecast) and keeping abreast of best practices and changes in rating methodologies are also critical elements to a comprehensive treasury function. | ▪ Hired external financial advisor in 2015. |
New Money Structure: Managing Bullet Structure (Continued)

In addition to the infrastructure displayed on the prior page, the following are additional considerations related to managing a bullet structure.

**Internal Bank as Means to Reduce Future External Debt at OHIO**

- The internal bank establishes consistent and equitable internal loan terms applicable to all projects at the University.

- The amortization of internal loans is not tied to amortization of specific debt issuance, which allows OHIO to introduce alternative debt structures such as the bullet maturities under consideration for the Series 2017 issuance.

- As units repay internal loans, the internal debt service is relented to units for other projects, effectively reducing the need for future external debt. The ability to recycle funds is greater when using bullet maturities in external debt.

**Institutions Utilizing Long-Dated Bullet in Internal Bank**

- There are a number of other institutions that have utilized a long-dated bullet strategy in conjunction with an internal bank in order to optimize proceeds.

- Institutions that have used this strategy include University of Missouri System, Ohio State University, University of North Carolina at Chapel Hill and University of Virginia.

**Century Bond Experience**

- The University’s experience from managing the Series 2014 Century Bond displays it has the sophistication to manage a bullet maturity.

- Based on the University’s established Internal Bank model and Century Bond framework, we believe a bullet structure for the Series 2017 issuance can be effectively managed.
New Money Structure: Managing Bullet Structure – Internal Bank Modeling

The Treasury Team will structure internal debt service to ensure the University has the proper amount of funds needed in order to repay the bullet payment at maturity.

- The external debt service and internal loans funded from the Series 2017 transaction will flow through the University’s existing Internal Bank Model.

- The structure of the Internal Bank Model ensures that the University will have funds available in 30-years to repay the bullet maturity.

- Included on the following page is an analysis of the impact of the Series 2017 transaction on the Internal Bank Model based on the assumptions below.

<table>
<thead>
<tr>
<th>Internal Bank Outflows</th>
<th>Internal Bank Inflows</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Series 2017 External Debt Service</strong></td>
<td><strong>Series 2017 Internal Loan Debt Service</strong></td>
</tr>
<tr>
<td>- Par Amount: $113.610 Million</td>
<td>- Par Amount: $125.000 Million</td>
</tr>
<tr>
<td>- Interest Rate: 5.00%</td>
<td>- Interest Rate: 4.75%</td>
</tr>
<tr>
<td>- Principal: Bullet maturity with sinking fund in FY 2045-2048</td>
<td>- Principal and Interest: Level annual debt service</td>
</tr>
<tr>
<td>- Interest: Paid semiannually through maturity</td>
<td><strong>Earnings on Internal Bank Balance</strong></td>
</tr>
<tr>
<td></td>
<td>- Balance invested at Series 2017 arbitrage yield (3.59%)</td>
</tr>
</tbody>
</table>

**Earnings on Internal Bank Balance**
- Balance invested at Series 2017 arbitrage yield (3.59%)
New Money Structure: Managing Bullet Structure – Illustrative Internal Bank Example

**Bank Outflows (External Debt Service)**

<table>
<thead>
<tr>
<th>Year</th>
<th>Outflows</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017</td>
<td>(5,000,000)</td>
</tr>
<tr>
<td>2019</td>
<td>(10,000,000)</td>
</tr>
<tr>
<td>2021</td>
<td>(15,000,000)</td>
</tr>
<tr>
<td>2023</td>
<td>(20,000,000)</td>
</tr>
<tr>
<td>2025</td>
<td>(25,000,000)</td>
</tr>
<tr>
<td>2027</td>
<td>(30,000,000)</td>
</tr>
<tr>
<td>2029</td>
<td>(35,000,000)</td>
</tr>
</tbody>
</table>

**Bank Inflows (Internal Loans & Interest Earnings)**

<table>
<thead>
<tr>
<th>Year</th>
<th>Inflows</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017</td>
<td>2,000,000</td>
</tr>
<tr>
<td>2019</td>
<td>4,000,000</td>
</tr>
<tr>
<td>2021</td>
<td>6,000,000</td>
</tr>
<tr>
<td>2023</td>
<td>8,000,000</td>
</tr>
<tr>
<td>2025</td>
<td>10,000,000</td>
</tr>
<tr>
<td>2027</td>
<td>12,000,000</td>
</tr>
</tbody>
</table>

**Bank Balance**

<table>
<thead>
<tr>
<th>Year</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017</td>
<td>20,000,000</td>
</tr>
<tr>
<td>2019</td>
<td>40,000,000</td>
</tr>
<tr>
<td>2021</td>
<td>60,000,000</td>
</tr>
<tr>
<td>2023</td>
<td>80,000,000</td>
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<tr>
<td>2025</td>
<td>100,000,000</td>
</tr>
<tr>
<td>2027</td>
<td>120,000,000</td>
</tr>
<tr>
<td>2029</td>
<td>140,000,000</td>
</tr>
<tr>
<td>2031</td>
<td>160,000,000</td>
</tr>
<tr>
<td>2033</td>
<td>180,000,000</td>
</tr>
<tr>
<td>2035</td>
<td>200,000,000</td>
</tr>
<tr>
<td>2037</td>
<td>220,000,000</td>
</tr>
<tr>
<td>2039</td>
<td>240,000,000</td>
</tr>
<tr>
<td>2041</td>
<td>260,000,000</td>
</tr>
<tr>
<td>2043</td>
<td>280,000,000</td>
</tr>
<tr>
<td>2045</td>
<td>300,000,000</td>
</tr>
<tr>
<td>2047</td>
<td>320,000,000</td>
</tr>
</tbody>
</table>
OHIO UNIVERSITY

New Money Structure: Managing Bullet Structure – Illustrative Internal Bank Example
EXTERNAL DEBT
Fiscal
Year

Principal

Interest

A
outflow

B
outflow

INTERNAL DEBT
Total External Debt
Cashflows
A+B=C
net

Principal

Interest

D
inflow

E
inflow

CENTRAL BANK EQUILIBRIUM
Total Internal Debt
Cashflows
D+E=F
net

Beginning
Balance
G
balance

Interest Earnings
@ 3.59%
H
inflow

Central Bank Net
Cashflows
C+F=I
net

Ending
Balance
G+H+I=J
balance

2017

-

(1,420,125)

(1,420,125)

-

1,484,375

1,484,375

-

-

64,250

64,250

2018

-

(5,680,500)

(5,680,500)

1,963,682

5,937,500

7,901,182

64,250

2,307

2,220,682

2,287,238

2019

-

(5,680,500)

(5,680,500)

2,056,957

5,844,225

7,901,182

2,287,238

82,112

2,220,682

4,590,032

2020

-

(5,680,500)

(5,680,500)

2,154,662

5,746,520

7,901,182

4,590,032

164,782

2,220,682

6,975,496

2021

-

(5,680,500)

(5,680,500)

2,257,009

5,644,173

7,901,182

6,975,496

250,420

2,220,682

9,446,598

2022

-

(5,680,500)

(5,680,500)

2,364,216

5,536,965

7,901,182

9,446,598

339,133

2,220,682

12,006,412

2023

-

(5,680,500)

(5,680,500)

2,476,517

5,424,665

7,901,182

12,006,412

431,030

2,220,682

14,658,124

2024

-

(5,680,500)

(5,680,500)

2,594,151

5,307,031

7,901,182

14,658,124

526,227

2,220,682

17,405,033

2025

-

(5,680,500)

(5,680,500)

2,717,373

5,183,808

7,901,182

17,405,033

624,841

2,220,682

20,250,555

2026

-

(5,680,500)

(5,680,500)

2,846,449

5,054,733

7,901,182

20,250,555

726,995

2,220,682

23,198,232

2027

-

(5,680,500)

(5,680,500)

2,981,655

4,919,527

7,901,182

23,198,232

832,817

2,220,682

26,251,730

2028

-

(5,680,500)

(5,680,500)

3,123,284

4,777,898

7,901,182

26,251,730

942,437

2,220,682

29,414,849

2029

-

(5,680,500)

(5,680,500)

3,271,640

4,629,542

7,901,182

29,414,849

1,055,993

2,220,682

32,691,524

2030

-

(5,680,500)

(5,680,500)

3,427,042

4,474,139

7,901,182

32,691,524

1,173,626

2,220,682

36,085,831

2031

-

(5,680,500)

(5,680,500)

3,589,827

4,311,355

7,901,182

36,085,831

1,295,481

2,220,682

39,601,994

2032

-

(5,680,500)

(5,680,500)

3,760,344

4,140,838

7,901,182

39,601,994

1,421,712

2,220,682

43,244,388

2033

-

(5,680,500)

(5,680,500)

3,938,960

3,962,222

7,901,182

43,244,388

1,552,474

2,220,682

47,017,543

2034

-

(5,680,500)

(5,680,500)

4,126,061

3,775,121

7,901,182

47,017,543

1,687,930

2,220,682

50,926,155

2035

-

(5,680,500)

(5,680,500)

4,322,049

3,579,133

7,901,182

50,926,155

1,828,249

2,220,682

54,975,085

2036

-

(5,680,500)

(5,680,500)

4,527,346

3,373,836

7,901,182

54,975,085

1,973,606

2,220,682

59,169,373

2037

-

(5,680,500)

(5,680,500)

4,742,395

3,158,787

7,901,182

59,169,373

2,124,180

2,220,682

63,514,235

2038

-

(5,680,500)

(5,680,500)

4,967,659

2,933,523

7,901,182

63,514,235

2,280,161

2,220,682

68,015,078

2039

-

(5,680,500)

(5,680,500)

5,203,622

2,697,559

7,901,182

68,015,078

2,441,741

2,220,682

72,677,501

2040

-

(5,680,500)

(5,680,500)

5,450,794

2,450,387

7,901,182

72,677,501

2,609,122

2,220,682

77,507,305

2041

-

(5,680,500)

(5,680,500)

5,709,707

2,191,475

7,901,182

77,507,305

2,782,512

2,220,682

82,510,499

2042

-

(5,680,500)

(5,680,500)

5,980,918

1,920,264

7,901,182

82,510,499

2,962,127

2,220,682

87,693,307

2043

-

(5,680,500)

(5,680,500)

6,265,012

1,636,170

7,901,182

87,693,307

3,148,190

2,220,682

93,062,179

2044

-

(5,680,500)

(5,680,500)

6,562,600

1,338,582

7,901,182

93,062,179

3,340,932

2,220,682

98,623,793

2045

(26,310,000)

(5,022,750)

(31,332,750)

6,874,323

1,026,858

7,901,182

98,623,793

3,540,594

(23,431,568)

78,732,819

2046

(27,660,000)

(3,673,500)

(31,333,500)

7,200,854

700,328

7,901,182

78,732,819

2,826,508

(23,432,318)

58,127,008

2047

(29,075,000)

(2,255,125)

(31,330,125)

7,542,894

358,287

7,901,182

58,127,008

2,086,760

(23,428,943)

36,784,825

2048

(30,565,000)

(764,125)

(31,329,125)

-

-

-

36,784,825

1,320,575

(31,329,125)

6,776,275

(113,610,000)

(166,509,125)

(280,119,125)

125,000,000

113,519,827

238,519,827

48,375,573

(41,599,298)

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New Money Structure: Scenario Statistics

Presented below are the two primary financing scenarios for the new money projects to be funded by the Series 2017 transaction. The Treasury Team is recommending the base scenario.

- A bullet structure is recommended because it allows OHIO to better leverage the bond proceeds by capitalizing its internal bank.

- The ability to pursue a bullet structure is dependent on market conditions and will be finalized at pricing.

<table>
<thead>
<tr>
<th></th>
<th>Base Scenario</th>
<th>Alternative Scenario</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Structure</strong></td>
<td>Bullet w/ Sinking Fund (Capitalize Internal Bank)</td>
<td>Level Debt Service</td>
</tr>
<tr>
<td><strong>Maturities</strong></td>
<td>FY 2045 to FY 2048</td>
<td>FY 2018 to FY 2048</td>
</tr>
<tr>
<td><strong>All-in TIC</strong></td>
<td>4.39%</td>
<td>4.05%</td>
</tr>
<tr>
<td><strong>Average Life (Years)</strong></td>
<td>29.31</td>
<td>19.57</td>
</tr>
<tr>
<td><strong>Par Amount</strong></td>
<td>$113,610,000</td>
<td>$111,700,000</td>
</tr>
<tr>
<td><strong>Interest Expense</strong></td>
<td>$166,509,125</td>
<td>$109,113,925</td>
</tr>
<tr>
<td><strong>Total Debt Service</strong></td>
<td>$280,119,125</td>
<td>$220,813,925</td>
</tr>
<tr>
<td><strong>PV Debt Service</strong></td>
<td>$133,115,191</td>
<td>$125,800,891</td>
</tr>
</tbody>
</table>

Rates as of 11/29/16; subject to future market conditions. Present value debt service discounted to Dated/Delivery Date of 03/01/17 at 4.00%. Each scenario assumes that the University finances $125 million in CIP projects using tax-exempt, fixed-rate debt.
Plan of Finance Summary and Recommendations

Based on the analysis herein, the Treasury Team recommends the following for the Series 2017 plan of finance.

- Over the past few months, the Treasury Team have analyzed various structures for its Series 2017 plan of finance.

- The recommended plan was determined by weighing the tradeoffs in regards to cost, risk and future flexibility.

**Plan of Finance Recommendations**

- **Debt Type:** Tax-Exempt Fixed Rate Debt
- **Coupons:** Various Coupons to Attract Broad Investor Base
- **Refunding Structure:** Matched Maturity Structure to Create Level Annual Debt Service Savings
- **New Money Structure:** Long-Dated Bullet Maturity to Support Internal Bank Strategy
Series 2017 Transaction Timeline

<table>
<thead>
<tr>
<th>Week of:</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 16, 2017</td>
<td>▪ Board of Trustees Meeting to review Plan of Finance (January 20th Meeting)</td>
</tr>
</tbody>
</table>
| January 23, 2017 | ▪ Receive Ratings  
                  | ▪ Receive Chancellor Approval                                 |
| January 30, 2017 | ▪ Mail Preliminary Official Statement  
                  | ▪ Pre-Marketing Period; Investor Calls (if needed)            |
| February 6, 2017 | ▪ Bond Pricing  
                  | ▪ Execute Bond Purchase Agreement                            |
| February 13, 2017 | ▪ Mail Final Official Statement                               |
| February 27, 2017 | ▪ Closing                                                    |
Legal Disclaimers

1. This presentation is not contractual, not a research report nor an offer to buy or sell or a solicitation of an offer to buy or sell any security or interest. Contractual obligations will be created only by formal written agreement. Information regarding pricing, interest rates, and transaction costs is preliminary and indicative only.

2. Except as compelled by applicable law we make no warranty, express or implied of any nature as to any information or technique herein and do not guarantee satisfactory results. In no event may we be liable for any special or consequential damages that may be incurred in using the data provided. Before entering into any transaction, you must independently determine the economic risks, and your institution’s ability to assume the risks. Senior management should be involved in or informed as to this process.

3. Risk assessment of derivative products is complex. One must also consider the implications of accounting and financial disclosure rules such as the FASB requirements for mark-to-market procedures or the extensive GASB reporting requirements.

4. We are not lawyers, accountants or tax specialists; you should seek and rely on independent advice as to such matters from properly qualified firms or individuals.

5. This presentation contains “forward-looking statements” (within the meaning of the Securities Act of 1933 and the Securities Exchange Act of 1934, which statements can be identified by the use of terminology such as “may”, “will”, “should”, “expect”, “project”, “estimate”. The assumptions underlying forward looking statements may involve known and unknown risks and uncertainties that could cause actual results, performance or events to differ materially from those expressed or implied in such statements. For example, inputs concerning pricing, interest rates, and transaction costs are necessarily preliminary and indicative. Long term projections are not predictions of what is going to happen. Their purpose is to develop an analytical construct that will demonstrate to decision makers the potential long term impacts of today’s financial decisions. Inherent risks and uncertainties include, but are not limited to general economic, market or business conditions; the opportunities (or lack thereof) that may be presented to or pursued by you; changes in laws or regulations; and other factors, many of which will be beyond your control.
Ohio University Debt Management Guiding Principles

These Debt Management Guiding Principles are intended to establish an internal management framework that combines the use of bond proceeds and prudent budgeting in order to reduce future borrowing needs and maximize utilization of working capital.

Internal Bank

The University utilizes institutional working capital to capitalize the Internal Bank. The assets and liabilities of the Internal Bank are distinctly managed in the university’s general ledger. Assets in the Internal Bank are utilized to fund a series of internal loans; predominantly for facility projects in execution of the institution’s Comprehensive Master Plan and Six-Year Capital Improvement Plan. These loans are fully amortized in accordance with the Internal Loan Guidelines (Attachment A). These internal loans become receivables of the Internal Bank and are budgeted and paid from the operating budgets of the respective units.

The University may seek to reimburse or fund facility projects funded through the Internal Bank via internal loans with bond proceeds in accordance with respective state and federal regulations and prevailing tax law requirements. Regardless of whether the underlying external debt is fully amortized or a bullet maturity, all respective qualifying facility projects will be issued as fully amortized internal loans. These internal loan payments will fund the external debt payments, including any future bullet maturity payments and balances will be invested with and managed within the Internal Bank assets.

All external debt payments, principal and interest, will be funded and paid from the Internal Bank assets which includes the internal loan payments made by the operating units.

Working capital funds within the Internal Bank are invested in accordance with the Board approved investment policies and in a manner to optimize return opportunities while ensuring appropriate liquidity for operations.

In the event that the University issues bullet maturity external debt, the working capital of the Internal Bank will be managed such that appropriate funds are available, on an appropriate glide path, to fund bullet maturities over-time. The University will provide regular reports to the Board of Trustees demonstrating that Internal Bank funds are adequate to meet principal payments due over time. For each individual bullet maturity, management will update the Internal Bank analysis and provide regular reporting to Executive Leadership and the Board of Trustees.

Bond Proceeds

The University will utilize bond proceeds as approved by the Board of Trustees, and in accordance with respective state and federal regulations and prevailing tax law requirements, to fund facility projects. All bond proceeds will be managed through the Internal Bank model detailed above with the exception of the 2014 Century Bonds which are managed in a separate and distinct model specific to those funds and in accordance with the principles established by the Board of Trustees.

Board of Trustees Oversight

The financing model for the Internal Bank is managed continuously; however, the Vice President for Finance and Administration shall review the program no less than once a year with the Board of Trustees.
Ohio University
Internal Loan Guidelines

GENERAL:

- All issued internal loans will be re-amortized for the remainder of their useful life in accordance with the guidelines in order to create the internal bank and depreciation model framework.

- Internal loans may be approved for major equipment purchases, remodeling or new construction projects and other approved uses.

- Internal loan paperwork is initiated through the Treasury Management Office using the Internal Loan Request Form (attachment A).

- Approvals from the Vice President for Finance, Provost and President are required.

- Internal loan minimums will be established.

- Fully executed request forms will be maintained by Treasury Management.

INTEREST RATES:

- Interest rates are variable over the life of the loan but will be fixed for each fiscal year (July 1-June 30).

- Interest rates will be based on the blended cost of capital including administrative and operating fees.

- Interest rates will be published annually by the 5th working day of the calendar year. Published rates will include the fixed rate for the next fiscal year plus estimated rates for the following two fiscal years (3 year rolling projections).

- If the published interest rate changes, revised amortization schedules will be prepared and distributed for all outstanding loans. No later than Feb 1.

TERMS:

- The loan start or issue date will typically be the first day of the month following CF&PC or Board of Trustee approval.

- The loan term cannot exceed the useful life of the asset being financed, or any associated tax-exempt financing period (whichever is less).

- The term for a gift bridge loan should coincide with the gift agreement/payment schedule, not to exceed 5 years.

- Departments will be charged principal and interest quarterly (monthly if preferred) based on the amortization schedules. Entries will be recorded by Treasury Management.

- Early payoff is permitted. Interest will be charged on outstanding loan balance until loan is paid in full.

- When a project is completed, the actual amount spent in comparison to the loan amount will be reviewed and funding adjustments will be made if necessary.
Century Bond Advisory Committee

January 12, 2017
Guiding Principles
Structural Guidelines
(Oct 17, 2014 Board of Trustees meeting)

1) Debt Service Sinking fund ($7M initial investment)
   - 50% Long Term Pool
   - 50% Conservative Pool
     - Minimum balance requirements driven by date milestones

2) Bond proceeds ($250M corpus)
   - Separate investment policy (developed with Hirtle Callahan)
   - Internal loan model with internal payments into century bond pool
   - Century bond corpus and Century Bond pool “coinvested”
   - Minimum combined balance will be managed to no less than $50M
   - Proceeds will be used for capital deferred maintenance or other programs identified and approved by the BOT as identified and scheduled in plan
Guiding Principles
Structural Guidelines
(Oct 17, 2014 Board of Trustees meeting)

1) Debt Service Sinking fund ($7M initial investment)
   ■ 50% Long Term Pool
   ■ 50% Conservative Pool
   ■ Minimum balance requirements driven by date milestones
1) Century Bond $7M Debt Reserve Pool
As of November 30, 2016

Asset Allocation

Debt Reserve Investment Pool

- Fixed Income: 48%
- U.S. Equity: 12%
- International Equity: 15%
- Hedge Funds: 9%
- Real Assets: 3%
- Private Equity: 4%
- Conservative Portfolio: 9%

Performance

Century Bond Reserve Diversified Portfolio

- Actual Return: 3.1%
- Benchmark Return: 2.5%
- Planned Return: 2.9%
- Fiscal YTD: -0.7%
- Three-Month: 0.1%
- One-Month: 0.6%

Century Bond Reserve Conservative Portfolio

- Actual Return: -13.1%
- Benchmark Return: -14.8%
- Planned Return: -15.0%
- Fiscal YTD: -14.0%
- Three-Month: -8.5%
- One-Month: -8.4%

Market Values

Debt Reserve Investment Pool

<table>
<thead>
<tr>
<th>Year 0</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY15</td>
<td>FY16</td>
<td>FY17</td>
<td>FY18</td>
</tr>
<tr>
<td>Actual</td>
<td>7,042,000</td>
<td>7,073,749</td>
<td>6,701,715</td>
</tr>
<tr>
<td>Expected</td>
<td>7,000,000</td>
<td>7,359,000</td>
<td>7,740,000</td>
</tr>
<tr>
<td>Required</td>
<td>7,000,000</td>
<td>6,400,000</td>
<td>6,700,000</td>
</tr>
</tbody>
</table>
Guiding Principles
Structural Guidelines
(Oct 17, 2014 Board of Trustees meeting)

2) Bond proceeds ($250M corpus)
   - Separate investment policy (developed with Hirtle Callahan)
   - Internal loan model with internal payments into century bond pool
   - Century bond corpus and Century Bond pool “coinvested”
   - Minimum combined balance will be managed to no less than $50M
   - Proceeds will be used for capital deferred maintenance or other programs identified and approved by the BOT as identified and scheduled in plan
Bond Proceeds Investments
(Oct 17, 2014 Board of Trustees meeting)

2) $100 million of proceeds set aside for initial 3-4 years of needs
   - Invested in highly liquid securities that mirror the allowable investments of the University’s tax-exempt debt proceeds

2) The remaining $150 million (less issuance costs) to be managed by the Foundation’s Investments Committee.
   - Investment allocation expected to change after the first six years
   - The initial six year period will be more liquid than the Foundation’s own investments portfolio and contain less risk
     - Interest earnings during this period will serve as the foundation for the fund in the future
   - Investments reallocated in year seven to allow for long term growth
     - Less liquid, albeit more risk, with higher long term returns expected
2) Century Bond Investment Pool
As of November 30, 2016

- $150 million of proceeds from the Century Bond (the portion of the proceeds that were designated to be invested in a long-term diversified strategy under the management of the OUF) are being invested in accordance with the approved schedule and asset allocation model. As of March 31, 2015 these proceeds were fully invested. The FY16 & FY15 actual returns were -3.7% and 1.6% respectively.

- $97 million of proceeds from the Century Bond were set aside for the initial 3-4 year program needs and were invested in highly liquid securities that mirror allowable investments of the University’s tax-exempt debt proceeds. In early May 2016, the unspent short-term proceeds of $77M were invested in Baird Ultra-Short-term and Short-term Bonds.

1 The expected annual return on the Century Bond Long-Term Portfolio is 6.9%.

- $150 million of proceeds from the Century Bond (the portion of the proceeds that were designated to be invested in a long-term diversified strategy under the management of the OUF) are being invested in accordance with the approved schedule and asset allocation model. As of March 31, 2015 these proceeds were fully invested. The FY16 & FY15 actual returns were -3.7% and 1.6% respectively.

- The Internal Loan Pool has been used to fund $8.4M of external debt service as investment earnings have not been adequate to fund external debt service. An additional $4.3M of Internal Loan Pool is available as of 11-30-16 to fund debt service. As of 11/30/16, the University’s working capital has funded $13.3M of the short-fall with the expectation that this will be refunded with future earnings and internal loan pool payments.
Initial Investment Allocation ($150 Million)
(Oct 17, 2014 Board of Trustees Meeting)

3) Early Years (1-6 years)
- Employ Asset Classes Approved for OUF endowment.
- Emphasize downside protection.
- PE allocation to build slowly over time, limited initial impact on return.
- Employ Hedge Managers to a greater degree (temporarily).
- Liquidity/flexibility more important at this stage.

Corpus Growth Years (7+ years).
- Allocation to be contingent on success during early stages.
- Generally seek to add higher return, less liquid investments.
- Emphasize “return seeking” investments -- liquidity less important.

Many Variables / Options to Manage Risk
- Active Investment Strategy must incorporate the cumulative success of the program.
- University spending must be flexible to manage risk.
Initial Investment Allocation
($150 Million)
(Oct 17, 2014 Board of Trustees Meeting)

3) Early Stage: Manage Risk
   - Overweight Hedge Allocation (reduced volatility)
   - Build Private Equity Exposure As Merited by Program’s Success
   - Follow HC Active Strategy For “De-Risking” Portfolios:
     - Strategic Cash
     - Cash Positions in Traditional Long-Only Portfolios
     - Underweight Fixed Income

Mid Stage / Growth Years: Manage Expected Return
   - Boost “Return Seeking” Investments
   - Expand Private Equity To Long-term Target
     - Emphasize Opportunities Associated with Illiquidity Premiums.
     - Allocations contingent on success during early stages.

Establish Spending Rules / Decision Making Framework for Executing On-going Changes to Active Strategy
   - Century Bond IPLAN – ranges that allow for conservative allocation
### 3) November 30, 2016 Asset Allocation with Investment Policy Targets and Ranges

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Market Value (in millions)</th>
<th>Long-Term Target</th>
<th>Range</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cash</strong></td>
<td>$11.2</td>
<td>7.5%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>20.0%</td>
</tr>
<tr>
<td><strong>Core Fixed Income</strong></td>
<td>8.4</td>
<td>5.6%</td>
<td>9.0%</td>
<td>3.0%</td>
<td>12.0%</td>
</tr>
<tr>
<td><strong>Opportunistic Fixed Income</strong></td>
<td>4.9</td>
<td>3.3%</td>
<td>3.0%</td>
<td>0.0%</td>
<td>8.0%</td>
</tr>
<tr>
<td><strong>TIPS</strong></td>
<td>5.0</td>
<td>3.3%</td>
<td>5.0%</td>
<td>2.0%</td>
<td>8.0%</td>
</tr>
<tr>
<td><strong>Subtotal - Fixed Income</strong></td>
<td>$29.5</td>
<td>19.7%</td>
<td>17.0%</td>
<td>12.0%</td>
<td>36.0%</td>
</tr>
<tr>
<td><strong>U.S. Large Cap Index</strong></td>
<td>29.7</td>
<td>19.8%</td>
<td>17.0%</td>
<td>8.0%</td>
<td>30.0%</td>
</tr>
<tr>
<td><strong>U.S. Small Cap</strong></td>
<td>2.0</td>
<td>1.3%</td>
<td>3.0%</td>
<td>0.0%</td>
<td>10.0%</td>
</tr>
<tr>
<td><strong>International Equity - Developed</strong></td>
<td>30.6</td>
<td>20.4%</td>
<td>16.0%</td>
<td>8.0%</td>
<td>26.0%</td>
</tr>
<tr>
<td><strong>International Equity - Emerging Markets</strong></td>
<td>13.9</td>
<td>9.3%</td>
<td>4.0%</td>
<td>0.0%</td>
<td>10.0%</td>
</tr>
<tr>
<td><strong>Subtotal - Global Equity</strong></td>
<td>$76.2</td>
<td>50.8%</td>
<td>40.0%</td>
<td>28.0%</td>
<td>60.0%</td>
</tr>
<tr>
<td><strong>Equity Hedge Funds</strong></td>
<td>22.8</td>
<td>15.2%</td>
<td>12.0%</td>
<td>0.0%</td>
<td>20.0%</td>
</tr>
<tr>
<td><strong>Fixed Income Hedge Funds</strong></td>
<td>7.5</td>
<td>5.0%</td>
<td>3.0%</td>
<td>0.0%</td>
<td>8.0%</td>
</tr>
<tr>
<td><strong>Commodities</strong></td>
<td>11.3</td>
<td>7.5%</td>
<td>4.0%</td>
<td>0.0%</td>
<td>10.0%</td>
</tr>
<tr>
<td><strong>Real Estate</strong></td>
<td>1.6</td>
<td>1.1%</td>
<td>4.0%</td>
<td>0.0%</td>
<td>10.0%</td>
</tr>
<tr>
<td><strong>Private Equity</strong></td>
<td>1.1</td>
<td>0.7%</td>
<td>20.0%</td>
<td>0.0%</td>
<td>30.0%</td>
</tr>
<tr>
<td><strong>Special Opportunities</strong></td>
<td>-</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>5.0%</td>
</tr>
<tr>
<td><strong>Subtotal - Alternatives</strong></td>
<td>$44.3</td>
<td>29.5%</td>
<td>43.0%</td>
<td>22.0%</td>
<td>65.0%</td>
</tr>
<tr>
<td><strong>Subtotal - Long-Term Assets</strong></td>
<td>$150.0</td>
<td>100.0%</td>
<td>100.0%</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Fixed Income for Short-Term Use</strong></td>
<td>$68.3</td>
<td>(includes $1.5M due to OU operating account)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td>$218.3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Guiding Principles
Program Guidelines
(Oct 17, 2014 Board of Trustees meeting)

4) University Operating budget will include and fund internal loan payments back to the University Century Bond Pool to offset/pay external interest and fund pool
   - Creating budgeted depreciation model
   - Builds and sustains budgeted depreciation from operations to $13M by Year 10
   - Annual draws ($10M internal loans) will be amortized over 10 years
   - Energy Infrastructure project will be amortized over 30 years

5) If Century Bond pool exceeds expected balances (based on investment returns modeled), first use will be incremental investment in annual deferred maintenance withdrawal to address respective inflationary impacts on backlog/sq. ft.

6) Goals for deferred maintenance balances (backlog/sq. ft.) will be established and tied to the program and evaluated annually

7) Plans for utilization of annual draws ($10M) will be developed during the annual budget process, and all projects to be funded from this pool will be identified during the project approval process
Guiding Principles

Program Guidelines

(Oct 17, 2014 Board of Trustees meeting)

4) University Operating budget will include and fund internal loan payments back to the University Century Bond Pool to offset/pay external interest and fund pool

- Creating budgeted depreciation model
- Builds and sustains budgeted depreciation from operations to $13M by Year 10
- Annual draws ($10M internal loans) will be amortized over 10 years
- Energy Infrastructure project will be amortized over 30 years
# 4) Century Bond Internal Loans and Spend

**As of November 30, 2016**

## Internal Loans:

<table>
<thead>
<tr>
<th>Department Name</th>
<th>Name of Account/Project</th>
<th>Original Loan</th>
<th>Interest Rate</th>
<th>Date of Loan</th>
<th>Loan Balance</th>
<th>Additions</th>
<th>Principal</th>
<th>Interest</th>
<th>Loan Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central Finance</td>
<td>Deferred Maintenance-FY15</td>
<td>$10,000,000</td>
<td>5.59%</td>
<td>12/01/14</td>
<td>$8,415,152</td>
<td>-</td>
<td>$860,416</td>
<td>$458,548</td>
<td>$7,554,736</td>
</tr>
<tr>
<td>Central Finance</td>
<td>EIP-1st Installment</td>
<td>$30,000,000</td>
<td>5.59%</td>
<td>12/01/14</td>
<td>$29,172,797</td>
<td>-</td>
<td>449,090</td>
<td>1,624,570</td>
<td>$28,723,707</td>
</tr>
<tr>
<td>Central Finance</td>
<td>Deferred Maintenance-FY16</td>
<td>$10,000,000</td>
<td>5.59%</td>
<td>12/01/15</td>
<td>$9,229,415</td>
<td>-</td>
<td>814,263</td>
<td>504,702</td>
<td>$8,415,152</td>
</tr>
<tr>
<td>Central Finance</td>
<td>EIP-2nd Installment</td>
<td>$30,000,000</td>
<td>5.59%</td>
<td>12/01/15</td>
<td>$29,597,797</td>
<td>-</td>
<td>425,000</td>
<td>1,648,659</td>
<td>$29,172,797</td>
</tr>
<tr>
<td>Central Finance</td>
<td>Deferred Maintenance-FY17</td>
<td>$10,000,000</td>
<td>5.59%</td>
<td>12/01/16</td>
<td>-</td>
<td>$10,000,000</td>
<td>254,729</td>
<td>1,058,589</td>
<td>$9,229,415</td>
</tr>
<tr>
<td>Central Finance</td>
<td>EIP-3rd Installment</td>
<td>$19,000,000</td>
<td>5.59%</td>
<td>12/01/16</td>
<td>-</td>
<td>$19,000,000</td>
<td>254,729</td>
<td>1,058,589</td>
<td>$18,745,271</td>
</tr>
<tr>
<td>Central Finance</td>
<td>Clippinger Phase I</td>
<td>$11,000,000</td>
<td>5.59%</td>
<td>12/01/16</td>
<td>-</td>
<td>$11,000,000</td>
<td>147,474</td>
<td>612,867</td>
<td>$10,852,526</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td><strong>$120,000,000</strong></td>
<td></td>
<td></td>
<td><strong>76,415,161</strong></td>
<td><strong>40,000,000</strong></td>
<td><strong>3,721,557</strong></td>
<td><strong>6,456,315</strong></td>
<td><strong>112,693,604</strong></td>
</tr>
</tbody>
</table>

**Total P&I** 10,177,872

## Spending

### By Fiscal Year

<table>
<thead>
<tr>
<th>Year</th>
<th>EIP Spend</th>
<th>Clippinger Spend</th>
<th>Def. Maint. Spend</th>
<th>EIP Loans</th>
<th>Clippinger Loans</th>
<th>Def. Maint. Loans</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
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<td>2016</td>
<td>$0</td>
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<td>2017</td>
<td>$0</td>
<td></td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>2018</td>
<td>$0</td>
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<tr>
<td>2019</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Cumulative

<table>
<thead>
<tr>
<th>Year</th>
<th>EIP Spend</th>
<th>Clippinger Spend</th>
<th>Def. Maint. Spend</th>
<th>EIP Loans</th>
<th>Clippinger Loans</th>
<th>Def. Maint. Loans</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>$0</td>
<td></td>
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<td>2016</td>
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<td>2017</td>
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<td>2018</td>
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<tr>
<td>2019</td>
<td>$0</td>
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</tr>
</tbody>
</table>

---

Ohio University

Century Bond Loans
### Century Bond Cumulative Spend as of Nov 30, 2016

<table>
<thead>
<tr>
<th>Project Name</th>
<th>CB15</th>
<th>CB16</th>
<th>CB17</th>
<th>EIP1</th>
<th>EIP2</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALDEN LIBRARY ROOF REPLACEMENT</td>
<td>187,386</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>187,386</td>
</tr>
<tr>
<td>AQUATIC CENTER ADA IMPROVEMENT</td>
<td>12,951</td>
<td></td>
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<td>12,951</td>
</tr>
<tr>
<td>AQUATIC CTR SUN DECK ROOF REPL</td>
<td></td>
<td></td>
<td>1,472</td>
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<td>1,472</td>
</tr>
<tr>
<td>ATHENS CAMPUS UTILITY METERING</td>
<td></td>
<td></td>
<td>172,820</td>
<td></td>
<td></td>
<td>172,820</td>
</tr>
<tr>
<td>BACKFLOW PREVENTER INS &amp; REPR</td>
<td>83,478</td>
<td></td>
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<td></td>
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<td>83,478</td>
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<tr>
<td>BENTLEY HALL ROOF REPLACEMENT</td>
<td></td>
<td>62,840</td>
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<td>62,840</td>
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<tr>
<td>BIRD ARENA ICE RINK PIPING</td>
<td>114,698</td>
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<td></td>
<td></td>
<td>114,698</td>
</tr>
<tr>
<td>BUC EVENT VENUE LIGHTING CNTRL</td>
<td>238,253</td>
<td>9,619</td>
<td></td>
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<td></td>
<td>247,872</td>
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<tr>
<td>CAMPUS FIRE ALARM UPGRADES</td>
<td></td>
<td></td>
<td>217,503</td>
<td></td>
<td></td>
<td>217,503</td>
</tr>
<tr>
<td>CAMPUS STEAM SYSTEM REPAIRS</td>
<td></td>
<td></td>
<td></td>
<td>6,000</td>
<td></td>
<td>6,000</td>
</tr>
<tr>
<td>CHUBB HALL CHILLER REPLACEMENT</td>
<td></td>
<td></td>
<td>722,058</td>
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<td>722,058</td>
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<tr>
<td>CLIPPINGER ROOF REPLACEMENT</td>
<td>491,061</td>
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<td></td>
<td>491,061</td>
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<tr>
<td>COLLEGE GREEN UPGRADE FY2012</td>
<td>207,349</td>
<td>954,062</td>
<td></td>
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<td></td>
<td>1,161,411</td>
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### 4) University Budget 2016-2017

#### 2.2 Budget Columns (All Funds)

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<th>Item Description</th>
<th>Athens Colleges and Schools</th>
<th>Regional Campuses and Centers</th>
<th>Auxiliaries</th>
<th>Administration &amp; Academic Support</th>
<th>Subvention</th>
<th>Operating Activity Subtotal</th>
<th>Non Operating Activity</th>
<th>Financial Statement Adj &amp; Component Units</th>
<th>GAAP Adj Totals</th>
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<td>Total Revenues</td>
<td>$495.4 M</td>
<td>25.2%</td>
<td>62.9%</td>
<td>19.3%</td>
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<td>0.0%</td>
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<tr>
<td>Total Expenses &amp; Indirect Cost Allocations</td>
<td>299.6 M</td>
<td>15.3%</td>
<td>26.0%</td>
<td>18.3%</td>
<td>4.8%</td>
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<tr>
<td>Total Direct Expenses</td>
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<td>18.3%</td>
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<tr>
<td>Total Allocations &amp; Transfers</td>
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<td>8.2%</td>
<td>10.8%</td>
<td>9.3%</td>
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<tr>
<td>Total Expense, Allocations &amp; Indirect Costs</td>
<td>396.4 M</td>
<td>21.9%</td>
<td>28.8%</td>
<td>22.7%</td>
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<tr>
<td>Total Results</td>
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<td>23.0%</td>
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<td>Transfers to Funds</td>
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<td>2.1%</td>
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<td>0.0%</td>
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</table>
5) If Century Bond pool exceeds expected balances (based on investment returns modeled), first use will be incremental investment in annual deferred maintenance withdrawal to address respective inflationary impacts on backlog/sq. ft.
## 5) Century Bond Model Assumptions
### Pre and Post Implementation

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<th>Pre-Implementation Model</th>
<th>New Model</th>
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<td>Internal Loan Rate:</td>
<td>• 5.50%</td>
<td>• 5.59%</td>
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<tr>
<td>Energy Infrastructure Tranches:</td>
<td>• 1 Tranche @ $90 Million</td>
<td>• 2 Tranches @ $30 Mil; 1 Tranche @ $19 Mil</td>
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<tr>
<td>Repayment Length:</td>
<td>• 30 Years</td>
<td>• 30 Years</td>
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<tr>
<td>Clipping Tranches:</td>
<td>• No Tranches</td>
<td>• 1 Tranche @ $11 Million</td>
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<td>Repayment Length:</td>
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<td>• 30 Years</td>
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<tr>
<td>Deferred Maintenance Tranches:</td>
<td>• 16 Tranches @ $10 Million</td>
<td>• 16 Tranches @ $10 Million</td>
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<tr>
<td>Repayment Length:</td>
<td>• 10 Years</td>
<td>• 10 Years</td>
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<td><strong>EXTERNAL BORROWING</strong></td>
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<tr>
<td>Interest Rate:</td>
<td>• 5.75%</td>
<td>• 5.59%</td>
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<td>Principal Amount:</td>
<td>• $250 Million</td>
<td>• $250 Million</td>
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<td>Maturity Date:</td>
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<td>• December 1, 2114</td>
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<td>STIP - B:</td>
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<td>LTIP:</td>
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<th>FY 2016</th>
<th>Thereafter</th>
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<td>Diversified:</td>
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### 5) Century Bond Model - Post-implementation

#### Delayed Payback Scenario

(Reviewed and approved by CBAC on 5/17/16)

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<th>CENTURY BOND</th>
<th>INTERNAL LOANS (EIP &amp; Deferred Maintenance)</th>
<th>CENTURY BOND CENTRAL BANK EQUILIBRIUM</th>
<th>DEFERRED MAINTENANCE FUND</th>
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<td>A</td>
<td>B</td>
<td>C</td>
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생략점: **PRELIMINARY AND SUBJECT TO CHANGE**

1. Endowment funded deferred maintenance spend occurs when the receipt of internal debt service from deferred maintenance loans is greater than the amount of bond funds spent on deferred maintenance in a given year.
2. If A+B+D+G is negative, the shortfall is funded through an advance of working capital equal to that amount. If A+B+D+G is positive and there is a balance of outstanding working capital, the advance is repaid the first month where the Century Bond balance never goes negative. If A+B+D+G is positive and there is no balance outstanding it is 0.
3. Prior year ending balance.
4. Budget funded deferred maintenance begins after the bond funds are fully spent.
Guiding Principles
Program Guidelines
(Oct 17, 2014 Board of Trustees meeting)

6) Goals for deferred maintenance balances (backlog/sq. ft.) will be established and tied to the program and evaluated annually
6) Deferred Maintenance Inventory
8/25/16 Board of Trustee Meeting

Deferred Maintenance Assessment: Then and Now

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<tr>
<th>CIP</th>
<th>2013-2018</th>
<th>2017-2022</th>
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Excluded Facilities:
- Housing & Auxiliaries
- Leased Space
- Utilities
- Regionals
- Utilities
- Unoccupied Buildings at The Ridges
- Leased Space
- Regionals
- Unoccupied Buildings at The Ridges
- Leased Space

Backlog per GSF by Fiscal Year

Above: Chart from 2010 Sightlines Study sharing anticipated deferred maintenance backlog increase using funding levels typically being spent at that time.

Backlog reduction chart from FY15-FY20 CIP

See CIP Booklet Pages 34-35 for more information
6) Deferred Maintenance Inventory

8/25/16 Board of Trustee Meeting

- State of Ohio hires
- Sightlines to conduct facilities assessments for public universities
- 8.0M Campus GSF for Backlog Calculation
- Walter Fieldhouse increases GSF
- University hires EMG firm to conduct building assessments
- Housing Phase 1 increases GSF for Backlog Calculation
- Back South & PSAC Building Removal reduces GSF
- 8.2M Campus GSF for Backlog Calculation

Backlog per GSF by Fiscal Year

- 2010: $87
- 2011: $93
- 2012: $91
- 2013: $94
- 2014: $99
- 2015: $105
- 2016: $97
- 2017: $111
- 2018: $101
- 2019: $117
- 2020: $104
- 2021: $104
- 2022: $59

*2022 GSF Total: $8.2M does not include changes that may occur with HCOM and relocation projects which we will factor once planning complete

See CIP Booklet Pages 34-35 for more information
6) Deferred Maintenance Inventory

8/25/16 Board of Trustee Meeting

Backlog Reduction/Increase Metric

**KEY**
- Orange: Do Nothing
- Black: Use only State Capital
- Green: Implement Six Year CIP

**Past Spending with Limited Resources**
- 2005: $5.73
- 2006: $11.89
- 2007: $7.25
- 2008: $2.80
- 2009: $18.45
- 2010: $0.06
- 2011: $14.97
- 2012: $3.18
- 2013: $2.97
- 2014: $2.97
- 2015: $20.84
- 2016: $10.13

**Past Spending after Introduction of Debt**
- 2013: $1.71
- 2014: $32.71
- 2015: $5.00
- 2016: $100.80
- 2017: $14.66
- 2018: $24.67
- 2019: $49.33
- 2020: $42.33
- 2021: $5.83

**Century Bond Program**
- 2017: $24.67
- 2018: $24.67
- 2019: $24.67
- 2020: $24.67
- 2021: $24.67
- 2022: $24.67

**Forecasted Spending with Implementation of FY17-FY22 Six Year CIP**
- 2017: $48.50
- 2018: $48.50
- 2019: $48.50
- 2020: $48.50
- 2021: $23.56
- 2022: $48.50

**Dollars Per GSF**
- 2005: $22
- 2006: $22
- 2007: $22
- 2008: $22
- 2009: $22
- 2010: $22
- 2011: $22
- 2012: $22
- 2013: $22
- 2014: $22
- 2015: $22
- 2016: $22
- 2017: $22
- 2018: $22
- 2019: $22
- 2020: $22
- 2021: $22
- 2022: $22

**Dollars Spent in Millions**
- 2005: 200
- 2006: 400
- 2007: 600
- 2008: 800
- 2009: 1000
- 2010: 1200
- 2011: 1400
- 2012: 1600
- 2013: 1800
- 2014: 2000
- 2015: 2200
- 2016: 2400
- 2017: 2600
- 2018: 2800
- 2019: 3000
- 2020: 3200
- 2021: 3400
- 2022: 3600

**Key Metrics**
- 6) Deferred Maintenance Inventory
- 8/25/16 Board of Trustee Meeting

**Notes**
- Forecasted spending with implementation of FY17-FY22 Six Year CIP
- New deferred maintenance strategy introduced
7) Plans for utilization of annual draws ($10M) will be developed during the annual budget process, and all projects to be funded from this pool will be identified during the project approval process.
## 7) Century Bond FY17 & FY18 Projects

(October, 16, 2015 Board of Trustees Meeting)

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Deferred Maintenance Prioritization
(August 25, 2016 Board of Trustees Meeting)

- $10M per year in Century Bond Funds ($60M Six Year Total)
- Approximately $22.3M per biennium in State Capital Appropriations ($66.9M Six Year Total)
- Review of comprehensive database and prioritization revealed $228.6M of “Must do” projects.
- Of the $126.9M Century/State funds available, $71.84M has already been prioritized—Examples:
  - Clippinger $34.6M
  - Ellis $7.34M
  - Seigfred $16.10M
- Remaining $55.06M prioritized towards building envelope, MEP, & other
- $2.5M/year in Emergency funds set aside to offset potential failures

<table>
<thead>
<tr>
<th>Classification &amp; Project</th>
<th>FY17 - FY22 6 Year Capital Improvement Plan</th>
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<tbody>
<tr>
<td>Seigfried Hall Renovations (Phases II &amp; III)</td>
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- $10M per year in Century Bond Funds ($60M Six Year Total)
- Approximately $22.3M per biennium in State Capital Appropriations ($66.9M Six Year Total)
- Review of comprehensive database and prioritization revealed $228.6M of “Must do” projects.
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  - Seigfred $16.10M
- Remaining $55.06M prioritized towards building envelope, MEP, & other
- $2.5M/year in Emergency funds set aside to offset potential failures
## FY17 - FY22 6 Year Capital Improvement Plan

### Classification & Project

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<tr>
<th>Project Description</th>
<th>Six Year Total</th>
<th>Funding Sources</th>
<th>Capital Expenditure Forecast</th>
<th>Project Budget Left to Spend in Future Years</th>
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<td>0.90</td>
<td>0.10</td>
<td></td>
</tr>
<tr>
<td>Innovation Center Roof Replacement</td>
<td>$0.30</td>
<td>0.30</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Convocation Roof Replacement</td>
<td>$5.00</td>
<td>5.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prioritized Roof Repairs (Ping, Lindley, Central Classroom, Gordy, Copeland, Grover)</td>
<td>$3.90</td>
<td>3.05</td>
<td>0.85</td>
<td></td>
</tr>
<tr>
<td>Emergency Projects Funds</td>
<td>$15.00</td>
<td>15.00</td>
<td></td>
<td></td>
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<tr>
<td>ADA</td>
<td>$1.50</td>
<td>1.50</td>
<td></td>
<td></td>
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<tr>
<td>Energy Infrastructure Project (EIP) - Planned Projects</td>
<td>$53.41</td>
<td>53.41</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seigfred Hall Renovations Phase II</td>
<td>$17.60</td>
<td>7.80</td>
<td>1.50</td>
<td>8.30</td>
</tr>
<tr>
<td>Ellis Hall Infrastructure Renewal</td>
<td>$12.38</td>
<td>0.74</td>
<td>6.60</td>
<td>5.04</td>
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<tr>
<td>Clippinger Renovation Strategy</td>
<td>$98.16</td>
<td>14.60</td>
<td>30.00</td>
<td>53.56</td>
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<tr>
<td>The Perry and Sandy Sook Academic Center (ADA accommodations)</td>
<td>$6.17</td>
<td>0.10</td>
<td></td>
<td>6.07</td>
</tr>
</tbody>
</table>
WHEREAS, The Board of Trustees of Ohio University is vested by Ohio Law (Section 3345.05 of the Revised Code) with certain responsibilities, as follows:

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

WHEREAS, the Resources Committee of the Board of Trustees has reviewed and recommended formal adoption of the Century Bond and Deferred Maintenance Program Investment Policy as adopted by the Foundation board November 5, 2016, as it applies to long-term investments associated with the University’s Century Bond and Deferred Maintenance Program, and

WHEREAS, the Resources Committee of the Board of Trustees has reviewed and recommended formal adoption of General Endowment Fund Investment Policy as adopted by the Foundation board November 5, 2016, as it applies to endowment funds, which is also covered by Ohio Law (Section 3345.16 of the Revised Code) where the endowment investments are managed by The Ohio University Foundation, and

WHEREAS, The Board of Trustees has previously adopted a non-endowment investment policy that complies with Section 3345.05 of the Revised Code, and

WHEREAS, any funds invested as diversified pool investments, pursuant to the aforementioned non-endowment investment policy, will be further governed by the aforementioned endowment funds investment policy.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees recommends adoption of Century Bond and Deferred Maintenance Program Investment Policy and the General Endowment Fund Investment Policy as adopted by the Foundation board November 5, 2016, as it applies to the University endowment funds and long-term century bond funds.

BE IT FURTHER RESOLVED, that the performance of the endowment and century bond investments, as well as any future modifications to the Century Bond and Deferred Maintenance Program Investment Policy or the General Endowment Fund Investment
Policy, will be presented to the Resources Committee for their review as necessitated by changes to the policies, and

**BE IT FURTHER RESOLVED,** that the Board of Trustees has empowered The Ohio University Foundation’s Investment Sub-Committee to act on its behalf in accordance with the aforementioned investment policies, and

**BE IT FURTHER RESOLVED,** that the aforementioned investment policies supersede all previously adopted investment related policies; and all prior resolutions concerning the aforementioned investment policies of the Board of Trustees not specifically referenced herein shall be rescinded.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

Re: Approval of Revised Investment Policies

Pursuant to resolution 2002-1851, the University’s Board of Trustees entrusted oversight of the long-term investment portfolio to the Investment Sub-Committee of The Ohio University Foundation. The Foundation’s General Endowment Fund Investment Policy is used to guide the investments of the long-term portfolio, which is comprised of the University’s and Foundation’s endowments and quasi-endowments, as well as a portion of the University’s and Foundation’s working capital.

The University’s Board of Trustees has also entrusted oversight of the Century Bond and Deferred Maintenance Program’s long-term investments to the Foundation’s Investment Sub-Committee. These investments are guided by the Century Bond and Deferred Maintenance Program Investment Policy.

At its November 2016 meeting, the Foundation reviewed and approved updates to the General Endowment Fund Investment Policy and the Century Bond and Deferred Maintenance Program Investment Policy. These updates relate to 1) the benchmarks that are used to monitor investment performance in the long-term endowment portfolio and long-term century bond portfolio and 2) a requirement that the Foundation Board’s Investment Sub-committee conduct a formal evaluation of the Managing Fiduciary at least once every three years.

At the January meeting the University’s Board of Trustees will be asked to review and approve these changes. For your reference, a redlined summary of the changes to these investment policies follows as part of this memo. Revised versions of both policies immediately follow this memo.
General Endowment Fund Investment Policy Updates

- Change the amended date (page 1 of the policy):

  The Ohio University Foundation
  Investment Policy – General Endowment Fund
  as Amended February-November 2016

- In order to impose a more specific discipline on the evaluation of the managing fiduciary, insert language into the Governing Fiduciary section (page 2) of the policy):

  Governing Fiduciary

  The Foundation’s Investment Sub-Committee will act as Governing Fiduciary with responsibility to manage and invest the Fund assets. In its capacity as a Governing Fiduciary, the Investment Sub-Committee has the authority to retain qualified organizations or persons to perform the roles of Managing Fiduciary and Operating Fiduciary.

  As the Governing Fiduciary, the Investment Sub-Committee’s responsibilities include:

  1. Recommending revisions in the Investment Policy to the Board of Trustees of the Foundation.
  2. Appointing and overseeing the Managing Fiduciary who shall have responsibility and discretion for implementing investment strategies in accordance with the Investment Plan attached hereto as Attachment A.
  3. Conducting a formal performance evaluation of the Managing Fiduciary at least once every three years.
  4. Establishing one or more custody accounts with a custodian to maintain Fund assets.
  5. Periodically reviewing the Fund’s asset allocation.
  6. Delegating to the Managing Fiduciary specific administrative and operational responsibilities dealing with the investment and reinvestment of the Fund’s assets, as outlined in the Managing Fiduciary Client Agreement.
  7. Monitoring compliance with this Investment Policy.
  8. Reviewing periodically the following subjects with the Managing Fiduciary:

- Add new and change existing benchmark names (page 6 of the policy), as follows:

  Performance Benchmarks

  The Fund will reference two-five benchmarks for evaluating investment performance of the aggregate portfolio. First, the combined S&P 500 and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Fund, will be used as the diversified-core domestic benchmark. Second, the combined MSCI All Country World Index and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Fund, will be used as the core global benchmark. Third, a policy diversified benchmark will consist of the common industry benchmarks for the individual asset classes weighted according to the actual asset allocation excluding private equity. Finally, two absolute return benchmarks will measure whether portfolio performance is achieving inter-generational equity. The first of these benchmarks will reflect the Foundation’s stated spending rate plus the consumer price index, while the second of these benchmarks will reflect the Foundation’s stated spending rate plus the higher-education price index.
Century Bond and Deferred Maintenance Program Investment Policy Updates

- Change the amended date (page 1 of the policy):

  Ohio University
  Investment Policy - Century Bond and Deferred Maintenance Program as Amended February-November 2016

- In order to impose a more specific discipline on the evaluation of the managing fiduciary, insert language into the Governing Fiduciary section (page 2) of the policy:

  Governing Fiduciary
  The Foundation’s Investment Sub-Committee will act as Governing Fiduciary with responsibility to manage and invest the Pool assets. In its capacity as a Governing Fiduciary, the Investment Sub-Committee has the authority to retain qualified organizations or persons to perform the roles of Managing Fiduciary and Operating Fiduciary.

  As the Governing Fiduciary, the Investment Sub-Committee’s responsibilities include:

  1. Recommending revisions in the Investment Policy to the Board of Trustees of the University and then informing the Managing Fiduciary of these changes.

  2. Appointing and overseeing the Managing Fiduciary who shall have responsibility and discretion for implementing investment strategies in accordance with the Investment Plan attached hereto as Attachment A.

  3. Conducting a formal performance evaluation of the Managing Fiduciary at least once every three years.

  4. Establishing one or more custody accounts with a custodian to maintain Pool assets.

  5. Reviewing and approving the appropriate risk level and asset allocation of the Pool on a quarterly basis.

  6. Reviewing the proposed distribution schedule and making any necessary changes with the University’s finance staff. The Governing Fiduciary will be responsible to communicate any changes to this schedule to the Managing Fiduciary.

  7. Establishing with the Managing Fiduciary a clearly defined decision-making process that will be used to implement short-term investment policies to protect the assets of the Pool should such action be deemed necessary.

  8. Delegating to the Managing Fiduciary specific administrative and operational responsibilities dealing with the investment and reinvestment

- Add new and change existing benchmark names (pages 6-7 of the policy), as follows:
Performance Benchmarks

The Pool will reference two or three benchmarks for evaluating investment performance of the aggregate portfolio. First, the combined S&P 500 and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Pool, will be used as the undiversified core domestic benchmark. Second, the combined MSCI All Country World Index and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Pool, will be used as the core global benchmark. Third, a policy diversified benchmark will consist of the common industry benchmarks for the individual asset classes weighted according to the actual asset allocation, excluding private equity during the transition period. After the transition period, the diversified benchmark will be weighted according to the target allocation, excluding private equity.
The Ohio University Foundation

Investment Policy – General Endowment Fund
as Amended November 2016

The overriding goal of The Ohio University Foundation (the “Foundation”) is to support Ohio University’s mission of teaching, research and creative activity, and benefiting mankind through commercial development of discoveries created through Ohio University related research.

Investment Objective

The long-term objective of the Foundation’s General Endowment Fund (the “Fund”) is to maximize the real return, or the nominal return less inflation, of the assets over a complete market cycle with emphasis on preserving capital and reducing volatility through prudent diversification. The Investment Sub-Committee of the Foundation (“Investment Sub-Committee”) has adopted an investment strategy which has the long-term objective of producing real growth of assets in excess of the Fund’s spending requirements and inflation. In order to achieve this objective, the Investment Sub-Committee must be cognizant of the current spending policy of the Foundation, which is approved by the Board of Trustees annually. Interim results will be reviewed with the understanding that an important priority of the assets is providing for future generations. Due to capital market volatility, the return may vary significantly over shorter periods of time. Ultimately, it is the Foundation’s position that, unless there are risk concerns related to the markets, as identified by the Managing Fiduciary, or programmatic concerns, as communicated to or identified by the Treasurer of the Foundation, then all gifts or funds directed to the Fund will be invested in accordance with the Investment Plan, identified as Attachment A.

The Investment Policy may be reviewed by a majority of the Investment Sub-Committee, as defined by the Foundation’s Code of Regulations, at any time and will be reviewed, at a minimum, on an annual basis by the Investment Sub-Committee. For the Managing Fiduciary, as defined below, to be subject to the Investment Policy terms, amendments to the Investment Policy must be approved by the Managing Fiduciary. Any required revision or amendment will be submitted to the Foundation Board of Trustees for approval.

Fiduciary Responsibilities

Oversight of the Fund’s assets will be performed by a tiered fiduciary structure. The Foundation’s Investment Sub-Committee, also referred to herein as the Governing Fiduciary, will have ultimate responsibility for ensuring that the long term objectives established and approved for the Fund by the Investment Sub-Committee are achieved. The Managing Fiduciary, or Chief Investment Officer,
will be authorized by the Governing Fiduciary to implement and manage investments in accordance with the written Investment Plan attached hereto as Attachment A, to achieve the long term objectives of the Fund, work with the various Operating Fiduciaries, hereinafter defined, and report regularly to the Governing Fiduciary. Notwithstanding the previous sentence, the Managing Fiduciary will not have responsibility for those assets defined as “self-directed” under the Managing Fiduciary Client Agreement. Operating Fiduciaries are defined as qualified persons or organizations that provide specialized professional services necessary to fulfill functional and administrative requirements of the Fund.

**Governing Fiduciary**

The Foundation’s Investment Sub-Committee will act as Governing Fiduciary with responsibility to manage and invest the Fund assets. In its capacity as a Governing Fiduciary, the Investment Sub-Committee has the authority to retain qualified organizations or persons to perform the roles of Managing Fiduciary and Operating Fiduciary.

As the Governing Fiduciary, the Investment Sub-Committee’s responsibilities include:

1. Recommending revisions in the Investment Policy to the Board of Trustees of the Foundation.
2. Appointing and overseeing the Managing Fiduciary who shall have responsibility and discretion for implementing investment strategies in accordance with the Investment Plan attached hereto as Attachment A.
3. Conducting a formal performance evaluation of the Managing Fiduciary at least once every three years.
4. Establishing one or more custody accounts with a custodian to maintain Fund assets.
5. Periodically reviewing the Fund’s asset allocation.
6. Delegating to the Managing Fiduciary specific administrative and operational responsibilities dealing with the investment and reinvestment of the Fund’s assets, as outlined in the Managing Fiduciary Client Agreement.
7. Monitoring compliance with this Investment Policy.
8. Reviewing periodically the following subjects with the Managing Fiduciary:
   a. Investment performance, including comparisons to appropriate benchmarks.
   b. Current asset allocation of all assets included in the Fund.
   c. Progress toward the stated performance objectives documented in this Investment Policy.
The Ohio University Foundation’s Treasurer, or his designee, is accountable to:

1. Facilitate execution, at the direction of the Investment Sub-Committee, of the Investment Policy and Investment Plan.
2. Sign the appropriate investment contracts that have been approved by the Investment Sub-Committee. This includes the Managing Fiduciary Client Agreement, alternative asset contracts and the custodian agreement. Additionally, all contracts for alternative investments must be executed by an authorized signer of The Ohio University Foundation.
3. Direct the Managing Fiduciary regarding cash flows into and out of the investment accounts. The Managing Fiduciary will have no authority to distribute money outside of these investment accounts without prior written approval by an authorized signer.
4. Monitor the spending policy of the Endowment.

Managing Fiduciary

The Managing Fiduciary, or Chief Investment Officer, will have day-to-day responsibility and discretion for investing the Fund’s assets, including the selection and supervision of the investment managers and interacting with the custodian bank in their respective roles as Operating Fiduciaries, in a manner consistent with achieving the objectives of this Investment Policy. Within its authority to make and put into effect administrative and operational decisions with respect to the investment and reinvestment of the Fund’s assets, the Managing Fiduciary will be responsible to the Governing Fiduciary and report its actions on a regular basis to the Governing Fiduciary as set forth in the Client Agreement that governs the relationship.

The Managing Fiduciary shall be a registered investment advisor and subject to compliance with all applicable federal rules and regulations. As the Managing Fiduciary, the responsibilities of the Chief Investment Officer include:

1. Investing funds, through selected investment managers, within the guidelines and asset allocation ranges as set forth in the Investment Plan attached to this Investment Policy.
2. Administrative and operational functions to support the Investment Policy dealing with the investment and reinvestment of the Fund’s assets.
3. Evaluating the asset allocation of the Fund’s portfolio consistent with the Investment Policy.
4. Periodically reviewing and recommending any changes or modifications of the Fund and the asset allocation ranges to the Governing Fiduciary for its consideration.
5. Allocating contributions and other cash flows to investment managers or to other investment accounts as established.
6. Taking all actions with respect to investment managers including hiring and terminating, monitoring and reviewing of investment manager contracts.

7. Setting investment guidelines for investment managers and monitoring their compliance and reviewing these guidelines and their compliance with the Governing Fiduciary to the extent the account assets are placed in a separately managed account.

8. Meeting with investment managers and evaluating their investment performance.

9. Meeting with the Governing Fiduciary at least quarterly or at other intervals as directed by the Governing Fiduciary.

Asset Allocation

To achieve the investment objective of the Fund, an asset allocation study was conducted to establish percentage ranges for each asset class eligible for investment within the portfolio. The asset allocation study analyzed the expected return, risk and correlation of several asset classes, as well as the expected return and risk of various portfolios of these asset classes. The expected return and risk of various portfolios were evaluated in terms of their ability to best meet the Fund's long-term investment objectives. Based upon this analysis, an asset allocation policy including ranges for each asset class was constructed that meets the current investment objectives of the Fund. The asset allocation policy is contained in the Investment Plan shown in Attachment A. This Investment Plan may be amended upon a recommendation from the Managing Fiduciary subject to the approval of the Governing Fiduciary.

Rebalancing Procedures

The Managing Fiduciary will periodically rebalance the Fund within the asset allocation ranges set forth in Attachment A. The need for rebalancing should be addressed at least quarterly, or more frequently if warranted by events. Rebalancing should be done only after considering the effect that transaction costs and market impact will have on the overall portfolio.

Although it is the policy of the Managing Fiduciary to invest assets in accordance with the maximum and minimum ranges for each asset class, as set forth in Attachment A, rapid unanticipated market movements or cash flows may cause the asset mix to temporarily fall outside those ranges.

Investment Manager Structure

The assets in each asset class will be invested in accounts managed by one or more independent, third party investment managers that specialize in the specific asset class. Investment managers of varying styles (e.g. growth, value, active, passive, etc.) may be employed within each asset class. Multiple investment
managers may be utilized within an asset class at the discretion of the Managing Fiduciary. Performance results for each asset class will be included in the Managing Fiduciary’s quarterly report to the Governing Fiduciary.

Investment managers will be selected by the Managing Fiduciary to manage assets of the Fund based upon a quantitative and qualitative review process. The investment vehicles used to employ a strategy may include registered 1940 Act Funds. The review process will consider criteria including but not limited to the people, the investment philosophy, the investment process, the investment performance, the organization and the operations of the firm. The investment manager’s strategy will be evaluated regarding its effectiveness in complementing the Fund’s other investment managers in order to achieve the desired result.

**Guidelines for Traditional Investment Managers**

Traditional investment managers that are appointed to manage assets for the Fund through separate accounts will be provided investment guidelines as appropriate. In general, the guidelines will stipulate the types of securities in which the account may invest, the general characteristics for the portfolio and/or the performance benchmark and objectives. These specific guidelines may vary depending upon the asset class or sub-asset class and do not pertain to alternative investments. The guidelines will conform to the following requirements:

1. Investment managers shall generally remain fully invested, except for transitional cash that is needed for cash flows and trading, and shall be invested to maintain risk characteristics consistent with their benchmark and their asset class style pursuant to their prospectuses.

2. Investment portfolios shall be diversified across managers, asset classes, and styles.

3. Investment managers shall invest the majority of their assets in securities that reflect their asset class assignment and their prospectuses.

4. The investment managers may invest in fully collateralized derivatives (swaps or futures) to maintain market exposure, provide liquidity, and hedge currency. Notwithstanding the previous sentence, a manager may utilize derivatives as part of their strategy to gain exposure to certain markets and sectors or to maintain portfolio risk, without introducing leverage into the portfolio.

5. Investment managers may invest in private placements with the approval of the Investment Sub-Committee.

6. The Fund may invest in commingled funds, in recognition of the benefits of commingled funds as investment vehicles (i.e., the ability to diversify more extensively than in a small, direct investment account and the lower costs
which can be associated with these funds). The Investment Sub-Committee recognizes that they may not be permitted to give specific policy directives to a fund whose policies are already established; therefore, the Investment Sub-Committee is relying on the Managing Fiduciary to assess and monitor the investment policies of such funds.

7. Investment managers are permitted to trade in publicly traded Real Estate Investment Trusts (REITs), but cannot invest in private real estate transactions excluding 144A securities without the approval of the Governing Fiduciary.

Alternative Investment Guidelines

The Fund may invest in private real estate, limited partnership interests and alternative investments, including private equity and hedge funds, only with the prior approval of the Governing Fiduciary. The Governing Fiduciary, at the request of the Managing Fiduciary, will determine the appropriateness of each investment on a case-by-case basis, taking into consideration the relevant analysis of the investment as provided by the Managing Fiduciary, including the illiquidity of the investment, in addition to the Fund’s overall allocation to alternative investments. Notwithstanding the foregoing, the Managing Fiduciary does not have investment oversight responsibility of the assets in the “self-directed” account, as outlined in the Managing Fiduciary Client Agreement.

Performance Benchmarks

The Fund will reference five benchmarks for evaluating investment performance of the aggregate portfolio. First, the combined S&P 500 and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Fund, will be used as the core domestic benchmark. Second, the combined MSCI All Country World Index and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Fund, will be used as the core global benchmark. Third, a policy diversified benchmark will consist of the common industry benchmarks for the individual asset classes weighted according to the target allocation, excluding private equity. Finally, two absolute return benchmarks will measure whether portfolio performance is achieving inter-generational equity. The first of these benchmarks will reflect the Foundation’s stated spending rate plus the consumer price index, while the second of these benchmarks will reflect the Foundation’s stated spending rate plus the higher-education price index.

Attachments B and C include a list of all asset class and investment manager benchmarks, respectively, to be used in evaluating performance. These benchmarks will apply until such time as amended upon recommendation by the Managing Fiduciary and approved by the Governing Fiduciary.
Investment Officer

Hirtle, Callaghan & Co. will serve as the Chief Investment Officer and Managing Fiduciary for the Fund. Hirtle, Callaghan & Co. will report directly to the Investment Sub-Committee, in its capacity as Governing Fiduciary for the Fund, and will be responsible and have discretion for implementing the Investment Policy contained herein, monitoring the overall investment program and investment managers, recommending changes to the Investment Policy and other duties as discussed in this document. Notwithstanding the above, Hirtle Callaghan & Co., as the Managing Fiduciary does not have investment oversight responsibility of the assets in the “self-directed” account, as outlined in the Managing Fiduciary Client Agreement.

Approval:

This Investment Policy for The Ohio University Foundation is hereby adopted this ___ day of _________ 2016.

By:

Title: President and CEO
The Ohio University Foundation

Title: Hirtle, Callaghan & Co., LLC
as Managing Fiduciary

Title: Treasurer
The Ohio University Foundation

Title: Hirtle, Callaghan & Co., LLC
as Managing Fiduciary
### The Ohio University Foundation

<table>
<thead>
<tr>
<th>ASSET CLASS</th>
<th>(1) LONG-TERM POLICY TARGET</th>
<th>(2) RANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Min</td>
<td>Max</td>
</tr>
<tr>
<td>Global Equity</td>
<td>40%</td>
<td>40% - 60%</td>
</tr>
<tr>
<td>US Large Cap Equity</td>
<td>21%</td>
<td>15% - 30%</td>
</tr>
<tr>
<td>US Small Cap</td>
<td>8%</td>
<td>2% - 15%</td>
</tr>
<tr>
<td>Intl Equity - Developed</td>
<td>20%</td>
<td>14% - 24%</td>
</tr>
<tr>
<td>Intl Equity - Emerging</td>
<td>5%</td>
<td>2% - 15%</td>
</tr>
<tr>
<td>Alternatives</td>
<td>31%</td>
<td>15% - 38%</td>
</tr>
<tr>
<td>Private Equity (Ex-Real Estate)</td>
<td>6%</td>
<td>0% - 15%</td>
</tr>
<tr>
<td>Equity - Hedge (Total Return)</td>
<td>6%</td>
<td>0% - 15%</td>
</tr>
<tr>
<td>Fixed Inc. - Hedge (Absolute Return)</td>
<td>3%</td>
<td>0% - 15%</td>
</tr>
<tr>
<td>Commodities</td>
<td>5%</td>
<td>0% - 10%</td>
</tr>
<tr>
<td>Real Estate</td>
<td>5%</td>
<td>0% - 10%</td>
</tr>
<tr>
<td>Special Opportunities</td>
<td>3%</td>
<td>0% - 5%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>20%</td>
<td>17% - 42%</td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>10%</td>
<td>5% - 15%</td>
</tr>
<tr>
<td>Opportunistic Fixed Income</td>
<td>4%</td>
<td>2% - 8%</td>
</tr>
<tr>
<td>TIPS</td>
<td>6%</td>
<td>3% - 10%</td>
</tr>
<tr>
<td>Cash</td>
<td>0%</td>
<td>0% - 20%</td>
</tr>
<tr>
<td>Total</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

(1) LONG-TERM POLICY TARGET - long-term targets for detailed asset classes (requires approval). Sub-totals subject to rounding.

(2) RANGE - minimum & maximum targets for strategic ranges (requires approval).

This Investment Plan was developed by Hirtle Callaghan in consultation with The Ohio University Foundation (the Client) and is made a part of the Client Agreement. The Client acknowledges and agrees, the Investment Plan applies to assets held in the Main Account and all related sub-accounts (existing or opened after the effective date of this plan). In addition, all main accounts (and related sub-accounts) listed on this Investment Plan are to be managed as a consolidated account, which means that while each account alone may or may not conform to the asset allocation listed above, all accounts combined will be managed in accordance with the stated investment allocation.

Market conditions may move an account outside of the approved ranges and the implementation of a change to rebalance the account will be made in an orderly manner and consistent with Hirtle Callaghan's fiduciary responsibilities to Client and industry standards. Changes to this Investment Plan may be effected upon execution by Client and Hirtle Callaghan of a new Investment Plan, provided that the implementation of such change, if any, will be made in an orderly manner and consistent with Hirtle Callaghan's fiduciary responsibilities to Client and industry standards.

---

Byron Bechhofer  
President & CEO, The Ohio University Foundation  

Peter M. Holovay  
Director, Hirtle Callaghan  

Richard M. Behler  
Portfolio Manager, Hirtle Callaghan  

Robert J. Zier  
Principal, Hirtle Callaghan  

Date: 6/19/16  
Date: 6/13/16  
Date: 6/13/16
Attachment B – Benchmarks (Asset Class)

The performance of each asset class will be evaluated versus the asset class performance benchmark and where available, to a universe of managers of similar investment style. The asset class performance benchmarks are:

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Benchmark*</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Stocks – Large Cap</td>
<td>S&amp;P 500 Index</td>
</tr>
<tr>
<td>US Stocks – Small Cap</td>
<td>R2000 Index</td>
</tr>
<tr>
<td>US Equity</td>
<td>R3000 Index</td>
</tr>
<tr>
<td>International Stocks – Developed</td>
<td>MSCI EAFE Index</td>
</tr>
<tr>
<td>International Stocks – Emerging</td>
<td>MSCI Emerging Markets Index</td>
</tr>
<tr>
<td>Global Equity (ex-US)</td>
<td>MSCI ACWI (ex US)</td>
</tr>
<tr>
<td>Hedge Funds – Total Return Strategies</td>
<td>HFR FOF Strategic Index</td>
</tr>
<tr>
<td>Private Equity</td>
<td>S&amp;P 500 Index plus 5%</td>
</tr>
<tr>
<td>Commodities</td>
<td>50% DJ AIG Commodity Index and 50% Custom Stock Index</td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>Barclays Capital Aggregate Bond Index</td>
</tr>
<tr>
<td>Hedge Funds – Absolute Return Strategies</td>
<td>HFR FOF Conservative Index</td>
</tr>
<tr>
<td>Treasury Inflation Protected Securities (TIPS)</td>
<td>Vanguard TIPS Fund</td>
</tr>
<tr>
<td>Opportunistic Fixed Income</td>
<td>BarCap High Yield BB / B Index</td>
</tr>
<tr>
<td>Real Estate</td>
<td>DJ Wilshire US Real Estate Index</td>
</tr>
<tr>
<td>Cash</td>
<td>91-Day Treasury Bills</td>
</tr>
</tbody>
</table>

*During the transition of the portfolio, it may be appropriate to utilize different benchmarks as the incumbent managers may manage their portfolios to other benchmarks that are different than those listed above.

Approved:

Title: President & CEO
The Ohio University Foundation

Title: President & CEO
Hirtle, Callaghan & Co., LLC
as Managing Fiduciary

Title: Treasurer
The Ohio University Foundation

Title: Treasurer
Hirtle, Callaghan & Co., LLC
as Managing Fiduciary
Attachment C – Benchmarks (Manager)
The performance of each investment manager will be evaluated versus the investment style benchmark for the manager and where available, to a universe of managers of similar investment style. The investment manager style benchmarks are:

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Benchmark*</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Stocks – Large Cap Value</td>
<td>Russell 1000 Value Index</td>
</tr>
<tr>
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</tr>
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</tr>
<tr>
<td>US Stocks – Small Cap</td>
<td>Russell 2000 Index</td>
</tr>
<tr>
<td>International Stocks – Developed</td>
<td>MSCI EAFE Index</td>
</tr>
<tr>
<td>International Stocks – Emerging</td>
<td>MSCI Emerging Markets Index</td>
</tr>
<tr>
<td>Commodities</td>
<td>50% DJ AIG Commodity Index and 50% Custom Stock Index</td>
</tr>
<tr>
<td>Hedge Funds – Total Return Strategies</td>
<td>HFR FOF Strategic Index</td>
</tr>
<tr>
<td>Private Equity</td>
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</tr>
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<td>Core Fixed Income</td>
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Approved:

Title: President & CEO
The Ohio University Foundation

Title: Hirtle, Callaghan & Co., LLC
as Managing Fiduciary

Title: Treasurer
The Ohio University Foundation

Title: Hirtle, Callaghan & Co., LLC
as Managing Fiduciary
Attachment D – Guidelines for Illiquid Investments

For the purpose of this policy “illiquid investments” shall be defined as investments that are not publicly traded and do not provide daily liquidity. Often the illiquidity of these investments lasts for greater than three years. Illiquid investments include private equity and real estate investments, but may include other instruments that do not fall into those categories. “Private Equity” shall be understood as investments in vehicles (usually private placement limited partnerships) organized to invest in companies or securities that are not publicly traded generally. Illiquid “real estate” includes private real estate that is not publicly traded.

Illiquid investments, inclusive of private equity and real estate shall be classified as an alternative investment component in the Investment Policy for long-term assets. For purposes of determining compliance with this policy, the measurement of current allocation to illiquid investments on an ongoing basis shall be based upon the sum of (i) the most recently available valuation and (ii) any capital called since that valuation and will be cognizant of the asset allocation range.

**Purpose**

The primary goal of investing in illiquid investments is to generate returns in excess of public market opportunities over the long-term.

**Diversification**

Illiquid investments will be implemented with a diversification methodology that is appropriate for each type of investment (e.g., Private Equity). Specifically, Private Equity will be implemented with substantial diversification by using multiple managers/partnerships/funds/vintage years and phased-in implementation. A single fund-of-funds may satisfy this diversification.

**Time Horizon**

It is understood that this category of investment needs to be made with a long-term time horizon (e.g., generally seven years or more) and that investments are highly illiquid.

**Professional Management**

The Investment Sub-Committee may select one or more “fund-of-funds” managers who research and create portfolios of illiquid investments. This fund-of-funds approach is the preferred method of implementing Private Equity investments, because they build diversified pools comprised of well-established funds in which limited partners such as the Fund purchases an interest. This method creates broad diversification, delegates the selection of partnerships to the fund-of-funds’ investment manager, and provides access to the best managers.
The Investment Sub-Committee recognizes that it is not in a position to conduct research and due-diligence reviews of individual illiquid investments. From time to time there may be exceptional circumstances when the Foundation Trustees agree that a particular partnership would offer unique strategic benefits to Ohio University. These direct investments in individual private companies in the interests of Ohio University shall be approved by the Trustees of the Foundation.

The selection process for any illiquid investment should include a thorough understanding of the investment philosophy, diversification methodology and due diligence of the fund-of-funds manager. The fund-of-funds provider should also disclose the fee structure of the partnership, the estimated drawdown schedule of capital to the partnership, potential life of the partnership, and the terms for closing the partnership to new investors.

**Monitoring**

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

It is also important to recognize that there are time lags, often one quarter, in the reporting of investment returns of illiquid portfolios. The standard for reporting performance on venture capital and Private Equity is “internal rate of return (IRR)”, which is a significantly different calculation than time-weighted rate of return, which is the standard used for evaluating managers of equity and fixed income portfolios. Therefore, caution must be used in making comparisons between the two types of managers and portfolios. For this reason the Fund will report performance on the “liquid” portion of the portfolio as well as on the total portfolio, which includes the illiquid investments.
Ohio University

Investment Policy - Century Bond and Deferred Maintenance Program
as Amended November 2016

The overriding goal of the Ohio University Century Bond and Deferred
Maintenance Program (the “Pool”) is to support Ohio University’s capital
improvement projects.

Investment Objective

The long-term objective of the Pool is to maximize the real return, or the nominal
return less inflation, of the assets over a complete market cycle with emphasis on
preserving capital and reducing volatility through prudent diversification. To this
end, the Investment Sub-Committee of the Foundation ("Investment Sub-
Committee") has adopted an investment strategy which has the long-term
objective of producing real growth of assets in excess of the Pool’s disbursement
schedule. In order to achieve this objective, the Investment Sub-Committee must
be cognizant of the potential risks, especially in the early years of the program, of
falling below a threshold asset amount which may limit the realization for
disbursements. The University and the Investment Sub-Committee must adopt
an active approach to spending distributions and suspend distributions if the
returns are lower than a threshold level.

Interim results of this separately-managed pool will be reviewed with the
understanding that an important priority of the assets is providing for capital
needs of the University for 100 years. It is recognized that due to capital market
volatility, the return may vary significantly over shorter periods of time.
Ultimately, it is the University's position that, if there are other factors which are
likely to affect or create the need to change the risk level or spending needs, it is
the Investment-Sub Committee’s obligation, as Governing Fiduciary, to alert and
instruct the Managing Fiduciary so adjustments to this Policy and investment
implementation can be made in an appropriate and timely manner.

The Investment Policy may be reviewed by a majority of the Investment Sub-
Committee, as defined by the Foundation’s Code of Regulations, at any time and
will be reviewed, at a minimum, on an annual basis by the Investment Sub-
Committee and specific direction will be provided to the Managing Fiduciary.

Fiduciary Responsibilities

Oversight of the Pool's assets will be performed by a tiered fiduciary structure.
The Foundation’s Investment Sub-Committee, also referred to herein as the
Governing Fiduciary, will have ultimate responsibility for ensuring that the long
term objectives established and approved for the Pool by the Investment Sub-
Committee are achieved. The Managing Fiduciary, or Chief Investment officer,
will be authorized by the Governing Fiduciary to implement and manage investments in accordance with the written Investment Plan attached hereto as Attachment A, to achieve the long term objectives of the Pool, work with the various Operating Fiduciaries, hereinafter defined, and report regularly to the Governing Fiduciary. Notwithstanding the previous sentence, the Managing Fiduciary will not have responsibility for those assets defined as “self-directed” under the Managing Fiduciary Client Agreement. Operating Fiduciaries are defined as qualified persons or organizations that provide specialized professional services necessary to fulfill functional and administrative requirements of the Pool.

**Governing Fiduciary**

The Foundation’s Investment Sub-Committee will act as Governing Fiduciary with responsibility to manage and invest the Pool assets. In its capacity as a Governing Fiduciary, the Investment Sub-Committee has the authority to retain qualified organizations or persons to perform the roles of Managing Fiduciary and Operating Fiduciary.

As the Governing Fiduciary, the Investment Sub-Committee’s responsibilities include:

1. Recommending revisions in the Investment Policy to the Board of Trustees of the University and then informing the Managing Fiduciary of these changes.
2. Appointing and overseeing the Managing Fiduciary who shall have responsibility and discretion for implementing investment strategies in accordance with the Investment Plan attached hereto as Attachment A.
3. Conducting a formal performance evaluation of the Managing Fiduciary at least once every three years.
4. Establishing one or more custody accounts with a custodian to maintain Pool assets.
5. Reviewing and approving the appropriate risk level and asset allocation of the Pool on a quarterly basis.
6. Reviewing the proposed distribution schedule and making any necessary changes with the University’s finance staff. The Governing Fiduciary will be responsible to communicate any changes to this schedule to the Managing Fiduciary.
7. Establishing with the Managing Fiduciary a clearly defined decision making process that will be used to implement short-term investment policies to protect the assets of the Pool should such action be deemed necessary.
8. Delegating to the Managing Fiduciary specific administrative and operational responsibilities dealing with the investment and reinvestment
of the Pool’s assets, as outlined in the Managing Fiduciary Client Agreement.

9. Monitoring compliance with this Investment Policy.

10. Reviewing investment performance, including comparisons to appropriate benchmarks, periodically with the Managing Fiduciary.

The Ohio University Foundation’s Treasurer, or his designee, is accountable to:

1. Facilitate execution, at the direction of the Investment Sub-Committee, of the Investment Policy and Investment Plan.

2. Sign the appropriate investment contracts that have been approved by the Investment Sub-Committee. This includes the Managing Fiduciary Client Agreement, alternative asset contracts and the custodian agreement. Additionally, all contracts for alternative investments must be executed by an authorized signer of The Ohio University Foundation.

3. Direct the Managing Fiduciary regarding cash flows into and out of the investment accounts. The Managing Fiduciary will have no authority to distribute money outside of these investment accounts without prior written approval by an authorized signer.

Managing Fiduciary

The Managing Fiduciary, or Chief Investment Officer, will have day-to-day responsibility and discretion for investing the Pool’s assets, including the selection and supervision of the investment managers and interacting with the custodian bank in their respective roles as Operating Fiduciaries, in a manner consistent with achieving the objectives of this Investment Policy. Within its authority to make and put into effect administrative and operational decisions with respect to the investment and reinvestment of the Pool’s assets, the Managing Fiduciary will be responsible to the Governing Fiduciary and report its actions on a regular basis to the Governing Fiduciary as set forth in the Client Agreement that governs the relationship.

The Managing Fiduciary shall be a registered investment advisor and subject to compliance with all applicable federal rules and regulations. As the Managing Fiduciary, the responsibilities of the Chief Investment Officer include:

1. Investing funds, through selected investment managers, within the guidelines and asset allocation ranges as set forth in the Investment Plan attached to this Investment Policy.

2. Administrative and operational functions to support the Investment Policy dealing with the investment and reinvestment of the Pool’s assets.

3. Collaborating with the Governing Fiduciary to implement short-term asset allocation changes for the Pool which may be necessary given the current
state of the Pool balance, distribution plans, and excess or deficit in the returns relative to the expected return level.

4. Periodically reviewing and recommending any changes or modifications of the Pool and the asset allocation ranges to the Governing Fiduciary for its consideration.

5. Allocating contributions and other cash flows to investment managers or to other investment accounts as established.

6. Taking all actions with respect to investment managers including hiring and terminating, monitoring and reviewing of investment manager contracts.

7. Setting investment guidelines for investment managers and monitoring their compliance and reviewing these guidelines and their compliance with the Governing Fiduciary to the extent the account assets are placed in a separately managed account.

8. Meeting with investment managers and evaluating their investment performance.

9. Meeting with the Governing Fiduciary at least quarterly or at other intervals as directed by the Governing Fiduciary.

Asset Allocation

To achieve the investment objective of the Pool, various scenarios were analyzed to review risk and return trade-offs, with special sensitivity to the early years of the program. In this analysis, various asset allocation scenarios were reviewed in recognition of the greater sensitivity to risk in the early years of this program. A multi-staged asset allocation was developed with percentage ranges for each asset class eligible for investment within the portfolio. The analysis evaluated the expected return, risk and correlation of several asset classes, as well as the expected return and risk of various portfolios of these asset classes. The expected return and risk of various portfolios were evaluated in terms of their ability to best meet the Pool’s long-term investment objectives with the lowest level of volatility, again, with special attention paid to the early years of the program. Based upon this analysis, an asset allocation policy including ranges for each asset class was constructed that meets the current investment objectives of the Pool and this plan was approved by the Investment Sub-Committee and Board. The asset allocation policy is contained in the Investment Plan shown in Attachment A. This Investment Plan may be amended upon a recommendation from the Managing Fiduciary subject to the approval of the Governing Fiduciary.

Rebalancing Procedures

The Managing Fiduciary will periodically rebalance the Pool within the asset allocation ranges set forth in Attachment A. The need for rebalancing should be addressed at least quarterly, or more frequently if warranted by events.
Rebalancing should be done only after considering the effect that transaction costs and market impact will have on the overall portfolio.

Although it is the policy of the Managing Fiduciary to invest assets in accordance with the maximum and minimum ranges for each asset class, as set forth in Attachment A, rapid unanticipated market movements, cash flows or direction from the Governing Fiduciary or Treasurer, may cause the asset mix to temporarily fall outside those ranges.

**Investment Manager Structure**

The assets in each asset class will be invested in accounts managed by one or more independent, third party investment managers that specialize in the specific asset class. Investment managers of varying styles (e.g. growth, value, active, passive, etc.) may be employed within each asset class. Multiple investment managers may be utilized within an asset class at the discretion of the Managing Fiduciary. Performance results for each asset class will be included in the Managing Fiduciary’s quarterly report to the Governing Fiduciary.

Investment managers will be selected by the Managing Fiduciary to manage assets of the Pool based upon a quantitative and qualitative review process. The investment vehicles used to employ a strategy may include registered 1940 Act Funds. The review process will consider criteria including but not limited to the people, the investment philosophy, the investment process, the investment performance, the organization and the operations of the firm. The investment manager’s strategy will be evaluated regarding its effectiveness in complementing the Pool’s other investment managers in order to achieve the desired result.

**Guidelines for Traditional Investment Managers**

Traditional investment managers that are appointed to manage assets for the Pool through separate accounts will be provided investment guidelines as appropriate. In general, the guidelines will stipulate the types of securities in which the account may invest, the general characteristics for the portfolio and/or the performance benchmark and objectives. These specific guidelines may vary depending upon the asset class or sub-asset class and do not pertain to alternative investments. The guidelines will conform to the following requirements:

1. Investment managers shall generally remain fully invested, except for transitional cash that is needed for cash flows and trading, and shall be invested to maintain risk characteristics consistent with their benchmark and their asset class style pursuant to their prospectuses.

2. Investment portfolios shall be diversified across managers, asset classes, and styles.
3. Investment managers shall invest the majority of their assets in securities that reflect their asset class assignment and their prospectuses.

4. The investment managers may invest in fully collateralized derivatives (swaps or futures) to maintain market exposure, provide liquidity, and hedge currency. Notwithstanding the previous sentence, a manager may utilize derivatives as part of their strategy to gain exposure to certain markets and sectors or to maintain portfolio risk, without introducing leverage into the portfolio.

5. Investment managers may invest in private placements with the approval of the Investment Sub-Committee.

6. The Pool may invest in commingled funds, in recognition of the benefits of commingled funds as investment vehicles (i.e., the ability to diversify more extensively than in a small, direct investment account and the lower costs which can be associated with these funds). The Investment Sub-Committee recognizes that they may not be permitted to give specific policy directives to a fund whose policies are already established; therefore, the Investment Sub-Committee is relying on the Managing Fiduciary to assess and monitor the investment policies of such funds.

7. Investment managers are permitted to trade in publicly traded Real Estate Investment Trusts (REITs), but cannot invest in private real estate transactions excluding 144A securities without the approval of the Governing Fiduciary.

**Alternative Investment Guidelines**

The Pool may invest in private real estate, limited partnership interests and alternative investments, including private equity and hedge funds, only with the prior approval of the Governing Fiduciary. The Governing Fiduciary, at the request of the Managing Fiduciary, will determine the appropriateness of each investment on a case-by-case basis, taking into consideration the relevant analysis of the investment as provided by the Managing Fiduciary, including the illiquidity of the investment, in addition to the Pool’s overall allocation to alternative investments. Notwithstanding the foregoing, the Managing Fiduciary does not have investment oversight responsibility of the assets in the “self-directed” account, as outlined in the Managing Fiduciary Client Agreement.

**Performance Benchmarks**

The Pool will reference three benchmarks for evaluating investment performance of the aggregate portfolio. First, the combined S&P 500 and the Barclays Capital Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Pool, will be used as the core domestic benchmark. Second, the combined MSCI All Country World Index and the Barclays Capital
Aggregate Bond Index, weighted to reflect the target equity/fixed income composition of the Pool, will be used as the core global benchmark. Third, a policy diversified benchmark will consist of the common industry benchmarks for the individual asset classes weighted according to the target allocation, excluding private equity.

Attachments B and C include a list of all asset class and investment manager benchmarks, respectively, to be used in evaluating performance. These benchmarks will apply until such time as amended upon recommendation by the Managing Fiduciary and approved by the Governing Fiduciary.

**Investment Officer**

Hirtle, Callaghan & Co. will serve as the Chief Investment Officer and Managing Fiduciary for the Pool. Hirtle, Callaghan & Co. will report directly to the Investment Sub-Committee, in its capacity as Governing Fiduciary for the Pool, and will be responsible and have discretion for implementing the Investment Policy contained herein, monitoring the overall investment program and investment managers, recommending changes to the Investment Policy and other duties as discussed in this document. Notwithstanding the above, Hirtle Callaghan & Co., as the Managing Fiduciary does not have investment oversight responsibility of the assets in the “self-directed” account, as outlined in the Managing Fiduciary Client Agreement.

**Approval:**

This Investment Policy for The Ohio University Foundation is hereby adopted this ___ day of ____________ 2016.

By:

______________________________
Title: President and CEO
The Ohio University Foundation

______________________________
Title: Treasurer
The Ohio University Foundation
### Attachment A – Investment Plan

#### Ohio University Century Bond and Deferred Maintenance Program

<table>
<thead>
<tr>
<th>ASSET CLASS</th>
<th>(1) LONG-TERM POLICY TARGET</th>
<th>(2) RANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Global Equity</td>
<td>40%</td>
<td>Min</td>
</tr>
<tr>
<td>US Large Cap Equity</td>
<td>17%</td>
<td>8% - 30%</td>
</tr>
<tr>
<td>US Small Cap</td>
<td>3%</td>
<td>0% - 10%</td>
</tr>
<tr>
<td>Int'l Equity - Developed</td>
<td>16%</td>
<td>8% - 20%</td>
</tr>
<tr>
<td>Int'l Equity - Emerging</td>
<td>4%</td>
<td>0% - 10%</td>
</tr>
<tr>
<td>Alternatives</td>
<td></td>
<td>Min</td>
</tr>
<tr>
<td>Private Equity</td>
<td>43%</td>
<td>22% - 65%</td>
</tr>
<tr>
<td>Equity - Hedge (Total Return)</td>
<td>20%</td>
<td>0% - 30%</td>
</tr>
<tr>
<td>Fixed Inc. - Hedge (Absolute Return)</td>
<td>12%</td>
<td>0% - 20%</td>
</tr>
<tr>
<td>Commodities</td>
<td>3%</td>
<td>0% - 8%</td>
</tr>
<tr>
<td>Real Estate</td>
<td>4%</td>
<td>0% - 10%</td>
</tr>
<tr>
<td>Special Opportunities</td>
<td>0%</td>
<td>0% - 5%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td></td>
<td>Max</td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>17%</td>
<td>12% - 30%</td>
</tr>
<tr>
<td>Opportunistic Fixed Income</td>
<td>9%</td>
<td>3% - 12%</td>
</tr>
<tr>
<td>TIPS</td>
<td>3%</td>
<td>0% - 8%</td>
</tr>
<tr>
<td>Cash</td>
<td>5%</td>
<td>0% - 8%</td>
</tr>
<tr>
<td>Total</td>
<td>100%</td>
<td>Max</td>
</tr>
</tbody>
</table>

**Notes:**
- (1) LONG-TERM POLICY TARGET: Long-term targets for detailed asset classes (requires approval).
- (2) RANGE: Minimum & maximum targets for strategic ranges (requires approval).

This Investment Plan was developed by Hurtle Callaghan in consultation with the Client and is made a part of the Client Agreement. Client acknowledges and agrees, the Investment Plan applies to assets held in the Main Account and all related sub-accounts (existing or opened after the effective date of the plan). In addition, all main accounts (and related sub-accounts) listed on this Investment Plan are to be managed as a consolidated account, which means that while each account alone may or may not conform to the asset allocation listed above, all accounts combined will be managed in accordance with the stated investment allocation.

Market conditions may move an account outside of the approved ranges and the implementation of a change to rebalance the account will be made in an orderly manner and consistent with Hurtle Callaghan’s fiduciary responsibilities to Client and industry standards. Changes to this Investment Plan may be effected upon execution by Client and Hurtle Callaghan of a new Investment Plan, provided that the implementation of such change, if any, will be made in an orderly manner and consistent with Hurtle Callaghan’s fiduciary responsibilities to Client and industry standards.

---

**Signatures:**
- J. Brian Bergesen, President & CEO, The Ohio University Foundation
- Stephen T. Golfin, Treasurer & CFO, The Ohio University Foundation
- Peter M. Hidley, Director, Callaghan
- Richard M. Behler, Portfolio Manager, Hurtle Callaghan
- Robert J. Zion, Principal, Hurtle Callaghan

---

**Date:**
- 6/14/16
- 6/13/16
- 6/16/16
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<td>MSCI ACWI (ex US)</td>
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Approved:

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The Ohio University Foundation

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<td>Cash</td>
<td>91-Day Treasury Bills</td>
</tr>
</tbody>
</table>

During the transition of the portfolio, it may be appropriate to utilize different benchmarks as the incumbent managers may manage their portfolios to other benchmarks that are different than those listed above.

Approved:

Title: President & CEO
The Ohio University Foundation

Title: Treasurer
The Ohio University Foundation

Title: President & CEO
Hirtle, Callaghan & Co., LLC
as Managing Fiduciary

Title: Treasurer
Hirtle, Callaghan & Co., LLC
as Managing Fiduciary
Attachment D – Guidelines for Illiquid Investments

For the purpose of this policy “illiquid investments” shall be defined as investments that are not publicly traded and do not provide daily liquidity. Often the illiquidity of these investments lasts for greater than three years. Illiquid investments include private equity and real estate investments, but may include other instruments that do not fall into those categories. “Private Equity” shall be understood as investments in vehicles (usually private placement limited partnerships) organized to invest in companies or securities that are not publicly traded generally. Illiquid “real estate” includes private real estate that is not publicly traded.

Illiquid investments, inclusive of private equity and real estate shall be classified as an alternative investment component in the Investment Policy for long-term assets. For purposes of determining compliance with this policy, the measurement of current allocation to illiquid investments on an ongoing basis shall be based upon the sum of (i) the most recently available valuation and (ii) any capital called since that valuation and will be cognizant of the asset allocation range.

Purpose

The primary goal of investing in illiquid investments is to generate returns in excess of public market opportunities over the long-term.

Diversification

Illiquid investments will be implemented with a diversification methodology that is appropriate for each type of investment (e.g., Private Equity). Specifically, Private Equity will be implemented with substantial diversification by using multiple managers/partnerships/funds/vintage years and phased-in implementation. A single fund-of-funds may satisfy this diversification.

Time Horizon

It is understood that this category of investment needs to be made with a long-term time horizon (e.g., generally seven years or more) and that investments are highly illiquid.

Professional Management

The Investment Sub-Committee may select one or more “fund-of-funds” managers who research and create portfolios of illiquid investments. This fund-of-funds approach is the preferred method of implementing Private Equity investments, because they build diversified pools comprised of well-established funds in which limited partners such as the Pool purchases an interest. This
method creates broad diversification, delegates the selection of partnerships to the fund-of-funds’ investment manager, and provides access to the best managers.

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

The selection process for any illiquid investment should include a thorough understanding of the investment philosophy, diversification methodology and due diligence of the fund-of-funds manager. The fund-of-funds provider should also disclose the fee structure of the partnership, the estimated drawdown schedule of capital to the partnership, potential life of the partnership, and the terms for closing the partnership to new investors.

**Monitoring**

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

It is also important to recognize that there are time lags, often one quarter, in the reporting of investment returns of illiquid portfolios. The standard for reporting performance on venture capital and Private Equity is “internal rate of return (IRR)“, which is a significantly different calculation than time-weighted rate of return, which is the standard used for evaluating managers of equity and fixed income portfolios. Therefore, caution must be used in making comparisons between the two types of managers and portfolios. For this reason the Pool will report performance on the “liquid” portion of the portfolio as well as on the total portfolio, which includes the illiquid investments.
INVESTMENT POLICY UPDATES
Summary of Changes

• Formal evaluation of managing fiduciary at least once every three years
• New and renamed benchmarks
• Applies to two investment policies:
  ▪ Century Bond and Deferred Maintenance Program
  ▪ General Endowment Fund
• Approved by Foundation Board in November 2016
# General Endowment Benchmarks

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<td>new CPI +6% Spend</td>
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<td>new HEPI +6% Spend</td>
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## Century Bond Benchmarks

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<td>Diversified</td>
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<td>renamed</td>
<td>new</td>
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ESTABLISHMENT OF UNIVERSITY QUASI-ENDOWMENTS
HERITAGE COLLEGE SCHOLARSHIP MATCH PROGRAM
AND
OHF PRIMARY CARE ENDOWED SCHOLARSHIP

RESOLUTION 2017 –

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:

Heritage College Scholarship Match Program: A $1 million matching program that will provide quasi-endowed scholarship funds for every dollar given to eligible scholarship endowments in the Heritage College of Osteopathic Medicine.

OHF Primary Care Endowed Scholarship: The creation of this quasi-endowment, in the amount of $2.5M, will generate a perpetual income stream to provide scholarship funding for Heritage College students pursuing careers in primary care.

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: January 3, 2017

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 January 2017 Board of Trustees meeting is a request to establish three 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.

At this time, the University is recommending the approval of the following three quasi-endowment requests. All three requests are from the Heritage College of Osteopathic Medicine and seek to honor the match commitments included within the Vision 2020 Funding Agreement, which was executed by the University during June 2011. The Osteopathic Heritage Foundation Vision 2020 award provides an average of $1M in annual scholarship awards spread over thirteen years. As part of that agreement, the University and the College committed to striving to sustain these scholarships. Please note that items 2 and 3 below may be combined into one quasi-endowment fund for administrative purposes.

1. **Heritage College Scholarship Match Program:** The College has requested to establish a $1M matching gift program designed to defray rising student debt. Under the proposed scholarship match program, the College will provide $1.00 in quasi-endowed scholarship funds for each gift of $50,000 to $99,999 committed to eligible scholarship endowments. The College will provide $2.00 in quasi-endowed scholarship funds for each gift of $100,000 or more committed to eligible scholarship endowments. Match funds will be transferred as the external scholarship dollars are received, and the program will continue until the College has utilized a maximum of $1M in match funding.

2. **OHF Primary Care Endowed Scholarship:** During 2016, the Osteopathic Heritage Foundation committed to advance at least $1.5M of the Vision 2020 scholarship funding on an accelerated schedule, with a requested 1-to-1 match. In order to receive this funding on an accelerated schedule, the College is seeking approval to provide a $1.5M match for this endowed scholarship. The creation of this quasi-endowment will generate
a perpetual income stream to provide additional scholarship funding for Heritage College students pursuing careers in primary care.

3. **OHF Primary Care Endowed Scholarship:** During 2016, the Osteopathic Heritage Foundation approved a realignment of certain Vision 2020 funding, resulting in $5.4M of this award being re-directed to create a new Primary Care Endowed Scholarship fund. In order to redirect this funding to scholarship funding, the College is seeking approval to provide a $1M match for this endowed scholarship. The creation of this quasi-endowment, will generate a perpetual income stream to provide additional scholarship funding for Heritage College students pursuing careers in primary care.

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.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

Re: Investment Sub-Committee Report – Managing Fiduciary Review

During the fall of 2016, The Ohio University Foundation Board of Trustees’ Investment Sub-Committee (ISC) conducted a formal performance review of the managing fiduciary, Hirtle, Callaghan & Co. (HC). Periodic performance reviews are aligned with industry best practices. This particular evaluation was performed with the intent of assessing HC’s general performance, as well as addressing specific questions around the following topics:

- Recent investment performance that lagged portfolio benchmarks
- Recent staff turnover at HC, including two senior members of the team managing the relationship with OHIO, as well as the announcement that HC had hired a new Chief Executive Officer

A survey was used to assess satisfaction with HC’s team, services and portfolio performance. Survey recipients included current members of the ISC and former Treasurer, Steve Golding. In addition, Chair David Wolford appointed Trustee Dave Scholl to serve on the evaluation committee in his capacity as Chair of the University Resources Committee. The ISC discussed the survey results on an October conference call and at their November 2016 meeting.

As part of the review process, HC prepared a self-evaluation that was distributed to the evaluation committee for consideration. In addition, HC’s Executive Chairman, Jon Hirtle and new Chief Executive Officer, Ranji Nagaswami, joined the November ISC meeting. HC discussed the firm’s direction and strategy under a new CEO, while Co-Founder and former CEO, Jon Hirtle, remains at HC as Executive Chairman. They also described how market circumstances and value-based asset allocation decisions have contributed to underperformance of our long-term investments in the recent past, while these strategies have been temporarily out of favor in the investment market, and reviewed how this strategy supports the approved ISC investment plan and is expected to contribute to future gains in the portfolio.

The ISC concluded that the results of the performance evaluation were generally favorable, but specifically noted the following observations:
• HC is in a period of transition as evidenced by staff and managerial turnover. The ISC recognizes that staff turnover is unavoidable and it will take time to evaluate the impact of changes in our account coverage and at the managerial level of HC.
• Investment performance for the past three years has lagged the benchmark, as HC’s valuation approach has been out of favor in the investment markets. However, HC has remained disciplined in following our ISC approved investment plan and has not increased portfolio risk to reach for returns.

In light of these circumstances, the ISC determined that it would be prudent to conduct a follow-up review of HC’s performance as outsourced chief investment officer at the beginning of FY18. The results of that review will be shared with this Board at a future meeting.
APPROVAL TO PROCEED WITH CONSTRUCTION FOR THE PERMANENT CAMPUS BOILER – CONSTRUCTION PHASE AND BUDGET AMENDMENT, CENTRAL CLASSROOM 3rd FLOOR C-SUITE RENOVATION, FRONT FOUR TRANSFORMER REPLACEMENT, OUS ENERGY AND EFFICIENCY HVAC IMPROVEMENTS PHASE II, OUZ HERROLD HALL RENOVATION PHASE I, PEDEN STADIUM MASONRY STABILIZATION & REPAIR, PEDEN STADIUM SCOREBOARD REPLACEMENT, PORTER HALL CLASSROOM IMPROVEMENTS, AND WALTER HALL CLASSROOM IMPROVEMENTS

RESOLUTION 2016 -

WHEREAS, for the Permanent Campus Boiler project, the Board of Trustees previously approved a total project budget and authorized expenditures of $15,000,000 (2015-3468, 2015-3505), and University administration seeks to amend the total project budget and authorized expenditure amount by an additional $2,500,000 for a new total budget and total authorized expenditure amount of $17,500,000 to undertake construction and complete the project to be funded by Century Bonds (EIP);

WHEREAS, for the Central Classroom 3rd Floor C-Suite Renovation 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 State Capital Appropriations ($600,000), Gifts and Pledges and an Internal Loan (400,000);

WHEREAS, for the Front Four Transformer Replacement project, University administration requests approval for the total project budget and authorized expenditures of $1,600,000 to undertake construction and complete the project to be funded by Housing & Residence Life Reserves;

WHEREAS, for the OUS Energy and Efficiency HVAC Improvements Phase II project, University administration requests approval for the total project budget and authorized expenditures of $873,689 to undertake construction and complete the project to be funded by State Capital Appropriations;
WHEREAS, for the OUZ Herrold Hall Renovation Phase I project, University administration requests approval for the total project budget and authorized expenditures of $2,000,000 to undertake construction and complete the project to be funded by State Capital Appropriations;

WHEREAS, for the Peden Stadium Masonry Stabilization and Repair project, University administration requests approval for the total project budget and authorized expenditures of $622,000 to undertake construction and complete the project to be funded by Century Bonds;

WHEREAS, for the Peden Scoreboard Replacement project, University administration requests approval for the total project budget and authorized expenditures of $715,000 to undertake construction and complete the project to be funded by Athletics Reserves ($165,197) and Internal Loan ($549,803);

WHEREAS, for the Porter Hall Classroom Improvements 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 the Classroom Improvements Fund;

WHEREAS, for the Walter Hall Classroom Improvements project, University administration requests approval for the total project budget and authorized expenditures of $600,000 to undertake construction and complete the project to be funded by the Classroom Improvements Fund;

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.
Interoffice Communication

Date: January 3, 2017

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.

<table>
<thead>
<tr>
<th>PROJECT</th>
<th>Authorized Expenditures</th>
<th>Project Budget</th>
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<td>Previously Approved</td>
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FACILITY PROJECTS
CONSTRUCTION
JANUARY 19, 2017
CONSENT

Tab
Project Updates

- Constellation Energy Performance Contract
### Requested Approvals to Undertake Construction

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<tr>
<th>Project Description</th>
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</tbody>
</table>
PERMANENT CAMPUS BOILER
Background/Project Outcomes

• Background
  ▪ The Lausche Heating Plant has four permanently installed boilers and two temporary boilers

• Outcomes
  ▪ This project will replace boilers 2 & 3 and remove the two temporary boilers from the heating plant
PERMANENT CAMPUS BOILER
Board of Trustee Updates

March 2015 (2015-3468)

Permanent Campus Boiler – Equipment Purchase Phase
- We seek approval to purchase equipment at a cost of $4,000,000.
- Purpose is to purchase permanent campus boiler equipment at the Lausche Plant feeding the campus steam distribution system. This work scope will also include the input from other design teams for system components, including the temporary boiler coordination and the Utility Master Plan.
- Part of the FY2014-2015 CIP identified as Lausche Heating Plant, Project #1.
- Project Budget: $4,000,000
- Previously Approved: $0
- This Request: $4,000,000
- Funding Source: Energy Infrastructure Project Debt

August 2015 (2015-3505)

Permanent Campus Boiler - Design Phase and Budget Amendment
- We seek approval to amend the previously authorized expenditures and total project budget of $4M by an additional $1.75M for design for total authorized expenditures of $5.75M and request approval for a new total project budget of $16M.
- The purpose of this project is to replace the existing coal boilers with permanent boiler equipment. This project is part of the FY2015-2016 approved CIP, Infrastructure Renewal, Deferred Maintenance, Energy Infrastructure Project Initiative, Line #4.
- Project Budget: $16M
- Previously Approved: $4M
- This Request: $1.75M
- Funding Source: EIP Debt

August 2016 (2016-3587)

- In March 2015 the Board of Trustees authorized expenditures of $4M and approved a total project budget of $4M to purchase equipment.
- In August 2015 the Board of Trustees approved an increase to the total project budget from $4M to $15M and authorized expenditures up to $5.75M.
- In August 2016 the Board of Trustees authorized expenditures of $9.25M totaling the project budget of $15M.
PERMANENT CAMPUS BOILER Budget Amendment

- The project budget has changed because of additional scope identified in the design process
  - Need to replace water softener and de-alkalizer system to protect investment in boilers
  - Modifications to burners on boilers #1 and #4 which are best accomplished as part of the Permanent Campus Boiler Project rather than as an individual project
## PERMANENT CAMPUS BOILER
Approval to Amend the Budget and Construct

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**Sub-Totals**
- Design: $ 5,750,000
- Construction: $ 11,750,000
- Authorized Expenditures: $ 17,500,000
- Approved Budget: $ 17,500,000

**Board Actions:** 2015-3468; 2015-3505; 2016-3587

**Fund Sources**
- State Capital Appropriations
- Century Bond - EIP: $ 5,750,000, $ 11,750,000, $ 17,500,000
- Other (Debt, Institutional Funds)

**Sub-Totals**
- State Capital Appropriations: $ 5,750,000
- Century Bond - EIP: $ 11,750,000
- Other (Debt, Institutional Funds): $ 17,500,000
CENTRAL CLASSROOM 3rd FLOOR
C-SUITE RENOVATION

Background/Project Outcomes

- Physical Hub for student creativity, innovation and entrepreneurship
- Central flexible space for collaboration, idea generation and prototyping
- Center for Entrepreneurship offices to facilitate governance as well as program development for all colleges
- Coordination for college specific spoke location spaces
C- SUITE
Creativity & Innovation+ entrepreneurship

MISSION
• Enabling and empowering students to live and grow through creativity, innovation and entrepreneurship.

VISION
• A connected and innovation focused community that creates and shares value in the pursuit of changing the world around us.

Mentor Network  Milestone Fund  Innovator Development Program  Physical Hub  Hub & Spokes
Hub & Spoke: Example Makerspace Locations

Above: maker spaces across the campus are within a five or ten minute walk to the desired location of C-Suite, excluding Innovation Center.
CONCEPTUAL SPACE PLAN

Flexible space for collaboration, idea generation, learning, mentorship

1. Lounge
2. Idea/Prototype
3. Collaboration
4. Student Office
5. Classroom
6. Kitchenette
7. Breakaway
8. Team Meeting
9. Small Meeting
10. Sponsor Office
11. Conference
12. Storage
CONCEPTUAL SPACE PLAN

Flexible space for collaboration, idea generation, learning, mentorship

- Collaboration Room
- Ideation/Maker Space
- Student Work Space
- Building Restrooms
- Storage
- Team Mtg Room
- Mtg Rm
- Lounge/Lobby
- Reception
- Breakaway Space
- Informal Gathering/Display
- Classroom
- Administrative Offices
- Conf Rm
- West Union Street Main Entrance
- Accessible Entrance
- OHIO UNIVERSITY
C-SUITE SCOPE & LONG-TERM PLAN

• Student led project with support and governance from the Center for Entrepreneurship
• Central Classroom 3rd floor renovation estimated at $1,000,000
• Project will design for entire 3rd floor and construct up to funds in place
• Fundraising is underway
  ▪ 3rd floor renovation ($400K goal)
  ▪ Long-term expansion opportunities
CENTRAL CLASSROOM 3rd FLOOR
C-SUITE RENOVATION
Approval of Design through Construction

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<td>$1,000,000</td>
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Sub-Totals | $114,000 | $886,000 | $1,000,000 | $1,000,000 |

Fund Sources

| State Capital Appropriations | $114,000 | $486,000 | $600,000 |
| Century Bond | |
| * Other: Gifts, Pledges and an Internal Loan | $400,000 | $400,000 |

Sub-Totals | $114,000 | $886,000 | $1,000,000 |

- $600K in funding identified; fundraising for $400K
- If fundraising goal is not met, scope of construction will be sized to meet available funds

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</table>
FRONT FOUR TRANSFORMER REPLACEMENT

Background/Project Outcomes

• Background
  - Existing transformers are at the end of their useful life

• Outcomes
  - Replacing the transformers and distribution circuit breakers will provide improved reliability and add ground fault protection
# FRONT FOUR TRANSFORMER REPLACEMENT

Approval for Design through Construction

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## Previous Board Budget Approvals

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## Current Board Request: Design through Construction

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**Sub-Totals**: $48,000 $1,552,000 $1,600,000 $1,600,000

## Fund Sources

- State Capital Appropriations
- Century Bond
- Other: Housing & Residence Life Reserves

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<th>Design</th>
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**Sub-Totals**: $48,000 $1,552,000 $1,600,000 $1,600,000
Background

March 2015-3468

PHASE I

- Approved by BoT in March 2015 (2015-3468)
- Phase I replaced the mechanical equipment controls for the Riffe and Collins Centers

**OU Southern HVAC Improvements – Scope, Schedule and Budget Amendment**

- Purpose is to replace mechanical equipment and controls for Riffe Center and Collins Center. Needed because the equipment is old and inefficient. Upgrade will help avoid costly emergency repairs and decrease the energy consumption of the campus. Conditioning will be added to IT closets for two rooms in the Academic Center and Douglass Center. The project team wishes to amend the scope of work to include bid alternates. Original bid came in over the bid estimate due to increased construction (specifically mechanical and controls) costs. Project scope was decreased and rebid.
- Part of the FY2015-16 as OU Southern Campus HVAC Improvements, Collins Center Repairs – HVAC and Energy Efficiency Upgrades.
- Project Budget: $1,031,208
- Previously Approved: $880,000
  - 2014-3415 ($100,000)
  - 2014-3397 ($700,000)
- This Request: $151,208
- Funding Source:
  - State Appropriations ($972,208)
  - Southern Campus Reserves ($59,000)
OUS ENERGY & EFFICIENCY
HVAC IMPROVEMENTS PHASE II

Project Outcomes

• Phase II will replace the HVAC infrastructure. It has reached its useful life and requires a high level of investment to maintain.
## OUS ENERGY & EFFICIENCY IMPROVEMENTS PHASE II
Approval for Design through Construction

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### Previous Board Budget Approvals

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<td>Current Board Request: Design through Construction</td>
<td>$82,000</td>
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<td>Other (Debt, Institutional Funds)</td>
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OUZ HERROLD HALL PHASE I
Background/Project Outcomes

• Background
  ▪ Built in 1976 with no major renovations

• Outcomes
  ▪ Complete Phase I of a multi-phase project to replace mechanical systems and provide needed upgrades to academic spaces
## OUZ HERROLD HALL PHASE I
Approval for Design through Construction

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<th>Activity</th>
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**Sub-Totals**

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**Sub-Totals**

- Design Phase for Elson Hall renovation approved by CFPC in April 2014
- Herrold Hall was determined to be a better fit after evaluation of programmatic and deferred maintenance needs

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<th>Fiscal Year</th>
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Background/Project Outcomes

• **Background**
  - On July 27th, 2016, a large masonry panel fell from the stadium. The wall was stabilized, but a long term solution involves reconstruction of all detached masonry.

• **Outcomes**
  - The damaged masonry will be rebuilt in a more stable configuration – with the wall shortened to correct the design flaw that created the current problem.
PEDEN STADIUM MASONRY STABILIZATION & REPAIR
Approval for Design through Construction

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<th>Previous Board Budget Approvals</th>
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<tr>
<td>Current Board Request: Design through Construction</td>
<td>$41,500</td>
<td>$580,500</td>
<td>$622,000</td>
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<tr>
<th>Other: Athletics Reserves</th>
<th>Design</th>
<th>Construction</th>
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- CFPC approved an emergency stabilization budget of $202K in August 2016; an additional $420K is needed to completed repairs for a total project budget of $622K

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23
PEDEN STADIUM SCOREBOARD REPLACEMENT

Background/Project Outcomes

- **Background**
  - Scoreboard is outdated technology and can no longer be serviced

- **Outcomes**
  - Scoreboard provides reliable performance and satisfactory information to viewing public
PEDEN STADIUM SCORE BOARD REPLACEMENT
Approval for Design through Construction

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<th>Previous Board Budget Approvals</th>
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<td>$ 68,100</td>
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| Sub-Totals                                         | $ 68,100 | $ 646,900   | $ 715,000               | $ 715,000       |

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<th>Fund Sources</th>
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<td>State Capital Appropriations</td>
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<td>Century Bond</td>
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<tr>
<td>Other: Athletics Reserves</td>
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<td>$ 68,100</td>
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| Sub-Totals                                         | $ 68,100 | $ 646,900   | $ 715,000               | $ 715,000       |

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PORTER HALL CLASSROOM IMPROVEMENTS

Background/Project Outcomes

• Background
  ▪ Classroom finishes have deteriorated and require a refresh

• Outcomes
  ▪ Provide new paint, carpet, outlets and projection surfaces in rooms 101 through 108.
## PORTER HALL CLASSROOM IMPROVEMENTS

Approval for Design through Construction

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### Fund Sources

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<td>State Capital Appropriations</td>
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<tr>
<td>Century Bond</td>
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<tr>
<td>Other: Classroom Improvements Fund</td>
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### Fiscal Year Schedule

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WALTER HALL CLASSROOM IMPROVEMENTS

Background/Project Outcomes

• Background
  - Classrooms require a refresh as they are at the end of their useful lives

• Outcomes
  - New paint, carpet, outlets and visual surfaces in rooms 135, 145, 235 and 245.
## WALTER HALL CLASSROOM IMPROVEMENTS

### Approval for Design through Construction

<table>
<thead>
<tr>
<th>Fund Sources</th>
<th>Design</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
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<td>Current Board Request: Design through Construction</td>
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### Sub-Totals

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RESOLUTION TO APPROVE EASEMENTS FOR ELECTRIC FACILITIES AND TO APPROVE RELEASE OF EASEMENT

RESOLUTION 2017-

WHEREAS, American Electric Power has installed electric facilities and requested easements under University property near Dairy Lane, East Union Street and the Hockhocking Adena Bikeway; and

WHEREAS, documenting AEP’s facilities with appropriate easements will protect the University’s interests; and

WHEREAS, it is appropriate to release an unused historical easement previously granted to the University on the 23 West Union Street Parcel;

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

BE IT FURTHER RESOLVED, that the Board of Trustees hereby approves the release of an unused easement to the owner of the corresponding parcel, as depicted in the enclosed map.

BE IT FURTHER RESOLVED, that the Board of Trustees hereby authorizes the President or his designee to execute the corresponding easements, release and other appropriate documentation in accordance with Ohio law.
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President for Finance and Administration, CFO and Treasurer

Re: Approval of Easement Requests from American Electric Power and of Release of University Easement

This request seeks approval to grant easements to American Electric Power or related operating company (“AEP”) at various locations on the Athens campus. In each case, AEP already has installed infrastructure. By documenting these facilities with easements, the University will ensure that appropriate liability and operational protections are in place.

This request also seeks approval to release an unused, historical easement that was discovered while coordinating other work with AEP.

*Dairy Lane*

The proposed easement is located over University property southwest of the Ridges near Dairy Lane. AEP maintains its Elliot substation at this location. In connection with the City of Athens’ improvements to Richland Avenue, AEP eliminated overhead lines leading from the substation and relocated infrastructure underground. This work complemented the Richland Avenue project and assisted the City in completing the construction. The easement area will be approximately twenty feet wide along the length of the line.

*East Union Street*

The proposed East Union Street easement covers a twenty-foot-wide area along East Union Street in front of the Schoonover Center and other University buildings to the east. This work involved installation of underground facilities to accommodate the major Schoonover Center renovation that began in 2013. The project also resulted in upgraded above-ground facilities near Pilcher House that addressed safety and reliability concerns.

*Hockhocking Adena Bikeway Near City of Athens Waste Water Treatment Plant*

This proposed easement covers a ten-foot-wide area near the City’s Waste Water Treatment Plant. The University owns a small parcel adjacent to the plant, which includes the large cell
tower / flag pole near Route 33. To accommodate construction of the sewage plant beginning in 2014, AEP relocated the underground facilities that serve the cell tower. This easement reflects the new configuration.

**Release of Easement near South Congress Street**

This request seeks approval to release an easement near South Congress Street that was granted to the University in 1915 but is not utilized.

During coordination of work with AEP this summer, it was discovered that a small easement previously granted to the University encumbers the privately-owned BW3 parcel. The easement area is approximately eighty-five feet long and ten feet wide.

The easement was granted to the University in 1915 by the then-owner of the property, Mary J. Crippen. The easement is not exclusive and does not suggest a specific use. It does, however, purport to require the University to pave and repair the portion of the parking lot within the easement area.

Neither current University staff nor the current owner of the parcel were aware of this easement, and the University has not utilized the easement in recent memory.

Given the relatively small easement area and the vague language of the 1915 document, the University could not make productive use of the easement in any event. Nor do University staff wish to assume maintenance obligations for the parking lot.

In order to resolve this matter and remove the encumbrance, the owner of the parcel has asked the University to release its easement. University staff believe this to be reasonable.
REAL ESTATE EASEMENTS - ATHENS
Purpose

• Appropriately document infrastructure easements to protect the University.
  ▪ AEP already has installed infrastructure.
  ▪ Documentation of these easements will ensure that appropriate liability and operational protections are in place
    • Dairy Lane
      o From roadway to AEP Elliot substation
    • East Union Street
      o Adjacent to Schoonover Center
    • Hockhocking Adena Bikeway
      o AEP service to City of Athens Waste Water Treatment Plant

• Release of easement near South Congress Street
Dairy Lane to AEP Elliot Substation

Part of AEP Upgrades to 69kV infrastructure in Athens area in 2015
East Union Street

- Easement for the installation of three phase primary underground from an pole located near the intersection of University Terrace and East Union Street and proceeding along East Union Street to Pilcher House, terminating at the rear of the Pilcher House.
- Part of the infrastructure upgrades for the Schoonover Center renovation
East Union Street

• Underground electric service to the Schoonover Center
  ▪ Installation began in 2013
Hockhocking Adena Bikeway Near City of Athens Plant

- 10 foot wide easement for the underground facilities that provides service to the cell tower site located on parcel A027680001901 near the City of Athens Waste Water Treatment plant
- Construction in 2014 of the City of Athens Waste Water Treatment Plant required relocation of AEP facilities
  - Part of this relocation involved the service to the cell tower
  - Proposed easement reflects new configuration
Hockhocking Adena Bikeway
Near City of Athens Plant
Release of Easement Near South Congress Street

- Easement was granted to the University in 1915
  - Discovered during coordination of work with AEP this summer
  - Encumbers the privately-owned BW3 parcel (23 South Union Street)
  - Easement is not exclusive and does not suggest a specific use
  - Purports to require the University to pave and repair the portion of the parking lot within the easement area
    - University does not wish to assume maintenance obligations for the parking lot
  - University has not utilized the easement in recent memory
    - University cannot make productive use of the easement because of small size and vague language of the 1915 document
Release of Easement Near South Congress Street
We seek

• Approval of easement requests from American Electric Power
  ▪ Dairy Lane
  ▪ East Union Street
  ▪ Hockhocking Adena Bikeway near City of Athens Waste Water Treatment Plant

• To release easement near South Congress Street

RESOLUTION TO APPROVE EASEMENTS FOR ELECTRIC FACILITIES AND TO APPROVE RELEASE OF EASEMENT

RESOLUTION 2017-

WHEREAS, American Electric Power has installed electric facilities and requested easements under University property near Dairy Lane, East Union Street and the Hockhocking Adena Bikeway; and

WHEREAS, documenting AEP’s facilities with appropriate easements will protect the University’s interests; and

WHEREAS, it is appropriate to release an unused historical easement previously granted to the University on the 23 West Union Street Parcel;

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

BE IT FURTHER RESOLVED, that the Board of Trustees hereby approves the release of an unused easement to the owner of the corresponding parcel, as depicted in the enclosed map.

BE IT FURTHER RESOLVED, that the Board of Trustees hereby authorizes the President or his designee to execute the corresponding easements, release and other appropriate documentation in accordance with Ohio law.
Interoffice Communication

Date: January 3, 2017

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:

- Exhibit A – FY17 Financial Forecast – Narrative Analysis
- Exhibit B – FY17 Income Statement Forecast
- Exhibit C – FY17 Balance Sheet Forecast
- Exhibit D – FY17 Investment Return Forecast
- Exhibit E – FY17 Q2 Senate Bill 6 forecast submission to Dept of Higher Education
- Exhibit F – IUC SB6 Comparison – Preliminary FY16

Our Financial Update materials will be information-only to the Resources Committee; however, relevant aspects of our FY17 financial forecast will be incorporated into the Joint Committee Athens Undergraduate Fees presentation.
Exhibit A – FY17 Financial Forecast – Narrative Analysis

Summary of Results

The current forecast for FY17 includes:

Operating Units:
- Operating Net Results forecast of $2M deficit as compared with the FY17 budgeted surplus of $5.2M and the $11.5M actual surplus for FY16. The FY17 Budget included a planned use of reserves of $12.0M (as represented in the Transfers (to)/from Operations row); adjusting for the planned use of reserves, our forecasted deficit of $2M compares to a budgeted deficit of $6.8M.

Non-operating Units:
- An increase in Endowment Value of $25.8M after consideration for new gifts to the endowment of $13.5M, increases for transfers to Quasi endowments of $4.5M, Investment income of $34.6M, and Endowment Distributions of $26.8M.
- A $7.3M increase in the Century Bond Program, prior to transfers, after consideration for $10.2M of Internal Loan payments from Operations, gain on investments of $11.1M, 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 $38.7M primarily associated with planned expenditures against the Capital Plan. A portion of these will be refunded to the bank from planned future debt issuances.

GAAP Adjusted Total:
- An overall forecasted GAAP adjusted $64.1M increase in net position, an unfavorable $24.3M variance to budget.

Significant Items

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<td>Net Undergraduate Tuition &amp; Educational Fees</td>
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<td>Projected new money of $125M, $40M refinanced in Feb/Mar 2017; $1.5M interest expense budgeted and forecast</td>
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<td>Investment Income – Working Capital Pool</td>
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Income Statement Presentation (Statement of Activities)

Following are the forecasted consolidated financial results for the University and Foundation with the following structure:

**Row Structure:**
Primary revenue, expenditure, and transfer categories.

**Column structure:**
GAAP adjusted totals are inclusive of all funds (for example: gifts, investment income, endowment distributions) and are broken down into the following columns:

- Operating unit subtotals:
  - Athens campus colleges and schools (HCOM has been consolidated)
  - Regional campuses
  - Auxiliaries
  - Academic Support Units
- Non-Operating unit subtotals:
  - Endowment
  - Capital
  - Century Bond
  - Internal Bank
- Component Units
- Financial Statement Adjustments

Further descriptions of each column can be found in each narrative section.

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**

**OPERATING UNITS** – this is the results of operations of our operating units of the university detailed by our Athens Colleges and Schools, Regional Campuses, Auxiliaries, and Academic Support activities as compared with the FY17 BOT approved Budget.

**Revenues**

**State Appropriations ($163.0M): 0.1%, $0.2 million more than FY17 budget**
- The Ohio Department of Higher Education has updated the FY17 funding model to incorporate final credit hour and degree inputs from Academic Year 2015-16. This final update increased our distribution by $0.4M, which is presented in the Academic Support column. In addition, the FY17
budget for Academic Support units was $0.2M too high, as two units both budgeted the same restricted appropriation.

- Prior forecast included a $0.5M restricted allocation to Regional Higher Education that was originally budgeted as grant revenue. This $0.5M has been removed from the forecast entirely because it is no longer being allocated from the State. This was a community pass through project and we could not appropriately administer the use of the funds.

Net Undergraduate Tuition & Educational Fees ($243.5M):  2%, $3.6 million more than FY17 budget

- The tuition budget for Undergraduate eLearning students assumed a 10% decline in enrollments due to the shrinking market for RN-BSN students in Ohio. Because of efforts to increase out-of-state enrollments and grow new programs, Undergraduate eLearning enrollments are projected to increase by 1.5% as compared to prior year enrollments, creating a positive variance to budget of $4.3M.

- The tuition and student financial aid budgets for Regional Campus students assumed a 2.9% decline in enrollments for traditional Regional Campus students (excludes College Credit Plus students). The actual decline in enrollments is projected to be approximately 4%, creating a -$1.2M variance to budget. Student Financial Aid for Regional Campus students is projected to be $1M less than budget, driven by both fewer enrollments and fewer students meeting the eligibility criteria. The net tuition variance to budget is -$2.2M.

- The tuition and student financial aid budgets for Athens Campus students assumed a 1.9% increase in overall enrollments; however, due to a decrease in out-of-state and international students, Fall 2016 enrollments are projected to increase only 1.3%. The Fall 2016 freshman class was 114 students fewer than Fall 2015 (including a slight increase in Ohio students and a 132 student decrease in non-resident students). The impact to the tuition forecast is a -$2.1M variance to budget, offset by a positive variance to budget of $1M within student financial aid (net tuition variance to budget of -$1.1M).

Net Graduate Tuition & Educational Fees ($80.9M):  -4%, $3.7 million less than FY17 budget

- Net Graduate Tuition & Educational Fees was budgeted to grow by $12.9M in FY17, an 18% increase from the prior year. The FY17 forecast for these revenues is $3.7M under budget. While below budget, the forecast represents a 12.8% increase from FY16 actuals. For the FY17 budget, colleges over-projected the enrollment growth of a few programs, particularly those programs which were transitioning from on-campus to online.

Room & Board ($95.3M):  -2%, $1.9 million less than FY17 budget

- Total Room (Housing and Residence Life) and Board (Culinary Services) revenues are forecast to be $54M and $41.3M, trailing budget by 2.6% and 1.2%, respectively.

- The FY17 budget for Room revenues assumed a Fall 2016 freshman class equal in size to the Fall 2015 freshman class; however, the Fall 2016 freshman class had 114 fewer students. In addition, due to capacity concerns, the number of upperclassmen was constrained. Overall, the total number of residents was down 225 relative to the prior Fall.

- The FY17 forecast for Board revenue is also below budget due to a 2.5% decrease in the number of residential meal plans for Fall 2016. This decrease was partially offset by an increase in the purchase of Block meal plans, commuters selecting more expensive meal plans, and sales of early move-in meal plans, which were not available in prior years.

Grants and Contracts ($51.8M):  12%, $5.4 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 had fluctuations in federal, state and private as follows:
• Athens Colleges and Schools:
  • Federal funds have a fluctuation between budget and forecast due to new and increased funding from the Department of Energy ($0.5M) in the College of Engineering, from the Department of Health and Human Services ($0.7M) in the Heritage College of Osteopathic Medicine and from the Department of the Interior ($0.3M) in the College of Arts & Sciences. Federal Work Study is forecasted here at $1M, but budgets are traditionally low for this line item.
  • State funds have a fluctuation due to funding from the Ohio Development Services Agency in the Third Frontier Preseed program forecasted at ($0.975M) through the Voinovich School. This is offset by a variance associated with the Ohio Coal Research program, whose activity is now aligned with the Vice President for Research in the Academic Support column ($1.6M).
  • Private funds will have a slight increase due to new funding based on prior year revenue of ($1.75M); however, this will be offset by a decrease of approximately $1M in the Center for Osteopathic Research Education (CORE) program due to changes in agreements with participating hospitals which historically have been fixed fee contracts and have moved to fee for service.

• Regional Campuses:
  • State funds had a fluctuation between budget and forecast because the Regionals budget included $0.5M in State Appropriation for a community pass-through project (also referenced in State Appropriations section). This is the funding for the Regional Higher Education Training Center that was funded through the Subsidy schedule to arrive in January 2017. This is not included in the State grant forecast and will not be included in the State Appropriations forecast because we could not properly administer the funds.
  • The College Credit Plus (CC+) forecast increased by $0.2M over budget as CC+ have not declined as significantly as projected. The average Fall 2016 tuition reimbursement from the state was 63.6% with the balance of tuition waivers being subsidized by the university.

• Academic Support:
  • Federal funds had a fluctuation between budget and forecast due to unbudgeted grants received from the Federal Aviation Administration ($2M) in Capital projects for Airport runway renovation and from the Appalachian Regional Commission for the Innovation Center ($0.4M).
  • State funds had a fluctuation between budget and forecast due an increase from the Ohio Development Services Agency funding for the Ohio Coal Research program. This is now reported in the Academic Support column ($1.6M).

Facilities and Administrative (F&A) Cost Recovery ($7M): 4%, $0.3 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 proposals submitted in FY16 are now funded with the new negotiated rate of recovery (50.5% for research). However, some federal entities (i.e. Federal Aviation Administration for Airport renovations and Appalachian Regional Commission for Innovation Center) and many non-federal entities would not be funded using this full rate.
  • The College Credit Plus program in State grants does not generate any overhead recovery.
  • There is an 18% allocation that is used by the Vice President for Research office to support start-up and research investments. 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 ($10.5M): -23%, $3.1M less than FY17 budget

- FY17 expendable gift revenue is forecasted to be down $6.8M, or 39% from FY16 actuals. The decline in gift revenue is attributable to two factors. First, there is a general decline in the donor pipeline following the end of the Promise Lives capital campaign, which ended on June 30, 2015. Second, due to employee attrition, Advancement staffing levels are significantly below budgeted amounts, resulting in reduced manpower devoted to soliciting donor funds.

- Following the end of the capital campaign, the Foundation has undertaken an initiative to significantly expand the institution's fundraising potential and increase annual fundraising to $50M. The strategy includes a staffing plan which is currently being implemented and will fill the vacant positions described above. The donor pipeline will be replenished, and future gifts are expected to increase as this strategy is implemented.

Endowment Distributions ($26.8M): -1%, $0.2M less than FY17 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 $0.7M 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.

- The $0.2M variance to budget reflects minor corrections to the distribution calculation, which were identified and adjusted after the budget was finalized.

- 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) ($6M): 2%, $0.1 million more than FY17 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 $4.5M. 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 FY2017 but are now forecasted to return 7.3% through June 30, 2017, or $1.5M. 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 November 30, 2016 which included an estimated 3.2% return for the first 5 months of the fiscal year.

- Please see Exhibit D for a summary of our forecast investment returns. The Exhibit summarizes our investment pools and how they are represented in our income statement column structure.

Other External Sales ($42M): 8%, $3 million more than FY17 budget

- The primary increases to forecast over budget are from rebates, finance charges, ticket sales & revenue related to ICA (budget does not include approximately $1M for MAC Bowl game appearances and MAC Championship revenue).

- Royalty revenue is forecast to decline $5M as compared to FY16 actuals due to the expiration of the SOMAVERVET patent during FY16 that was monetized in FY11. Since the $27M monetization, the University has recognized offsetting royalty revenue and expense. Royalty expense is also
forecast to decline $5M as compared to FY16 so this does not have an impact on our forecasted change in net assets.

- 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 continue to be a focus of future budget efforts.

**Expenses & Transfers**

**Salaries, Wages, & Other Payroll ($358M): -2%, $5.8 million less than FY17 budget**

- The variance between FY17 forecast and FY17 budget is a result of a historical budgeting practice of budgeting for full staffing levels and not projecting the impact of position vacancies. This will continue to be a challenge for our units until we are able to implement a position control technology.
- FY17 expenditures are forecast to exceed FY16 actuals driven by salary raise pool, impact of equity pool on salaries, and to accommodate for staffing level fluctuations, among others.
- On Tuesday, November 22, a federal judge in Texas granted a preliminary injunction against the new FLSA overtime regulations that were set to take effect on Thursday, December 1, 2016. This injunction delayed the implementation of the new regulation and affected Ohio University employees who had been previously notified of a status or salary change due to the increased salary exemption threshold. At this time, due to the preliminary injunction, the existing overtime regulations will continue to remain in place until the court has had the chance to review the case. As such, Ohio University has not proceeded with implementing changes to employee salaries or classifications as previously planned. The University will continue to monitor the status of FLSA as it works its way through the federal court system, and, once the federal court’s review has completed, we will analyze any impact on University policies and procedures.

**Benefits ($119.1M): Equal to budget**

- FY17 forecast is consistent with budget. While Retirement and Medicare forecasts are lower than budgets, Employee fee waivers and Healthcare forecasts are higher. Mainly, higher claims and fees, offset by higher employee premiums are anticipated for Healthcare.
- FY17 forecast benefits expense as a percentage of forecast salaries, wages & other payroll is 33.28%, while FY16 benefits expense was 32.82% of FY16 actual salaries, wages & other payroll. It was budgeted at 32.75% of salaries, wages & other payroll for FY17 budget.

**Operating Expenses ($187.1M): 2%, $4.5 million more than FY17 budget**

- Operating expenditures are forecast to exceed budget by $4.5M dollars. Although this is a large increase over the budget, this is actually a $0.3M decrease over prior year. Consistent with variances in Other External Sales and Salaries, Wages & Other Payroll, planning units historically under-budget Operating Expenses but expend them once resources become available during the year (either through revenue attainment or position vacancies). 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 and unbudgeted expenditures on capital improvement accounts.
- The large decrease in Academic Support from FY16 actuals to FY17 forecast is partially attributable to the decrease in royalty payments discussed above in the Other External Sales section.
Capitalized Costs ($10.7M): 75%, $4.6 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 with operating funds as well as on grant funded projects and capitalization of certain Oracle Enterprise Business systems upgrades.

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 ($22.6M): 1%, $0.3 million more than FY17 budget
- Represents intercompany revenues from the sale of goods or services to other University departments. Examples include transportation, catering, workshops, 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 to internal sales are offset by reductions to 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 $7.7M budgeted amount represents funding allocations for various initiatives (e.g. Innovation Funding) which when allocated will be spent in the appropriate planning unit. The budget represents ear-marked funds that will be transferred to the appropriate unit within the fiscal year. The forecasted transfers net to zero, with the unit receiving the funds forecasting the offsetting transfer, and also the forecasted associated expenditures.

Indirect Cost Allocations:
- Represents methodologies to recover administrative and capital costs (e.g., Facilities, Finance, 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:
- 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– The column totals reflect the change in the net asset balances for our endowment funds. The activity is inclusive of:
- Eliminating the endowment distributions that are recorded as revenue in the Operating Units;
- Actual endowment investment results for the year;
- New gifts to the endowment;
- Transfers from operations to quasi endowments.
Gifts ($13.5M): Equal to budget

- FY17 endowed gift revenue is forecasted to be down $1.7M, or 11% 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. The decrease in endowed gifts received in the current year, as compared to the prior year, reflects a decline in the gift pipeline following the end of the Promise Lives Campaign.

Investment Income ($34.6M): $2.4M more than FY17 budget

- 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 7.30% net of fees. The LT endowment 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% annualized return) for the remaining months in the fiscal year applied against the value of the LT Pool on November 30, 2016 (which included an estimated 3.21% return for the first 5 months of the fiscal year).

- The current forecasted investment income from the endowment in the LT Pool is $34.6M net of fees for the year as compared with the budgeted amount of $32.2M which was based on the portfolio's target return of 6.9%.

- Please see Exhibit D for a summary of our forecast investment returns. The Exhibit summarizes our investment pools and how they are represented in our income statement column structure.

Transfers to (from) Quasi Endowments:

- Represents the transfer from operations for quasi endowments. The transfer of $4.5M is made up of $1.7M for the projected University match resulting from the Scholarship Matching Program as well as $2.8M in funds from an estate gift that was approved by the Board at the October 2016 meeting.

- Transfers to Quasi Endowments are included in the financial forecast only for Quasi Endowments established by the Board of Trustees. Proposed Quasi Endowments will be incorporated into the financial forecast after Board of Trustees resolution approval.

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, project period set-asides, State Capital Appropriations or 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 ($22.8M): -21%, $6.2 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 $22.8M 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 $11.1M.
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:
- This represents the funding transfers from all other columns and will always cause the total to equal zero across all columns.

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 $250M 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. $150M of the proceeds were designated to be invested in a long-term diversified strategy. $97M 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 7.37% 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 November 30, 2016 which included an estimated 3.27% return for the first 5 months of the fiscal year.
- In May 2016, the unspent short-term proceeds of approximately $77.2M were invested in Baird Ultra-Short-term and Short-term Bonds. As a result of $9.2M in distributions during FY17 for capital spend and investment income of $0.4M, this pool now has a balance of approximately $68.4M.
- Please see Exhibit D for a summary of our forecast investment returns. The Exhibit summarizes our investment pools and how they are represented in our income statement column structure.

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 three (FY15-FY17) $10M of deferred maintenance funding allocations, the $11M Clippinger Phase I loan, and the first and second $30M and third $19M loans for the Energy Infrastructure Program (EIP).

Debt Service – Interest:
- Interest payments due on the $250M million century bond external debt. The annual debt service (interest only) is $14M million. As the investment earnings combined with the debt service on internal loans issued have not been sufficient to cover the external interest payments, the University has advanced funds to cover the cumulative variance shortfall ($13.3M) 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
  - FY 17 $11M Clippinger Phase I
  - Final $19M of EIP funding (of expected $79M)

**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 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 November 30, 2016 the remainder (approx. $212.6M) are invested in several 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 7.30%. 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 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. The FY17 forecasted investment return for the tiered working capital pools range from 0.33% to 7.30%.
- Includes an $8.5M 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 $4.0M forecasted return on working capital investments remaining in the Central Bank.
- Please see Exhibit D for a summary of our forecast investment returns. The Exhibit summarizes our investment pools and how they are represented in our income statement column structure.

Operating Expenses:
- Includes debt issuance costs on the new bond issue.

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.

Housing for Ohio, Inc., one of the Foundation’s subsidiaries, entered into a purchase and sale agreement with a potential buyer during the fall of 2016. The sale price was $20.4M and the transaction closed on December 22, 2016. The organization intends to use the proceeds from the sale to retire the $23.4M in outstanding bonds on February 1, 2017.

Other External Sales:
- $25.5M in revenue for FY17 as compared to $22.7M for FY16. This includes revenue changes for TechGrowth Ohio Fund, UMA and the OUF subsidiaries.
- Included in this forecast is the gain on sale of Housing for Ohio assets.

Operating Expenses:
- There is $17.9M in expense for FY17 as compared to $18.5M for FY16.
- The decrease is due to a short year of expenditures for Housing for Ohio.

FINANCIAL STATEMENT ADJUSTMENTS - 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:
- Adjustment to gifts for accrued pledge balances;
- 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;
- Elimination of principal payments on bonds;
- Debt premium, discount, and refunding amortizations.

Gifts:
- Our GAAP adjusted total for gift revenue is forecast at $13.0M, which lags the budget by $14.1M or 52% and lags prior year gifts by $17.7M or 58%. The current year forecast includes a financial statement adjustment of -$11.0M reflective of our projected decrease in new donor pledges. The decline in gifts is reflective of a general decline in the donor pipeline following the end of the Promise Lives capital campaign, which ended on June 30, 2015. Secondly, due to employee attrition, Advancement staffing levels are significantly below budgeted amounts, resulting in reduced manpower devoted to soliciting donor funds. Advancement is implementing a staffing plan that is intended to fill staffing vacancies across the division.

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 FY15, 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 $6.8M. 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 $3M in component unit eliminations.
- FY17 includes a credit for $3.8M in component unit eliminations offset by $0.1M 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 $4M 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 Balance Sheet.
- $23.4M in Housing for Ohio debt will be paid off from the sale of the entity.

Debt Service - Interest:

- Amortization of bond premium and discounts which were inadvertently excluded from the budget.

**Balance Sheet-Ohio University (Statement of Net Position)**

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 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 ($44M):** $7.4 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)
- The increase is due to the estimated 6/30/17 unspent bond proceeds resulting from the anticipated Series 2017 bond issue that includes new money of $125M.
- Construction escrow deposits and grant restricted funds remain the same at $1M.

Investments ($571.5M): $3.7 million increase FY17 forecast over FY16 actual
- The Century Bond long term pool is forecast to increase $10.7 million related to investment returns & the Century Bond short term pool is forecast to decrease $24.2 million – short-term pool is being used for the capital plan (see capital assets below).
- The Century Bond debt reserve forecast is equal to FY16 actual.
- The Long term endowment pool is forecast to increase $3.0 million-related to investment returns, the spending allocation, administrative fees, and transfers to quasi-endowments.
- University working capital investments are forecast to increase $12.2 million. Tiers II and III are forecast to increase $1.1 million, the diversified pool (Tier IV) is forecast to increase $10.7 million, and the Student Investment Pool (Tier IV) is forecast to increase $0.4 million.
- Included in the investments is $199.5M of forecasted unspent Century Bond proceeds as of June 30, 2017 (see Net Investments in Capital section below)

Capital Assets-net of depreciation ($1,059M): $91 million increase FY17 forecast over FY16 actual
- Increases for buildings, infrastructure & CIP include $128 million and include some of the following major projects: a forecasted $6.9 million for McCracken Hall & a forecasted $12.9 million for Energy Infrastructure projects.
- There are also forecasted purchases of $10.7 million for machinery, equipment and library books.
- These are offset by accumulated depreciation increases of $48 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 & Pension ($87.5M): $0.4 million decrease FY17 forecast over FY16 actual
- 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 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 ($650.5M):** *$105.7 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–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 ($702.1M):** *$51.1 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 year end, 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 $1,059.1M
  - Less Bonds & Notes Payable – net of discount & premium ($650.5M)
  - Plus the Unspent Century Bond Proceeds $199.5M
  - Plus Restricted Cash & Cash Equivalents $94.0M
  - Total $702.1M

**Restricted – Nonexpendable ($22.2M):** *No change FY17 forecast over FY16 actual*
- 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. There are relatively few new donations to the University endowment.

**Restricted – Expendable ($35.2M):** *$3.1 million increase 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 is increased due to investment earnings.

**Unrestricted (-$104M):** *$9.3M decrease FY17 forecast over FY16 actual*
- The forecasted unrestricted net position of -$104M includes the -$371.8M impact of the GASB 68 requirement for booking the unfunded pension liability and $267.8M of unrestricted net position, the majority of which has been internally designated for planning units, reserves or commitments.
## Exhibit B – FY17 Income Statement Forecast

### Operating Unit Subtotals

| (in millions)          | 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 | 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   | 140.2       | 137.5       | 137.4         | 18.2        | 27.7        | 27.7          | 3.0         | (2.3)       | (2.1)         | 161.4       | 162.8       | 163.0          | 0.2         | 0.1%        | 1.6%          |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| State Appropriations-Capital | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             | -           | -           | -             |
| Undergraduate Tuition & Educational Fees | 257.0       | 256.1       | 260.6         | 37.2        | 36.9        | 35.7          | 10.2        | 9.5         | 8.5           | 304.4       | 302.5       | 304.8          | 2.3         | 0.8%        | 0.4%          | 0.1%         |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Undergraduate Financial Aid | (47.0)      | (48.7)      | (49.4)        | (0.0)       | (6.2)       | (5.2)         | (10.2)      | (10.1)      | (10.2)        | (5.4)       | 2.4         | 3.5           | (57.8)      | (62.6)      | (61.3)        | 1.3         | -2%        | (3.5)          | 6%           |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Net Undergraduate Tuition & Fees | 210.0       | 207.4       | 211.2         | 31.2        | 30.7        | 30.5          | 15.6        | 11.9        | 12.0          | 246.6       | 239.9       | 243.5          | 3.6         | 2%         | (3.1)         | -1%          |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Graduate Tuition & Educational Fees | 99.7        | 111.2       | 108.7         | 0.4         | 0.3         | 0.6           | 0.1         | 1.3         | 0.4           | 100.2       | 112.8       | 109.7          | (3.1)       | -3%        | 9.5%          | 9%           |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Graduate Financial Aid | (27.6)       | (28.1)      | (28.0)        | (0.1)       | -           | (0.1)         | (0.8)       | (0.1)       | (0.7)         | (28.5)      | (28.2)      | (28.8)        | (0.6)       | 2%         | (0.3)%         | 1%           |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Net Graduate Tuition & Fees | 72.1        | 83.0        | 80.7          | 0.3         | 0.3         | 0.5           | -           | (0.7)       | 1.2           | (0.3)       | 71.7        | 84.6          | 80.9        | (3.7)      | -4%          | 9.2%          |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Room & Board            | -           | -           | -             | -           | -           | -             | 95.9        | 97.2        | 95.3          | -           | -           | -             | 95.9        | 97.2        | 95.3          | (1.9)       | -2%        | (0.6)%        | -1%          |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Grants and Contracts    | 39.5        | 40.7        | 43.8          | 1.7         | 2.5         | 2.1           | 0.1         | 0.1         | 0.1           | 4.8         | 3.0         | 5.8           | 46.1        | 46.4        | 51.8          | 5.4         | 12%        | 5.7%          | 12%          |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Facilities & Admin Costs Recovery | 5.5        | 5.6        | 5.6           | -           | -           | -             | 1.3        | 1.2         | 1.1           | 6.8         | 6.7         | 7.0           | -           | 0.3%       | 0.2%          | 3%           |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Gifts                   | 5.7         | 4.2        | 4.3           | 0.2         | 0.2         | 0.2           | 3.3        | 1.7         | 4.1           | 17.3        | 13.6        | 10.5          | (3.1)       | -23%       | (6.8)%         | -39%         |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Endowment Distributions | 12.7        | 12.5        | 12.4          | 0.5         | 0.5         | 0.5           | 0.2        | 0.2         | 0.2           | 13.4        | 13.8        | 13.7          | 26.1        | 27.0        | 26.8          | (0.2)       | -1%        | 0.7%          | 3%           |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Investment Income       | -           | -           | -             | -           | -           | -             | 3.8         | 5.9         | 6.0           | 3.8         | 5.9         | 6.0           | -           | 0.1%       | 2%           | 2.2%          |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |
| Other External Sales    | 5.1         | 4.5        | 4.3           | 0.8         | 0.7         | 0.8           | 18.4        | 16.2        | 18.6          | 25.4        | 17.6        | 18.3          | 49.7        | 39.0        | 42.0          | 3.0%        | 8%         | (7.7)%         | -15%         |             |               |             |             |               |             |             |               |             |             |               |             |             |               |

### Total Revenues

|        | $490.1       | $495.5       | $499.7       | $52.9       | $62.5       | $62.3       | $107.7      | $105.3      | $105.9      | $74.7       | $59.7       | $58.9       | $725.4      | $722.9      | $726.8      | $3.7%       | 0.5%       | 1.4%          | $10.0       |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |

### Total Expenses & Transfers

|        | $474.4       | $498.4       | $502.4       | $54.5       | $62.5       | $62.4       | $80.7       | $78.3       | $82.3       | $225.4      | $220.0      | $230.2      | $672.1      | $696.2      | $699.3      | $4.7%       | -1%        | $3.0%         | $27.2%      |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |             |             |               |

### Variance FY17 Forecast over FY16 Budget

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Exhibit B – FY17 Income Statement Forecast

Non-Operating Unit Subtotals

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<th>(in millions)</th>
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## Exhibit B – FY17 Income Statement Forecast

### GAAP Adjusted Totals

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<td><strong>Net Results</strong></td>
<td>$(0.5)</td>
<td>$2.8</td>
<td>$5.7</td>
<td>$82.7</td>
<td>$105.7</td>
<td>$100.7</td>
</tr>
</tbody>
</table>
### Exhibit C – FY17 Balance Sheet Forecast

#### Statement of Net Position (Balance Sheet)

<table>
<thead>
<tr>
<th>(in millions $)</th>
<th>Ohio University</th>
<th>Variance</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Actual</td>
<td>Forecast</td>
<td>June 30, 2017 Forecast</td>
<td>June 30, 2016 Actual</td>
<td></td>
</tr>
<tr>
<td>Cash &amp; Cash Equivalents</td>
<td>67.3</td>
<td>36.6</td>
<td>44.0</td>
<td>7.4</td>
<td></td>
</tr>
<tr>
<td>Restricted Cash &amp; Cash Equivalents</td>
<td>14.3</td>
<td>7.1</td>
<td>69.0</td>
<td>61.9</td>
<td></td>
</tr>
<tr>
<td>Investments</td>
<td>581.6</td>
<td>567.8</td>
<td>571.5</td>
<td>3.7</td>
<td></td>
</tr>
<tr>
<td>Capital Assets-net of depreciation &amp; Assets Held for Sale</td>
<td>909.4</td>
<td>968.0</td>
<td>1,059.0</td>
<td>91.0</td>
<td></td>
</tr>
<tr>
<td>Accounts Receivable, Prepaids &amp; Other Assets</td>
<td>88.9</td>
<td>84.3</td>
<td>81.3</td>
<td>(3.0)</td>
<td></td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td><strong>$ 1,661.5</strong></td>
<td><strong>$ 1,663.8</strong></td>
<td><strong>$ 1,824.8</strong></td>
<td><strong>$ 161.0</strong></td>
<td></td>
</tr>
<tr>
<td>Deferred Outflows of Resources-Deferred charge on refunding &amp; Pension</td>
<td>33.7</td>
<td>87.9</td>
<td>87.5</td>
<td>(0.4)</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES</strong></td>
<td><strong>$ 1,695.2</strong></td>
<td><strong>$ 1,751.7</strong></td>
<td><strong>$ 1,912.3</strong></td>
<td><strong>$ 160.6</strong></td>
<td></td>
</tr>
<tr>
<td>Accounts Payable &amp; Accrued Liabilities &amp; Other</td>
<td>108.1</td>
<td>104.8</td>
<td>114.8</td>
<td>10.0</td>
<td></td>
</tr>
<tr>
<td>Unearned Revenue</td>
<td>33.8</td>
<td>34.1</td>
<td>34.1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Net Pension Liability</td>
<td>349.1</td>
<td>432.9</td>
<td>432.9</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Bonds and Notes Payable-net of discount and premium</td>
<td>562.6</td>
<td>544.8</td>
<td>650.5</td>
<td>105.7</td>
<td></td>
</tr>
<tr>
<td><strong>Total Liabilities</strong></td>
<td><strong>$ 1,053.6</strong></td>
<td><strong>$ 1,116.6</strong></td>
<td><strong>$ 1,232.3</strong></td>
<td><strong>$ 115.7</strong></td>
<td></td>
</tr>
<tr>
<td>Deferred Inflows of Resources-Pension</td>
<td>46.9</td>
<td>24.5</td>
<td>24.5</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td><strong>Total Deferred Inflows Of Resources</strong></td>
<td><strong>$ 46.9</strong></td>
<td><strong>$ 24.5</strong></td>
<td><strong>$ 24.5</strong></td>
<td><strong>$ -</strong></td>
<td></td>
</tr>
<tr>
<td>Net Investment in Capital Assets</td>
<td>595.1</td>
<td>651.0</td>
<td>702.1</td>
<td>51.1</td>
<td></td>
</tr>
<tr>
<td>Restricted - Nonexpendable</td>
<td>22.3</td>
<td>22.2</td>
<td>22.2</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Restricted - Expendable</td>
<td>34.5</td>
<td>32.1</td>
<td>35.2</td>
<td>3.1</td>
<td></td>
</tr>
<tr>
<td>Unrestricted</td>
<td>(57.2)</td>
<td>(94.7)</td>
<td>(104.0)</td>
<td>(9.3)</td>
<td></td>
</tr>
<tr>
<td><strong>Total Net Position</strong></td>
<td><strong>$ 307.9</strong></td>
<td><strong>$ 277.1</strong></td>
<td><strong>$ 267.8</strong></td>
<td><strong>$ (9.3)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES, DEFERRED INFLOWS OF RESOURCES, AND NET POSITION</strong></td>
<td><strong>$ 1,695.2</strong></td>
<td><strong>$ 1,751.7</strong></td>
<td><strong>$ 1,912.3</strong></td>
<td><strong>$ 160.6</strong></td>
<td></td>
</tr>
</tbody>
</table>

**GASB 68 balances:**

<table>
<thead>
<tr>
<th>(in millions $)</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Deferred Outflows of Resources-Pension</td>
<td>30.9</td>
<td>85.6</td>
<td>85.6</td>
<td>-</td>
</tr>
<tr>
<td>Net Pension Liability</td>
<td>(349.1)</td>
<td>(432.9)</td>
<td>(432.9)</td>
<td>-</td>
</tr>
<tr>
<td>Deferred Inflows of Resources-Pension</td>
<td>(46.9)</td>
<td>(24.5)</td>
<td>(24.5)</td>
<td>-</td>
</tr>
<tr>
<td><strong>Net effect of GASB 68</strong></td>
<td><strong>$ (365.1)</strong></td>
<td><strong>$ (371.8)</strong></td>
<td><strong>$ (371.8)</strong></td>
<td><strong>$ -</strong></td>
</tr>
<tr>
<td>Unrestricted Net Position WO GASB 68</td>
<td>307.9</td>
<td>277.1</td>
<td>267.8</td>
<td>(9.3)</td>
</tr>
<tr>
<td>Expendable Net Assets for SB6</td>
<td>342.4</td>
<td>309.2</td>
<td>303.0</td>
<td>(6.2)</td>
</tr>
</tbody>
</table>
### Exhibit D – FY17 Investment Return Forecast

#### Summary by Investment Pool

<table>
<thead>
<tr>
<th>Investment Pool</th>
<th>Academic Support</th>
<th>Endowment/Loans</th>
<th>Century Bond</th>
<th>Internal Bank</th>
<th>Comp Units</th>
<th>FY Forecasted Total</th>
<th>Expected Return through FYE</th>
<th>FYTD Estimated Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>OU Tier II Working Capital</td>
<td>1.0</td>
<td>1.0</td>
<td>1.20%</td>
<td>0.83%</td>
<td>0.13%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OU Tier III Working Capital</td>
<td>0.1</td>
<td>0.1</td>
<td>2.80%</td>
<td>0.33%</td>
<td>-1.27%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OU Tier IV Working Capital - Student</td>
<td>0.4</td>
<td>0.4</td>
<td>6.90%</td>
<td>5.78%</td>
<td>1.74%</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>OU Tier IV Working Capital - Div Pool</td>
<td>4.5</td>
<td>2.5</td>
<td>6.90%</td>
<td>7.30%</td>
<td>3.21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OUF Diversified Pool</td>
<td>1.5</td>
<td>-</td>
<td>6.90%</td>
<td>7.30%</td>
<td>3.21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OU Endowment</td>
<td>5.6</td>
<td>-</td>
<td>6.90%</td>
<td>7.30%</td>
<td>3.21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OUF Endowment</td>
<td>29.0</td>
<td>-</td>
<td>6.90%</td>
<td>7.30%</td>
<td>3.21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OUF Endowment</td>
<td>29.0</td>
<td>-</td>
<td>6.90%</td>
<td>7.30%</td>
<td>3.21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Century Bond Diversified Pool</td>
<td>0.3</td>
<td>-</td>
<td>6.90%</td>
<td>7.30%</td>
<td>3.21%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Century Bond Conservative Pool</td>
<td>(0.2)</td>
<td>(0.2)</td>
<td>2.50%</td>
<td>-6.07%</td>
<td>-7.42%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Century Bond Long-Term Pool</td>
<td>10.7</td>
<td>10.7</td>
<td>6.90%</td>
<td>7.37%</td>
<td>3.27%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Century Bond Short-Term Pool</td>
<td>0.4</td>
<td>-</td>
<td>0.85%</td>
<td>0.60%</td>
<td>0.10%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Century Bond Short-Term Pool</td>
<td>0.4</td>
<td>-</td>
<td>0.85%</td>
<td>0.60%</td>
<td>0.10%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Component Units</td>
<td></td>
<td>0.4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>6.0</td>
<td>34.6</td>
<td>11.1</td>
<td>4.0</td>
<td>56.2</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Exhibit E – FY17 Q2 Senate Bill 6

Senate Bill 6 – quarterly report

Quarterly Report to the Ohio Department of Higher Education as of December 31, 2016

Schedule QF-1: Statement of Revenues, Expenditures, and Other Changes
Projection of Year-end SB 6 Ratios and Composite Scores
Balances for SB 6 Ratios and Scores ($ in 1000s):

<table>
<thead>
<tr>
<th></th>
<th>Projected FY2017</th>
<th>Actual FY2016</th>
<th>Actual FY2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expendable net assets (A)</td>
<td>303.9</td>
<td>309.2</td>
<td>342.4</td>
</tr>
<tr>
<td>Plant debt (B)</td>
<td>633.5</td>
<td>526.7</td>
<td>543.3</td>
</tr>
<tr>
<td>Revenues, operating + nonoperating (C)</td>
<td>786.4</td>
<td>754.4</td>
<td>760.4</td>
</tr>
<tr>
<td>Operating expenses (including interest expense) (D)</td>
<td>741.5</td>
<td>727.3</td>
<td>712.6</td>
</tr>
<tr>
<td>Increase (decrease) in total net assets (E)</td>
<td>44.9</td>
<td>22.8</td>
<td>47.6</td>
</tr>
</tbody>
</table>

Ratios:
- Viability Ratio (A/B) 0.478 0.587 0.630
- Primary Reserve Ratio (A/D) 0.409 0.425 0.480
- Net Income Ratio (E/C) 0.057 0.030 0.063

Composite Score:
- Viability Ratio (30%) 0.6 0.6 0.9
- Primary Reserve Ratio (50%) 2.0 2.0 2.0
- Net Income Ratio (20%) 1.0 0.8 1.0

SB 6 Composite Score (Excluding GASB68) 3.6 3.4 3.9


Reportable Events and Additional Questions

Reportable Events -- During the time period covered by this report, did your institution:

1. Request an advance of state subsidy? Yes No X
2. Fail to make its required payments, as scheduled, to appropriate retirement systems (e.g. OPERS or STRS-Ohio)? Yes X
3. Fail to make its required payroll payments, as scheduled? Yes X
4. Fail to make its scheduled debt service payments? Yes X
5. Fail to make payments to vendors, as scheduled, due to a cash deficiency or a substantial deficiency in the payment processing system? Yes X
6. Relative to its original budget for the fiscal year, experience any actual or anticipate any projected financial changes (such as unbudgeted decreases in revenues or unbudgeted increases in expenditures) that will result in a substantially reduced fund balance or larger deficit this fiscal year? Yes X

Additional Questions:

What was the total student FTE enrollment for Fall semester? Fall 2016 (Census) Final Fall 2015 Final Fall 2014
30,534 30,681 30,341

What is the expected total student enrollment for Spring semester as budgeted for the fiscal year? Budget Spring 2017 Final Spring 2016 Final Spring 2015
29,204 29,021 28,644

Do you have knowledge that any of the following circumstances have or may occur during the fiscal year in a significant way that will negatively impact your institution's annual SB 6 composite score?

1. An unanticipated decrease in operating cash and investments? Yes No X
2. An increase in uncollectible accounts receivable? Yes X
3. Any unanticipated capital purchases? Yes X
4. Any unanticipated losses (e.g. casualty or investment)? Yes X
5. An increase in liabilities that do not occur during normal business operations (including new debt) Yes X
6. Any other facts or circumstances that could negatively impact the SB 6 composite score? Yes X

If the answer is "Yes" to any of the above questions, please describe in a separate document the anticipated impact on your institution's year-end financial position, the reason(s) for the event, the action(s) taken by the institution to resolve the event, and the action(s) taken by the institution to prevent a reoccurrence of the event.
<table>
<thead>
<tr>
<th>University (Without GASB 68)</th>
<th>Preliminary Composite Score FY16</th>
<th>Composite Score FY15</th>
<th>Change over Prior Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ohio State</td>
<td>4.5</td>
<td>4.7</td>
<td>-0.2</td>
</tr>
<tr>
<td>Miami</td>
<td>4.4</td>
<td>4.4</td>
<td>0.0</td>
</tr>
<tr>
<td>NEOMED</td>
<td>3.9</td>
<td>3.7</td>
<td>0.2</td>
</tr>
<tr>
<td>Bowling Green</td>
<td>3.9</td>
<td>3.4</td>
<td>0.5</td>
</tr>
<tr>
<td>Kent State</td>
<td>3.6</td>
<td>4.0</td>
<td>-0.4</td>
</tr>
<tr>
<td>Youngstown State</td>
<td>3.5</td>
<td>3.1</td>
<td>0.4</td>
</tr>
<tr>
<td>Ohio University</td>
<td><strong>3.4</strong></td>
<td><strong>3.9</strong></td>
<td><strong>-0.5</strong></td>
</tr>
<tr>
<td>Cincinnati</td>
<td>3.2</td>
<td>3.6</td>
<td>-0.4</td>
</tr>
<tr>
<td>Shawnee State</td>
<td>3.2</td>
<td>3.4</td>
<td>-0.2</td>
</tr>
<tr>
<td>Akron</td>
<td>3.2</td>
<td>2.8</td>
<td>0.4</td>
</tr>
<tr>
<td>Cleveland State</td>
<td>3.1</td>
<td>3.2</td>
<td>-0.1</td>
</tr>
<tr>
<td>Toledo</td>
<td>3.1</td>
<td>3.1</td>
<td>0.0</td>
</tr>
<tr>
<td>Wright State</td>
<td>2.1</td>
<td>2.4</td>
<td>-0.3</td>
</tr>
<tr>
<td>Central State*</td>
<td>2.1</td>
<td>2.3</td>
<td>0.0</td>
</tr>
</tbody>
</table>

Average Composite Score: 3.39  3.43  -0.04

* Did not respond to survey
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer

Re: Facility Project Status Report

Enclosed for your reference is the “Facility Project Status Report” for the January 2017 Board of Trustees meeting. This report provides an update on all active projects approved for expenditure, as well as projects we have completed since the October Board of Trustees meeting.

The report includes information about the Six-year Capital Investment Plan relationship for each project, the schedule, budget and type of funds used to complete the project.

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.

This report will be included as a regular report to the Resources Committee. Highlights of the projects are included in the presentation on project status, which will be reviewed at the meeting.
<table>
<thead>
<tr>
<th>Project Name</th>
<th>Part of CIP</th>
<th>Start Date</th>
<th>Finish Date</th>
<th>Budget</th>
<th>Current Phase</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic/Programmatic Renewal</td>
<td>FYTI-20</td>
<td>FYT17-22</td>
<td>N/A</td>
<td>Original</td>
<td>Revised</td>
<td>Authorized</td>
</tr>
<tr>
<td>C-Suite (student innovation hub)</td>
<td>x</td>
<td>Oct-17</td>
<td>Feb-18</td>
<td>$600,000</td>
<td>Planning</td>
<td>x</td>
</tr>
<tr>
<td>Clippinger 180 Electrical Outlets</td>
<td>x</td>
<td>Feb-17</td>
<td>Feb-17</td>
<td>TBD</td>
<td>Planning</td>
<td>x</td>
</tr>
<tr>
<td>Clippinger 340/366 Electric Outlets</td>
<td>x</td>
<td>Feb-17</td>
<td>Feb-17</td>
<td>TBD</td>
<td>Planning</td>
<td>x</td>
</tr>
<tr>
<td>Copeland Window Wells</td>
<td>Feb-17</td>
<td>Jun-17</td>
<td>$20,000</td>
<td>Planning</td>
<td>$573,090</td>
<td>$483,039</td>
</tr>
<tr>
<td>Clippinger Laboratories Phase I Addition</td>
<td>x</td>
<td>Jan-17</td>
<td>Jun-20</td>
<td>$42,600,000</td>
<td>Planning</td>
<td>x</td>
</tr>
<tr>
<td>Biochemistry HAZMAT Storage Bldg.</td>
<td>x</td>
<td>Jan-17</td>
<td>Mar-17</td>
<td>$30,000</td>
<td>Planning</td>
<td>x</td>
</tr>
<tr>
<td>HCOM Dublin MB12 Rm 100</td>
<td>x</td>
<td>Dec-16</td>
<td>May-17</td>
<td>$650,000</td>
<td>Design</td>
<td>x</td>
</tr>
<tr>
<td>Copeland 2nd &amp; 3rd Floors Offices Carpet</td>
<td>x</td>
<td>Dec-16</td>
<td>Aug-17</td>
<td>ON HOLD</td>
<td>Design</td>
<td>x</td>
</tr>
<tr>
<td>Athena Backstage Renovation</td>
<td>x</td>
<td>Dec-16</td>
<td>Apr-17</td>
<td>$150,000</td>
<td>Design</td>
<td>$151,838</td>
</tr>
<tr>
<td>Glidden Hall Renovations Phase I</td>
<td>x</td>
<td>Nov-16</td>
<td>Jul-17</td>
<td>$2,890,000</td>
<td>Design</td>
<td>$300,000</td>
</tr>
<tr>
<td>Innovation Ctr 2nd Floor Hallway Flooring</td>
<td>x</td>
<td>Nov-16</td>
<td>Feb-17</td>
<td>$11,500</td>
<td>Construction</td>
<td>x</td>
</tr>
<tr>
<td>Glidden 4th Floor Hallway Paint</td>
<td>x</td>
<td>Nov-16</td>
<td>Jan-17</td>
<td>$9,500</td>
<td>Construction</td>
<td>x</td>
</tr>
<tr>
<td>Glidden Hall 1st Floor Mural</td>
<td>x</td>
<td>Nov-16</td>
<td>Jan-17</td>
<td>$14,679</td>
<td>Construction</td>
<td>$14,679</td>
</tr>
<tr>
<td>RTEC 105 Renovation</td>
<td>x</td>
<td>Oct-16</td>
<td>Nov-16</td>
<td>$31,150</td>
<td>Closeout</td>
<td>$31,150</td>
</tr>
<tr>
<td>Copeland 2nd Floor Reconfigure</td>
<td>x</td>
<td>Oct-16</td>
<td>Nov-16</td>
<td>$58,800</td>
<td>Closeout</td>
<td>$58,800</td>
</tr>
<tr>
<td>Grover Center Public Restrooms</td>
<td>x</td>
<td>Oct-16</td>
<td>Jun-17</td>
<td>$189,000</td>
<td>Construction</td>
<td>$189,000</td>
</tr>
<tr>
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January 19, 2017 Page 1 of 5
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FACILITY PROJECTS
STATUS UPDATE

Tab
Large Projects

- McCracken renovation & addition
  - Budget $32.8M, projected $32.2M
  - Completed Dec 2016
Large Projects

• Jefferson renovation
  ^ Budget $39.1M, projected $37.2M
  ^ Complete Summer 2017
Large Projects

- Lausche Boiler Project
  - Budget $15M, projected $17.5M ($2.5M proposed budget amendment)
  - Complete Fall 2017
Building Envelope Projects

- Roof Repairs completed late Fall or early Winter:
  - Seigfred Hall
  - Clippinger
  - Stocker Hall

- Window Replacements planned for:
  - Seigfred Hall
  - Cutler, Wilson, & McGuffey Halls
Mechanical System Projects

- New Chiller for Peden Tower
  - Budget $190,000
  - To complete Mar 2017
Interior Renovation Projects

- Grover Center Expansion
  - Converting health and recreation spaces to classrooms and lab spaces
  - $11M Budget; Projected cost: $10.8M
Infrastructure Projects

- West Union Parking Lot
  - Amended Budget: $240,000 ($50,000 increase as a result of poor soils)
  - Projected Complete: Mar 2017
Emergency Projects

- Front Four Cable Replacement:
  - Aging 15kv cable leaking oil and susceptible to failure
- Investigation of settlement at Ping Center
Large Projects in Design

- Perry and Sandy Sook Academic Center: consultant selected, MSA, design in progress.
- Seigfred Hall Renovations Phase II: Consultant selected programming initiated.
- Clippinger Renovation Phase I: Consultant selected.
City of Athens Joint Projects
Northeast Campus Gateway

- Construction planned for summer 2017
Interoffice Communication

Date: January 3, 2017

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

The purpose of this memo is to provide an update to the Board regarding the work of the Park Place Planning Work Group.

The Park Place Planning Work Group is tasked with developing 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.

The work group has met three times with a focus on gaining an understanding of the existing conditions and laying out the pathway for gathering information and feedback from the campus and community. Meetings to date include:

- Kick-off Meeting:
  - Establish goals of project
  - Review questions and thoughts from each work group member
  - Draft work plan and approach to project

- Tour of Park Place and South Court Street:
  - Toured each facility along the corridor
  - Reviewed and discussed similar projects other Universities have taken

- Prep for University/Community workshop and feedback opportunities
  - Established a dedicated web site for the effort
  - Discussed questions work group members wanted feedback from stakeholders on
  - Began presentations and workshop tools in prep for upcoming workshops

Next Steps:
The Park Place Planning Work Group will hold workshop meetings in January on campus and in the community to gather feedback from the respective groups on their thoughts and needs in the corridor area. Information gathered at this work session will be synthesized and ideas will begin
to be formulated. At the March Board meeting we plan to share a presentation of our findings and the direction of the project thus far.

A reminder of the work group members is below. Please note that the Faculty representative changed from what we shared in the October 2016 update.

<table>
<thead>
<tr>
<th>Key Area</th>
<th>Name</th>
<th>Title</th>
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<tbody>
<tr>
<td>Student</td>
<td>Courteney Muhl</td>
<td>V.P., Student Senate</td>
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<tr>
<td>Faculty</td>
<td>Brian Schoen</td>
<td>Chair Faculty Senate Finance and Facilities</td>
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<tr>
<td>Provost</td>
<td>Brad Cohen</td>
<td>Senior Vice Provost for Instructional Innovation</td>
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<tr>
<td>City of Athens</td>
<td>Paul Logue</td>
<td>City Planner</td>
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<tr>
<td>City Council</td>
<td>Chris Fahl</td>
<td>Chair of City Council Planning &amp; Development Committee</td>
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<td>Jason Pina</td>
<td>Co-Chair, V.P. Student Affairs</td>
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<tr>
<td>University Planning</td>
<td>Shawna Bolin</td>
<td>Co-Chair, University Planner</td>
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Interoffice Communication

Date: January 3, 2017

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 Update

The University has been working to translate master plans into strategies that can be implemented to realize their respective goals and vision. The Comprehensive Master Plan 2016 recognized the importance of preserving the historic core of our Campus, as well as the challenges in maintaining regulatory compliance, deferred maintenance investment, and space programming aligned with university needs in a tight budgetary environment.

At the October 2016 Board of Trustees meeting, University Planner Shawna Bolin outlined a planning strategy designed to review the current and future uses, condition, and renovation needs of the university’s 15 small houses surrounding the college green.

To assist the University Planner in this effort, a Small House Planning Work Group has been established. The group kicked off their work in December 2016 with review of building condition and history analysis, review of uses, and discussion of planning approach.

Small House Planning Work Group:

<table>
<thead>
<tr>
<th>Key Area</th>
<th>Name</th>
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<tr>
<td>Finance</td>
<td>Chad Mitchell</td>
<td>Chief of Staff, VPFA</td>
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<tr>
<td>Facilities</td>
<td>Steve Wood</td>
<td>Associate Vice President for Facilities and Safety</td>
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<tr>
<td>Provost</td>
<td>Laura Myers</td>
<td>Chief of Staff, Provost Office</td>
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<td>City of Athens</td>
<td>Paul Logue</td>
<td>City Planner</td>
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<td>Real Estate</td>
<td>David Averion</td>
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<tr>
<td>University Planning</td>
<td>Shawna Bolin</td>
<td>Chair of Work Group, University Planner</td>
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Next steps include community and university workshops and focus groups designed to share information and engage feedback for the work group to begin to evaluate and develop strategies for the houses. The Small House Planning Work Group will also collaborate with the Park Place Planning Work Group. The goal of the work group is to have initial recommendations for review in March 2016.
Date: January 3, 2017

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 January 19, 2017 Audit Committee meeting. The status of the FY17 audit plan, construction auditing, NCAA Agreed Upon Procedures, office staffing, the external auditor evaluation and unresolved recommendations will be addressed.

I will be pleased to answer any questions.
Audit Committee

Trustee Janelle Coleman
Audit Committee Chair
January 19, 2017
Chief Audit Executive Report

Jeff Davis, CPA
Agenda

- FY17 Audit Plan Status
- Construction Auditing Update
- NCAA Agreed Upon Procedures
- Office Staffing Update
- Plante Moran Evaluation
- Outstanding (Unresolved) Recommendations
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Construction Auditing
Construction Auditing

Construction Audit Activities Completed in 2016

- Phase I Housing – Closeout Audit
  - Closeout Construction Audit Report delivered on August 15, 2016
  - Identified billing variances were immaterial and corrected by the contractor

- McCracken Hall – Interim Audit
  - Interim Construction Audit Report delivered on May 20, 2016
  - Observations related to general conditions, bond and insurance charges on change orders to be addressed by OU project management prior to completion of the closeout audit
Construction Auditing (con’t)

Construction Audit Activities Completed in 2016 (con’t)

- Jefferson Hall
  - Performed general conditions cost analysis on proposed GMP amendments
  - General conditions costs were reduced $268,255 (Baker Tilly’s Estimation)

- Back South Demolition Phase II – RFP Development and Review
  - RFP comments delivered to OU on October 18, 2016
  - Proposal analysis completed and delivered to OU on December 5, 2016
Construction Auditing (con’t)

Construction Audit Activities in Progress (con’t)

- Jefferson Hall – Interim Audit
  - Document request delivered on December 14, 2016
  - Interim audit report anticipated delivery during February 2017

- McCracken Hall – Closeout Audit
  - Document request delivered on November 30, 2016
  - Closeout audit report anticipated delivery during February 2017
Construction Auditing (con’t)

Construction Audit Activities in Progress

- Clippinger Hall – Preconstruction Activities
  - Attended Architect/Engineer selection interviews held on December 9, 2016 (Baker Tilly)
  - Audit activities proposed for 2017
    - Construction manager RFP/RFQ review and analysis
    - Attend construction manager interviews
    - Review construction manager guaranteed maximum price proposal
Construction Auditing (con’t)

Construction Audit Activities Completed Prior to 2016

- Walter Fieldhouse – completed 2/27/15
- Construction Contract Risk Assessment – completed 1/30/15
- Six Year CIP Risk Assessment – completed 10/31/14
- Construction Training - October 21/22, 2015
Construction Auditing (con’t)

Other Matters:

- Locally Administered Capital Projects
  - ORC Section 3345.01 requires that “any institution that administer a capital facilities project under this section shall conduct biennial audits for the duration of the project”.
Construction Projects - Budget

- Walter Fieldhouse
- Housing Development Phase I
- 6 Year CIP Risk Assessment
- Contract Risk Assessment
- McCracken Hall Renovation
- Project Management
- Performance Contract
- Back South Demolition
- Jefferson Hall Renovation
- Construction Training

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<td>6 Year CIP Risk Assessment</td>
<td>$17,000</td>
<td>$17,000</td>
</tr>
<tr>
<td>Contract Risk Assessment</td>
<td>$13,981</td>
<td>$19,000</td>
</tr>
<tr>
<td>McCracken Hall Renovation</td>
<td>$25,656</td>
<td>$56,000</td>
</tr>
<tr>
<td>Project Management</td>
<td>$6,056</td>
<td>$7,500</td>
</tr>
<tr>
<td>Performance Contract</td>
<td>$34,455</td>
<td>$35,000</td>
</tr>
<tr>
<td>Back South Demolition</td>
<td>$5,931</td>
<td>$7,500</td>
</tr>
<tr>
<td>Jefferson Hall Renovation</td>
<td>$13,857</td>
<td>$49,000</td>
</tr>
<tr>
<td>Construction Training</td>
<td>$12,500</td>
<td>$12,500</td>
</tr>
</tbody>
</table>
NCAA Agreed Upon Procedures
NCAA AUP

- NCAA Agreed Upon Procedures (AUP) review
  - This work is part of the external audit and IA completes the work for Plante Moran

- Procedures for FY16
  - Audit testing included 18 revenue and 20 expense categories
  - IA contributed approximately 300 hours to this project

- Final report was shared with the Audit Committee
NCAA AUP (con’t)

- All exceptions were communicated by IA to ICA to address areas with opportunities noted for improvement during the AUP review
  - Only 2 minor exceptions identified
  - Exceptions identified in previous agreed upon procedures reviews have been corrected
IA Staffing Update
Staffing Update

- Ashlee Bevan, Senior Auditor, joined the office on December 1st
- Ashlee was previously with the Budget Office and prior to that was employed by the Ohio Auditor of State for approximately 10 years
- The office is currently staffed with 6 full-time employees. Three student interns also currently work in the office.
External Auditor Evaluation
External Auditor Evaluation

Audit Committee Charter includes:

- Evaluate annually, the external auditor’s qualifications and performance, taking into account the opinions of management and the internal auditor, and report its conclusions to the Board

Evaluation template states:

- “the internal audit team acting on behalf of the board, and the finance team will assess the external auditor performance”
External Auditor Evaluation (con’t)

Criteria:

- Clear, timely, and open communication
- Effective coordination of Internal Audit (IA) and Plante Moran work plans
- Completion of all audits on a timely basis
- Fair and objective review of opportunities to strengthen system of internal financial controls
- Regular updates on new or changed accounting standards
External Auditor Evaluation (con’t)

Plante Moran:

- Communicated effectively with management and IA (e.g., weekly status meetings held)
- Worked closely with IA resulting in coordination of audit plans
- Completed audit timely with report filing prior to October 15th deadline
External Auditor Evaluation (con’t)

Plante Moran:

- Provides recommendations where deficiencies have been identified to strengthen the University’s system of internal financial controls
- Makes presentations to Audit Committee on new or changed accounting standards

Summary: Positive comments were provided by management regarding Plante Moran’s performance
Internal Audit Outstanding (Unresolved) Recommendations
Recommendation Status (con’t)

- IA developed a new process for the reporting of the status of recommendations proposed to management.
- A report of all recommendations and their status is submitted prior to each committee meeting.
- The intent of the report is to keep the Audit Committee informed of the status of recommendations and improve communications/coordination between IA and management regarding the status of outstanding recommendations.
Recommendation Status (con’t)

- The audit, the issue, audit report date, management’s expected completion date, responsible individual and a brief description of the current status are included.

- Recommendations will be reported as:
  - Corrective Action Completed
  - Progress Has Been Made; Further Follow-Up Necessary
  - Evaluation Pending
  - No Action Taken by Management
Outstanding Recommendations

- A total of 91 recommendations have been issued with the new process
- 32 recommendations are currently outstanding
Total Recommendations Issued Under New Process

Total Recommendations by Risk

- Higher Risk: 58
- Lower Risk: 33
Recommendations Currently Unresolved

Total Currently Unresolved by Risk

- Higher: 19
- Lower: 13
Conclusion

- Questions?
Interoffice Communication

Date: January 3, 2017

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer
       John J. Biancamano, General Counsel

Re: Annual Report on Affiliated Entities

In accordance with the Ohio University Board of Trustees Policy on Affiliated Entities approved as Resolution 2015 – 3478 at the June 26, 2015 meeting, included for your review is the annual report for Ohio University Affiliated Entities.

The policy was created to oversee the creation of future affiliated entities and establish a reporting structure for affiliate entities in place as of the policy approval date. During this process there were six organizations identified as affiliated entities:

- Ohio University Foundation
- University Medical Associates (UMA)
- TechGROWTH Ohio Fund, Inc.
- Consortium for Health Education in Appalachia Ohio (CHEAO)
- Interlink Alliance
- RTT Collaborative

The Ohio Transformation Group, a proposed project-planning affiliate approved by the Board by Resolution 2015 – 3479, has not yet been formed and remains under discussion as potential projects evolve. We will advise the Board of any change in this posture.

The Policy on Affiliated Entities has defined an affiliated entity as:

1. A legal entity that is separate from the University;
2. Formed or operated to support a public purpose that is consistent with the mission of the University; and
3. Created, controlled or strongly influenced by the University and/or receives significant support from the University in the form of funds, staff or other resources.

While an organization can be considered an affiliated entity of the University it does not always meet the criteria to be considered a financial statement component unit. Sometimes certain organizations warrant inclusion as part of the financial reporting entity, the University, because
of the nature and significance of their relationship, including their ongoing financial support of the financial reporting entity. The University has determined the following organizations meet this definition and therefore, includes them in the University’s financial statements:

- Ohio University Foundation
- University Medical Associates (UMA)
- TechGROWTH Ohio Fund, Inc.

Implementation of the policy will be ongoing throughout fiscal year 2017, but it is expected to be fully implemented no later than June 30, 2017. It is anticipated that the annual report on affiliated entities will be provided to the Board of Trustees for review in January of each year. As we complete the first annual report and establish a base year, we will work to develop a dashboard that provides some level of assurance with key indicators that will become a part of future reports.
AFFILIATE NAME
Ohio University Foundation (Foundation)

AFFILIATE MANAGEMENT

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President/CEO (or equivalent)</td>
<td>Bryan Benchoff</td>
</tr>
<tr>
<td>Treasurer/CFO (or equivalent)</td>
<td>Deborah Shaffer</td>
</tr>
<tr>
<td>COO (or equivalent)</td>
<td>Candice Casto</td>
</tr>
</tbody>
</table>

DESCRIPTION OF AFFILIATE
The Foundation is an institutionally-related, nonprofit, tax exempt, 501(c)(3) organization, and is the repository for all private gifts to Ohio University through annual giving programs, capital and special campaigns, and planned or deferred gifts such as bequests and trusts. Gifts directly support the Ohio University mission.

GOVERNANCE

Board Information
Current vacancies on the Board?

_____ YES  X  NO

Dates of Board Meetings – FY 2016:
- November 13 & 14, 2015
- February 12 & 13, 2016
- June 10 & 11, 2016

Board Meetings Scheduled – FY 2017:
- November 4 & 5, 2016
- February 10 & 11, 2017
- June 9 & 10, 2017

# of Voting University Representatives on the Board  3
# of Total Voting Board of Trustees  37
**University Representation**

List of all current university-affiliated voting members of the Board of Directors. These positions are permanent board members and the individual term expiration extends until the end of employment with the University.

<table>
<thead>
<tr>
<th>University Representative</th>
<th>Title</th>
<th>Term Expiration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bryan Benchoff</td>
<td>Vice President for Advancement</td>
<td>End of employment with University</td>
</tr>
<tr>
<td>Deborah Shaffer</td>
<td>Vice President for Finance and Admin</td>
<td>End of employment with University</td>
</tr>
<tr>
<td>Roderick McDavis</td>
<td>President</td>
<td>End of employment with University</td>
</tr>
</tbody>
</table>

**Board Officers**

List of all Board Officers of affiliate entity:

<table>
<thead>
<tr>
<th>Officer</th>
<th>Title</th>
<th>University Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perry Sook</td>
<td>Chairperson</td>
<td>No</td>
</tr>
<tr>
<td>Lawrence McHale</td>
<td>Vice Chairperson</td>
<td>No</td>
</tr>
<tr>
<td>Robert Rudy</td>
<td>Secretary</td>
<td>No</td>
</tr>
<tr>
<td>Bryan Benchoff</td>
<td>President and CEO</td>
<td>Yes</td>
</tr>
<tr>
<td>Deborah Shaffer</td>
<td>Treasurer and CFO</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Governance Documents**

A brief description of the changes made to governance documents during FY 2016 is provided below. Documents may include affiliate’s articles of incorporation, code of regulations/bylaws, board policies, Secretary of State filings, and any board resolutions relating to the governance of the affiliate.

Updates and revisions are being considered by the Foundation Board and expected approval is later in FY2017.

**AUDIT**

Affiliate Fiscal Year End: **June 30 (6/30)**

How is the affiliate audited?

<table>
<thead>
<tr>
<th>Part of University Audit</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Audited or Reviewed</td>
<td></td>
</tr>
<tr>
<td>Reviewed or Audited</td>
<td></td>
</tr>
<tr>
<td>Separately from University Audit</td>
<td></td>
</tr>
</tbody>
</table>

If you are not audited or reviewed, why not?

**NA for Ohio University Foundation**
If you are a part of the University audit is it on a “stand alone” basis?

The Ohio University Foundation receives a separate FASB audit from the same audit firm used to perform the Ohio University audit. While the Foundation is incorporated into the Ohio University financial statements as a component unit, the Foundation issues a separate FASB financial statement.

OPERATIONAL AND FINANCIAL OVERVIEW

University Financial Investment in Affiliate (check all that apply and provide an explanation as needed)

<table>
<thead>
<tr>
<th>Option</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University has no financial investment in the affiliate.</td>
<td></td>
</tr>
<tr>
<td>This affiliate has outstanding debt owed to the University.</td>
<td></td>
</tr>
<tr>
<td>The University gives other monetary support to the affiliate.</td>
<td></td>
</tr>
</tbody>
</table>

Other Sources of Funds

Description of the other primary, non-University, revenue sources of the affiliate:

Primary sources of non-University revenue to the Foundation include gifts and contributions, related entity revenue, income from investments and an immaterial amount of revenue generated from miscellaneous activities of the Foundation.

Use of University Resources

Description of the affiliate’s use of University resources that may include use of University name and other marks, employees, facilities, and services (e.g. the University serves as the fiscal agent for the affiliate).

The Foundation has no employees. University employees provide all services to the Foundation.

During FY2016, the University paid certain payroll and other routine operating costs amounting to $5,261,952 related to the Foundation’s Development Office, Alumni Relations Office and Accounting Office.

The University provides office space and the use of certain common facilities and services to the Foundation at no cost.
Contracts with the University

Describe any current contracts or memoranda of understanding that the affiliate has entered into with the University.

The intent of the affiliated entity policy was to ensure that the University had procedures in place for the ongoing monitoring of affiliate activities. The University has a long standing relationship with the Foundation that is well documented by the articles of incorporation, Foundation board practices and policies as well as countless administrative and financial practices and agreements. As a result, a formal memorandum of understanding has not been completed for the Ohio University Foundation.

Affiliate Overview and Activities

Provide a brief review of the affiliate’s activities for the reporting year, including but not limited to significant business issues, major accomplishments, changes in governance structure, and transactions with the University.

On June 30, 2015, the Foundation completed The Promise Lives Campaign, the boldest fundraising initiative in the University’s history. The Promise Lives Campaign raised $500 million, surpassing its $450 million goal, thanks to the more than 76,000 donors, and has positioned OHIO to advance and support outstanding academic and research initiatives, the student life experience, our campus environment and other objectives based on Ohio University’s core principles and strengths.

In August 2016, a new advancement strategy was introduced called ADVANCING OHIO. The new plan is to focus on two aspirational goals: increase annual fundraising capacity to $50 million and grow the endowment to over $1 billion. This level of endowment would allow the Foundation to more than double the annual endowment distribution contributed to Ohio University each year.

In fiscal year 2016, the Foundation provided over $20 million in support of University programs and initiatives. Nearly $6 million was used to fund student financial aid and services, and more than $13 million was contributed to the academic, research and public service mission of Ohio University.

Significant Issues or Activities for the Coming Year

Provide a summary of the significant business issues or activities anticipated in the coming year. This section would also include any changes to amendments, additions or deletions of governing documents or other significant transactions that could materially impact the affiliate in the new year.
The Foundation’s Code of Regulations are currently under review and are expected to be revised before the end of the fiscal year. Proposed changes are not expected to significantly impact the manner in which the Foundation and the University interact.

The Foundation has entered into a purchase and sale agreement with a potential buyer for one of its subsidiaries, Housing for Ohio. The sale price is $20.4 million and the transaction is expected to close on or before December 23, 2016. The organization intends to use the proceeds from the sale to retire the $23.375 million in outstanding bonds on February 1, 2017.

**Financial Status**

For the reporting fiscal year please list the following (FY2016):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Assets</td>
<td>$ 532,744,115</td>
</tr>
<tr>
<td>Total Liabilities</td>
<td>$ 33,073,359</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$ 32,250,780</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>$ 45,567,572</td>
</tr>
<tr>
<td>Net Assets</td>
<td>$ 499,670,756</td>
</tr>
</tbody>
</table>
AFFILIATE NAME
University Medical Associates (UMA)

AFFILIATE MANAGEMENT

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President/CEO (or equivalent)</td>
<td>Steven Davies</td>
</tr>
<tr>
<td>Treasurer/CFO (or equivalent)</td>
<td>Alicia Porter</td>
</tr>
</tbody>
</table>

DESCRIPTION OF AFFILIATE

UMA is a not-for-profit organization incorporated in the state of Ohio and has been recognized as a tax-exempt organization pursuant to Section 501(c)(3) of the Internal Revenue Code and applicable state statutes. The membership of the Corporation consists of many physicians who are faculty members of the Ohio University Heritage College of Osteopathic Medicine. The Corporation provides medical services in private physician offices and clinic settings on the campus of Ohio University and surrounding locations. UMA is the officially recognized physicians practice of the Heritage College of Osteopathic Medicine.

GOVERNANCE

Board Information

Current vacancies on the Board?

_____ YES  X  NO

Dates of Board Meetings – FY 2016:

- August 12, 2015; October 21, 2015; November 11, 2015; December 9, 2015; January 13, 2016; February 10, 2016; March 8 & 9, 2016; April 4, 2016; April 13, 2016; May 11, 2016; and June 8, 2016

Board Meetings Scheduled – FY 2017:

- July 13, 2016; August 10, 2016; August 31, 2016; September 14, 2016; October 12, 2016; November 9, 2016; December 14, 2016; January 11, 2017; February 8, 2017; March 8, 2017; April 12, 2017; May 10, 2017; June 14, 2017

# of Voting University Representatives on the Board 9
# of Total Voting Board of Trustees 11
**University Representation**

List of all current university-affiliated voting members of the Board of Directors:

<table>
<thead>
<tr>
<th>University Representative</th>
<th>Title</th>
<th>Term Expiration</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Sammons, DO</td>
<td>Associate Professor</td>
<td>June 2019</td>
</tr>
<tr>
<td>Melinda Ford, DO</td>
<td>Assistant Clinical Professor</td>
<td>June 2018</td>
</tr>
<tr>
<td>Ken Johnson, DO</td>
<td>Executive Dean</td>
<td>N/A</td>
</tr>
<tr>
<td>Harold Thompson, DO</td>
<td>Assistant Professor</td>
<td>June 2018</td>
</tr>
<tr>
<td>Nicholas Mezitis, DO</td>
<td>Associate Professor</td>
<td>June 2019</td>
</tr>
<tr>
<td>David Eland, DO</td>
<td>Professor</td>
<td>June 2019</td>
</tr>
<tr>
<td>Karen Montgomery-Reagan, DO</td>
<td>Associate Professor/Chair</td>
<td>June 2018</td>
</tr>
<tr>
<td>Jane Balbo, DO</td>
<td>Assistant Clinical Professor</td>
<td>June 2019</td>
</tr>
</tbody>
</table>

**Board Officers**

List of all Board Officers of affiliate entity:

<table>
<thead>
<tr>
<th>Officer</th>
<th>Title</th>
<th>University Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Sammons, DO</td>
<td>President</td>
<td>Yes</td>
</tr>
<tr>
<td>Melinda Ford, DO</td>
<td>Vice President</td>
<td>Yes</td>
</tr>
<tr>
<td>Steven Davies</td>
<td>Secretary</td>
<td>No</td>
</tr>
<tr>
<td>Alicia Porter</td>
<td>Treasurer</td>
<td>No</td>
</tr>
<tr>
<td>Ken Johnson, DO</td>
<td>Ex Officio</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Governance Documents**

A brief description of the changes made to governance documents during FY 2016 is provided below. Documents may include affiliate’s articles of incorporation, code of regulations/bylaws, board policies, Secretary of State filings, and any board resolutions relating to the governance of the affiliate.

No changes were made to the governance documents for UMA during FY2016. There are various agreements in place that govern the relationship and financial arrangements with and between the University and UMA.
**AUDIT**

Affiliate Fiscal Year End: **June 30 (6/30)**

How is the affiliate audited?

<table>
<thead>
<tr>
<th>Part of University Audit</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Audited or Reviewed</td>
<td></td>
</tr>
<tr>
<td>Reviewed or Audited</td>
<td>X</td>
</tr>
<tr>
<td>Separately from University Audit</td>
<td></td>
</tr>
</tbody>
</table>

If you are not audited or reviewed, why not?

<table>
<thead>
<tr>
<th>N/A for UMA</th>
</tr>
</thead>
</table>

If you are a part of the University audit is it on a “stand alone” basis?

<table>
<thead>
<tr>
<th>UMA receives a separate audit from a different audit firm used to perform the Ohio University audit. In addition, because UMA is considered a component unit for financial statement purposes to Ohio University, UMA is also reviewed as part of the University external audit by the State.</th>
</tr>
</thead>
</table>

---

**OPERATIONAL AND FINANCIAL OVERVIEW**

**University Financial Investment in Affiliate (check all that apply and provide an explanation as needed)**

| The University has no financial investment in the affiliate. |
| This affiliate has outstanding debt owed to the University. |
| X The University gives other monetary support to the affiliate. |

**Other Sources of Funds**

Description of the other primary, non-University, revenue sources of the affiliate:

| Primary sources of revenue come from direct billings for patient care. Additional sources of revenue include payment for contract services to other healthcare entities or activities such as medical directorships. |
**Use of University Resources**

Description of the affiliate’s use of University resources that may include use of University name and other marks, employees, facilities, and services (e.g. the University serves as the fiscal agent for the affiliate).

Physicians receive an employment agreement for their clinical appointments from UMA. These employment agreements are separate from the faculty appointments for the physicians at Ohio University. Ohio University Heritage College of Medicine (HCOM) paid UMA $1,025,000 in fiscal year 2016 for guarantees for provider clinic income.

UMA leases space from Ohio University for the clinical practice function and shares some administrative costs that amounted to $124,000 in fiscal year 2016. In addition, Ohio University paid UMA $91,000 for malpractice insurance and $96,000 for other administrative items.

UMA provides all administrative and staffing of the Ohio University Student Health Center and was paid $118,000 for this effort during the reporting period.

**Contracts with the University**

Describe any current contracts or memoranda of understanding that the affiliate has entered into with the University.

As noted above, the relationship with UMA and the University is governed by various agreements in place related to the official practice plan for HCOM and for providing administrative and staffing support of the Ohio University Student Health Center. Additional details include:

Provider/Service Related: Contracts between UMA and HCOM for coverage of clinical salary guarantees for shared faculty physicians as well as for tail coverage for certain shared faculty physicians. Contracts also exist for the leasing of time of a nurse practitioner employed in HCOM and a lease of services for Diabetes Educators for UMA from HCOM. The provision of Student Health Services provided by UMA to Ohio University is governed by a master agreement.

Administrative-Related: Contract for administrative time and services of UMA CEO.

IT-Related: Contract for the provision of IT services to UMA provided by HCOM.

Physical Facility: Lease of space in Parks Hall for clinic space.
Affiliate Overview and Activities

Provide a brief review of the affiliate’s activities for the reporting year, including but not limited to significant business issues, major accomplishments, changes in governance structure, and transactions with the University.

UMA is in the process of merging into Athens Medical Associates (AMA), an OhioHealth practice group. After this transaction is completed, AMA will be recognized by the University Board as the official practice plan for the Heritage College of Medicine faculty physicians. AMA will continue to be a University affiliate but it will be controlled by OhioHealth and we do not expect it to be consolidated into future University financial statements and reports.

Significant Issues or Activities for the Coming Year

Provide a summary of the significant business issues or activities anticipated in the coming year. This section would also include any changes to amendments, additions or deletions of governing documents or other significant transactions that could materially impact the affiliate in the new year.

UMA is in the process of merging into Athens Medical Associates (AMA), an OhioHealth practice group. After this transaction is completed, AMA will be recognized by the University Board as the official practice plan for the Heritage College of Medicine faculty physicians. AMA will continue to be a University affiliate but it will be controlled by OhioHealth and we do not expect it to be consolidated into future University financial statements and reports.

Financial Status

For the reporting fiscal year please list the following (FY2016):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Assets</td>
<td>$1,373,202</td>
</tr>
<tr>
<td>Total Liabilities</td>
<td>$0</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$10,170,609</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>$10,278,012</td>
</tr>
<tr>
<td>Net Assets</td>
<td>$1,373,202</td>
</tr>
</tbody>
</table>

(Please note the financial information provided above was prepared on a modified cash basis)
AFFILIATE NAME
TechGROWTH Ohio Fund, Inc. (TechGROWTH)

AFFILIATE MANAGEMENT

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President/CEO (or equivalent)</td>
<td>Lynn Gellerman</td>
</tr>
<tr>
<td>Treasurer/CFO (or equivalent)</td>
<td>Gregg Oakley</td>
</tr>
</tbody>
</table>

DESCRIPTION OF AFFILIATE
TechGROWTH Ohio Fund, Inc. (TGO) is an Ohio non-profit corporation that was established in August 2008, within the meaning of Section 501(c)(3) of the Internal Revenue Code. The exclusive purpose of the organization is for charitable, educational, and scientific endeavors in areas involving the advancement of technology, and increasing technology-based and/or other entrepreneurial commercialization ventures throughout southeast Ohio, with a focus on strategic technology-based sectors that offer economic development prospects for the region.

GOVERNANCE

Board Information
TechGROWTH Code of Regulations (Code) provides for governance by a seven-person Board of Trustees, two of whom are designated University Trustees. More than two University employees may – and do – sit on the TechGROWTH Board, and all University employees who serve must be nominated by the President of the University.

Current vacancies on the Board?

 X YES _____ NO

Dates of Board Meetings – FY 2016:
• The Board meets annually, usually in October or November.

Board Meetings Scheduled – FY 2017:
• Annual meetings are held in the fall of each year. The November 2016 meeting has been rescheduled to February 1, 2017.

# of Voting University Representatives on the Board 4
# of Total Voting Board of Trustees 7
University Representation

List of all current university-affiliated voting members of the Board of Directors:

<table>
<thead>
<tr>
<th>University Representative</th>
<th>Title</th>
<th>Term Expiration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joseph Shields</td>
<td>Vice President for Research and Creative Activity Dean, Graduate College</td>
<td>12/31/2018</td>
</tr>
<tr>
<td>Stephen Golding</td>
<td>Senior Vice President for Strategic Initiatives</td>
<td>12/31/2016</td>
</tr>
<tr>
<td>Hugh Sherman</td>
<td>Dean, College of Business</td>
<td>12/31/2018</td>
</tr>
<tr>
<td>Mark Weinberg</td>
<td>Professor Founding Dean - George V. Voinovich School of Leadership and Public Affairs</td>
<td>12/31/2017</td>
</tr>
</tbody>
</table>

Board Officers

List of all Board Officers of affiliate entity:

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<thead>
<tr>
<th>Officer</th>
<th>Title</th>
<th>University Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lynn Gellerman</td>
<td>President</td>
<td>Yes</td>
</tr>
<tr>
<td>John Glazer</td>
<td>Vice President</td>
<td>Yes</td>
</tr>
<tr>
<td>Vacant</td>
<td>Secretary</td>
<td>Yes</td>
</tr>
<tr>
<td>Gregg Oakley</td>
<td>Treasurer</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Governance Documents

A brief description of the changes made to governance documents during FY 2016 is provided below. Documents may include affiliate’s articles of incorporation, code of regulations/bylaws, board policies, Secretary of State filings, and any board resolutions relating to the governance of the affiliate.

In FY2016, the TechGROWTH Board adopted a Memorandum of Understanding with the University, which includes the terms required by the University Board’s Policy on Affiliated Entities.

AUDIT

Affiliate Fiscal Year End: June 30 (6/30)

How is the affiliate audited?

<table>
<thead>
<tr>
<th>Part of University Audit</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Audited or Reviewed</td>
<td></td>
</tr>
<tr>
<td>Reviewed or Audited Separately from University Audit</td>
<td></td>
</tr>
</tbody>
</table>
If you are not audited or reviewed, why not?

TGO collects and reports significant client data and metrics on a quarterly and semi-annual basis to Ohio Development Services Agency (ODSA). The integrity of this data and the process by which it is collected is reviewed on-site by ODSA from time-to-time.

If you are a part of the University audit is it on a “stand alone” basis?

TechGROWTH Ohio Fund, Inc. is part of the University audit and no other audits are performed on the organization.

OPERATIONAL AND FINANCIAL OVERVIEW

University Financial Investment in Affiliate (check all that apply and provide an explanation as needed)

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University has no financial investment in the affiliate.</td>
<td></td>
</tr>
<tr>
<td>This affiliate has outstanding debt owed to the University.</td>
<td></td>
</tr>
<tr>
<td>X The University gives other monetary support to the affiliate.</td>
<td></td>
</tr>
</tbody>
</table>

Other Sources of Funds

Description of the other primary, non-University, revenue sources of the affiliate:

TechGROWTH participates in two major initiatives funded by the Ohio Development Services Agency: The Pre-Seed Fund Capitalization Program and the Entrepreneurial Signature Program. Both programs are designed to identify and support early-stage Ohio firms in strategic technology-based industries. Funding for these programs comes from the state’s Third Frontier Program, Ohio University and external investors.

Use of University Resources

Description of the affiliate’s use of University resources that may include use of University name and other marks, employees, facilities, and services (e.g. the University serves as the fiscal agent for the affiliate).
TechGROWTH has no employees of its own. Pursuant to its Memorandum of Agreement with the University, TechGROWTH’s day-to-day operations are staffed by University employees.

TechGROWTH operates primarily out of University-owned space at the Ridges.

The University provides many support services to TechGROWTH, including information technology support, routine financial services and administration of grant funds provided as part of the Entrepreneurial Signature Program.

**Contracts with the University**

Describe any current contracts or memoranda of understanding that the affiliate has entered into with the University.

TechGROWTH has entered into a Memorandum of Agreement with Ohio University, as required by the University’s Affiliated Entity Policy. To date, TechGROWTH has not formally sought a federal non-profit exemption under Section 501(c)(3) of the Internal Revenue Service code.

**Affiliate Overview and Activities**

Provide a brief review of the affiliate’s activities for the reporting year, including but not limited to significant business issues, major accomplishments, changes in governance structure, and transactions with the University.

In 2016, TechGROWTH received its fifth round of funding, covering 2017 and 2018, and an opportunity for 2019 funding as well. The funding was for $5.4 million of new state funds, bringing the entire program to a $52 million partnership between the state’s Third Frontier program, Ohio University and external investors.

In the first three quarters of 2016, TechGROWTH generated over $48.8 million in economic activity in the southeast Ohio region and attracted over $9.2 million of new investment into early stage technology companies in the region. During this time, three investments from the TechGROWTH Ohio Fund were approved for early-stage technology companies.

TechGROWTH continued its active support of entrepreneurship in the region in other ways. Over 21 investment pitch presentation workshops were conducted in 2016. Five TechGROWTH clients presented at the Three Rivers Venture Fair in Pittsburgh, and two at the TransTech Conference in Morgantown. TechGROWTH’s annual celebration of entrepreneurship and innovation in southeast Ohio attracted over 200 attendees.

**Significant Issues or Activities for the Coming Year**

Provide a summary of the significant business issues or activities anticipated in the coming year. This section would also include any changes to amendments, additions or deletions of governing documents or other significant transactions that could materially impact the affiliate in the new year.
The organization is not anticipating a new tranche of funding from the Third Frontier program in FY2017 but will continue to invest in early-stage opportunities in accordance with their mission.

**Financial Status**

For the reporting fiscal year please list the following (FY2016):

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Assets</td>
<td>$2,720,208</td>
</tr>
<tr>
<td>Total Liabilities</td>
<td>$69,974</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$1,250,994</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>$839,133</td>
</tr>
<tr>
<td>Net Assets</td>
<td>$2,650,234</td>
</tr>
</tbody>
</table>
AFFILIATE NAME

Consortium for Health Education in Appalachia Ohio (CHEAO)

AFFILIATE MANAGEMENT

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President/CEO (or equivalent)</td>
<td>Ann Fugate-Tomsu</td>
</tr>
<tr>
<td>Treasurer/CFO (or equivalent)</td>
<td>Kathy Trace</td>
</tr>
</tbody>
</table>

DESCRIPTION OF AFFILIATE

CHEAO was founded in April of 1976, and is considered a non-profit organization under Section 501(c)(3) of the Internal Revenue Service code.

The CHEAO is an Area Health Education Center that has a mission to improve the health of people in Appalachian Ohio by fostering academic and community collaboration, emphasizing primary care and focusing on underserved areas. It is one of seven medical schools in the Ohio Statewide AHEC program and serves 21 Appalachian counties.

CHEAO is governed by a board representing community health agencies and practicing health care professionals. A major goal of CHEAO is to promote collaboration among students in health care professions and the community. Through this partnership, health professionals and allied health members are better prepared to meet the specific needs of those living in rural underserved areas.

We partner with primary care providers, state agencies, clinics, schools and other key stakeholders to promote and support programs that will enhance the health careers workforce and foster better health for southeast Ohio communities. CHEAO maintains the standards of accreditation established by the American Osteopathic Association and the Ohio Nurses Association.

CHEAO offers professional health education and community health programs by:

- Being an approved sponsor of continuing education programs for physicians, nurses and healthcare professionals in Southeast Ohio
- Supporting the coordination of clinical training of Heritage College medical students in community hospitals and doctors’ offices
- Coordinating health fairs, school visits and campaigns to raise public awareness of health issues and other service learning activities
- Serving as an American Heart Association Training Center for health care organizations in Athens and surrounding counties
GOVERNANCE

Board Information

CHEAO consists of nine board members but the Board of Trustees can also designate additional trustees based on organizational needs.

Current vacancies on the Board?

X  YES  ____  NO

Dates of Board Meetings – FY 2016:
- October 14, 2015
- January 21, 2016
- April 14, 2016

Board Meetings Scheduled – FY 2017:
- September 15, 2016
- December 15, 2016
- April 13, 2017

# of Voting University Representatives on the Board 6
# of Total Voting Board of Trustees 13

University Representation

List of all current university-affiliated voting members of the Board of Directors:

<table>
<thead>
<tr>
<th>University Representative</th>
<th>Title</th>
<th>Term Expiration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kathy Trace</td>
<td>Director</td>
<td>March 2017</td>
</tr>
<tr>
<td>Tania Basta</td>
<td>Associate Professor</td>
<td>April 2017</td>
</tr>
<tr>
<td>Carole Merckle</td>
<td>Assistant Director</td>
<td>April 2017</td>
</tr>
<tr>
<td>Dr. Wayne Carlsen</td>
<td>Vice Dean/Associate Professor</td>
<td>April 2017</td>
</tr>
<tr>
<td>Tracy McKibben</td>
<td>Administrative Specialist</td>
<td>April 2017</td>
</tr>
<tr>
<td>PJ Guthrie</td>
<td>Continuing Education Coordinator</td>
<td>April 2017</td>
</tr>
</tbody>
</table>

Board Officers

List of all Board Officers of affiliate entity:

<table>
<thead>
<tr>
<th>Officer</th>
<th>Title</th>
<th>University Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ann Fugate-Tomsu</td>
<td>President</td>
<td>No</td>
</tr>
<tr>
<td>Sue Foster</td>
<td>Vice President</td>
<td>No</td>
</tr>
<tr>
<td>Jeremy Phillips</td>
<td>Treasurer</td>
<td>No</td>
</tr>
<tr>
<td>Dr. Wayne Carlsen</td>
<td>Secretary</td>
<td>Yes</td>
</tr>
</tbody>
</table>
**Governance Documents**

A brief description of the changes made to governance documents during FY 2016 is provided below. Documents may include affiliate’s articles of incorporation, code of regulations/bylaws, board policies, Secretary of State filings, and any board resolutions relating to the governance of the affiliate.

No changes were made to the governance documents for CHEAO during FY2016. In 1994, CHEAO and the (now) Heritage College of Osteopathic Medicine signed an agreement that appropriately documents and governs the relationship between the parties. CHEAO has adopted and adheres to its bylaws.

**AUDIT**

Affiliate Fiscal Year End: **August 31 (8/31)**

How is the affiliate audited?

<table>
<thead>
<tr>
<th>Part of University Audit</th>
<th>Not Audited or Reviewed</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reviewed or Audited Separately from University Audit</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If you are not audited or reviewed, why not?

In accordance with CHEAO By-Laws, financial audits will be performed upon request per advice from the financial advisor. Most funding for this organization is related to state and federal grant funds which are received and spent through the fiscal agent, Ohio University. As a result, the majority of funds received by this organization are included in the annual Ohio University external audit and financial statement report.

If you are a part of the University audit is it on a “stand alone” basis?

Most funding for this organization is related to state and federal grant funds which are received and spent through the fiscal agent, Ohio University. As a result, the majority of funds received by this organization are reviewed as part of the Ohio University audit process and included in the annual financial reports.
OPERATIONAL AND FINANCIAL OVERVIEW

University Financial Investment in Affiliate (check all that apply and provide an explanation as needed)

<table>
<thead>
<tr>
<th>Choice</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University has no financial investment in the affiliate.</td>
<td></td>
</tr>
<tr>
<td>This affiliate has outstanding debt owed to the University.</td>
<td></td>
</tr>
<tr>
<td>X The University gives other monetary support to the affiliate.</td>
<td></td>
</tr>
</tbody>
</table>

Other Sources of Funds

Description of the other primary, non-University, revenue sources of the affiliate:

CHEAO receives support in the form of grant funds from various sources, including the national Area Health Education Center ("AHEC") organization. The AHEC organization is a network of more than 300 AHEC program offices and centers around the country whose mission is to enhance access to quality health care, particularly primary and preventive care, by improving the supply and distribution of healthcare professionals.

Use of University Resources

Description of the affiliate’s use of University resources that may include use of University name and other marks, employees, facilities, and services (e.g. the University serves as the fiscal agent for the affiliate).

CHEAO is staffed by University employees, at the equivalent of 2.75 FTE, who run CHEAO’s day-to-day activities. HCOM acts as CHEAO’s fiscal agent, and grants from outside sources are administered by the University. The University also provides space for CHEAO’s daily operations.

Contracts with the University

Describe any current contracts or memoranda of understanding that the affiliate has entered into with the University.

As noted above, the relationship between CHEAO and HCOM has been governed by an agreement executed in 1994.
**Affiliate Overview and Activities**

Provide a brief review of the affiliate’s activities for the reporting year, including but not limited to significant business issues, major accomplishments, changes in governance structure, and transactions with the University.

CHEAO is the AHEC for the southeastern part of Ohio. As such, CHEAO’s mission is to improve the health of people in this region by fostering academic and community collaboration, emphasizing primary care and focusing on underserved areas. CHEAO supports professional health education and community health by facilitating community-based clinical training; providing continuing education programs for health-care providers; and coordinating health fairs, school visits, campaigns to raise public awareness of health issues, and other service learning activities.

In FY2016, CHEAO provided student training and service learning opportunities for HCOM and pharmacy students and hosted approximately two thousand students in continuing education programs. CHEAO also hosted health career fairs, including a Health Career Day Presentation for high school students in October 2015.

CHEAO also received $17,000 in grant funding from the national AHEC organization to provide continuing education regarding HPV and the importance of prevention.

**Significant Issues or Activities for the Coming Year**

Provide a summary of the significant business issues or activities anticipated in the coming year. This section would also include any changes to amendments, additions or deletions of governing documents or other significant transactions that could materially impact the affiliate in the new year.

No significant issues or activities are expected in FY2017.

**Financial Status**

For the reporting fiscal year please list the following (FY2016):

Excluding grant funding administered by the University, most recent data provided by CHEAO reflects net assets of $23,158.33, with modest revenues and expenses.
**AFFILIATE NAME**

Interlink Alliance (IA)

**AFFILIATE MANAGEMENT**

<table>
<thead>
<tr>
<th>Role (or equivalent)</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President/CEO</td>
<td>Tyrone M. Carr, Executive Director IA</td>
</tr>
<tr>
<td>Treasurer/CFO</td>
<td>Tyrone M. Carr</td>
</tr>
</tbody>
</table>

**DESCRIPTION OF AFFILIATE**

The Interlink Alliance is an Ohio non-profit corporation that was established in August 2012, within the meaning of Section 501(c)(3) of the Internal Revenue Code. The organization holds as its central purpose the development and preparation of African American students to learn, live and lead in the 21st Century. Drawing on an historic legacy of access and opportunity, member institutions will leverage synergistic strengths to foster student and faculty development. The alliance’s mission is to recruit, retain and encourage talented individuals to achieve their full potential for the betterment of community and society.

Member universities include Ohio University, Central State University, Hampton University, Johnson C. Smith University, Morgan State University, North Carolina Central University, South Carolina State University, Spelman College, Virginia Commonwealth University, Virginia State University and Wilberforce University.

**GOVERNANCE**

**Board Information**

Current vacancies on the Board?

____ YES  X  NO

The Board of Governor’s (BOG) is chaired by Roderick J. McDavis. Each institution’s president, chancellor or appointed intermediary (usually the provost) is a member of the BOG. There are no current vacancies on the BOG but Johnson C. Smith University and South Carolina State University have been inactive over the past two years.

Board Meetings Scheduled – 2016: January 2016; July 2016; October 2016

Board Meetings Scheduled – FY 2017: January 2017; April 2017; July 2017; October 2017

# of Voting University Representatives on the Board 2
# of Total Voting Board of Trustees 9

**University Representation**

List of all current university-affiliated voting members of the Board of Directors:

<table>
<thead>
<tr>
<th>University Representative</th>
<th>Title</th>
<th>Term Expiration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roderick J. McDavis</td>
<td>President</td>
<td>End of employment with University</td>
</tr>
<tr>
<td>Tyrone M. Carr</td>
<td>Executive Director</td>
<td>End of employment with University</td>
</tr>
</tbody>
</table>

**Board Officers**

List of all Board Officers of affiliate entity:

<table>
<thead>
<tr>
<th>Officer</th>
<th>Title</th>
<th>University Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roderick J. McDavis</td>
<td>Chair</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Governance Documents**

A brief description of the changes made to governance documents during FY 2016 is provided below. Documents may include affiliate’s articles of incorporation, code of regulations/bylaws, board policies, Secretary of State filings, and any board resolutions relating to the governance of the affiliate.

Governance documents are up to date and no changes were made during FY2016.

**AUDIT**

Affiliate Fiscal Year End: June 30 (6/30)

How is the affiliate audited?

<table>
<thead>
<tr>
<th>Part of University Audit</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Audited or Reviewed</td>
<td></td>
</tr>
<tr>
<td>Reviewed or Audited</td>
<td></td>
</tr>
<tr>
<td>Separately from University Audit</td>
<td></td>
</tr>
</tbody>
</table>

If you are not audited or reviewed, why not?

N/A

If you are a part of the University audit is it on a “stand alone” basis?

N/A
OPERATIONAL AND FINANCIAL OVERVIEW

University Financial Investment in Affiliate (check all that apply and provide an explanation as needed)

<table>
<thead>
<tr>
<th>Option</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>The University has no financial investment in the affiliate.</td>
<td></td>
</tr>
<tr>
<td>This affiliate has outstanding debt owed to the University.</td>
<td></td>
</tr>
<tr>
<td><strong>X</strong> The University gives other monetary support to the affiliate.</td>
<td></td>
</tr>
</tbody>
</table>

Other Sources of Funds

Description of the other primary, non-University, revenue sources of the affiliate:

Each membership organization contributes a pro rata share of expenses to cover the costs of the annual conference.

Use of University Resources

Description of the affiliate’s use of University resources that may include use of University name and other marks, employees, facilities, and services (e.g. the University serves as the fiscal agent for the affiliate).

Interlink Alliance has no employees. The University contributes a .5 FTE for the Executive Director and related office space at no cost to the affiliate.

Contracts with the University

Describe any current contracts or memoranda of understanding that the affiliate has entered into with the University.

The affiliate has no contracts with the University. To date, IA has not formally sought a federal non-profit exemption under Section 501(c)(3) of the Internal Revenue Service code.

Affiliate Overview and Activities

Provide a brief review of the affiliate’s activities for the reporting year, including but not limited to significant business issues, major accomplishments, changes in governance structure, and transactions with the University.

There are three BOG meetings per year in addition to an annual conference to provide opportunities for collaboration and development.
**Significant Issues or Activities for the Coming Year**

Provide a summary of the significant business issues or activities anticipated in the coming year. This section would also include any changes to amendments, additions or deletions of governing documents or other significant transactions that could materially impact the affiliate in the new year.

| There are four BOG meetings scheduled for 2017 and a faculty development conference scheduled in April 2017. |

**Financial Status**

For the reporting fiscal year please list the following (FY2016):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Assets</td>
<td>$15,853</td>
</tr>
<tr>
<td>Total Liabilities</td>
<td>$0</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$0</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>$3,231</td>
</tr>
<tr>
<td>Net Assets</td>
<td>$12,622</td>
</tr>
</tbody>
</table>
AFFILIATE NAME

The RTT Collaborative

AFFILIATE MANAGEMENT

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President/CEO (or equivalent)</td>
<td>Michael Woods, President</td>
</tr>
<tr>
<td>Treasurer/CFO (or equivalent)</td>
<td>Kara Traxler, Secretary-Treasurer</td>
</tr>
</tbody>
</table>

DESCRIPTION OF AFFILIATE

The purpose of this organization is to sustain health professions education in rural places through mutual encouragement, peer learning, practice improvement, and the delivery of technical expertise in support of a quality rural workforce. The RTT Collaborative is a board directed cooperative of participating programs and individuals committed to sustaining health professions education in rural places.

GOVERNANCE

Board Information

Current vacancies on the Board?

X YES _____ NO

Dates of Board Meetings – FY 2016: August 18, 2015; November 17, 2015; February 24, 2016; May 17, 2016

Board Meetings Scheduled – FY 2017: August 16, 2016; November 15, 2016; February 21, 2017; April 20, 2017

# of Voting University Representatives on the Board 0
# of Total Voting Board of Trustees 14

University Representation

List of all current university-affiliated voting members of the Board of Directors:

There are no voting university representatives on the board. Dr. Randall Longenecker, a university employee, serves as the Executive Director but does not have voting privileges.
**Board Officers**

List of all Board Officers of affiliate entity:

<table>
<thead>
<tr>
<th>Officer</th>
<th>Title</th>
<th>University Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Michael Woods</td>
<td>President</td>
<td>No</td>
</tr>
<tr>
<td>Stuart Hannah</td>
<td>Vice-President</td>
<td>No</td>
</tr>
<tr>
<td>Kara Traxler</td>
<td>Secretary-Treasurer</td>
<td>No</td>
</tr>
</tbody>
</table>

**Governance Documents**

A brief description of the changes made to governance documents during FY 2016 is provided below. Documents may include affiliate’s articles of incorporation, code of regulations/bylaws, board policies, Secretary of State filings, and any board resolutions relating to the governance of the affiliate.

No changes were made to the Governance documents of the affiliate during FY2016.

The relationship between RTT Collaborative and Ohio University is defined by an annual service agreement. The current agreement is effective through June 30, 2017.

**AUDIT**

Affiliate Fiscal Year End: **December 31 (12/31)**

How is the affiliate audited?

<table>
<thead>
<tr>
<th>Part of University Audit</th>
<th>Not Audited or Reviewed</th>
<th>Reviewed or Audited Separately from University Audit</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

If you are not audited or reviewed, why not?

Audits are performed on an as needed basis.

If you are a part of the University audit is it on a “stand alone” basis?

N/A for RTT Collaborative
OPERATIONAL AND FINANCIAL OVERVIEW

University Financial Investment in Affiliate (check all that apply and provide an explanation as needed)

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The University has no financial investment in the affiliate.</td>
<td></td>
</tr>
<tr>
<td>This affiliate has outstanding debt owed to the University.</td>
<td></td>
</tr>
<tr>
<td>X The University gives other monetary support to the affiliate.</td>
<td></td>
</tr>
</tbody>
</table>

Other Sources of Funds

Description of the other primary, non-University, revenue sources of the affiliate:

Primary non-University revenue source is membership fees.

Use of University Resources

Description of the affiliate’s use of University resources that may include use of University name and other marks, employees, facilities, and services (e.g. the University serves as the fiscal agent for the affiliate).

RTT Collaborative has no employees. In accordance with the service agreement with the University, RTT reimburses the time of two university employees:

Dr. Randall Longenecker, Assistant Dean, Rural and Underserved Programs in HCOM and Executive Director of RTT Collaborative - .10 FTE. HCOM does provide additional time as needed to support the program at no additional cost to RTT Collaborative.

Dawn Mollica, Administrative Director, Rural and Underserved Programs in HCOM - .10 FTE

Total reimbursement to OU-HCOM for calendar year 2016 is $54,494

HCOM provides office space at no cost to RTT Collaborative in Irvine Hall within the Office of Rural and Underserved Programs.

Contracts with the University

Describe any current contracts or memoranda of understanding that the affiliate has entered into with the University.

The relationship and financial arrangement between the University and the affiliate is documented in a service agreement that is reviewed and/or renewed on an annual calendar basis.
Affiliate Overview and Activities

Provide a brief review of the affiliate’s activities for the reporting year, including but not limited to significant business issues, major accomplishments, changes in governance structure, and transactions with the University.

During the reporting year, RTT Collaborative (RTTC) implemented the business plan created in the prior year, which included a clarified structure for program participation and recognition for accumulated levels of sponsorship, and increased the number of Board members to 14.

At the end of FY2016, participating programs included both undergraduate and graduate programs in rural medicine, both rurally located programs and rural training tracks.

Significant Issues or Activities for the Coming Year

Provide a summary of the significant business issues or activities anticipated in the coming year. This section would also include any changes to amendments, additions or deletions of governing documents or other significant transactions that could materially impact the affiliate in the new year.

During the FY2017, the service agreement between RTTC and the University was modified as follows:

Dr. Randall Longenecker’s FTE was revised to reimburse the University for .2 FTE (it was previously .1 FTE) and the agreement for .1 FTE for the time of Dawn Mollica remained unchanged. Total reimbursement expected increased to $63,636.

In addition, the Heritage College of Medicine became an official member of RTTC and will pay the membership due on an annual basis.

Financial Status

For the reporting fiscal year please list the following (FY2016):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Assets</td>
<td>$ 59,169</td>
</tr>
<tr>
<td>Total Liabilities</td>
<td>$   0</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$ 189,408</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>$  63,953</td>
</tr>
<tr>
<td>Net Assets</td>
<td>$  184,624</td>
</tr>
</tbody>
</table>
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 affairs and 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 engagement, 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, success, and affordability 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 enterprise 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 and Compensation
   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 the Committee
may further report to the Board on these issues as they relate to other University compensation and human resource plans.

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.

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.
CODE OF REGULATIONS
OF
THE OHIO UNIVERSITY FOUNDATION

STATEMENT OF ORGANIZATION
The Ohio University Foundation is a non-profit corporation organized and existing under the laws of the State of Ohio and registered with the Ohio Secretary of State as Entity No. 191029. The principal place of business of the Ohio University Foundation is in the City of Athens, County of Athens, and State of Ohio.

ARTICLE I - PURPOSE
The Ohio University Foundation ("the Foundation") is formed to support and enhance the mission of Ohio University. To that end, the Foundation is authorized to receive and hold in trust and sell or otherwise dispose of any property real and personal, given, devised, bequeathed, given in trust or in any other way made over to the Foundation for the use or benefit of Ohio University; at the discretion of the Ohio University Foundation Board of Trustees ("Board of Trustees"), to accept such property for the carrying on at said institution of activities or undertakings consistent with the stated policies and mission of Ohio University, which the donor, grantor, or testator may designate; to invest or disburse all monies so received, and generally to care for, manage, administer and control all such property so received, and to carry out the wishes and to see that the funds and property so received are applied to the uses specified by the donors; or, in case a gift, devise or bequest is a general one, then to such uses as may be agreed on by the Board of Trustees consistent with the stated policies and mission of The Ohio University.

ARTICLE II - MEMBERS
Section 1. Trustees are Members
Pursuant to the provisions of Section 1702.14 of the Ohio Revised Code, the persons who constitute the Board of Trustees shall be members thereof and they shall meet as members and exercise all rights of members.
ARTICLE III – TRUSTEES

Section 1. Number of Trustees

The number of Trustees shall not be more than forty-five (45). The membership may be increased or decreased by resolution of the Board of Trustees, provided there shall be at no time fewer than fifteen (15) members. The number of authorized Trustees shall include Life Trustees elected pursuant to Article III, Section 9 and Specially Appointed Trustees pursuant to Article III, Section 11, but shall not include Presidential Trustees appointed pursuant to Section 10 and Emeriti Trustees designated under Section 5 of Article III.

Section 2. Ex-Officio Members

The Board of Trustees shall include three (3) currently serving members of the Ohio University Board of Trustees, (“University Board”), to be designated by the Chair of that Board; three (3) members from the Ohio University Administrative Staff, consisting of the President, Vice President for University Advancement and Vice President for Administration and Finance; and the Vice Chair of the Ohio University Alumni Association, (“Alumni Representative”), or the person holding such status notwithstanding a change in title of the office, and shall include any person holding said office in an interim status.

If there are trustees serving on both the Foundation Board and the University Board simultaneously, three (3) of those trustees shall be considered the appointed trustees designated by the Chair of the University Board as stated above.

The remaining members, who may or may not be alumni of the Ohio University, shall be elected from the at large category; however, at all times, the majority of the Board of Trustees shall be alumni of Ohio University.

A vacancy in the position of an ex officio member of the University Board, an Administrative Staff Member of the University, or the office of the Vice Chair of the Ohio University Alumni Association, shall not invalidate any action of the Board of Trustees taken while the position remains vacant.

A decrease in membership by resolution of the Board of Trustees shall at no time reduce the representation from the Ohio University administrative staff to fewer than three (3) nor reduce the representation from The University Board of Trustees to fewer than three (3).

Section 3. Terms of University Board Trustees

The members representing the University Board shall serve a maximum of one (1) three (3) year term, at the discretion of the Chair of the University Board consistent with their term as a University Trustee. Such former University Trustees may be eligible for election
to the Board of Trustees as at large members for a total term of service not to exceed nine (9) years.

**Section 4. Term of Alumni Association Trustee**

The Alumni Representative shall serve a term of two (2) years consistent with his or her term of office with the Alumni Association. Thereafter, he or she is eligible for election to the Board of Trustees for a total term of service not to exceed nine (9) years.

**Section 5. Terms of Elected Trustees**

Except as otherwise expressly provided herein, an elected Trustee, shall serve an initial one (1) year term, subject to renewal for a two (2) year term. After completion of three (3) years as a member, the member will be eligible for two (2) additional three (3) year terms for a maximum term of service of nine (9) consecutive years.

Following a one-year absence from the Board, other than as an Emeriti Trustee, an individual may be re-elected as a Trustee not to exceed a total of nine (9) years of service.

Upon completion of nine (9) years of service, the Board may grant an elected trustee or one of the three (3) administrative staff, Emeriti status, as a non-voting honorary member. Emeriti Trustees may attend all Board and committee meetings and Board activities to which they would otherwise be entitled to attend as an elected Trustee.

**Section 6. Adjustments to Total Term of Service**

The Board of Trustees shall set such terms so as to provide as nearly as practicable that the terms of an equal number of members expire in each year. In doing so, the Board of Trustees may increase or decrease the maximum total term of service of the Trustee so elected by not more than two (2) years.

**Section 7. Immediate Past Chair**

Notwithstanding the maximum term of service of an elected Trustee, the immediate Past Chair of the Board of Trustees may continue to serve as a Trustee and serve on the Executive Committee while holding such status as the Immediate Past Chair.

**Section 8. Attendance / Removal**

Trustees shall make every reasonable effort to fulfill their obligations as Trustees by attendance at meetings of the Board, its committees and affiliate organizations to which the Trustee may have been appointed. A Trustee shall attend at least one (1) Board of Trustees meeting annually unless excused formally by the Chair. In the event such minimum attendance or participation in committee and affiliate organization activities is
not met or absence is not excused, upon the recommendations of the Chair and the Membership Committee an elected Trustee may be removed from the Board of Trustees upon an affirmative vote of the Membership Committee.

A Trustee may be removed from membership on the Board of Trustees for cause by the affirmative vote of two-thirds of the membership. Cause for removal shall be any act or omission that reflects negatively on the Foundation or the University or that brings their names into disrepute.

Section 9. Life Trustees
The Executive Committee may recommend the appointment of Life Trustee status to a Trustee who has rendered “extraordinary service” to the Foundation and/or Ohio University. Life Trustee appointments must be approved by the affirmative vote of two-thirds of the Board of Trustees. Life Trustees shall have all privileges accorded to then current Board members, including voting privileges.

Section 10. Presidential Trustees
The President of the University may recommend the appointment of an individual who has unique national or international stature for membership on the Board as a Presidential Trustee. Presidential Trustees are permitted, but not required to attend meetings or serve on committees. They will receive all materials, but not have voting rights. Presidential Trustees may serve up to two (2) terms of three (3) years each, after which they may be considered either for regular member or emeriti status.

Section 11. Specially Appointed Trustees
The Chair may appoint up to two (2) trustees, for up to two (2) one (1) year terms for the purpose of having expertise available to the board for a specific duty deemed necessary. These trustees shall have voting rights while serving their terms.

Section 12. Vacancies
Appointments to fill vacancies on the Board of Trustees may be made by the remaining members of the Board of Trustees at any regular meeting following the occurrence of a vacancy. The Trustee so elected shall serve for the balance of the unexpired term to which he/she is elected and the service will not count as one of the consecutive terms of an elected Trustee, if less than two (2) years remain on the vacated term.

Section 13. Indemnification of Trustees
Subject to and consistent with the provisions of R.C. 1701.13, or its successor, each person now or hereafter serving as a Trustee or officer of the Foundation, whether or not he or she continues to serve in any such capacity at the time of incurring the costs and expenses hereinafter indicated, shall be indemnified by the Foundation against all financial loss, damage, costs and expenses (including reasonable legal counsel fees) incurred by or imposed in connection with or resulting from any civil or criminal action, suit, proceeding, claim, or investigation in which such person may be involved by reason of any action taken or omitted to be taken as such Trustee or officer of the Foundation.

ARTICLE IV – OFFICERS

Section 1. Officers and Terms of Office

At the regular annual meeting, the Board of Trustees shall elect a Chair, two (2) Vice Chairs, a President and CEO, a Secretary and a Treasurer who shall serve as the officers of the Foundation for a three (3) year term and until their successors are elected and qualified. The Chair, Vice Chairs and Secretary may not serve more than two (2) consecutive three (3) year terms. These officers shall receive no compensation from the Foundation.

Officers of the Board of Trustees are exempted from the nine (9) year term limit while holding office.

Section 2. Duties of the Chair

The Chair shall preside at all meetings and perform generally all the duties usually incident to such office and such other and further duties as may be from time to time required by the Board of Trustees.

Section 3. Duties of the Vice Chairs

The Vice Chairs shall assist the Chair in all duties that may be assigned by the Chair and will preside in his/her absence at all meetings and perform all duties usually incident to the Chair’s office.

Section 4. President and CEO Duties

The President and CEO shall be the chief administrative officer of the Foundation. The President and CEO shall direct all business of the Foundation as mandated by the Chair and Board of Trustees and shall operate the administrative office of The Foundation and supervise the staff. Those services required by the officers and the Board of Trustees committees not specifically assigned to others in this Code of Regulations shall be provided by the President and CEO.
Section 5. Secretary Duties
The Secretary shall perform such duties as may be required by the Board of Trustees as a part of normal performance. The Secretary shall oversee an accurate record of all actions of the Board of Trustees and shall oversee the record therein all minutes of the Board of Trustees' meetings and such other matters as shall be proper and necessary. The President and CEO shall appoint a member of the Division of Advancement or Finance staff to serve as Assistant Secretary, with the approval of the Chair and the Secretary. The Assistant Secretary shall act for the Secretary in his or her absence or incapacity and shall perform such other duties as may be assigned by the Secretary. The Assistant Secretary will only take action after receiving approval of the Secretary, or in his or her absence, from the President and CEO.

Section 6. Treasurer Duties
The Treasurer shall supervise the financial affairs and investment activities of The Foundation, overseeing all fiscal matters and ensuring the Foundation’s fiscal integrity. The Treasurer shall have full knowledge and understanding of The Foundation’s holdings and assets, receive and disburse all monies, ensure that accurate financial records are maintained, and report to the Board of Trustees on the financial status and fiscal affairs of The Foundation.

The Treasurer shall have the authority to sell, assign and endorse for transfer, certificates representing stocks, bonds, and other investment securities now registered or hereafter registered in the name of The Foundation. Such sales, assignments and endorsements shall be in accordance with the investment policy established by the Board of Trustees.

Section 7. Sale or Disposal of Any Real or Personal Property
When the Board of Trustees at any regular or special meeting, or by surface mail, electronic mail, fax or telephone vote, has taken appropriate actions to authorize the sale or disposal of any real or personal property owned by the Foundation, the President and CEO and Treasurer shall be authorized to execute the appropriate deeds, bill of sale or other documents necessary to make such sale or disposition effective.

ARTICLE V – COMMITTEES
Section 1. Standing Committees
There shall be six (6) Standing Committees of the Board:
• Executive
• Membership
• Development
• Finance
• Investment
• Audit

The Chair and a majority of the members of each Standing Committee shall be elected Trustees or Trustee Officers of the Board. The Executive Committee shall be comprised of the chairs of each standing committee, the immediate past chair of the Board of Trustees, the officers elected pursuant to Article IV, Section 1, the President of the University and the chairs of any Ad Hoc or Sub-Committees created pursuant to Article IV, Section 2.

The mission statement, authority and responsibilities, composition and duties of each of the six (6) standing communities shall be defined by their respective charters. As specifically stated in the Membership and Executive Committee Charters these two (2) Committees shall hold closed meetings attended by those only on the committee and certain Ohio University leadership staff as defined by the Board Chair and President and CEO. Others may be asked to attend these meetings or portions thereof as needed and deemed appropriate by the Chair and President and CEO.

Section 2. Sub and Ad Hoc Committees

The Chair may appoint Sub-Committees of the Standing Committees and designate the Chair and membership of each. The Chair of said Sub-Committees shall be a member/s of the Executive Committee and will have voting rights as an Executive Committee member.

The Chair may appoint one or more Ad Hoc Committees to undertake a specific assignment of definite duration; designate the Chair and membership; and to whom the Ad Hoc Committee is to report. The Chair of said Ad Hoc Committees may or may not be invited to attend a pertinent portion of the Executive Committee and does not have voting rights at the Executive Committee.

ARTICLE VI – MEETINGS

Section 1. Regular meetings

The Board shall meet in regular session three times annually: winter, fall and summer. The summer meeting shall be the annual meeting. The time and place of each regular meeting shall be fixed by the Chair at the conclusion of the preceding meeting. Notice shall also be sent to the Board of Trustees at least 30 days prior to a selected meeting date.
Section 2. Special meetings

Special meetings of the board may be called by the Chair or by written request of five Trustees to the Secretary between regular meetings.

Likewise, special meetings of standing committees, ad hoc committees or sub committees may be called between regular meetings by the Chairs of those committees.

Section 3. Quorum

A quorum shall consist of a majority of the members of the Board or a Committee of the Board with the authority to vote.

Section 4. Conduct of Meetings

Unless otherwise specified, all meetings shall be conducted by generally accepted parliamentary procedure as defined by “Roberts’ Rules of Order”.

The Chair shall preside over the meeting. In the absence or recusal of the Chair, a Vice Chair shall preside over the meeting or, upon recusal of the Chair, over the specific issue before the Board. In the absence or recusal of both the Chair and Vice Chairs, the President of the Foundation shall preside.

Section 5. Consent Agenda

Any Resolution of the Board to be considered as part of the Consent Agenda shall be read into the record by the Chair or the Chair’s designee prior to adoption through the Consent Agenda. Any Trustee eligible to vote may request that an item be removed from the Consent Agenda for separate consideration.

Section 6. Voting

Unless specified herein or otherwise required by law, all actions of the Board shall be authorized by the affirmative vote of a majority of Trustees participating in the meeting. There shall be no voting by proxy, general or specific. Attendance and voting by telephonic communication may be permitted under exceptional circumstances.

Likewise, unless specified herein or otherwise required by law, all actions of Committees shall be authorized by the affirmative vote of a majority of Trustees participating in the meeting. There shall be no voting by proxy, general or specific. Attendance and voting by telephonic communication may be permitted under exceptional circumstances.

Section 7. Action Taken Without A Meeting

Between meetings of the Board or any of its Committees, action may be taken by Trustees or Committee members eligible to vote acknowledged in writing or by electronic
means. Between meetings, the Board of Trustees may be polled by electronic communication as to the approval of a Resolution or Resolutions presented by a Board Committee. If approved by the affirmative vote of a majority of trustees eligible to vote, the Resolution(s) shall be deemed adopted.

Section 8. Executive Session

Subject to the approval of the Board or Committee Chair, the Board or any of its Committees may hold any regular or special meeting, or any part thereof, in Executive Session with participation limited to Trustees eligible to vote. Other individuals may be invited to attend all or any part of an executive session as deemed necessary or appropriate by the Chair.

ARTICLE VI - AMENDMENT

This Code of Regulations may be amended through approval by the Foundation Board Executive Committee and adoption by majority vote of the Foundation Trustees eligible to vote.

All proposed amendments to the Code of Regulations must be presented for advisory review and comment at a regular or special meeting of the University Board prior to adoption by the Foundation Board of Trustees.