Board of Trustees
Ohio University
Athens, Ohio

Agenda

October 10, 11, 2019
Thursday, October 10, 2019

8:00 am  Executive Committee – Walter Hall 125/127
         Executive Session

9:30 am  Academics and Student Success Committee – Walter Hall 104

11:30 am Lunch with Facilities Staff – Walter Hall 125/127
         Trustees, President, Provost

12:30 pm Resources, Facilities, and Affordability Committee – Walter Hall 104

2:45 pm  Break

3:00 pm  Governance and Compensation Committee – Walter Hall 104

5:30 pm  Alumni Reception – Peden Stadium
         Trustees, President, Provost

Friday, October 11, 2019

8:00 am  Audit and Risk Management Committee – Walter Hall 104

9:00 am  Main Board Meeting – Walter Hall 104

10:30 am Media Availability – Walter Hall 125/127

10:30am-1:00pm Alumni Presentation / Trustee Luncheon - w/ Alumni Board– Walter Rotunda
AGENDA
Executive Committee
Ohio University – Athens, OH
Thursday October 10, 2019 – 8:00am

EXECUTIVE SESSION
AGENDA
Academics and Student Success Committee
Ohio University – Athens, OH
Thursday, October 10, 2019 – 9:30am

Standing Reports and Updates
Tab 6: Strategic Framework Update / Gen Ed Reform
Tab 7: Enrollment Update
Tab 8: RESOLUTION HCOM Mission
Tab 9: Community Standards Update

Consent Agenda & Program Items
Tab 10: CONSENT AGENDA RESOLUTION Reviews of Centers & Institutes
Tab 11: CONSENT AGENDA RESOLUTION New Center - CoB Consumer Research and Analytics Center
Tab 12: CONSENT AGENDA RESOLUTION New Program – CHSP Masters Cardiovascular Perfusion
Tab 13: CONSENT AGENDA RESOLUTION Program Reviews
AGENDA
Resources, Facilities, and Affordability Committee
Ohio University – Athens, OH
Thursday, October 10, 2019 – 12:30pm

Tab 14: Financial Update – FY19 results, FY20 budget
Tab 15: RESOLUTION Fee Approvals
Tab 16: RESOLUTION 2020 Bond Series
Tab 17: Investment Policy Statement Review
Tab 18: Student Investment Program Update
Tab 19: RESOLUTION Capital Projects
Tab 20: Design Costs and Project Estimating

Information Items
Tab 21: Facility Projects Update
Tab 22: Endowment Review
AGENDA
Governance and Compensation Committee Meeting
Ohio University – Athens, OH
Thursday, October 10, 2019 – 3:00pm

Tab 23: Retirement Plans Benefit Investment Committee (BIC) Update
Tab 24: CONSENT AGENDA RESOLUTION Graduate Student Senate Ethics Training
AGENDA
Audit and Risk Management Committee
Ohio University – Athens, OH
Friday, October 11, 2019 – 8:00am

Tab 25: Chief Audit Executive Report
Tab 26: ICA Compliance Update
Tab 27: Enterprise Risk Management

Information Item
   Tab 28: Clery Report
Roll Call

Approval of Agenda

Tab 4 - Approval of Minutes: Board of Trustees’ Meeting of August, 2019.

Comments from the Chair of the Board of Trustees

Tab 5- Report from the President

Committee Information Items and Resolutions

- Academics and Student Success Committee
- Resources, Facilities, and Affordability Committee
- Governance and Compensation Committee
- Audit and Risk Management 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 –10 CONSENT AGENDA RESOLUTION Reviews of Centers & Institutes
Tab –11 CONSENT AGENDA RESOLUTION New Center - CoB Consumer Research and Analytics Center
Tab –12 CONSENT AGENDA RESOLUTION New Program – CHSP Masters Cardiovascular Perfusion
Tab –13 CONSENT AGENDA RESOLUTION Program Reviews
Tab –24 CONSENT AGENDA RESOLUTION Graduate Student Senate

Unfinished Business

New Business

Communications, Petitions, and Memorials

Announcement of Next Stated Meeting Date

Adjournment
Bylaws of the Ohio University Board of Trustees

Revised August 22, 2017
Revised March 17, 2017
Revised August 27, 2015
Revised August 28, 2014
Revised April 19, 2013
Revised September 6, 2012
Revised April 24, 2011
Revised February 10, 2010
Revised January 23, 2009
Revised February 8, 2008
Revised December 17, 2004
Revised September 20, 2002
Revised June 23, 1990
Revised July 14, 1989

Article I. Corporate Authority and Bylaws

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 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, and the necessary and proper conduct of the University’s business and affairs.

3) 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 resources 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 resources plans. The Committee is also responsible for the oversight of Affiliated Entities.

4) Resources, Facilities and Affordability
   a. Responsibilities will include financial operations; business, organization and practices; university advancement; relations with local, state, and federal legislative and administrative agencies; recommending of the schedule of tuition and fees; borrowing of funds (internal and external); 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 Student Success, and the University Resources, Facilities, and Affordability 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 June 22, 2012

Amended on January 23, 2015

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.
Main Board Meeting
Minutes for Approval
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Chair Dave Scholl called the August Meeting of the Ohio University Board of Trustees to order at 3:55pm.

Roll Call

Board Secretary David Moore called roll.

Present: Chair David Scholl; Vice Chair Coleman; Trustees Steve Casciani, Cary Cooper, Matthew Evans, Victor Goodman, Eileen Sheil, Diane Smullen, Peggy Viehweger; Student Trustees Austin McClain and Justin Kelley, National Trustee John Gainor; President Duane Nellis, and Board Secretary David Moore.

Approval of Agenda

Chair Scholl asked to approve the agenda for the 2019 August Meeting of the Board of Trustees; Vice Chair Coleman moved to approve the agenda; Trustee Evans seconded; Chair Scholl called for a vote; with all in favor, the agenda was approved.

Approval of Minutes

Chair Scholl asked to approve the minutes of the 2019 June meeting of the Board of Trustees; Trustee Cooper moved to approve the minutes; Trustee Casciani seconded; Chair Scholl called for a vote; with all in favor, the minutes were approved.

Reports

Report from Chair

Chair Scholl reviewed the week’s events. Chair Scholl stated that this was the first time the Trustees had visited the Russ Innovation Center in Beavercreek and that the Trustees had a wonderful introduction to the facility by Dean Wei. Chair Scholl stated that tomorrow the Trustees will have our annual retreat and have an opportunity with many of the community partners involved in the Russ Center. This visit has given us important context for considering future activities and partnerships here in Beavercreek.

Chair Scholl reported that the Board’s subcommittees met the previous day and this morning in preparation for this meeting.
President’s Report

Chair Scholl asked President Nellis to present his Presidential Report.

President Nellis shared some notable highlights of progress related to the University’s strategic pathways and priorities, as well as OHIO’s new strategic framework. The discussion included the following:

- The development of our strategic framework.
- An interdisciplinary team at Ohio University has created a virtual reality series designed to train health care providers in Appalachia.
- The Ohio University Diabetes Institute recently held its first summer day camp for children with type 1 diabetes.
- Ohio University Southern is providing training to local teachers who have students in their classrooms who have been separated from their parents.
- Our Egypt@OHIO program welcomed its second cohort to campus this summer.
- An Ohio University student has received a $50,000 scholarship from Top Hat, a leading active learning platform for higher education.
- A team of Ohio University students was selected as one of three finalists in the National Engineering Competition for Innovative Workplace Solutions Designed for People with Disabilities.
- Our Online MBA Program has received a new national honor.

Chair Scholl thanked the President and stated it was time to move to committee reports.

Committee Reports and Information Items

Academics and Student Success Committee

Chair Scholl asked Committee Chair Cooper to give the Academics and Student Committee Report.

Committee Chair Cooper reported that the Academics and Student Success Committee received the University Dashboard, the One OHIO Update, and an update on our accreditation process with the Higher Learning Commission. Committee Chair Cooper stated that along with the HLC update the committee received individual program accreditation reports from last year. Finally, Committee Chair Cooper stated that the Committee had a presentation on sexual misconduct, prevention, and support.
Committee Chair Cooper stated that there were no Consent Agenda Items or Resolutions and that detailed minutes of the committee’s discussions will be made available on the Board of Trustees’ website.

**Resources, Facilities and Affordability Committee**

Chair Scholl asked Committee Chair Viehweger to give the Resources, Finances, and Affordability Committee Report.

Committee Chair Viehweger reported that the committee received the State Biennial Budget Update & Impact, and the Treasury & Debt Update. Committee Chair Viehweger stated that the Committee also received the Maintenance, Operations & Sustainability Report and the Facility Projects Update.

**Consent Agenda**

Committee Chair Viehweger stated that the following resolution was considered by the Committee.

**Retroactive Easement Delegation**

This resolution authorizes the Senior Vice President for Finance and Administration to execute the corresponding Easements.

Committee Chair Viehweger stated that the committee recommends that the resolution remain on the consent agenda and be approved by the Board later this morning.

**Resolutions**

Additionally, the Committee Chair Viehweger stated that the Committee considered the following resolutions and recommended them for approval.

**Affordability & Efficiency – FY19 State reporting**

This resolution directs the President or his designee to compile the presentation information into a FY19 Efficiency Report for timely submission to the Chancellor of Higher Education.
FY19 EFFICIENCY REPORTING

RESOLUTION 2019 – 3796

WHEREAS, Section 3333.95 of the Ohio Revised Code requires that the Chancellor of Higher Education provide a report by each December 31 compiling efficiency reports received from all Ohio public institutions of higher education; and

WHEREAS, Section 381.550 of H.B. 166 requires Board of Trustees approval of the annual efficiency report that is submitted to the Chancellor of Higher Education by Ohio University each fiscal year; and

WHEREAS, the FY19 Efficiency Report will be prepared using the Affordability and Efficiency Report presented to the Board of Trustees for review and approval.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees hereby approves the Affordability and Efficiency Report and directs the President or his designee to compile the presentation information into a FY19 Efficiency Report for timely submission to the Chancellor of Higher Education.

BE IT FURTHER RESOLVED that the President or his designee report any material change in the Affordability and Efficiency Report information approved herein to the Board of Trustees as soon as reasonably practicable.

Committee Chair Viehweger motioned to approve the Affordability & Efficiency Resolution; Trustee Evans seconded the motion; Chair Scholl called for a vote; the resolution passed unanimously.
Declaration of Surplus Property-Cambridge

This resolution recommends that the property be designated as surplus and placed for sale.
DECLARATION OF SURPLUS PROPERTY

7077 GLENN HIGHWAY, CAMBRIDGE OHIO

RESOLUTION 2019-3797

WHEREAS, Ohio University holds title in fee simple to 7077 Glenn Highway, Cambridge Ohio, otherwise known as the Ohio University Cambridge Center (“the property”); and

WHEREAS, the property had been leased to a non-academic commercial entity from February 2018 through July 2019 and is currently vacant; and

WHEREAS, the property had been determined to provide no academic, strategic or financial benefit to the Ohio University; and

WHEREAS, sale or other disposition of the property would improve efficiencies and be consistent with the goals of the One OHIO initiative.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees hereby declares 7077 Glenn Highway, Cambridge, Ohio consisting of two parcels of 0.59 acres and 0.09 acres to be surplus property.

BE IT FURTHER RESOLVED that the President or his designee is hereby authorized to negotiate, evaluate, and otherwise transact the disposition of the real property, consistent with the requirements of Ohio law regarding the disposal, sale or other disposition of State of Ohio real property.

Committee Chair Viehweger motioned to approve the Declaration of Surplus Property-Cambridge Resolution; Trustee Casciani seconded the motion; Chair Scholl called for a vote; the resolution passed unanimously.
Easement Renewal Process

Authorizes the change in the renewal easement granting process and authorizes the Senior Vice President for Finance and Administration to sign easements that are compatible with the uses and needs of the University.
RESOLUTION TO APPROVE CHANGE TO EASEMENT RENEWAL PROCESS

RESOLUTION 2019 - 3798

WHEREAS, the Board of Trustees, under Ohio Revised Code Section 123.01(A)(5) is required to approve all easements that are proposed to be granted for 25 years; and

WHEREAS, the Department of Administrative Services negotiates, drafts, and executes all University easements; and

WHEREAS, there is a high volume of University easements that are expired or are expiring that the Ohio University Department of Real Estate is working with the Department of Administrative Services to complete; and

WHEREAS, the University has identified improvements in the easement granting process whereby the Board’s authority to approve easements for renewal would be delegated to the Senior Vice President for Finance and Administration; and

WHEREAS, the Ohio University Office of Legal Affairs has confirmed that this delegation would satisfy ORC 123.01(A)(5); and

WHEREAS, the Director of Administrative Services will continue to execute all easements on behalf of the University.

NOW THEREFORE, BE IT RESOLVED, that the Ohio University Board of Trustees hereby acknowledges and approves the change in the renewal easement granting process and authorizes the Senior Vice President for Finance and Administration to sign easements that are compatible with the uses and needs of the University in accordance with ORC 123.01(A)(5).

Committee Chair Viehweger motioned to approve the Easement Renewal Process Resolution; Trustee Goodman seconded the motion; Chair Scholl called for a vote; the resolution passed unanimously.
Capital Projects

Authorizes the university to begin implementation of the following projects:

- Stocker Roof Replacement
- Porter and Lindley Halls Window Replacement
- Alden Library Air Handlers 3 and 4 Replacement
- Campus Steam System Repairs 2020
- Morton Chilled Water Connection
CAPITAL PROJECTS

APPROVAL TO PROCEED WITH DESIGN AND CONSTRUCTION

RESOLUTION 2019 - 3799

WHEREAS, construction and renovation projects with a total project budget of $500,000 or more require Board approval; and

WHEREAS, projects presented and recommended for Board approval have been subject to a multi-step planning process culminating in executive leadership review and approval by the Capital Funding and Priorities Committee (CF&PC); and

WHEREAS, the following projects are presented for Board approval:

Design & Construction Requests:

<table>
<thead>
<tr>
<th>Project</th>
<th>Current</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stocker Roof Replacement</td>
<td>$3,300,000</td>
</tr>
<tr>
<td>Porter and Lindley Halls Window Replacement</td>
<td>$2,899,452</td>
</tr>
<tr>
<td>Alden Library Air Handlers 3 and 4 Replacement</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Campus Steam System Repairs 2020</td>
<td>$750,000</td>
</tr>
<tr>
<td>Morton Chilled Water Connection</td>
<td>$610,000</td>
</tr>
</tbody>
</table>

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, the Senior Vice President for Finance and Administration, or either’s authorized designee to accept and award contracts and execute all necessary agreements, easements and documents to effectuate the transaction and related transactions within the total project budgets identified.

Committee Chair Viehweger motioned to approve the Capital Projects Resolution; Trustee Smullen seconded the motion; Chair Scholl called for a vote; the resolution passed unanimously.
Park Place

Authorizes the receipt of appropriate bids or proposals and authorizes the President or his designee to accept and award contracts regarding the Park Place and Carriage House Renovation.
CAPITAL PROJECTS – 29 PARK PLACE

APPROVAL TO PROCEED WITH DESIGN AND CONSTRUCTION

RESOLUTION 2019 - 3800

WHEREAS, construction and renovation projects with a total project budget of $500,000 or more require Board approval; and

WHEREAS, projects presented and recommended for Board approval have been subject to a multi-step planning process culminating in executive leadership review and approval by the Capital Funding and Priorities Committee (CF&PC); and

WHEREAS, the following project is presented for Board approval:

   Modification of Design & Construction Requests:

<table>
<thead>
<tr>
<th>Project</th>
<th>Previous</th>
<th>Current</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>29 Park Place and Carriage House Renovation and ADA Improvements</td>
<td>$2,300,000</td>
<td>$1,251,611</td>
<td>$3,551,611</td>
</tr>
</tbody>
</table>

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees approves the request 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.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees approves the request described above; authorizes the receipt of appropriate bids or proposals; and authorizes the President, the Senior Vice President for Finance and Administration, or either’s authorized designee to accept and award contracts and execute all necessary agreements, easements and documents to effectuate the transaction and related transactions within the total project budgets identified.

Committee Chair Viehweger motioned to approve the Park Place Resolution; Trustee Sheil seconded the motion; Chair Scholl called for a vote; the resolution passed unanimously.
Committee Chair Viehweger stated that there are no further resolutions and no remaining consent agenda items from the Resources, Facilities, and Affordability Committee and that detailed minutes of the committee’s discussions will be made available on the Board of Trustees website.

Chair Scholl thanked the Committee.

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Audit and Risk Management Committee
Chair Scholl asked Committee Chair Smullen to give the Audit and Risk Management Committee Report. Committee Chair Smullen stated that the Audit and Risk Management Committee did not meet this meeting.

Chair Scholl thanked the Committee.

Governance and Compensation Committee
Chair Scholl asked Committee Chair Goodman to give the Governance and Compensation Committee Report. Committee Chair Goodman reported that the Governance and Compensation Committee did not meet this meeting.

Chair Scholl thanked the Committee.

Executive Committee
Chair Scholl also stated that the Executive Committee met and discussed the upcoming Board’s retreat.

Chair Scholl reported that there was nothing further to report from the Executive Committee.
Consent Agenda
Chair Scholl stated that the Board had a modified Consent Agenda which retains the following resolution:
CAPITAL PROJECTS

RETROACTIVE APPROVAL TO DELEGATE EASEMENT PROCESS

RESOLUTION 2019 - 3801

WHEREAS, in October 2018, the Board approved a change in the easement granting process in Resolution 2018-3730; and

WHEREAS, three resolutions were presented to and approved by the Board for capital improvement projects in meetings subsequent to the passage of Resolution 2018-3730; and

WHEREAS, language authorizing easement execution was inadvertently excluded from Resolutions 2019-3747, 2019-3751, and 2019-3782; and

WHEREAS, this purpose of this resolution is to retroactively include easements in the administration of these transactions for each of the capital improvement projects already approved.

NOW THEREFORE, BE IT RESOLVED that the Ohio University Board of Trustees hereby authorizes the Senior Vice President for Finance and Administration to execute the corresponding easements and other appropriate documentation in accordance with Ohio Law for the capital improvement projects previously approved in Ohio University Board of Trustees Resolutions 2019-3747, 2019-3751, and 2019-3782.

Trustee Cooper motioned to approve the Consent Agenda; Trustee Viehweger seconded the motion; Chair Scholl called for a vote; the resolution on the Consent Agenda passed unanimously.
Subcommittee Minutes
Ohio University Board of Trustees
Resources, Facilities and Affordability Committee Meeting
August 19, 2019

Committee Chair Peggy Viehweger called the meeting to order. Committee members present included Trustee Steve Casciani, Trustee Diane Smullen, and Student Trustee Austin McClain. Other board members present included Chair David Scholl, Vice Chair Janelle Coleman, Trustee Cary Cooper, Trustee Matthew Evans, Trustee N. Victor Goodman, Trustee Eileen Sheil, National Trustee John Gainor, Student Trustee Justin Kelle; Faculty Representatives Robin Muhammad and Sara Helfrich; Board Secretary David Moore and President Duane Nellis.

- **State Biennial Budget Update**

  Senior Vice President for Finance and Administration Deb Shaffer provided the Trustees with an update on the impact of the State Biennial budget bill, HB 166, on the University’s FY20 budget approved by the board in June 2019. SVP Shaffer remarked that the budget bill was very favorable to higher education, providing tuition flexibility, State Share of Instruction (SSI) increases, and new OCOG maximum award amounts. Specific provisions include:

  - A 2% increase in State Share of Instruction (SSI), 1% more that the University’s FY20 budgeted increase. For FY20, an additional $1.7M in SSI will be brought into the University budget.
  - A 2% undergraduate tuition fee cap, consistent with the FY20 Board approved rates. The CPI cap moves from a 60-month average to a 36-month average for FY21.
  - OCOG student financial aid maximum award increase from $1,500 to $2,000 for FY20 and to $2,500 for FY21. This increase goes directly to students to offset the cost of their education.
  - Program line item increases for the College of Medicine are based on the reallocation of state support to recognize enrollment growth with University Libraries anticipating no change in their budgeted FY20 state support. The Voinovich School was awarded new funding for three programs. Director of Government Relations Eric Burchard credited regional members of congress, Speaker of the House Householder and Representative Edwards, for the line item investments in these unique, OHIO programs.

  The current enrollment shortfall, which has remained below the budgeted level, is projected to result in unfavorable net tuition of $3.5M for FY20. The $1.7M in additional SSI will help to
offset the tuition shortfall. Strategic Executive Enrollment Committee (SEEC) enrollment goals for Athens Undergraduate (UG) will be discussed during the Academics and Student Success committee.

The FY21 budget planning timeline was discussed. In addition, planning unit key performance indicators (KPIs) and dashboards are being developed for reporting mid-year performance-to-plan for cost containment and incremental net tuition strategies to balance the budget. The plan is to share an initial FY21 budget and draft KPI / Dashboard reporting to the board in January 2020, allowing for several months of review and discussion prior to final fee and budget approvals by June.

**Treasury & Debt Update**

SVP Shaffer provided the Trustees with an update on planning for a Spring 2020, $75M bond issuance to finance the capital improvement plan (CIP) approved in June 2019. The 2020 issue of $75M reflects a reduction $50M from the original FY20 $125M planned issuance. The CIP calls for an additional $75M in debt in FY22 to carry out the six-year programming. A resolution will be brought to the Board at the October meeting to approve moving forward with the FY20 debt issue.

SVP Shaffer shared that Standard & Poor’s (S&P) reaffirmed the University’s A+ stable credit rating in May, noting the institution’s strong balance sheet, the overall planning culture for all functions across the institution, and that the peak in the University’s debt level should start to decline as bond repayments continue. The Moody’s rating call occurred in August. Preliminary results indicated that the ‘Aa3 stable’ rating would be maintained, noting the same positive factors as S&P, as well as the University’s proactive approach to addressing problems such as declining enrollments.

In this favorable interest rate environment, debt issues will be evaluated for refinance savings. The weighted average coupon for all outstanding debt (excluding the Century Bonds) is 4.58%. The Century Bond rate is 5.59%.

SVP Shaffer also updated the Trustees on the Investment Advisor Transition from Hirtle Callaghan to Fund Evaluation Group (FEG). Chair Scholl participated in the RFP and selection process. The transition to FEG will involve members of this board participating in the risk survey and asset allocation discussions. The Foundation Investment Committee (IC), comprised of several members with significant investment expertise, has been very involved in the RFP process and selection. Director of Investments Dave Gaume staffs the activities of the IC, is managing the transition process, and will oversee development and implementation of the investment policies, consistent with the IC’s decisions. Investment policy updates will to be reviewed with this Board in October with a resolution for approval presented in January 2020.
Resolution, Affordability & Efficiency Update

SVP Shaffer updated the committee on the FY19 progress toward realizing savings, cost avoidance and net revenue against the 5-year Board approved goals in the FY16 Affordability and Efficiency Implementation Plan. The information shared in this presentation will be the basis for the FY19 report, anticipated to be due to the Chancellor’s office in late September / early October.

The FY19 updates to the original FY16 $60M goal currently project $220M in initiative savings, cost avoidance and/or revenue enhancements, up from the FY18 report of $195M. SVP Shaffer assured Trustees that the $220M is supported by verifiable data and computations. Administrative efficiencies included in the report highlight:

- Procurement actions including 1) continued collaborative and proactive negotiation of vendor contracts for volume purchase savings, 2) completion of the roll-out of internal mandates for on-contract purchasing which are now fully operationalized and projected to yield significant, measurable savings, and 3) implementation of a waiver process for off-contract purchasing;
- Asset monetization actions through sales, leasing or the repurposing of non-core assets;
- Operations review actions (4B) and efficiency improvements resulting from the budget reduction targets (5C) levied on all units. Diversity and Inclusion (D&I), a Presidential priority for investment, and Information Technology (IT), which has undergone restructuring and reinvestment of contract savings back into the division to strengthen service to campus and provide secure operations, were exempt from targeted reductions;
- Continued health benefit plan design and cost sharing changes recommended by the Benefits Advisory Council (BAC), phased to contain escalating cost increases. IUC collaboration for health benefits has proven to be difficult to achieve; OHIO’s rural location creates issues with healthcare although there is an IUC prescription drug plan;
- Textbook affordability initiatives such as Inclusive Access (opt out) and Open Educational Resources (OER) have created significant cost savings directly to students by providing low cost access to educational materials. There is considerable opportunity for additional savings to students with increased faculty adoption of these largely untapped initiatives;
- Energy cost containment through the continued proactive management of consumption and contract costs.
Trustee Scholl remarked that our conformity with Task Force mandates and the requirement for annual Board and State reporting of cost containment and avoidance have resulted in business process improvements, real efficiencies within the University and state, and have held down student costs. SVP Shaffer felt the University was already well on the way to attaining efficiencies in many of the Task Force areas but acknowledged that state mandates pushed Procurement gains by forcing major changes in purchasing practices.

The Chancellor’s 2018 Efficiency Advisory Committee Report stated “Ohio’s public colleges and universities collectively reported institutional cost savings of $320M in 2018”. A summary of IUC FY19 peer reporting will be shared with the Board when the information is made available.

Trustee Casciani made a motion to recommend approval of the FY19 Efficiency Reporting resolution to the full board; Trustee Smullen provided a second; the motion was unanimously approved.

- Resolution, Declaration of Surplus Property-Cambridge Center

SVP Shaffer discussed the Cambridge facility, located between the Zanesville and St. Clairsville campuses. The facility was purchased for $800K with an added $750K in improvement investments. The Cambridge location was to provide workforce training and meet the needs of area’s non-traditional working students, but the facility’s academic plans were not realized. The Board discussed the disappointing outcome and reinforced that significant investments in real estate, or any expansion of the University’s footprint, must be supported by a viable business plan.

This request to declare the Cambridge Center as surplus property is the first monetization action out of the work of the RHE Task Force. The Board was assured that Director of Real Estate Dom Brook will be strategizing on plans for existing real estate owned and opportunities for monetization, whether that be through lease or purchase/sale.

Trustee Viehweger made a motion to recommend approval of the Declaration of Surplus Property-Cambridge Center resolution to the full board; Trustee Casciani provided a second; the motion was unanimously approved.

- Resolution, Easement Renewal Process

SVP Shaffer discussed the backlog of easement renewals and the current cumbersome process to renew existing easements. This action will allow for more efficient execution on easement renewals only; all new easements will be brought to the Board for action.
Trustee Viehweger made a motion to recommend approval of the Easement Renewal Process resolution to the full board; Trustee Casciani provided a second; the motion was unanimously approved.

- Consent, Retroactive Easement Approval

The Retroactive Easement resolution grants the SPVFA authority to execute easements for projects approved by the Board at their prior three meetings – January, March and June 2019. All future Capital Projects resolutions will include language granting the easement execution authority to the SVPFA.

Trustee Viehweger made a motion to retain the Retroactive Easement Approval resolution on the Consent Agenda; Trustee Casciani provided a second; the motion was unanimously approved.

- Resolution, Capital Projects

Chief Facilities Officer and Senior Associate Vice President Steve Wood provided information for five capital project requests for board approval:

- Stocker Roof Replacement project to replace the clay tile pitched roof with a budget of $3.3M
  - Trustee Casciani asked about the $495K attributed to design, 20% of construction costs. Discussion ensued on whether there has been consideration for hiring an inhouse Architect. SAVP Wood shared that the University’s capital projects vary from housing and dining facilities to sporting venues, academic buildings, utility systems and laboratories. It is cost efficient and the University’s liability is limited by employing firms with the proper expertise and support staffs. Also, costs included in the ‘Design’ phase are inclusive of design, engineering, code and permitting, and a myriad of other fees depending on the project. SVP Shaffer will provide trustees with information that includes the roles / activities involved in the ‘Design’ phase, breakdown of actual spend on components of ‘design’ for various projects, and peer benchmarking for achieving design services on construction projects and typical costs.

- Porter and Lindley Halls Window Replacement project replacing over 640 windows with budget approval for $2.89M
  - awaiting the decision from the OAQDA on Energy Performance Bond use; this is a priority deferred maintenance project so if bond use is denied by the state the project will continue with alternative fund sources to be identified

- Alden Library Air Handlers 3 and 4 Replacement $1M project
• Campus Steam System Repairs 2020 improvements project for $750K
• Morton Chilled Water Connection project for $610K

Trustee Viehweger made a motion to recommend approval of the Capital Projects resolution to the full board; Trustee Smullen provided a second; the motion was unanimously approved.

• Resolution, Capital Projects – 29 Park Place and Carriage House Renovation and ADA Improvements

SAVP Wood reminded the Trustees of the March 2018 action, Resolution 2018-3688, to reassign 29 Park Place (29 PP) and the Carriage House for use as an Academic Engagement Center. As part of the Park Place Planning strategy, alumni, campus and the local community engaged in discussions of how to reimagine this historically significant, core space. 29 PP is central to the development of the boulevard and prominent in the vision of the Academic Engagement Center. The project is pivotal to other interrelated project schedules across campus but due to the current construction bid environment and unanticipated building code and ADA requirements the original approved budget of $2.3M is insufficient.

The amended budget of $3.5M provides complete renovation of 29 PP, addressing significant deferred maintenance and accessibility issues. The 50% increase in project costs includes remediation of the significant deferred maintenance issues, complying with building code and ADA requirements for converting the residential house into an administrative/commercial facility, the current premium pricing for construction materials, and the regional construction bid environment reflecting firms are busy and reluctant to incur costs to ramp up in Athens. The Office of Community Engagement and Experiential Learning will be housed on the 3rd floor of 29 PP.

How are these types of cost increases being factored into current project requests? SAVP Wood responded that in the current environment, an increased contingency of 20% is being built into capital project estimates. Many of the city and University projects are coming in over their estimates due to contractor premium pricing. SVP Shaffer explained that bringing the 29 PP project in August, with the current bids, was not optimal but it was deemed the right decision to address all 29 PP infrastructure, safety and accessibility issues prior to occupancy. The 29 PP timing relative to the other campus interrelated projects is also critical. Regarding the funding for the increase, SVP Shaffer noted that the multi-year budgets have factored in debt service for a $125M bond issuance when only $75M will be issued in 2020. The excess debt service budgeted will be sufficient to cover the increased costs for this project.

Trustees requested an update of what risks are inherent in the capital plan, based on where the projects are in the capital planning through project execution process.
Trustee Viehweger made a motion to recommend approval of the Capital Projects – 29 Park Place and Carriage House Renovation and ADA Improvements resolution to the full board; Trustee Smullen provided a second; the motion was unanimously approved.

- Maintenance, Operations & Sustainability Update

SAVP Wood shared updates on recent deferred maintenance projects that have been accomplished with in-house labor. The highlighted projects from summer 2019 were 35 Park Place exterior upgrades, Bicentennial Park chad repairs, and Trisolini House repairs.

SAVP Wood shared energy efficiency metrics which reflected positive trending in consumption and spend as well as progress on campus utility metering, approximately 90% metered to date. Also shared were data reflecting positive trends in customer satisfaction, work order backlog, and movement from corrective to preventative maintenance. Benchmarking data from the Association of Physical Plant Administrators (APPA) reflect OHIO costs as compared to Carnegie classification - Doctoral/Research peers and Midwest region peers (MAPPA) and inform the unit’s annual goals.

The Sustainability update reflected the new FY19 designations received. The Office of Sustainability is working with Voinovich School to develop a sustainability evaluation tool to assess the societal return on investment. Progress made within the three Sustainability Hubs was reviewed and the office is currently in the process of working with campus and the community on revisions to the 2011 Sustainability Plan. The new plan will be shared with the Board following the public vetting and finalization. STARS ratings show that OHIO improved in each of the four AASHE categories from FY15 to FY18 and performed better than the average for all universities.

- Information Items:
  - Facility Project Updates – the information reports for Facility and Planning Projects are shared as part of each Board agenda.
Committee Chair Cooper called the meeting to order at 1:59 p.m.

**Academic Quality—University Dashboard**

EVPP Djalali introduced Dr. Loralyn Taylor, Interim Associate Provost for Institutional Research & Effectiveness, to present OHIO’s new dashboard design framework and a dashboard project update, as well as the next steps for finalizing and rolling out the new dashboards (*refer to Tab 1 of agenda*).

Trustee Goodman noted that while six-year graduation rates are reported on the dashboard, the OHIO Guarantee is structured around a four-year graduation timeline; he asked if the four-year graduation rate could be tracked instead. IAP Taylor responded that the six-year graduation rate is a traditional measure in federal reporting and is typically of interest to external audiences, but she added that the four-year rate could be tracked as well for internal purposes.

Trustee McClain asked whether underemployment data could be tracked. IAP Taylor replied that this would be a valuable metric, but she was not sure where it could be obtained. She said the most detailed employment data currently comes from the Ohio Department of Job and Family Services, but the state of Ohio is working on a data-sharing agreement with the U.S. Bureau of the Census and the Bureau of Labor Statistics, so it might become possible in the future to track underemployment.

Trustee Goodman stated that many measures related to student success are discipline-specific, and he asked how those measures could be built in. IAP Taylor said that OHIO conducts surveys of alumni at one and five years after graduation, and this might be a source to compile that kind of data. She also noted that OHIO has access to some fairly detailed employment information on the approximately 70 percent of alumni who are employed in the state, with the exception of those who are employed by the federal government or are self-employed, so
shorter versions of the alumni survey could be sent to those alumni for whom we receive Ohio data.

Trustee Gainor asked how we handle data collection on out-of-state alumni and how to overcome the focus on in-state alumni. EVPP Djalali noted that state legislators particularly want to see data on Ohio, which indicates the need for targeted dashboards to address different constituencies with particular interests. But he agreed that metrics showing out-of-state alumni are important to other constituencies. He added that other institutions report employment rates on all their alumni and where they are employed, and OHIO needs to be able to provide this kind of data.

Board Chair Scholl said he would like to see some type of metric indicating how well OHIO translates donors’ financial aid into student success, as well as an access-related or transformation-related metric. He also inquired about the feasibility of creating personalized dashboards that first-year students could develop with the help of their mentors, monitor over the course of their college careers and even maintain and continue to contribute to after graduation; such a resource could provide a great deal of data on outcomes and success measures. Trustee Viehweger also expressed interest in this idea, particularly for those in the medical field. Trustee Coleman added that the data could be useful for rankings and identifying points of pride as well.

Trustee Goodman asked how we measure what students have learned. IAP Taylor replied that OHIO conducts extensive student-learning assessments as part of the process of institutional accreditation. She said the internal program-review process requires programs to show they are meeting learning objectives.

**Standing Reports and Updates**

**One OHIO Update**

EVPP Djalali introduced Regional Higher Education (RHE) Study Committee Co-Chairs Dr. Brad Cohen, Chief Strategy and Innovation Officer, and Dr. Nicole Pennington, Interim Dean of Regional Higher Education and Dean of OU–Southern Campus, to present an update on the One OHIO transition *(refer to Tab 2 of agenda).*

Board Chair Scholl noted that the low and high ends of projected savings, $3 million to $9 million, are quite far apart. He asked how we could ensure we achieve savings more toward the high end. CSIO Cohen said this is a very rough range, but that what savings we can achieve will depend on how many efficiencies we can ultimately realize and how much we can leverage our infrastructure in the near term. VPFA Shaffer said that many of the savings and revenue projections are incorporated in the $65 million estimate in the University’s budget book.
Board Chair Scholl noted that several milestones appear not to be met. Interim Dean Pennington replied that these apparent delays are due merely to a delay between the time the presentation was prepared and the meeting; several have since been met.

Committee Chair Cooper asked what market demand for courses and programs is like. CSIO Cohen replied that they are working with partners to do market forecasting and will share more detailed information about that process during the Friday Board meeting. He noted that they are seeking to become more responsive to genuine market opportunities, and he added it will be important to be able to make realistic projections about the revenue potential we could reasonably expect from each opportunity.

President Nellis noted Brad Cohen’s new title as Chief Strategy and Innovation Officer and also recognized new Deputy Chief Strategy and Innovation Officer Laura Myers. He also noted Nicole Pennington’s new dual role as Executive Dean of Regional Higher Education, as well as Dean of OHIO’s Southern Campus.

**Accreditation Update**

Dr. Loralyn Taylor, Interim Associate Provost for Institutional Research & Effectiveness, updated the Committee on the Higher Learning Commission’s phasing-out of the Academic Quality Improvement Program (AQIP) pathway and conversion to the Open Pathways accreditation cycle over the next two years (refer to Tab 3 of agenda).

Committee Chair Cooper asked for more clarification on the HLC’s feedback indicating that “Decentralized processes should be balanced by institutional control.” IAP Taylor replied that one example is the University’s student-complaint process, which lacks a central repository to collect and monitor responses. She noted that another example is the fact that data on faculty qualifications are maintained by the units and not centrally. She said HLC is not concerned that we are not doing these things; they just want the University to move to a more centralized repository structure for these kinds of data.

Board Chair Scholl asked whether a non-academic program review process had previously been done for non-academic units. IAP Taylor responded that such a process once existed but had been discontinued, and the University must now restart it.

**Program Accreditation Reports 2018–2019**

EVPP Djalali presented a list of 10 programmatic accreditations updated in 2018-19 (refer to Tab 4, p. 52 of agenda).
There were no questions about the list. President noted that he recently participated in the Physician Assistant Program’s White Coat Ceremony in Columbus and that the program was recently reaccredited by its programmatic accreditation body. IAP Taylor added that programmatic accreditations such as this send a strong signal to the marketplace about the quality of our academic programs.

**Sexual Misconduct—Prevention and Support**

EVPP Djalali introduced Dr. Jason Pina, Vice President for Student Affairs, who in turn introduced Mark Ferguson, Associate Dean of Students for Well-being; Terry Koons, Associate Director of Health Promotion; Kim Castor, Director of the Survivor Advocacy Program; Dr. Geneva Murray, Director of the Women’s Center; and Mathew Hall, Assistant Director of Health Promotion, to present the work being done at OHIO on sexual-misconduct prevention and support (refer to Tab 5 of agenda).

Trustee Evans asked about the eight percent of faculty/staff shown as not having completed the EverFi online sexual-misconduct training. Kerri Griffin, Director of Civil Rights Compliance, explained that the eight percent includes every individual who has ever been assigned to the online course, whether or not they are still at the University. Because the employee roster includes contingent faculty, the completion percentage is a very dynamic number. She noted that they are also working to promote greater completion rates.

Committee Chair Cooper asked whether “assault” for the purposes of the incoming-student survey included physical assaults or offenses such as stalking. AD Koons replied that the survey asked if the assault was sexual in nature; he further added that the survey asked whether the assault occurred before the student arrived on campus and if the student had experienced more than one assault.

Committee Chair Cooper asked whether the office has the resources they need to do this work. The presenters responded that training is most effectively done in “doses” rather than one time, and that a population-level initiative toward culture change will ultimately produce more lasting change than prevention efforts. They also noted that it is important to include graduate students not just the undergraduate population in outreach efforts.

Trustee Sheil asked whether the Survivor Advocacy Program has adequate counselor resources. SAP Director Castor responded that she is comfortable with the current level of staff, all of whom are trained, certified, full-time advocates. She added that SAP clients get to know each of the advocates, and they are assured that if they don’t feel a sufficient rapport with one advocate it is perfectly fine to switch to another.
Trustee Smullen asked about the adequacy of lighting on campus. VPSA Pina responded that lighting has been improved in recent years, and staff conduct walk-arounds and coordinate with the City of Athens to monitor lighting needs. President Nellis also stated that the University has implemented new security cameras and launched a new app students can use to summon help. VPSA Pina added that of the approximately 800 cameras, 700 are deployed around residence halls. He also said that the new app, which Student Senate took the lead in implementing, is now live and will be promoted to students through a continual communication campaign beginning soon.

Board Chair Scholl noted that the fact that this much work has taken place 11 months after students pressed the issue is significant. He remarked on the University’s upcoming hosting of a national conference, as well as the impressive level of professionalism and compassion exhibited by the presenters. He said he feels much more comfortable about the level and quality of support we are increasingly able to provide students.

Trustee McClain stated that as a student, he has seen a significant change in the culture of campus from his freshman to his senior year, and he thanked the presenters for their work.

There being no further business, Committee Chair Cooper adjourned the meeting at 3:33 pm.
Chair Scholl called the meeting to order at 9:03am.

Present: Chair David Scholl; Vice Chair Janelle Coleman; Trustees Steve Casciani, Cary Cooper, Matthew Evans, Victor Goodman, Eileen Sheil, Diane Smullen, Peggy Viehweger; Student Trustees Austin McClain and Justin Kelley, National Trustee John Gainor; President Duane Nellis, Executive Vice President’s Deb Shaffer and Chaden Djalali, General Counsel Barb Nalazek, and Board Secretary David Moore.

The Committee discussed the upcoming Board of Trustees Retreat

Chair Scholl adjourned the meeting at 9:56 am.
Date: September 25, 2019

To: The Ohio University Board of Trustees

From: M. Duane Nellis, President

Re: President’s Report to the Board of Trustees

In my October 11 report to the Board of Trustees, I will share some notable University points of pride, as well as an update of the Faculty & Staff Convocation and the roll out of the strategic framework during the State of the University Address. Our discussion will include the following:

- Ohio University welcomes the highest achieving class on record and sees continued growth in online programs.
- Ohio University recognized for national excellence in diversity for second consecutive year.
- OHIO jumped 100 places in the Wall Street Journal-Times Higher Education rankings and is recognized for innovation and value by U.S. News & World Report.
- The Athens Campus was honored to host Maya Lin for the rededication of the Bicentennial Park art installation “Input.”
- Challenging Dialogues lecture asks OHIO community to weigh in on immigration and deportation.
- Recap of a recent trip to Capitol Hill to attend dinner at the National Press Club with Ohio University Capitol Interns and the 8th Annual Federal Government Alumni Luncheon.
- Ohio University to host Community Symposium on Opioid Interventions on October 4.
- OHIO’s Voinovich School of Leadership and Public Affairs was awarded a $1.5 million federal grant for substance abuse prevention.
- Ohio University Engineering researcher and team receive $2 million to create coal composites.

We will not have a Presidential Spotlight at this meeting. I look forward to our meeting and the many Homecoming events.
Academics and Student Success Committee Meeting
Interoffice Communication

Date:   September 23, 2019

To:     The President and Board of Trustees

From:   Brad Cohen, Chief Strategy and Innovation Officer
         Elizabeth Sayrs, Dean of University College, Senior Vice President for Undergraduate Education and Student Success (Initiative co-lead)
         Katherine Hartman, Chair of Marketing Department, College of Business (Initiative co-lead)

Re:     Strategic Framework Update and General Education at OHIO Update

This standing agenda item provides an update on aspects of progress towards implementation of the Strategic Framework. This meeting will focus on the revision of the general education curriculum, one of the eleven initiatives included in Ohio University’s Strategic Framework. The attached materials describe the recent history of general education reform, development of assessment of student learning outcomes, the need for general education reform, and the current process, principles, and timeline for completing the revision of general education.

Key information includes:
  • A core working team, composed primarily of faculty with one representative from the Provost’s office and one from Student Affairs, is leading general education reform.
  • A 32-member Reimagining General Education Advisory Group with representatives from across campuses, including students, is providing key feedback and advocacy.
  • The core team will continue working with Faculty Senate, the University Curriculum Council, and other constituents through both shared governance processes and open discussion and feedback opportunities.
  • Reasons and principles for general education have been developed in order to provide a foundation for considering new models of general education.
  • The goal is to implement a revised general education program in fall 2021.
October 10, 2019

Strategic Framework Update
From Pathways to Initiatives…
Strategic Pathways 2017
From Pathways to Initiatives...

Framework Themes 2019

Student Success and Transformation

Research Supporting Communities

Access and Inclusion

Diversity and Inclusion

Academic Quality

Dialogue and Civil Debate

Engagement Ecosystem

Sustainable Academic Enterprise
From Pathways to Initiatives…

Strategic Initiatives
2019-2025
## Framework Themes and Strategic Initiatives

<table>
<thead>
<tr>
<th>Strategic Initiative</th>
<th>Corresponding Framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reimagine Academic Enterprise</td>
<td></td>
</tr>
<tr>
<td>2. Student Success</td>
<td></td>
</tr>
<tr>
<td>3. Research and Scholarly Activity</td>
<td></td>
</tr>
<tr>
<td>4. Gen Ed Reform</td>
<td></td>
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<tr>
<td>5. Catalyze Strategic Enrollment</td>
<td></td>
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<tr>
<td>6. One OHIO Integration</td>
<td></td>
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<tr>
<td>7. Digital Transformation</td>
<td></td>
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<tr>
<td>8. Dynamic Budget Model &amp; Rebalancing</td>
<td></td>
</tr>
<tr>
<td>9. Space Utilization and Footprint</td>
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<tr>
<td>10. Marketing and Branding</td>
<td></td>
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<tr>
<td>11. Alumni &amp; Corporate Engagement</td>
<td></td>
</tr>
</tbody>
</table>
Today’s focus:
General Education at OHIO

Elizabeth Sayrs
Katherine Hartman
4 Realize General Education Reform

GOALS

• Provide a clear, easy to navigate curriculum
• Prepare students with communication, critical thinking and leadership skills
• Align with OHIO’s Common Goals and the Ohio Transfer Module (OTM)
• Increase co-curricular, experiential learning participation

Innovative reforms that remain true to the hallmarks of a liberal arts education

METRICS

• New General Education curriculum in place by fall 2021
• Inform student learning outcomes through nationally validated assessment
• Increase opportunities for experiential learning from 85.2% to 100% in five years
• Increase participation in experiential learning to 100% in five years
What is General Education?

General education: The set of courses and experiences that provide students with a broad exposure to multiple disciplines within the arts and sciences with the aim of providing students with the knowledge and skills needed to succeed in the 21st century. In Ohio, the general education curriculum includes coursework in oral and written communication, mathematics and data analysis, arts and humanities, natural science and social science. (Ohio Department of Higher Education, 2015)

Ohio University General Education (OHIO University Undergraduate Catalog, 2019-20)
Ohio University believes that, as an educated person, you need certain intellectual skills in order to participate effectively in society. These include the following:
• The ability to communicate effectively through the written word and the ability to use quantitative or symbolic reasoning. (Tier I)
• Broad knowledge of the major fields of learning. (Tier II)
• A capacity for evaluation and synthesis. (Tier III)
OHIO GENERAL EDUCATION COMMON GOALS
(Spring 2018)

42 Learning Outcomes
Common Goal Faculty Learning Communities

**Critical Thinking**
- Janet Duerr (Chair), Biological Sciences
- Mick Andzulis, Sales & Marketing
- Kelly Broughton, Library
- Sherleena Buchman, Nursing
- Debra Dunning, Child Development (RHE)
- Klaus Himmeldirk, Chemistry & Biochemistry
- Robin Muhammad, African American Studies

**Quantitative Reasoning**
- Todd Eisworth (Chair), Mathematics
- John Cotton, Mechanical Engineering
- Pamela Kaylor, Communications (RHE)
- Anne Perez, Biological Sciences
- Ciro Scotto, Music Theory

**Teamwork**
- Candice Thomas-Maddox (Chair), Communications (RHE)
- David Brown, Management
- Dominique Duvert, Modern Languages
- Sarah Webb, Social Work
- Valerie Young, Chemical & Biomolecular Engineering

**Written Communications**
- Cat Penrod (Chair), Management
- Ryan Shepherd, English
- Katie Schacht, Marketing
- Christiana Wright, Sports Administration

**FLC Coordinators:**
- Katie Hartman | CoB, Marketing
- Joni Wadley | Institutional Research

**Develop processes to assess student learning**
- Test rubrics to evaluate student learning
- Evaluate and communicate results

- **FLC**
Need for General Education Reform

1. Achieve OHIO General Education Common Goals learning outcomes
2. Communicate the intent and value of general education to stakeholders
3. Align with HLC and ODHE expectations for teaching, learning, and assessment
4. Align curriculum and intentions for deeper learning
5. Update a 40-year-old program to capture revisions and initiatives adequately
General Education Principles

OHIO’s general education program should...

LEARNER CENTRIC

✓ Have a clear statement of intent
✓ Focus on the needs of learners
✓ Articulate learning outcomes
✓ Incorporate meaningful experiences
✓ Integrate high impact learning
✓ Be easy-to-navigate

FACULTY DRIVEN

✓ Be designed by faculty
✓ Provide faculty-delivered opportunities for student learning
✓ Meaningfully assess student achievement of learning
✓ Respect disciplinary expertise
✓ Support investments of time and resources
General Education Principles (continued)

OHIO’s general education program should...

**INCLUSIVE**
- Allow for agency and self-direction
- Offer equal access to all learners
- Advance equitable learning outcomes across all student populations
- Celebrate and welcome differences in all its forms

**CHALLENGING**
- Provide multi-disciplinary learning opportunities
- Be rigorous and engaging
- Reflect OHIO’s General Education Common Goals
- Integrate curricular and co-curricular learning
- Consider curricular parsimony

**FLEXIBLE**
- Be financially viable
- Be meaningfully managed and evaluated
- Allow for continuous improvement
- Address state and accreditation expectations
- Support curricular and course innovations
## Career Readiness Competencies (2019)

Source: National Association of Colleges and Employers (NACE), Job Outlook 2019

<table>
<thead>
<tr>
<th>Competencies</th>
<th>Weighted Average Rating*</th>
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</thead>
<tbody>
<tr>
<td>Critical Thinking / Problem Solving</td>
<td>4.66</td>
</tr>
<tr>
<td>Teamwork / Collaboration</td>
<td>4.48</td>
</tr>
<tr>
<td>Professionalism / Work Ethic</td>
<td>4.41</td>
</tr>
<tr>
<td>Oral / Written Communication</td>
<td>4.30</td>
</tr>
</tbody>
</table>

*5-point scale, where 1=Not Essential and 5= Absolutely Essential

### OHIO General Education Common Goals

- Critical Thinking
- Quantitative Reasoning
- Ethical Reasoning
- Integrative Learning
- Teamwork
- Intercultural Competence
- Written Communications
- Oral Communications
Reimagining General Education

Overall Timeline

1. Research & Ideation
   - Summer 2019

2. Intent & Model Options
   - Fall 2019

3. Model Selection & Structure
   - Spring 2020

4. Policy & Process
   - Fall 2020

5. Systems
   - Spring 2021

6. Overall Timeline
   - Fall 2021
RGE Leadership Team

Cynthia Cogswell
• Student Affairs
• Director of Strategic Planning & Assessment

Todd Eisworth
• A&S, MATH
• Lead, Quantitative Reasoning FLC

Katie Hartman
• CoB, MKT
• Chair, UCC General Education Committee

Sara Helfrich
• CoE, Teacher Ed
• Chair, UCC & Vice-Chair, Faculty Senate

Elizabeth Sayrs
• Dean, University College
• Senior Vice Provost for Undergraduate Education and Student Success

Beth Quitslund
• A&S, ENG
• Co-Chair, UCC Individual Course Committee

Sarah Wyatt
• A&S, PBIO
• Chair, Faculty Senate Professional Relations Committee
RGE Advisory Group

Faculty Senate
- Sara Helfrich*
- Robin Muhammed
- Ana Rosado Feger
- Betty Sindelar
- Sarah Wyatt*

University Curriculum Council
- John Cotton
- Katie Hartman*
- Connie Patterson
- Beth Quitslund*

Common Goal Faculty Learning Communities
- Todd Eisworth*
- Janet Duerr
- Ryan Shepherd
- Candice Thomas-Maddox

Faculty Reps
- Purba Das
- Tim Goheen
- Chris Hayes
- Mark Lucas
- Sarah Webb

Administration
- Carissa Anderson
- Brad Cohen
- Lindsey Rudibaugh
- Catherine Marshall
- Sarah Poggione
- Elizabeth Sayrs*
- Joni Wadley

Student Services
- Deb Benton
- Rob Callahan
- Angie Lash

Student Affairs
- Cindy Cogswell*
- Imants Jaunarajs

Student Senate
- Alicia Lundy-Morse
- Stuart Stevenson

* RGE Leadership Team Member
Interoffice Communication

Date:   September 23, 2019

To:    The President and Board of Trustees

From:  Chaden Djalali, Executive Vice President and Provost

Re:    Strategic Enrollment Management Update - Fall Census Data

This presentation will be an update of the fall 2019 census data compared with previous years across OHIO’s educational modalities.

Highlights of the presentation include:

- Discussion of enrollments and how the fall term compares to previous years,
- Discussion of the enrollment milestones and records set this year across the campuses and educational offerings of OHIO, and
- Discussion of Strategic Executive Enrollment Committee projections for FY21 through 25.
OHIO UNIVERSITY BOARD OF TRUSTEES

APPROVAL OF THE HERITAGE COLLEGE OF OSTEOPATHIC MEDICINE MISSION STATEMENT

RESOLUTION 2019 –

WHEREAS, the American Osteopathic Association’s (AOA) Commission on Osteopathic College Accreditation (COCA) is the accrediting body of the Ohio University Heritage College of Osteopathic Medicine’s (Heritage College) program leading to the Doctor of Osteopathic Medicine degree (D.O.), and

WHEREAS, the COCA requires that the Heritage College’s mission be consistent with that of its larger educational institution (Ohio University), and

WHEREAS, the COCA requires the Heritage College to provide documentation of its governing board’s approval of the College’s mission statement, and

WHEREAS, the College’s mission statement is as follows:

We pride ourselves on our strong focus on our mission: training osteopathic primary care physicians to serve Ohio.

Our medical school educates physicians committed to practice in Ohio, emphasizes primary care, engages in focused research, and embraces both Appalachian and urban communities. Integral to this mission, our college community commits itself to: provide a clinically integrated, learning-centered, osteopathic medical education continuum for students, interns, residents, and primary care associates; embrace diversity and public service; and improve the health and well-being of underserved populations.

NOW THEREFORE BE IT RESOLVED that the Ohio University Board of Trustees approves the Heritage College’s mission statement.

BE IT FURTHER RESOLVED that this Board affirms the Heritage College’s mission is consistent with that of Ohio University.
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Ken Johnson, Chief Medical Affairs Officer and Executive Dean, Heritage College of Osteopathic Medicine

Re: Heritage College of Osteopathic Medicine – Mission Statement - Accreditation

A resolution is included seeking board approval of the Heritage College of Osteopathic Medicine statement of mission which affirms its consistency with that of the Ohio University.

The Heritage College’s Mission is as follows:

We pride ourselves on our strong focus on our mission: training osteopathic primary care physicians to serve Ohio.

Our medical school educates physicians committed to practice in Ohio, emphasizes primary care, engages in focused research, and embraces both Appalachian and urban communities. Integral to this mission, our college community commits itself to: provide a clinically integrated, learning-centered, osteopathic medical education continuum for students, interns, residents, and primary care associates; embrace diversity and public service; and improve the health and well-being of underserved populations.

The American Osteopathic Association’s Commission on Osteopathic College Accreditation (“COCA”) requires a written statement of mission and goals for the osteopathic medical education program that is updated at least once every five years. The medical college mission statement must be consistent with that of the parent institution. Also, approval of the medical college mission statement is required of the institutional governing board.
Here are the applicable COCA Accreditation Standard, Element, and Submission Requirements:

Standard 1: Mission and Governance
“A College of Osteopathic Medicine (COM) must have a written statement of mission and goals for the osteopathic medical education program, conduct ongoing planning and assessment, and have written bylaws that describe an effective organizational structure and governance processes. In the conduct of all internal and external activities, the COM must demonstrate integrity through its consistent and documented adherence to fair, impartial, and effective processes, policies, and practices.”

Element 1.1: Program Mission (CORE)
“A COM must have a written mission statement that: 1) explains the overall purpose of the COM’s program; and 2) serves as a guide for program planning and assessment. Where the COM is part of a larger educational institution or parent institution, the COM’s mission must be consistent with the institution’s mission. The COM must review its program mission at least once every five years and upon review, if the COM deems it to be appropriate to do so, the COM should revise its mission to meet the COM’s growth and continued development. The COM must consider the input of its faculty, staff, and students when reviewing and revising its mission.”

Submission 1.1: Program Mission
1. Provide copies of program mission/vision (optional) / goals or objectives (optional) and a public link to where the documents are published.
2. If the COM is part of a larger educational institution (parent institution), provide a copy of the parent institution’s mission statement. The documents should show last updated date (or effective date).
3. Provide documentation of the mission revision process, participants, and meeting minutes documenting the most recent governing board approval of the COM’s mission.

References:

Heritage College’s Mission- https://www.ohio.edu/medicine/about/who-we-are/index.cfm

Ohio University’s Mission- https://www.ohio.edu/president/vision/
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

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

Re: Community Standards Update

I have attached for your information the annual four-year comparison of conduct cases and a four-year comparison of conduct offenses.

Most notably you will find:
- Total case load has decreased for a fourth consecutive year
- Alcohol and Marijuana violations continue to trend down – 43% over a four-year trend
- Possessing or providing false/misleading information has risen 89.26% over last year
- Increases to violation of law charges (53% up) and misuse of facilities (37.18% up)

I look forward to reviewing this information with you at the October board meeting and sharing factors that may be influencing these trends.

I will be happy to answer any questions you may have about these documents prior to or during the meeting.
Office of Community Standards and Student Responsibility
2018-2019 Comparison of Conduct Cases
This summary reflects the total number of cases referred to the Community Standards process for the 2018-2019 academic year and their disposition. Data for the academic years 2015-16, 2016-17, and 2017-18 are included for comparison purposes. To calculate the date for 2018-19, the office included referrals received between August 24, 2017 (the day the residence halls opened for the Fall 2018-19 semester) through August 21, 2019.

<table>
<thead>
<tr>
<th>Total Cases Referred</th>
<th>2018-19</th>
<th>2017-18</th>
<th>2016-17</th>
<th>2015-16</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1519</td>
<td>1893</td>
<td>2074</td>
<td>2251</td>
</tr>
</tbody>
</table>

Case Disposition

- **Reprimand**: 156 (10.3%), 172 (9.1%), 224 (10.8%), 139 (6.2%)
- **Probation**: 742 (48.8%), 1050 (55.5%), 1083 (52.2%), 1090 (8.4%)
- **Suspension**: 29 (1.9%), 36 (1.9%), 40 (1.9%), 44 (2.0%)
- **Expulsion**: 4 (0.3%), 2 (0.1%), 9 (0.4%), 7 (0.3%)
- **Medical Emergency Assistance**: 42 (2.8%), 20 (1.1%), 24 (1.2%), 27 (1.2%)
- **Not In Violation**: 472 (31.1%), 554 (29.3%), 642 (31.0%), 799 (35.5%)
- **Pending Cases**
  - **Total**: 74 (4.9%), 59 (3.1%), 52 (2.5%), 145 (6.4%)

**54 of the 74 pending cases from 2018-19 are holds, where students are not currently enrolled or have indicated they are not returning. The pending cases still listed for previous years also include holds for students who have not returned.**

Case Resolves by

- **Notification of Report**: 15 (1.0%), 45 (2.4%), 32 (1.5%), 90 (4.0%)
- **Sexual Misconduct Process**: 7 (0.5%), 20 (1.1%), 31 (1.5%), 29 (1.3%)
- **Community Standards Conference**: 1267 (83.4%), 1552 (82.0%), 1744 (84.1%), 1793 (79.7%)
- **Administrative Hearing**: 118 (7.8%), 185 (9.8%), 173 (8.3%), 158 (7.0%)
- **University Hearing Board**: 38 (2.5%), 32 (1.7%), 42 (2.0%), 36 (1.6%)
- **Cases Still Open**: 74 (4.9%), 59 (3.1%), 52 (2.5%), 145 (6.4%)

**Total**: 1519 (100.0%), 1893 (100.0%), 2074 (100.0%), 2251 (100.0%)

- **Appeal Boards**: 32 (2.1%), 32 (1.7%), 46 (2.2%), 41 (1.8%)
- **Vice Presidential Appeal**: 11 (0.7%), 14 (0.7%), 21 (1.0%), 17 (0.8%)

*Report compiled September 14, 2019*
OFFICE OF COMMUNITY STANDARDS AND STUDENT RESPONSIBILITY
2018 – 2019 SUMMARY OF CHARGES – COMPARISON

This summary reflects the number of times particular violations of the *Student Code of Conduct* appeared on formal complaints for academic years 2015 – 16, 2016 – 17, 2017 – 18, and 2018 – 19. It should be noted that this data relates to charges, not the number of cases referred to the Community Standards process (individual cases often contain multiple charges). To calculate the data for 2018 – 19, CSSR looked at referrals received between August 23, 2018 (the day the residence halls opened for the Fall 2017-18 semester) through August 22, 2019. As the *Student Code of Conduct* changed dramatically as of August 19, 2015, the comparison below contains only the current *Student Code of Conduct* charges that can be directly mapped to changes in the previous *Code* in order to provide for accurate comparison.

<table>
<thead>
<tr>
<th>Charge</th>
<th>2018-19</th>
<th>2017-18</th>
<th>2016-17</th>
<th>2015-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>D01</td>
<td>Academic Misconduct</td>
<td>71</td>
<td>92</td>
<td>79</td>
</tr>
<tr>
<td>D02a</td>
<td>Possessing/Providing False and Misleading Information – Furnishing False Information</td>
<td>89</td>
<td>47</td>
<td>11</td>
</tr>
<tr>
<td>D03a</td>
<td>Alcoholic Beverages Violation – Unauthorized Use and/or Possession</td>
<td>623</td>
<td>808</td>
<td>900</td>
</tr>
<tr>
<td>D03d</td>
<td>Alcoholic Beverages Violation – Misconduct</td>
<td>256</td>
<td>333</td>
<td>287</td>
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<tr>
<td>D04a</td>
<td>Controlled Substances and/or Drug Violation – Use and/or Possession of Marijuana</td>
<td>352</td>
<td>454</td>
<td>443</td>
</tr>
<tr>
<td>D04c</td>
<td>Controlled Substances and/or Drug Violation – Use and/or Possession of Drug Paraphernalia</td>
<td>93</td>
<td>155</td>
<td>141</td>
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<tr>
<td>D05c</td>
<td>Disruptive Conduct – Failure to Comply</td>
<td>163</td>
<td>148</td>
<td>214</td>
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<tr>
<td>D05e</td>
<td>Disruptive Conduct – Safety Equipment</td>
<td>42</td>
<td>91</td>
<td>58</td>
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<tr>
<td>D06a</td>
<td>Harmful Behavior – Harm/Threat</td>
<td>89</td>
<td>89</td>
<td>103</td>
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<tr>
<td>D06c</td>
<td>Harmful Behavior – Discrimination</td>
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<tr>
<td>D09</td>
<td>Theft</td>
<td>49</td>
<td>78</td>
<td>63</td>
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<tr>
<td>D10a</td>
<td>Damage to Property</td>
<td>37</td>
<td>29</td>
<td>65</td>
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<td>D11</td>
<td>Possession of Weapons and/or Dangerous Materials</td>
<td>4</td>
<td>5</td>
<td>6</td>
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<tr>
<td>D14a</td>
<td>Misuse of University Facilities – Misuse or Authorized Use</td>
<td>20</td>
<td>6</td>
<td>21</td>
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<tr>
<td>D15a</td>
<td>Violation of Ohio University Student Housing Handbook</td>
<td>487</td>
<td>485</td>
<td>542</td>
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<tr>
<td>D17a</td>
<td>Violation of Law</td>
<td>20</td>
<td>13</td>
<td>55</td>
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</table>
Below is a summary of the matters resolved through the Student Sexual Misconduct, Stalking and Relationship Violence Process for the 2015-16, 2016-17, 2017-18, and 2018-19 academic years. These statistics are based on when the incident was reported to the university and not when the incident occurred.

<table>
<thead>
<tr>
<th>Year</th>
<th>Accepted Responsibility</th>
<th>Hearing in Violation</th>
<th>Hearing Not in Violation</th>
<th>Pending</th>
<th>Total</th>
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<tbody>
<tr>
<td><strong>Sexual Exploitation</strong></td>
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<tr>
<td>18-19</td>
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<td>15-16</td>
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<td>0</td>
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<tr>
<td><strong>Sexual Harassment by Hostile Environment</strong></td>
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<td></td>
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<td>18-19</td>
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<td>2</td>
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<tr>
<td>17-18</td>
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<td>15-16</td>
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<td>5</td>
<td>6</td>
<td>1</td>
<td>15</td>
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<tr>
<td><strong>Non-Consensual Sexual Contact</strong></td>
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<tr>
<td>18-19</td>
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<td>15-16</td>
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<td><strong>Non-Consensual Sexual Intercourse</strong></td>
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<td>16-17</td>
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<td>15-16</td>
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<td>1</td>
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<tr>
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</tr>
<tr>
<td>16-17</td>
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<tr>
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<tr>
<td>15-16</td>
<td>5</td>
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<td>54</td>
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### Sanctions by Case

<table>
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<tr>
<th>Year</th>
<th>No Finding on Any Charge</th>
<th>Probation</th>
<th>Suspension</th>
<th>Expulsion</th>
<th>Pending</th>
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<td>2018-19</td>
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<td>2016-17</td>
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<td>8</td>
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</table>

### Appeals by Case

Either party may submit an appeal of the outcome. Grounds for appeal are limited to: Inappropriate sanction, procedural defect in the original hearing, and/or presence of new evidence that was not available at the time of the hearing. The below numbers represent resolved cases only.

<table>
<thead>
<tr>
<th>Year</th>
<th>No Appeal</th>
<th>Appeal Submitted, Result: Decision Upheld</th>
<th>Appeal Submitted, Result: Matter Returned for Re-Hearing</th>
<th>Appeal Submitted, Decision Pending</th>
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</thead>
<tbody>
<tr>
<td>2018-19</td>
<td>7</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>2017-18</td>
<td>18</td>
<td>7</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>2016-17</td>
<td>18</td>
<td>4</td>
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<td>0</td>
</tr>
<tr>
<td>2015-16</td>
<td>22</td>
<td>8</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>
October 10, 2019

Community Standards Update

Tab #; pg
Community Standards Process

• How we resolve our cases
• Pre/Post Survey
  • 99% of students felt that their rights were upheld throughout the process
  • 96% of students better understand the impacts of their behavior
  • 100% of students were able to identify how to avoid violations in the future
  • 99% of students reported having the opportunity to share their perspective
  • 93% of students reported better understanding expectations for their future behavior
Community Standards Process

• Adjacency to Learning
  • Sexual Misconduct
  • Group Misconduct
  • Individual Misconduct
    • Report retrieval
    • Workplace efficiency
Conduct Case Comparison

- Overall number of cases continue to decrease
  - 30.7% decrease in the last four years
  - Complexity of cases continue to increase
- Students continue to resolve their cases through conferencing
- Appeal rates remain consistent (2%)
Academic Misconduct

- Academic Misconduct cases decreased by 22.83%
  - Reporting structure of academic misconduct
  - System of support
  - Current issues
Alcohol

• Alcohol violations continue to decrease
  • 22.90% decrease in lower-level behaviors
  • 23.12% decrease in higher-level behaviors
  • These numbers represent a 42.7% decrease in alcohol related charges over the last four years
    • Possessing or providing false/misleading information rose significantly (89.26%)
Marijuana

- Marijuana-related charges are trending downward
  - Cases of use and/or possession of marijuana decreased by 22.47%
  - Cases of use and/or possession of paraphernalia decreased by 40.0%
Downward Trend in Marijuana Use

• Senate Bill 57
  • Legalizes Hemp in Ohio (July 2019)
  • THC levels , .03%
  • Can be smoked; smells the same
  • Still legal federally
  • Testing
Implications of Reduced Alcohol & Marijuana Violations

• Fine/fee structure
• Prevention efforts
• Position support
Implications of Reduced Alcohol and Marijuana Violations

<table>
<thead>
<tr>
<th>Judicial Fine</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue</td>
<td>$99,400.00</td>
<td>$86,750.00</td>
<td>$87,050.00</td>
<td>$80,650.00</td>
<td>$56,850.00</td>
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<tr>
<td>Expense</td>
<td>$75,240.00</td>
<td>$103,765.00</td>
<td>$80,083.00</td>
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<tr>
<td>Carryforward balance</td>
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<td>$110,736.00</td>
<td>$92,619.00</td>
<td>$77,330.00</td>
<td>$68,333.00</td>
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</table>
Implications of Reduced Alcohol and Marijuana Violations

Judicial Fee

<table>
<thead>
<tr>
<th>Revenue</th>
<th>FY15</th>
<th>$92,800.00</th>
<th>FY16</th>
<th>$84,250.00</th>
<th>FY17</th>
<th>$81,650.00</th>
<th>FY18</th>
<th>$77,450.00</th>
<th>FY19</th>
<th>$62,500.00</th>
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</thead>
<tbody>
<tr>
<td>Expense</td>
<td>FY15</td>
<td>$60,867.00</td>
<td>FY16</td>
<td>$63,268.00</td>
<td>FY17</td>
<td>$69,628.00</td>
<td>FY18</td>
<td>$83,764.00</td>
<td>FY19</td>
<td>$59,551.00</td>
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<tr>
<td>Carryforward balance</td>
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<td>$64,488.00</td>
<td>FY16</td>
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<td>FY17</td>
<td>$42,767.00</td>
<td>FY18</td>
<td>$23,753.00</td>
<td>FY19</td>
<td>$16,699.00</td>
</tr>
</tbody>
</table>
Significant Shifts

- Theft charges have decreased by 37.18%
- Damage to property charges have increased 27.59%
- Charges of violation of law have increased 53.85%
- Charges of misuse of facilities, misuse or unauthorized use, have increased by 233.33% in comparison to last year but only by 16% when compared to the past four years
Future Data Reporting

• 6 Tier Assessment Structure
  • Pre/Post Test Assessment (Satisfaction)
  • Learning Outcomes Evaluations (Impact to Community)
  • Sanctioning Rubric (Intentionality)
  • Quantitative Data Analytics (Annual Reporting of Cases)
  • Peer to Peer Evaluations (Hearing Officer Accountability and Quality Assurance)
  • Ad Hoc Data (Experiential)
REVIEW OF CENTERS AND INSTITUTES

RESOLUTION 2019 –

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 2018-2019 Review of Centers and Institutes, which recommends continuation of seven (7) centers/institutes, shifting of four (4) centers/institutes to the Academic Review and the discontinuation of two (2) centers/institutes as follows:

<table>
<thead>
<tr>
<th>Unit</th>
<th>Center/Institute</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>A&amp;S</td>
<td>Charles Ping Institute for the Teaching of the Humanities</td>
<td>Continue</td>
</tr>
<tr>
<td>A&amp;S</td>
<td>Center for the Intervention Research in Schools</td>
<td>Continue</td>
</tr>
<tr>
<td>ENT</td>
<td>Ohio Research Institute for Transportation and the Environment</td>
<td>Continue</td>
</tr>
<tr>
<td>ENT</td>
<td>Institute for Sustainable Energy and the Environment</td>
<td>Continue</td>
</tr>
<tr>
<td>HCOM</td>
<td>Ohio Musculoskeletal and Neurological Institute</td>
<td>Continue</td>
</tr>
<tr>
<td>VPR</td>
<td>Appalachian Rural Health Institute</td>
<td>Continue</td>
</tr>
<tr>
<td>VPR</td>
<td>Contemporary History Institute</td>
<td>Continue</td>
</tr>
<tr>
<td>BUS</td>
<td>The Schey Sales Center</td>
<td>Move to Academic Review</td>
</tr>
<tr>
<td>EDU</td>
<td>Institute for Democracy in Education</td>
<td>Move to Academic Review</td>
</tr>
<tr>
<td>EDU</td>
<td>George Hill Center for Counseling and Research</td>
<td>Move to Academic Review</td>
</tr>
<tr>
<td>VOIN</td>
<td>Center for Public and Social Innovation</td>
<td>Move to Academic Review</td>
</tr>
<tr>
<td>A&amp;S</td>
<td>Center for Intelligent Chemical Instrumentation</td>
<td>Discontinuation</td>
</tr>
<tr>
<td>ENT</td>
<td>Center for Electrochemical Engineering Research</td>
<td>Discontinuation</td>
</tr>
</tbody>
</table>
Interoffice Communication

Date:     September 23, 2019

To:       The President and Board of Trustees

From:     Joseph Shields, Vice President for Research & Creative Activity and Dean, Graduate College

Re:       Review of Centers and Institutes

The attached materials summarize the 2018-19 five-year review of Centers and Institutes.

A summary for each of the reviewed Centers/Institutes is included with these materials.

The resolution requests approval for the following action items to be presented at the October 2019 meeting.

<table>
<thead>
<tr>
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<th>Center/Institute</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
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</table>
Charles Ping Institute for the Teaching of the Humanities (Ping Institute)
The Ping Institute was created in 1992 to support activities designed to further the teaching of the humanities at the University and in high schools across the region and state. The Institute is primarily funded by a restricted endowment that provides salary supplements for three distinguished teaching professors, as well as modest honoraria for several fellows of the Ping Institute.

With the arrival of Dr. Drogula as director in the Fall 2018 semester, the Institute began considering how its traditional programming might be expanded or altered to greater serve its audiences. The Institute is currently considering three paths to strengthen future viability:
1) Expanding its footprint by attracting a larger audience and heightening visibility;
2) Developing and documenting assessment activities for its programming; and
3) Articulating procedures and policies to maximize its ability to communicate and achieve its mission.

In his first year, the Institute has increased the number of workshops for high school teachers; is working to update its contact lists of teachers; and is pursuing other means, including social media, for reaching out to teachers.

In addition, the Bruning Teaching Academy, which was developed by the Institute, was recently transferred to the Office of Instructional Innovation (OII). The Teaching Academy pairs 12 untenured faculty with 12 award-winning faculty to discuss teaching of undergraduates. The pairs of faculty members visit each other’s classes and meet weekly to discuss specific issues. The entire group meets in a focused plenary session every three weeks. The Institute continues to support the Academy by providing hours for administrative help.

The committee strongly recommends the continuation of the Ping Institute for the Teaching of the Humanities and supports its efforts to expand its audience and visibility, including:
- Holding high school teacher workshops on regional campuses to serve different populations of teachers who are not able or willing to travel to Athens.
- Creating team-taught interdisciplinary courses through one of the university’s honors programs, in which humanities faculty would work with one another or with faculty from other academic disciplines.
- Producing a series of podcasts exploring how the humanities and other fields interact in addressing various issues, including those of high concern to Ohio and Appalachia.

Dean/VPRCA Comments: As per the Dean\footnote{Dr. Joseph Shields served as the Interim Dean of the College of Arts and Sciences for FY19; he has recently resumed his duties as the Vice President for Research and Creative Activity (VPRCA). To address any potential conflicts of interest, Dr. Roxanne Male’-Brune, Director of Grant Development, and Dr. David Koonce, Interim VPRCA, provided input on behalf of the VPRCA for this report.}… “The Ping Institute serves an important role in fostering excellence in teaching and learning in the humanities at Ohio University and beyond.” The VPRCA agrees that the OII is well positioned to provide resources and expertise to ensure the continued success of the Bruning Teaching Academy, while benefiting from the continued involvement of Ping Institute personnel. The VPRCA also concurs that funding for the Institute, provided by an endowment, is stable and appears to be appropriately matched to current activities. The Institute should be continued.
Center for Intervention Research in Schools (CIRS)

The Center began in 2012 and is now an internationally recognized, interdisciplinary research center that integrates training and service into all activities. CIRS’s goal is to improve the lives of children (early childhood through emerging adulthood) who struggle with emotional and behavioral challenges through school-based interventions and supports.

CIRS has nine highly productive faculty, representing four departments and four colleges (Arts and Sciences, Education, Communication, Medicine). CIRS faculty have generated $8.8 million in awards within the Center and have served as investigators on awards in excess of $29 million. Each semester, CIRS has 10-30 psychology undergraduate students working as research assistants within the Center. Since 2012, 14 CIRS graduate students have earned their doctoral degrees. CIRS faculty and students have produced 197 articles, books, and book chapters. CIRS students and post-doctoral fellows have been first authors on 64 peer-reviewed journal articles, 10 book chapters, and two books. Graduate students have been awarded over $220,000 in grant funding.

CIRS developed a school-based intervention program for adolescents that is recognized as the most effective psychosocial intervention program of any kind for adolescents with Attention Deficit Hyperactivity Disorder (ADHD). CIRS also developed The Daily Report Card-Online, an interactive web-based tool for providing an effective classroom intervention for youth with behavior problems. CIRS faculty have concentrated considerable efforts to engage undergraduates in research, and were recently awarded a grant from the National Science Foundation to serve as a Research Experience for Undergrads [REU] site. The first year of this program, over 400 undergraduates from seven states and Puerto Rico applied for nine spots in this eight-week program. CIRS also hosts Camp BOOST, an annual three-week summer camp for children (ages 6 through 12), which offers opportunities for skill development in academic, social, and behavioral domains for children with and without ADHD. Recently CIRS has focused on developing Beacon, a comprehensive and secure web-based system that provides materials, support, training, and progress monitoring to facilitate the use of assessment and intervention services that have scientific support for their effectiveness. CIRS received an internal grant of $300,000 from the Innovation Strategy² to help develop and commercialize Beacon.

The review committee strongly supports the continuation of CIRS and recommends:

- Additional university funding for a permanent office manager to coordinate work of the Center.
- CIRS continues to work with groups within the College and University to assist with the development of Beacon for commercial distribution.

Dean/VPRCA comments: “CIRS has experienced very substantial growth in terms of its membership, funding, and scope of activity since its inception…. The committee recommends that the university provide operational support to assist CIRS in its continued progress, and I am pleased to note the recent approval of funding from the Research Division for a three-year transitional period for this purpose.” The Center should be continued.

² The Innovative Strategy is an internal award program that provided funding to support interdisciplinary/multi-planning unit team working on innovative research, scholarship, creative activity, instruction, and institutional operation projects. The ISEE grant focused on improving hydrocarbon production from existing wells; preventing pipeline corrosion problems; reducing methane emissions through improved monitoring, modeling of complex pore fluid mechanics and precipitation processes; and examining policies to improve economic outcomes from shale-based energy production.
RUSS COLLEGE OF ENGINEERING AND TECHNOLOGY
Ohio Research Institute for Transportation and the Environment (ORITE)

ORITE was established in 1987 to: (1) Provide a center of expertise in transportation, environmental, and geotechnical science and engineering; (2) Conduct basic research in transportation and environmental areas; (3) Provide environmental and transportation-related information to public agencies and the private sector; (4) Assist local, state, and federal agencies and the private sector with research, training, technology transfer, testing, and other endeavors; and (5) Provide training opportunities for undergraduate and graduate students and technology transfer to professionals.

During FY 2014-2018, ORITE was awarded 70 new, externally funded research projects totaling $7,996,029 and $563,461 in additional internal funding. Over this period, 31 faculty members across five colleges (Engineering, Arts and Sciences, Health Sciences & Professions, Education and Voinovich) participated in research through ORITE, working with national and international academic collaborators, state and federal agencies, and private sector firms on pavement and other infrastructure issues. ORITE faculty published 71 journal articles, 33 peer reviewed conference papers and 60 technical reports; mentored 24-40 students per year; and oversaw more than nine PhD dissertations and 20 MS theses.

ORITE signed a contract in February 2017 with the Afghanistan Ministry of Public Works to develop the Afghan National Construction Laboratories. The effort to establish the laboratory is ongoing; ORITE has also been involved in a series of consulting projects, including reviews of infrastructure plans, forensic analyses of distressed pavements, and various organizational and training issues. A new strategic partnership agreement was signed November 2018 and provides up to $10M for task orders for specific projects over five years. In addition, ORITE is developing plans for the expansion of the Accelerated Pavement Load Facility (APLF) and the Advanced Asphalt Laboratory (AAL) on Ohio University’s Lancaster Campus in response to local and national needs for training and testing.

The review committee strongly supports the continuation of ORITE and has the following recommendations:

- Build on the strengths of its facilities and reputation.
- Determine new leadership, to replace the former Dean who was serving as the ORITE Director.
- The committee applauds ORITE’s forward-looking approach to address highway infrastructure for smart vehicles, the effect of climate change on transportation infrastructure, and sustainability. Building on this, they recommend considering additional positioning around the importance of resiliency of transportation infrastructure, including the need for rapid repairs after natural disasters. This may be an area of potential collaboration with experts from the Industrial and Systems Engineering department within the Russ College.

Dean/VPRCA Comments: The VPRCA concurs with the Dean that it will be important to name a new director within the next few months and that “ORITE’s future prospects seem excellent.” The Institute should be continued.
Institute for Sustainable Energy and the Environment (ISEE)

ISEE was established in 2003 with the intention of integrating the long-established Ohio Coal Research Center (OCRC, started in 1965) and the proposed Center for Air Quality (CAQ). ISEE serves as a national research leader and fosters partnerships between governmental agencies, industry, universities, and community groups to help meet national needs for sustainable utilization of the nation’s energy resources to ensure protection of the environment and public health and safety. OCRC’s focus is on clean coal and fossil energy technology; CAQ’s primary mission is to research methods to reduce air pollution, particularly from power generation plants. The three centers/institutes operate in related research spaces and there is overlap between the 13 affiliated faculty and their many projects.

ISEE operations currently include 17 affiliated faculty and staff members from three colleges (Engineering, Arts and Sciences, and Voinovich). From 2014-18, they have secured nearly $7.8M of competitive funding, including $619,405 from the Ohio University Innovation Strategy program; supported 16 graduate students and over 60 undergraduate students; published 30 peer-reviewed publications and received three patents. Their research projects are state-of-the-art and address the current needs of the nation. Their research activities include, but are not limited to, developing innovative water treatment technology, unconventional resources development, sustainable composite materials, electrochemical nutrient recovery, hydrothermal treatment of waters, and algal-based research.

The review committee strongly supports the continuation of ISEE and makes the following four recommendations:

- Seek out collaborations with small industries in Ohio through SBIR/STTR opportunities;
- Evolve the research to include non-fossil fuel work;
- Continue to foster a collaborative approach to their efforts. Collaboration should include exploration of causal interactions among the individual program research areas (e.g., use of coal, impact on air quality and the development of alternative fuels);
- Explore opportunities in creating research capabilities at the Russ Research Center in Beavercreek, OH to grow the relationship with Air Force Research Labs located at Wright Patterson AFB, Ohio.

Dean/VPRCA Comments: As per the Dean, “efforts mesh well with the college's emphasis on energy and the environment and the efforts of the greater university to emphasize energy sustainability and responsible environmental stewardship.” The VPRCA agrees with the Dean that “each of the three centers/institutes has specific, well-formulated plans for research directions and probable funding over the next few years and … will continue to be successful and viable into the foreseeable future.” The Institute should be continued.
OMNI was established in 1979; in 2008 the scope and direction was dramatically restructured to improve the diagnosis, treatment, and prevention of musculoskeletal and neurological disorders. OMNI has strong programmatic efforts in two research programs: 1) musculoskeletal pain and injury (primary focus on rehabilitation), and 2) healthy aging (primary focus on frailty and fractures).

Between 2014 and 2018, OMNI brought in $12.4M (extramural funding: $11,495,434 and internal funding: $915,390). This represents a 230% increase in external funding from the prior five-year period. OMNI Principal Investigators and Junior Scholars published 204 peer-reviewed PubMed-referenced articles between 2014-2018, a 39% increase from the prior five-year period. Currently, OMNI has six principal investigators, three junior scholars, a medical director, and more than a dozen affiliated scientists. The current team of Principal Investigators and Junior Scholars has, collectively, published more than 600 articles over the course of their careers. Funding from OHIO’s Innovation Strategy program, which funded the project “Innovative Strategies for Diagnosis of Osteoporosis and Prevention of Fractures,” has resulted in commercialization and licensing of the technology to a startup company, AEIOU Scientific LLC.

OMNI’s central tenet is to facilitate world-class, cutting edge research within its scope. To this end, OMNI provides financial resources to pilot projects, start-up funding/resources to new faculty, and mentorship and professional development support to its affiliated faculty (namely its Junior Scholars). The Institute works to build research infrastructure and aims to create a scientific environment conducive to scholarly success.

The review committee strongly supports the continuation of OMNI and recommends:

- The college and university continue to fund OMNI at its present levels of support.
- OMNI take a fresh look at its mission, in light of changes to its portfolio of researchers over the past few years.
- Thinking about whether entrepreneurship should be part of the mission.
- Consider including education and junior scientist training as part of the mission.
- In lieu of an advisory board, which the director believes is beyond the resources of OMNI (time and money), OMNI should make a concerted effort to seek counsel from visiting outside experts while they were on campus.
- OMNI should consider a formal retreat with aligned researchers to discuss all of these issues and recommendations.

Dean/VPRCA Comments: The VPRCA agrees with the Dean that the Institute should be acknowledged for “an impressive array of accomplishments over the past five years.” The Institute should be continued.
VICE PRESIDENT FOR RESEARCH & CREATIVE ACTIVITY
Appalachian Rural Health Institute (ARHI)

ARHI was established in 2003 to improve the health status and quality of life for rural Appalachian populations by fostering interprofessional research, community outreach, and education through collaborative partnerships that empower university and community stakeholders.

The Institute currently consists of 10 Affiliated and Active Research Faculty—eight from Health Sciences and Professions (CHSP), and one each from the colleges of Medicine and Arts and Sciences. In addition, there are seven faculty—four from CHSP, and one each from the College of Business, University Libraries, and the Patton College of Education who lead curricular efforts.

Over the past five years, ARHI’s leadership changes have hampered the Institute’s ability to develop both a clear focus and sustainable funding model. The extramural grants received, $206,500 from 2014-present, are not enough to maintain operations. In FY 2018, the Dean of CHSP made a one-time time strategic investment in the Institute to establish a director and a path of sustainability for the Institute. This investment provided funds to hire a non-tenure track faculty member dedicated to Appalachian Studies, hire an 0.3 FTE director for ARHI, and pay for a 0.2 FTE of a community-based research staff member; support for an administrative staff person (2-3 hours/week); and funds for numerous community-based projects. The Institute’s Director has been the driving force behind ARHI’s successes during this evaluation period.

The review committee recommends that the Institute continue but spend the next year clarifying its strategic direction, particularly in light of the other institutes, initiatives, alliances, certificates, and programs already in existence. After clarifying a strategic direction, the following actions are suggested:

- Establish a clear leadership structure with specific workload responsibilities;
- Articulate an annual budget leading to sustainability and based on current budget models in the University;
- Improve ARHI’s online presence to serve both university and community stakeholders;
- Recruit additional affiliated members from a wider range of university programs;
- Explore workforce development as an outcome of student engagement activities;
- Evaluate the administrative home for ARHI as being housed through the Vice President for Research and Creative Activity Office versus the College of Health Sciences and Professions.

Dean/VPRCA Comments: The VPRCA agrees with the committee’s assessment of the long-term fluctuations in focus, leadership, research and curricular direction. Through strategic investment, CHSP has provided some stability to the Institute, as they build a more sustainable model. In light of the review committee’s suggestions, substantial investment from the CHSP and ARHI’s focus on developing curricular funding strategies and opportunities to build upon relationships within that college, the VPRCA has negotiated with Dean Leite to transition oversight of ARHI from VPRCA to CHSP. The Institute should be continued.
Contemporary History Institute (CHI)

The Institute was founded in 1987 with a mission to provide a nationally unique program of education that trains graduate students to use historical perspectives in analyzing recent domestic and international affairs (1917-present) and contemporary policy issues. CHI hosts a speaker series; a lunch series, largely attended by graduate students in which faculty bring an historical perspective to headline-generating issues; and the annual Baker Peace Conference, a two-day conference that focuses on a different topic each year and attracts world-renown experts from history and related fields.

Approximately 30 faculty members are formally affiliated with the Institute and ~ 15 actively participate in CHI events. The Institute is run by the director, in conjunction with an eight-member executive committee comprised of two faculty members from the History Department; the History Department Chair and Graduate Director; one representative each from Economics, Journalism, and Political Science; and one at-large elected member.

In 2018-19, CHI’s budget of $182,500 funded student fellowship stipends, the director’s administrative stipend ($5,000), the salary of a part-time administrative associate, a half-time events coordinator’s salary, travel expenses and honoraria for visiting speakers ($5,800), and a travel fund primarily for student research trips and conference presentations.

The review committee strongly supports the continuation of the Institute and recommends:

1) Working with the Research Division staff to identify internal and external grant opportunities to enhance the center.
2) Creating persistent, archival publications in conjunction with Baker Peace Conference and considering working with the Ohio University Press.
3) Working with academic and administrative units to identify stipend enhancements or other means to make CHI offers more competitive.
4) Considering increasing shared topics and a common set of readings on contemporary historiography in the graduate seminars.
5) Considering a more flexible curriculum so MA students outside of History can enroll in CHI courses/the CHI certificate program.
6) Ensuring continual maintenance of Sing Tao House, the current home of CHI.
7) Increasing financial support for CHI. Note, as per the Dean, this may be done through seeking external grant funding.
8) Working with the new VP for Marketing and Communication to increase CHI’s visibility regionally, nationally, and globally.
9) Linking with top schools in the region to jointly invite top quality colloquia speakers to give multiple colloquia while they are in the region.
10) Recording important lectures to build a unique collection of talks from leading experts. Consider distributing via podcasts produced in conjunction with WOUB Public Media.

Dean/VPRCA comments: The VPRCA agrees that the Contemporary History Institute is one of Ohio University’s “crown jewels.” The Institute should be continued.
Recommendation to Move Center/Institute to Academic Review:

Schey Sales Center:
Dean Sherman of the College of Business has requested that the Center, which has a predominantly academic focus, be switched from the Center/Institute Review conducted by the Research Division and overseen by the Board of Trustees to the academic review as part of the College.

Center for Public and Social Innovation
Dean Weinberg of the Voinovich School has requested that Center, which is still in development and will have a largely academic focus, be switched from the Center/Institute Review conducted by the Research Division and overseen by the Board of Trustees to the academic review as part of the College.

Institute for Democracy in Education
Dean Middleton of the Patton College of Education has requested that Institute, which has predominantly academic and professional development foci, be switched from the Center/Institute Review conducted by the Research Division and overseen by the Board of Trustees to the academic review as part of the College.

George Hill Center for Counseling and Research
As per Dean Middleton of the Patton College of Education, the role of the Hill Center, as a place for counseling education students to gain experiential learning, is essential for the accreditation of the Counseling program. Recently the College re-assessed the current role of the Hill Center and its status as a Research Center. Based on this, the Dean Middleton has requested that the Center be switched from the Center/Institute Review conducted by the Research Division and overseen by the Board of Trustees to the academic review as part of the College.

The VPRCA agrees that the Centers and Institutes should be transitioned to the academic review, effective immediately.

Recommendation to Discontinue Center/Institute

Center for Intelligent Chemical Instrumentation (CICI)
Dean Shields of the College of Arts and Sciences has requested that the Institute be discontinued, as the Institute is no longer active. CICI has undergone considerable evolution in recent history, and CICI Director Pete Harrington has concluded that the current center structure is not optimal for supporting the future activities of its members. Based on this input, the Dean recommends discontinuation of CICI, effective immediately.

Center for Electrochemical Engineering Research (CEER)
Dean Wei of the Russ College of Engineering and Technology has requested that the Center be discontinued as the Director has left the university to take a position at another institution. The research and research infrastructure of CEER will transition back to the Institute for Sustainable Energy and the Environment, where it was originally constituted prior to becoming a free-standing center.

The VPRCA agrees that the Centers should be discontinued with an immediate effective date.
COLLEGE OF BUSINESS
ESTABLISHMENT OF NEW CENTER
CENTER FOR CONSUMER RESEARCH AND ANALYTICS

RESOLUTION 2019 –

WHEREAS, the College of Business has proposed the establishment of the Center for Consumer Research and Analytics, and

WHEREAS, the proposal for the Center for Consumer Research and Analytics has been reviewed and is supported by the dean and the Executive Vice President and Provost, and

WHEREAS, the center goal is “is to provide opportunities for students across the University to engage in high-impact, authentic, learning experiences focused on consumer research projects, many of which will utilize data analytics serving industry partners,” and

WHEREAS, this academic center “will engage in multiple, interrelated initiatives designed to promote interactions between industry, students, and faculty”, and

WHEREAS, the center leadership, fiscal resources and sources of funding, and designated space and equipment needs have all been identified.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University approves establishing the Center for Consumer Research and Analytics in the College of Business.
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Chaden Djalali, Executive Vice President and Provost
Howard Dewald, Associate Provost for Faculty and Academic Planning

Re: Center for Consumer Research and Analytics – Center Establishment

A resolution is included seeking board approval to establish the Center for Consumer Research and Analytics in the College of Business. The academic center development proposal materials are presented. College of Business Dean Sherman and the Executive Vice President and Provost support approval.

Contributions of the center to university strategic initiatives involve “providing high-impact learning opportunities to students, increasing the University’s local, regional, and national visibility, developing additional corporate partners to provide opportunities for OHIO students to apply for premium internship and job opportunities.”

The center concept has been successfully tested during a three-year pilot in which students have provided consumer insights to more than a dozen partners.

Funding sources include client partner donations and sponsorships, course enrollment, and individual donations. Space and equipment have already been allocated in Copeland Hall. Personnel to support the center have already been identified and hired.
Date: September 12th, 2019

To: The President and Board of Trustees

From: Hugh Sherman - Dean, College of Business

Re: Center for Consumer Research and Analytics – Center Establishment

On behalf of the College of Business, I fully support the September 23rd resolution to establish a Center for Consumer Research and Analytics. The Center is a collaboration between the Department of Marketing and the Analytics and Information System department. It provides outstanding learning opportunities for students inside and outside the classroom to engage in consulting projects with major corporations. Students from any discipline within the College, as well as students outside the College (through a new certificate program) can participate.

During the three-year pilot, student projects have included major consumer products, financial services, technology and sports related firms. The Center allows the College to further develop the number of corporate partnerships as well as the depth of those relationships. These partnerships help us to provide additional important learning experiences for our students as well as internships and permanent placement opportunities. The Center has had a positive impact on:

i) Student experiential learning opportunities and professional development
ii) Student internships and placement
iii) Company engagement and collaboration
iv) Opportunities for faculty research

The Center has established a business model that includes client donations and sponsorships, and individual donations. The College of Business is committed to providing space, necessary equipment and resources in Copeland Hall and dedicated faculty support has been hired.

Thank you for considering the resolution supporting its establishment.

[Signature]

Dean Hugh Sherman
College of Business, Copeland Hall
The purpose of this document is to request the establishment of the **Center for Consumer Research and Analytics (CRA)** in the College of Business at Ohio University. The CRA is intended to be an interdisciplinary center housed within the College of Business with opportunities for students across the University. The central function integrates initiatives in the Department of Marketing, Department of Analytics & Information Systems, and the Department of Sports Administration yet also extended to include opportunities beyond the College of Business. The proposal formalizes and expands the College of Business’s **Consumer Research Center Initiative**, which was a three-year pilot program developed to test the concept.

**EXECUTIVE SUMMARY**

The goal of the CRA is to provide opportunities for students across the University to engage in high-impact, authentic, learning experiences focused on consumer research projects, many of which will utilize data analytics serving industry partners. The Center will support a Research Fellows Program, academic certificate programs available for students across the campus, professional development events and projects for individual courses and across programs.

The Center is being modeled after the Walter Center for Strategic Leadership and the Ralph & Luci Schey Professional Sales Centre. Similar to these two academic centers, the CRA will develop corporate partnerships to provide research projects in return for financial support or donations. Based on our past experiences, we expect that many of these corporate partners will provide students working at the center internship and permanent placement opportunities.

This concept has been successfully tested during a three-year pilot in which students have provided consumer insights to more than a dozen partners including J.P. Morgan Chase, Dairy Queen, Dick’s Sporting Goods, Donato’s, Wendy’s, Rocky Brands, Smucker’s, Kellogg’s, and Kroger / 84.51°.

As a Center of Excellence in the College of Business, the CRA will engage in multiple, interrelated initiatives designed to promote interactions between industry, students, and faculty in order to:

1. Enrich student learning experiences through high-impact teaching practices;
2. Engage students in authentic problem-solving through co-curricular experiential learning;
3. Facilitate faculty-mentored student research opportunities;
4. Develop students’ analytical skills competencies; and
5. Build mutually beneficial relationships with client partners.

The potential contributions of the CRA to OHIO’s strategic initiatives involves providing high-impact learning opportunities to students, increasing the University’s local, regional, and national visibility, developing additional corporate partners to provide opportunities for OHIO students to apply for premium internship and job opportunities.

Funding sources include client partner donations and sponsorships, course enrollment, and individual donations. Space and equipment have already been allocated in Copeland Hall. Personnel to support the center have already been identified and hired.
SECTION A: STATEMENT OF NEED

Globally, the demand for data and analytics talent is growing. According to the US Bureau of Labor Statistics (2018), the job outlook growth for market research analysts is forecasted to be 23% (2016-26).\(^i\) Likewise, the job outlook growth for computer and information research scientists is forecasted to be 19% (2016-26).\(^ii\) By 2020, Burning Glass and IBM predict that the number of positions for data and analytics talent in the US will increase by 364,000 openings to a total of 2,720,000.\(^iii\)

More specifically, the demand for data-literate business professionals continues to grow. For example, data-driven decision makers such as IT Project Managers and Marketing Managers need data-literacy to be able to leverage data to inform strategic and operational decisions. According to Burning Glass and IBM (2017), the projected five-year growth for data-driven decision makers is 14% with a forecasted 922,428 open positions in 2020 with an average annual salary of $80,265.\(^iv\) Similarly, functional analysts such as Business Analysts and Financial Analysts need data-literacy to be able to use data and analytical models to inform specific functions and business decisions. According to Burning Glass and IBM (2017), the projected five-year growth for functional analysts is 17% with a forecasted 901,743 open positions in 2020 with an average annual salary of $69,162.\(^v\)

However, the demand for talent is not limited to positions focused solely on data and analytics. Instead, industry analysts argue that organizations’ need for data-literate professionals across the organization is growing. According to Gartner (2018), data literacy – the ability to read, write, and communicate data in context – is among the most important abilities for organizations today.\(^vi\) According to a U.S. Data Literacy Survey conducted by Censuswide on behalf of Qlik, a leader in data analytics, 63% of large businesses plan to increase the number of data-literate employees.\(^vii\) Unfortunately, only one-third of all workers in the US feel confident in their data literacy skills.\(^viii\)

As a specific type of analytics, consumer (or customer) analytics refers to the processes and technologies that give organizations the customer insight necessary to understand the composition, needs, and satisfaction of its customers. McKinsey (2018) argues that companies can use customer-data platforms to build a rich view of the customer, mine data to act on signals, craft the right offers, messages, and experiences at speed, and deliver experiences across consumer-engagement platforms.\(^ix\) Gallup (2018) found that organizations that leverage customer behavioral insights outperform peers by 85% in sales growth and more than 25% in gross margin.\(^x\)

CRA Statement of Purpose

Among other skills and individual characteristics, data literacy is a key attribute that employers seek on students’ resume. The National Association of Colleges and Employers (NACE) *Job Outlook 2018* survey found that 67.5% of all employers identified “analytical / quantitative skills” as a skill they most value when reviewing student resumes.\(^xi\) Other valued skills were problem-solving (82.9%), ability to work in a team (82.9%), written communications (80.3%), leadership (72.6%), and verbal communications (67.5%).\(^xii\) Individual characteristics employers valued also included a strong worth ethic (68.4%), initiative (67.5%), detail-oriented (64.1%), and flexibility / adaptability (60.7%).
As such, the goal of the CRA is to offer high-quality, applied learning experiences focused on generating consumer insights through consumer behavior analysis and customer analytics. The CRA Statement of Purpose is:

1. To provide opportunities for students to explore intellectual curiosities about consumers through client-sponsored consumer research and consumer analytics projects;
2. To provide authentic learning experiences for students to develop skills in analytical / quantitative reasoning, problem-solving, written and verbal communications, and teamwork;
3. To provide learning environments that allow students to demonstrate a strong work ethic, initiative, detail-orientation, and flexibility / adaptability;
4. To bring together students and business professionals with a common purpose of creating mutually-beneficial work product; and
5. To create new knowledge about consumers.

Partner Feedback and Graduate Testimonials

OHIO’s network of industry partners and graduates involved with the Consumer Research Center Initiative (CRCI) have provided valuable insights into the foundations of the proposed center. Feedback from our corporate partners reflects the value OHIO student work can provide to organizations.

“The CRC team at Ohio U. provides us the voice of the student, which is a unique and extremely valuable resource for our work on capturing the student-consumer segment. Dr. Hiler and his students are always willing to take on our project requests, and they never fail to impress when they come to our office and present their findings.”
~ Brent Shaw | Market Research Manager | J.P. Morgan Chase & Co.

“Your presentation and results made it clear there are ways to engage with students in an effective way. The association looks forward to using your recommendations to strengthen and build relationships with college students.”
~ Caitlin Purk | Public Policy and Outreach Manager | The Alzheimer’s Association

“Thanks again for the opportunity to work with the CRC and the talented group of students that were involved in this project. We got great value from the presentation and are looking forward to digging into the report for additional insights that we can develop further. We were impressed with the caliber of the work and the enthusiasm of the students. Thanks also for the opportunity to work with you, Mary and the CRC. I am sure we will reach out to you with another research concept in the future!”
~ Eric Lavenger | Executive Vice President - Strategic Initiatives | International Dairy Queen

“Please pass along both my compliments and appreciation to the students. The CRC was able to pinpoint many of our challenges with this age group and offered some insightful and compelling solutions that helped validate some of our ongoing theories and spark some new creative ones! I look forward to our next opportunity to work together.”
~ Ben Weisel | Manager - Digital Insights, Strategy, & Innovation | Dick’s Sporting Goods

“REALLY GREAT presentation by the OU team again. Always such great information and they’re such professionals for their ages.”
~ Tara Fowler | Chase Consumer Banking - Retail Marketing
“Thanks again, and congratulations to the team for a job well done. It was extraordinary!”
~ Carolyn Butler | Executive Director of Brand Marketing | Donatos

“Ohio University has been an invaluable partner in helping us dive deeply into the mindset of the Student market. We have a great partnership, and the team at O.U. is a pleasure to work with.”
~ Tim Poland | Executive Director, Market Research | J.P. Morgan Chase & Co

Similarly, insights from recent graduates underscore the potential impact of the CRA.

“The Consumer Research Center Initiative enabled me to explore the world of consumer insights in a way that has been vital to early success in my career. Working directly with major corporations to build and execute custom consumer research projects was a key differentiator for me during my career search. Through the CRCI, I learned research methods used by experts in the industry, sharpened my critical thinking and collaboration skills, and most notably, got a true taste for real business consulting outside of the college’s cluster simulations. I would absolutely not be where I am today without the CRCI.”
~ Cole Decker | Senior Customer Strategy & Activation Consultant, 84.51°
2016 OHIO Alumnus, CRCI Founding Fellow, and HTC Graduate

“Joining the Consumer Research Center Initiative was one of the most beneficial decisions I made in my collegiate career. The CRCI faculty taught me the importance of storytelling through data and how to turn insights into actionable business results. I had the opportunity to work with real-world clients ranging from startups to Fortune 500 Companies and presented to executives across the state of Ohio. I can confidently say that the Consumer Research Center Initiative has allowed me to distinguish myself among my marketing peers, and I would highly recommend it to any student interested in marketing or consumer behavior.”
~ Jensen Green | Market Analyst, J.M. Smucker Company
2018 OHIO Alumnus, CRCI Fellow, and CoB Graduate in Marketing & Data Analytics

**SECTION B: CENTER STRATEGY AND INITIATIVES**

The OHIO Center for Consumer Research and Analytics (CRA) seeks to advance education and research that builds an understanding of consumers through research and analytics. It is designed to promote interactions between industry, students, and faculty in order to:

1. Enrich student learning experiences through high-impact teaching practices;
2. Engage students in authentic problem-solving through co-curricular experiential learning;
3. Facilitate faculty-mentored student research opportunities;
4. Develop students’ analytical skills competencies; and
5. Build mutually beneficial relationships with client partners.

The CRA intends to achieve its goals through the following curricular and co-curricular initiatives.

**Initiative 1: High-Impact Teaching Practices**
Goal: The CRA will strive to promote high-impact teaching practices by connecting faculty, students, and staff with consumer-based applied learning opportunities. Learning opportunities may include (but are not limited to) live-client case studies, real-time research projects, field research, and collaborative assignments.

Strategy 1.1: Undergraduate Course-Level Opportunities

The CRA will strive to provide support for faculty and students to engage in high-impact teaching practices in undergraduate courses. The following are examples.

<table>
<thead>
<tr>
<th>Type of Engagement</th>
<th>Example Courses</th>
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<tbody>
<tr>
<td>Live-client research projects: semester-long,</td>
<td>MKT 3440: Consumer Research</td>
</tr>
<tr>
<td>client-sponsored primary data research projects</td>
<td>MKT 3790: Marketing Research</td>
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<td></td>
<td>SASM 4500: Senior Seminar in Sports Management</td>
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<tr>
<td>Applied research assignments: course-embedded,</td>
<td>MKT 3020: Consumer Marketing</td>
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<tr>
<td>client-centric consumer insight assignments</td>
<td>MKT 4440: Consumer Behavior</td>
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<td></td>
<td>QBA 3720: Predictive Analytics</td>
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<td></td>
<td>QBA 4720: Prescriptive Analytics</td>
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<td></td>
<td>MKT 4700: Marketplace Analytics</td>
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<tr>
<td></td>
<td>SASM 4900: Sports Analytics</td>
</tr>
<tr>
<td>Live-client case studies: course-embedded,</td>
<td>MIS 3200: Systems Development</td>
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<tr>
<td>client-sponsored simulated analytics projects</td>
<td></td>
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<tr>
<td>Information systems development: course-embedded,</td>
<td></td>
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<tr>
<td>client-centric data systems</td>
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</tbody>
</table>

Strategy 1.2: Undergraduate Capstone Experiences

The CRA will strive to provide support for faculty and students to engage in capstone experiences as signature work. According to AAC&U (2013), capstone courses and projects are culminating experiences that require students nearing the end of their college years to create a project of some sort that integrates and applies what they’ve learned. As a high-impact activity, AAC&U (2013) argues that senior, culminating experiences provide deep, general, personal, and practical learning. Furthermore, they reflect high-levels of academic challenge, promote active / collaborative learning, and encourage student-faculty interactions. Unfortunately, research indicates that only one-third of graduates complete capstone work and only about 20% of students report doing undergraduate research.

CRA will make efforts to work with clients, faculty, and students to develop projects for signature work or capstone experiences. Such experiences may be delivered through independent (or small-group) research, required capstone courses, or co-curricular student organizations. In all cases, projects will include exploration of issues from multiple perspectives, applications of learning to real-world situations, substantial writing, multiple kinds of reflection on learning, and visible results.

Examples of capstone courses with opportunities to embed live client consulting projects as capstone include but are not limited to:

- MKT 4630: Marketing Strategy (annual enrollment ≈ 230)
- MIS 4200: IS Consulting Project (annual enrollment ≈ 150)
- SASM 4500: Senior Seminar in Sports Management (annual enrollment ≈ 90)
Strategy 1.3: Analytics Data-Sets and Industry Analysis Competitions

The CRA will engage both existing center clients as well as other data-intensive organizations to find data analysis opportunities for our analytics students. Faculty already partner with organizations in financial services, insurance, and other industries to get data sets (often edited or anonymized to protect key company and customer information) that are used by students for data analysis projects throughout the analytics program.

Companies are increasingly interested in sharing data like this, as it gets students thinking about their businesses and industries. As part of our center strategy, we will build up multiple data sets in industry areas (initial targets are the financial services, insurance, and manufacturing industries), then we will pilot a series of analysis competitions where select students will have the opportunity to present their analyses of these data sets to the organizations they came from. We will ask for support from participating organizations to support student travel for the presentations and scholarships for the top presentations.

Strategy 1.4: Undergraduate Certificates and Minors

There are several undergraduate certificates and minors that will be supported by the CRA.

*Consumer Research Certificate.* The CRA will sponsor Consumer Research Certificate, which will provide an opportunity for undergraduate students to develop research skills through in-depth experiential learning courses focused on live-client consumer research projects.

Admission to the consumer research certificate program is competitive. For consideration, applicants will be required to submit a completed application form, a copy of their most recent DARS indicating an overall GPA of at least 3.00, and a resume which demonstrates characteristics supportive of a successful consumer research career. In addition, an interview is required.

To complete the program, students must earn 18 credit hours. Required courses (15 credit hours) include QBA 2720: Business Analytics (3), MKT 3440: Consumer Research (3), MKT 3790: Marketing Research (3), MKT 4440: Consumer Behavior (3), and MKT 4940: Independent Research (3). Through required courses, students will have completed at least three, semester-long consumer research projects for live-clients. As such, the certificate emphasizes experiential learning. Students must also select one cross-disciplinary elective from a list of research-focused courses in disciplines such as African American studies, Anthropology, Communications, Psychology, or Visual Communications.

Students who earn a consumer research certificate will be positioned for entry-level positions as market research analysts. Market research analysts study market conditions to examine potential sales of a product or service; they help companies understand what products people want, who will buy them, and at what price.

*Business Analytics Minor.* The CRA will support courses for the Analytics minor, which provides students with hands-on experience of statistical tools used in the business environment using data supplied by industry partners.
Admission to the business analytics minor is open to all OHIO undergraduate students. To complete the minor, students must earn 15 credit hours. Required courses (6 credit hours) include QBA 1720: Intro to Information Analysis and Descriptive Analytics (3) and QBA 2720: Business Analytics (3). Students select 3 of 4 elective courses (9 credit hours) including MIS 2800: Business Intelligence and Information Management (3), MIS 4580: Advanced Business Intelligence (3), QBA 3720: Predictive Analytics (3), and QBA 4720: Prescriptive Analytics (3).

**Strategy 1.5: Graduate Programs**

The CRA will strive to provide support for faculty and students to engage in high-impact teaching practices in graduate courses and programs. The following are examples.

<table>
<thead>
<tr>
<th>Type of Engagement</th>
<th>Example Courses</th>
</tr>
</thead>
</table>
| Live-client research projects: semester-long, client-sponsored primary data research projects | MBA 6350: Marketing Strategy  
SASM 6900: Capstone Seminar in Sports Administration |
| Applied research assignments: course-embedded, client-centric consumer insight assignments | MBA 6490 Predictive Analytics II  
Business Analytics Practicum (1 credit hour) |
| Live-client case studies: course-embedded, client-sponsored simulated analytics projects | MBA 6460: Strategic Use of Business Analytics          |
| Information systems development: course-embedded, client-centric data systems | MBA 6360: Strategic Use of Information |

Similarly, the CRA can help support data analytics resource needs for graduate programs broadly including:

- Master of Business Analytics (MBAn)
- Online Master of Business Administration (MBA) with a Concentration in Business Analytics  
- Professional Master of Business Administration (MBA) with a Concentration in Business Analytics  
- Business Analytics Certificate  
- Advanced Business Analytics Certificate

**Initiative 2: Co-Curricular Experiential Learning**

**Goal:** The CRA will strive to provide students with opportunities to engage authentic problem-solving through experiential learning. Guided by the experiential learning cycle (i.e., experience, reflect, conceptualize, and experiment), the CRA will develop students’ abilities to transform consumer data into consumer insights. Specifically, students will develop consumer insights by conceptualizing, designing, executing, and analyzing consumer-based projects with live clients.

**Strategy 2.1: CRA Fellows**

CRA will strive to offer a CRA Fellows program. Students enrolled in the CRA Fellows program will be eligible to complete the Consumer Research Certificate.
CRA faculty will train and guide student research fellows to work with client partners to conduct consumer research in the field using a variety of mixed-method research and analytical tools. Fellows will be provided with opportunities to present consumer insights to client partners. Under the Consumer Research Center Initiative, this model has been effectively tested and executed with dozens of corporate partners including JP Morgan Chase, Grange Insurance, Smucker’s, Kellogg’s, Rocky Brands, Russell Athletic, Wendy’s, White Castle, and Dairy Queen.

Strategy 2.2: Student Organization Research & Analytics Engagement

Through communications with faculty advisors, the CRA will strive to identify and recruit opportunities for guest speakers, student projects, and field experiences for student organizations. Examples of student organizations include:

- **Information Systems and Analytics Professionals (ISAP)** is a student-run organization geared toward MIS and Business Analytics majors within Ohio University's College of Business. They host weekly meetings where members network with industry professionals, learn about technology trends and gain insights about the skills sought by employers. ISAP helps to develop passionate young adults who are ready to learn and share their knowledge to help businesses leverage technology in a dynamic environment.

- **OHIO Sports Analytics Team** is a body for undergraduate students focused on deliberating developments in the field of sports analytics, providing hands-on experience with statistical data and information systems, competing in national case competitions, and preparing members for life in the industry. As part of a club activity, students complete client-sponsored sport analytics projects.

- **The American Marketing Association (AMA)** is a community for marketers that offers many benefits such as career resources, platforms for professional development and experiential learning, execution of chapter events, leadership development, and participation in numerous competitions.

- **Professional Networking Group** is an organization that strives to help its members succeed. Our goal is to help each member get their dream job. It teaches students how to navigate the job market and how to achieve occupational goals. It allows members to meet industry professionals and build connections with real employers for high profile companies.

Initiative 3: Faculty-Mentored Student Research Opportunities

The CRA will strive to facilitate faculty-mentored student research opportunities. CRA faculty will actively work with client partners and the University to provide students with independent research, independent study, and/or internship experiences focused on consumer research and analytics. CRA faculty will coordinate with students to develop and execute independent and small-group basic or applied research projects.

Strategy 3.1: Independent Research

Through one of the independent research courses (e.g., MKT 4940, MIS 4940), the CRA will strive to develop opportunities for faculty and students to work with client partners on independent or small-group research projects. Projects may include primary data collection (e.g., survey, interviews, focus
groups, observation, psychological responses) and/or analytics (e.g., descriptive, predictive, prescriptive). Under the guidance of faculty experts, students may produce basic research or applied research across a variety of industries.

**Strategy 3.2: Internships**

Through cooperation with the College of Business’s Career & Student Success Center, the CRA will strive to identify and recruit internship and co-op opportunities for students. The College of Business Career & Student Success Center will partner with the CRA to support student career management. Career coaches will provide tailored guidance to CRA students to best highlight market research and analytics experiences in resumes and cover letters and support students through the job search process. Employer relations will identify and partner with organizations offering market research and data analytics opportunities.

Current organizations recruiting for market research specifically include J.D. Power and Associates, CDW, Canon, and HubSpot. These internship and co-op opportunities seek students that:

- “[have] an eagerness to understand market research...to help bring data to life.”
- “[can] compile, analyze, and summarize customer/product data.”
- “[can] effectively design, building, and execute surveys that inform how to bring new products to market.”

Expected growth in market research as predicted by the Bureau of Labor Statistics, Burning Glass, and IBM will result in a rapid increased internship and co-op opportunities for students. The CRA will provide Ohio University students a crucial advantage in secure these employment opportunities.

**Initiative 4: Student Analytical Competencies**

The CRA will strive to develop and assess students’ analytical skills and competencies. Specifically, learning experiences will be designed and assessed for the achievement of the following learning outcomes:

- **Critical Thinking**: The ability to comprehensively explore issues, ideas, artifacts, events, and data before accepting or formulating opinions and conclusions.
- **Information Literacy**: The ability to determine the extent of information needed as well as to identify, locate, evaluate, use, and share information effectively and responsibly for the problem at hand.
- **Problem-Solving**: The ability to use processes for designing, evaluation, and implementing a strategy to answer a question or achieve a desired goal.
- **Inquiry and Analysis**: The ability to use systematic processes to explore issues, objects or works through the collection and analysis of evidence that results in informed conclusions or judgments and the ability to break complex topics or issues into parts to gain a better understanding.
- **Quantitative Literacy**: The ability to use reason and solve problems using a wide array of numerical data from authentic contexts and business situations.
- **Teamwork**: The ability to work effectively in teams, including sharing ideas that advance the team, supporting and leading other team members, and fostering a constructive team environment.
Assessment of the achievement of learning goals will be measured across learning experiences and throughout the learning journey.

**Initiative 5: Relationships with Client Partners**

The CRA will strive to develop and maintain mutually beneficial relationships with client-partners. Students, faculty, and staff should benefit from both the learning experiences as well as from the achievement of student learning outcomes. Client partnerships should benefit from consumer insights gleaned from student work product.

**Strategy 5.1: Educational Experience Sponsorship**

The CRA will strive to serve as a point of contact for those seeking educational research partnerships between the College of Business and consumer-based client partners. Faculty, students, and staff seeking client partners will work with CRA faculty to develop proposals for curricular and co-curricular opportunities. Through consultation with CRA faculty, the CRA will match client partners with existing and potential curricular and co-curricular opportunities for engagement.

**Strategy 5.2: Fellow Sponsorship**

The CRA will strive to recruit sponsorships for the CRA Fellows program. Depending on sponsorship interests and student demographics, fellow sponsorship may involve a corporate-named fellow (e.g., JP Morgan Chase CRA Fellow), an association-named position (e.g., Marketing Advisory Board CRA Fellow), or an individual-named fellow (e.g., Sherman CRA Fellow). The goal would be for the client to sponsor individual student learning experiences.

**Strategy 5.3: Advisory Board**

Through an advisory board, including department chairs across the college and university as well as industry professionals, the CRA will strive to include input from academic and industry leaders in order to continuously improve the CRA. The role and responsibility of the advisory board will include:

- Making recommendations to help assure that the program addresses employment and educational needs of business, industry, labor, and/or the profession;
- Realistically assessing the labor market demand for program graduates;
- Advising the program to ensure it produces graduates with the skills required to meet employment needs;
- Assessing the currency of curriculum and teaching practice;
- Serving as advocates of the CRA;
- Assist in identification and acquisition (when appropriate) of external funding and resources to support the students and program (scholarships, program materials, and other resources);
- Identifying and presenting opportunities and/or host opportunities for student capstone projects or experiences; and
- Assisting with the placement of program graduates.
**SECTION C: CENTER VALUE TO OHIO UNIVERSITY**

OHIO’s mission and vision underscore the centrality of student transformation through the learning experience. Core values include strong undergraduate programs, integration of research into undergraduate curricula, active engagement, and learning through curricular and co-curricular experiences. The CRA will strive to uphold OHIO’s mission, vision, and core values by offering learning experiences to allow the achievement of student learning goals.

The CRA will strive to add value to Ohio University through increased student learning, university visibility, student placement, and donations.

**Value Proposition 1: Experiential Learning**

The CRA will strive to add value to OHIP by providing high-impact learning opportunities to students. By combining two of AAC&U’s high-impact practices (i.e., undergraduate research and collaborative projects), learning experiences offered by the CRA will enable students to gain applied knowledge, personal knowledge, and practical knowledge through deep learning. Furthermore, opportunities to participate in learning experiences as high-impact practices will emphasize high levels of academic challenge, intensive active and collaborative learning, and meaningful student-faculty interactions.

The CRA will also strive to add value to OHIO by emphasizing three of the eight OHIO Common Goals for all baccalaureate programs: critical thinking, quantitative reasoning, and teamwork. Student learning will be periodically assessed and evaluated for the achievement of student learning outcomes.

**Value Proposition 2: University Visibility**

The CRA will also strive to add value to OHIO by increasing the University’s local, regional, and national visibility. Students and CRA Fellows engaged in learning experiences with organizations increases OHIO’s visibility to those companies and provides opportunities for OHIO to display the talent of OHIO students. To date, classes and teams of students have already engaged in projects for Smucker’s, Kellogg’s, Grange Insurance, JP Morgan Chase, Donato’s, Kroger / 84.51°, Wendy’s, Dairy Queen, Russell Athletic, White Castle, Frog Ranch Salsa, B.Good, Alzheimer’s Association, Dick’s Sporting Goods, Flock Tailgating App, Gatesman, Northlich, OHIO Athletic Department, Rocky Brands, Root 23, OHIO Wellworks, Frisch’s Big Boy, and Donkey Coffee. Feedback from project partners has been extremely positive.

**Value Proposition 3: Student Placement**

The CRA will also strive to add value to OHIO by working with corporate partners to provide opportunities for OHIO students to apply for premium internship and job opportunities. In the face of increasing competition for premium internships and jobs, CRA’s live-client learning experiences and corresponding student learning outcomes may position OHIO students to compete with peers for sought-after internships and jobs effectively. To date, students who have benefited from their experiences have successfully earned internships or full-time jobs at Grange Insurance, MedPace, 84.51°, Burke Incorporated, Deloitte, Talen-X, Prosper for Purpose, Ibotta Incorporate, PNC Bank, Whirlpool, Walker
Sands Communications, Kingston Healthcare, Florida Panthers, Smucker’s, Dick’s Sporting Goods, Rocky Brands, and Abercrombie.

**Value Proposition 4: Organization and Individual Donations**

The CRA will also strive to add value to OHIO by enabling organizations and individuals to donate by sponsoring projects and other experiential learning opportunities, CRA Fellows, and the center in general. The goal will be to strive to achieve sponsor-funded programming within five years.

**SECTION D: PERSONNEL AND DEPARTMENTS**

The CRA is primarily a joint project between OHIO’s College of Business Department of Marketing and Department of Analytics & Information Systems. However, faculty from across the university will be encouraged to engage the CRA. Specific faculty positions include a center director, an academic coordinator, and two corporate relations coordinators.

**Center Director**

1. Facilitate student learning by organizing learning opportunities, resources, internships, and jobs opportunities in the areas of consumer research and analytics.
2. Plan and coordinate all CRA sponsored activities sponsored.
3. Develop and communicate timely, comprehensive reports (e.g., annual report).
4. Develop, implement, and continuously improve mechanisms and guidelines for students’ professional and academic development efforts.
5. Submit and manage timely, annual budgets.
6. Establish funding priorities and allocate annual spending.
7. Direct coordinators for the development and implementation of consumer research and analytics studies based on established priorities.
8. Work with resource partners and coordinators to develop topics of interest.
9. Participate in the development of external funding.
10. Encourage faculty involvement in CRA activities.

**Assistant Director for Academics**

1. Manage Fellow recruitment, application processes, interview processes, and selection processes.
2. Design and manage Fellow training, evaluation, and weekly meetings.
3. Administer the Marketing Department Research Participation system.
4. Assist faculty advisors / instructors with managing projects, including human subjects’ compliance, research ethics, and client relations.
5. Assist Director with discussions about requests for faculty-mentored student research.

**Assistant Directors for Client Relations** (one for Consumer Research and one for Analytics)

1. Recruit and renew client partners and sponsorships.
2. Manage ongoing client relations.
3. Collect and publish feedback / testimonials from client partners
4. Assist faculty advisors / instructors with managing projects, including human subjects’ compliance, research ethics, and client relations.
5. Assist Director with discussions about requests for faculty-mentored student research.

**SECTION E: FISCAL RESOURCES AND SOURCES OF FUNDING**

Sources of funding will include donations from client partners, course tuition dollars, and individual donations.

**Source 1: Client Partner Donations**

Client partners will be encouraged to provide financial donations specifically for sponsorships of live-client projects, live-client assignments, student fellows, field work, faculty-student research, and student awards. Annual opportunities and revenue goals will be established.

**Source 2: Course Enrollment**

Annually, the CRA will provide at least one section of a live-client undergraduate research course (MKT 3440: Consumer Research) and at least four sections of an advanced, small-group, live-client undergraduate research course (MKT 4940: Independent Research). Both courses will be three-credit hour courses. Enrollment per section in MKT 3440 is expected to be at least 24 students; enrollment per section in MKT 4940 is expected to be an average of three students per section. Credit hours generated from enrollment in CRA courses are expected to be 108 credit hours per year.

**Source 3: Individual Donations**

Alumni and other individuals will be encouraged to provide financial donations specifically for sponsorships of student fellows, co-curricular activities, faculty-mentored student research, and student awards. Annual opportunities and revenue goals will be established.

A projected budget is provided below.

**OHIO Center for Consumer Research and Analytics Proposed Budget**

<table>
<thead>
<tr>
<th>REVENUE</th>
<th>Year 1 (2019-20)</th>
<th>Year 2 (2020-21)</th>
<th>Year 3 (2021-22)</th>
<th>Year 4 (2022-23)</th>
<th>Year 5 (2023-24)</th>
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</thead>
<tbody>
<tr>
<td>Estimated Carryforward 2018-2019</td>
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<table>
<thead>
<tr>
<th>ESTIMATED REVENUE*</th>
<th>Year 1 (2019-20)</th>
<th>Year 2 (2020-21)</th>
<th>Year 3 (2021-22)</th>
<th>Year 4 (2022-23)</th>
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<tr>
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<td>ESTIMATED COSTS**</td>
<td>Year 1 (2019-20)</td>
<td>Year 2 (2020-21)</td>
<td>Year 3 (2021-22)</td>
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<td>CRA Director</td>
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<td>CRA Corporate Relations Coordinator</td>
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<tr>
<td>iMotions Technology</td>
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<td>$3,000</td>
<td>$3,000</td>
<td>$5,000</td>
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<tr>
<td>Research Technology Investment</td>
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<td>$5,000</td>
<td>$10,000</td>
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<td>$7,000</td>
<td>$7,000</td>
<td>$10,000</td>
<td>$15,000</td>
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<tr>
<td><strong>Total Estimated Costs</strong></td>
<td><strong>$35,000</strong></td>
<td><strong>$50,000</strong></td>
<td><strong>$70,000</strong></td>
<td><strong>$85,000</strong></td>
<td><strong>$100,000</strong></td>
</tr>
</tbody>
</table>

**Administration, Faculty and Support Salaries, Travel, Graduate Assistantships Equipment, Supplies, Other, etc.)

### SECTION F: SPACE AND EQUIPMENT

The CRA will be located in a suite of offices on the fourth floor of the College of Business. Faculty offices will be assigned to the Director, Academic Coordinator, and Client Relations Coordinator.

Additional space will be allocated within the suite for student teamwork, physiological response recording equipment (i.e., computer, monitor, and camera with eye-tracking and facial expression analysis software), video recording / editing equipment (i.e., computer, monitor, and video camera), and field research equipment storage (e.g., tablets, audio recording devices, video recording devices, microphones, headsets, wearable technology, etc.).

Physical space and measurement equipment as described already exist. In the future, additional space may be requested as the center grows. Technology will need to be regularly updated to ensure that physiological and video editing software is able to run appropriately on our lab computers. This will include the purchase and replacement of physical hardware every few years such as lab computers, new camera equipment, tablets, audio recording devices, eye tracking hardware, galvanic skin response (GSR) readers, and electroencephalogram (EEG) readers. These technology investments are captured in the proposed budget above as Research Technology Investment. It will also include licensing fees for our physiological equipment, captured in a separate line item above as iMotions Technology Support Cost.

### SECTION G: ADMINISTRATIVE CONTROLS AND LINES OF AUTHORITY

Similar to other CoB Centers of Excellence and in accordance with the CoB principles of shared governance, the Center will have dual administrative controls through the Office of the Dean and the Chairs of the sponsoring academic units (i.e., Department of Marketing and Department of Analytics & Information Systems).
The Office of the Dean will be responsible for oversight of the Center strategy, budget/spending, financial resource allocation, and space allocation.

Academic Department Chair(s) will be responsible for oversight of the curriculum, student learning outcomes, faculty leadership position staffing, and course staffing.

Center leadership will maintain authority and autonomy to make implementation decisions based on established priorities and resources. Decisions will include (but are not limited to) client partner recruitment, student fellow recruitment, faculty advisor recruitment, project selection, project planning, and resource spending.
REFERENCES


iv Burning Glass Technology (2017)

v Burning Glass Technology (2017)


viii Qlik (2018, October).


WHEREAS, the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions proposes to establish the Master of Science in Cardiovascular Perfusion; and

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

WHEREAS, the degree will be a partnership with Cleveland Clinic which has the faculty expertise and resources to deliver the instruction and supervision of students at Cleveland Clinic’s Miller Family Heart and Vascular Institute; and

WHEREAS, the Department of Interdisciplinary Health Studies will offer the online non-perfusion courses to the students in the program. The program is 53 semester credit hours; and

WHEREAS, the need for the program reflects increasing demands due to patient complexity and technological advances, and there is a need to train future perfusionists to be leaders in their discipline.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees of Ohio University hereby approves establishing the Master of Science in Cardiovascular Perfusion in the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions.
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Chaden Djalali, Executive Vice President and Provost
       Howard Dewald, Associate Provost for Faculty and Academic Planning

Re: College of Health Sciences and Professions – Department of Interdisciplinary Health Studies – Master of Science in Cardiovascular Perfusion

A resolution is included seeking board approval to establish the Master of Science in Cardiovascular Perfusion in the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions.

The program development proposal materials are presented. University Curriculum Council approved the program on September 10, 2019.

The Master of Science in Cardiovascular Perfusion is a professional master’s degree that prepares post-baccalaureate students to work as cardiovascular perfusionists. The program will be housed in the College of Health Sciences and Professions in the Department of Interdisciplinary Health Studies. Perfusion faculty will be housed at Cleveland Clinic’s Miller Family Heart and Vascular Institute, Ohio.

The degree is a unique partnership with Cleveland Clinic. Cleveland Clinic has the expertise and resources to deliver the instruction and supervision of students. The Department of Interdisciplinary Health Studies will offer the online non-perfusion courses to the students in the program. The program is 53 semester credit hours. Enrollment will be limited by the resources at Cleveland Clinic; it is expected that no more than seven students per year will be accepted into the program until additional resources become available.

The need for a graduate degree in the field reflects the increasing demands due to patient complexity and technological advances. There is a need to train future perfusionists to be leaders in their discipline. Currently there are five certificate programs, four baccalaureate programs, and nine graduate programs for perfusion in the United States. A graduate-level program is the desired entry level into the perfusion profession.
Full Proposal

Master of Science in Cardiovascular Perfusion (M.S.C.P)

February 12, 2019

A partnership between:

Cleveland Clinic

and

College of Health Sciences and Professions, Ohio University
A. Summary Statement

Date of submission: February 12, 2019

Program code (assigned by Registrar’s office): MSXX13

Name of program: Cardiovascular Perfusion

Degree to be conferred: Master of Science in Cardiovascular Perfusion (MSCP)

Administrative unit(s) proposing program: College of Health Sciences and Professions, Department of Interdisciplinary Studies (IHS)

Name(s) of individual(s) proposing the program and their email addresses:
Tobe Gillogly, Chair of IHS. gilloglt@ohio.edu

A brief statement summarizing the program (including the distinguishing features of the curriculum, the total credit hours, and the intended audience of students) and a summary of resource needs.

This proposal is for a Master of Science in Cardiovascular Perfusion (MSCP), a professional master’s degree that prepares post-baccalaureate students to work as cardiovascular perfusionists. The program will be housed in the College of Health Sciences and Professions (CHSP), Department of Interdisciplinary Health Studies (DIHS). Perfusion faculty will be housed at Cleveland Clinic’s Miller Family Heart and Vascular Institute, Ohio. The program is 53 semester credit hours.

The Cleveland Clinic Miller Family Heart and Vascular Institute currently offers a post-baccalaureate, certificate-based cardiovascular perfusion program that is accredited by the Commission on Accreditation of Allied Health Education Programs (CAAHEP). Students successfully completing the program are eligible for certification by the American Board of Cardiovascular Perfusion.

A cardiovascular perfusionist is an allied healthcare professional, qualified by academic and clinical education, who operates the extracorporeal circulation equipment necessary to support a patient’s cardiopulmonary, circulatory, or respiratory function. The perfusionist monitors the patient’s blood circulation and keeps the surgical team informed of any changes as well as operating mechanical devices to assist the heart and lungs, and aide in conservation of blood. Monitoring of these devices includes long-term extended support outside of the operating room. A perfusionist may provide long-term support of a patient’s circulation after the conclusion of an operation. In addition, a perfusionist may also have responsibilities in purchasing, supply and equipment control, inventory, quality assurance and personnel management. A perfusionist may be involved in research of new products, development of surgical techniques and data analysis. The perfusion profession is relatively small with fewer than 5,000 practitioners in the U.S.

Anticipated semester and year of initial student cohort: Fall semester, 2020-21
B. Need for the Program

- What is the student demand for the program and how was that determined?

The job outlook for the perfusion profession is good. The demand for these practitioners is increasing due partly to the aging of the U.S. population. A longer lifespan translates into greater incidence of cardiovascular diseases where open-heart surgery is a treatment option. The demand for cardiac-related health services is expected to grow by 20% between 2013 and 2025 (Dall, et al. 2013). There will also be job openings due to current cardiovascular perfusionist professionals retiring or leaving the field for other reasons.

The need for a graduate degree in the field reflects the increasing demands due to patient complexity and technological advances (Sistino, 2014). Entering perfusionists will be required to perform quality improvement studies and practice evidence-based medicine, which is critical as healthcare systems strive to improve medical outcomes and provide more advanced knowledge and skills for high-risk patients. Hospitals and healthcare facilities recognize that high educational levels are associated with decreases in mortality, readmission rates, and length of stay. Furthermore, there is a need to train future perfusionists to be leaders in their discipline. Currently there are five certificate programs, four baccalaureate programs, and nine graduate programs for perfusion in the U.S. A graduate-level program is the desired entry level into the perfusion profession (Sistino, 2014; Toomasian, Searles, Kurusz, 2003).

Enrollment will be limited by the resources at Cleveland Clinic; it is expected that no more than seven students per year will be accepted into the program until additional resources become available.

- What other schools within Ohio offer the same or a similar program and how is this program differentiated?

The only perfusion program in the state of Ohio is the certificate program at Cleveland Clinic.

- How does the proposed program align with the current vision for the university and your college?

This degree program aligns well with the current mission for the university with respect to its central purpose the intellectual and personal development of its students. The degree also aligns nicely with the CHSP mission to educate a broad array of students in the health professions to prepare them to assume meaningful roles in a competitive, technologically, culturally diverse, and global environment.

This degree program also aligns well with the vision and mission of the Department of IHS in the College of Health Sciences and Professions. This department was created to stimulate interprofessional curriculum and programs, as well as respond to the needs of nontraditional students seeking additional education and credentials.
Vision
The Department of Interdisciplinary Health Studies will be a dynamic platform setting the standard for interdisciplinary educational opportunities delivered via the most novel, multifaceted educational formats.

Mission
We create and promote interdisciplinary connections within educational experiences. Our programs offer opportunities in the classroom, at the worksite and within the field to broaden the student's knowledge base by crossing and gaining the perspectives of multiple disciplines.

- What overlap or duplication exists between the proposed program and other OHIO programs?

There is no program at Ohio University in perfusion.

- Was the proposed program developed in collaboration with another institution in Ohio? If so, briefly describe the involvement of each institution.

This degree is a unique partnership with Cleveland Clinic. The Cleveland Clinic has been training perfusionists for over 50 years. Cleveland Clinic has the expertise and resources to deliver the instruction and supervision of students in this degree program. The degree would be administered by Ohio University, in the College of Health Sciences and Professions. The Department of IHS will offer the online non-perfusion courses to the students in the program.

- To what extent will students in the program come from students who would enroll at OHIO in a different program?

None - the students in this program are seeking highly specialized training in perfusion.

- Provide evidence of consultation, cooperation and/or collaboration with other OHIO programs in the development of this proposal. Approval is required from departments whose high-demand courses your program will require. Evidence of consultation should be included in all cases where your program impacts other academic departments or schools.

Other OHIO programs have not been involved in the development of this curriculum.

C. Curriculum
- What are the program outcomes and how are these operationalized in the curriculum?

The program goals and outcomes are listed below. The outcomes are directly related to the course learning outcomes throughout the program.
### Program Goals

<table>
<thead>
<tr>
<th>Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>To prepare competent entry-level perfusionists in the cognitive (knowledge), psychomotor (skills), and affective (behavior) learning domains.</td>
</tr>
<tr>
<td>To provide students with the knowledge, skills and experience to work cooperatively and safely with a healthcare team to perform perfusion techniques to ensure quality patient outcomes.</td>
</tr>
<tr>
<td>To provide a base knowledge of perfusion theory, the skill to implement that knowledge and proficiency in its application in accordance with the needs of healthcare providers and employers.</td>
</tr>
<tr>
<td>To prepare students to assess perfusion related patient and clinical situations accurately and act appropriately.</td>
</tr>
<tr>
<td>To prepare students to qualify for the American Board of Cardiovascular Perfusion certification examination.</td>
</tr>
</tbody>
</table>

### Student Learning Outcomes: Students will be able to:

<table>
<thead>
<tr>
<th>Outcome</th>
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</thead>
<tbody>
<tr>
<td>Demonstrate clinical skills in cardiopulmonary bypass and mechanical circulatory devices.</td>
</tr>
<tr>
<td>Demonstrate acquired perfusion knowledge and general medical knowledge.</td>
</tr>
<tr>
<td>Demonstrate acquired knowledge of various perfusion equipment and supplies used in the healthcare setting.</td>
</tr>
<tr>
<td>Integrate perfusion theory to clinical applications.</td>
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<tr>
<td>Demonstrate clinical skills in autotransfusion, blood conservation, and blood product management.</td>
</tr>
<tr>
<td>Demonstrate clinical skills in laboratory analysis of blood gases, hematocrit, and coagulation.</td>
</tr>
<tr>
<td>Respond appropriately during crisis management.</td>
</tr>
<tr>
<td>Effectively manage a catastrophic event such as device failure or air emboli.</td>
</tr>
<tr>
<td>Conduct themselves in a professional manner and function effectively as a member of the healthcare team.</td>
</tr>
<tr>
<td>Pass the American Board of Cardiovascular Perfusion's Perfusion Basic Science Examination (PBSE) and Clinical Applications in Perfusion Examination (CAPE) meeting AB-CP outcome thresholds.</td>
</tr>
</tbody>
</table>
Describe the curriculum in a format that includes all of the following:
  - Course prefixes, numbers, names, and credit hours for each the required courses, all permitted electives, and any "field" or other requirements (indicate which of the courses are newly proposed)

**Non-Perfusion courses:** (12 credit hours)

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<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
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<td>Research and Evidence-Based Practice in Healthcare</td>
<td></td>
</tr>
<tr>
<td>IHS 5447</td>
<td>Critical Thinking and Reasoning in Clinical Problem Solving</td>
<td></td>
</tr>
<tr>
<td>HLTH 5850</td>
<td>Quality Improvement in Healthcare Organizations</td>
<td></td>
</tr>
<tr>
<td>IHS 5513</td>
<td>Health Informatics for the Health Professions</td>
<td></td>
</tr>
</tbody>
</table>

**Perfusion courses:** (41 credit hours) (note: All of the courses below are newly proposed)

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>IHS 6921</td>
<td>Perfusion Practicum I – 4 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6922</td>
<td>Perfusion Practicum II – 4 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6923</td>
<td>Perfusion Practicum III – 4 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6924</td>
<td>Perfusion Practicum IV – 4 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6925</td>
<td>Perfusion Practicum V- 5 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6301</td>
<td>Perfusion Theory I – 3cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6302</td>
<td>Perfusion Circuit – 2cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6303</td>
<td>Clinical Implementation I - 2cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6304</td>
<td>Perfusion Theory II - 2cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6305</td>
<td>Clinical Implementation II – 2cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6306</td>
<td>Perfusion Theory III- 2 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6307</td>
<td>Mechanical Support in Perfusion– 3cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6900</td>
<td>Special Topics in Perfusion – 1cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6940</td>
<td>Research Seminar I –1 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6941</td>
<td>Research Seminar II – 1 cr</td>
<td></td>
</tr>
<tr>
<td>IHS 6942</td>
<td>Research Seminar III – 1 cr</td>
<td></td>
</tr>
</tbody>
</table>

  - The total number of credit hours required for completion of the degree: The degree requires a minimum of 53 credit hours.
The sequencing of courses over the typical student's career

Course of Study: Five Semesters

<table>
<thead>
<tr>
<th>SEMESTER 1 - Fall</th>
<th>Instructor</th>
<th>Credit Hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>IHS 6301-Perfusion Theory I</td>
<td>Shinko</td>
<td>3.0</td>
</tr>
<tr>
<td>IHS 6302-Perfusion Circuit</td>
<td>Kim</td>
<td>2.0</td>
</tr>
<tr>
<td>IHS 5447–Critical Thinking and Reasoning (online)</td>
<td>Averion</td>
<td>3.0</td>
</tr>
<tr>
<td>IHS 6921-Perfusion Practicum I</td>
<td>Perfusion Clinical Staff</td>
<td>4.0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SEMESTER 2 – Spring</th>
</tr>
</thead>
<tbody>
<tr>
<td>IHS 6303-Clinical Implementation I</td>
</tr>
<tr>
<td>IHS 6304-Perfusion Theory II</td>
</tr>
<tr>
<td>IHS 5520 – Research &amp; Evidence-based Practice in Healthcare (online)</td>
</tr>
<tr>
<td>IHS 6940 - Research Seminar I</td>
</tr>
<tr>
<td>IHS 6922 - Perfusion Practicum II</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SEMESTER 3 – Summer</th>
</tr>
</thead>
<tbody>
<tr>
<td>IHS 6305 – Clinical Implementation II</td>
</tr>
<tr>
<td>IHS 6303 - Perfusion Theory III</td>
</tr>
<tr>
<td>IHS 6900 - Perfusion Special Topics</td>
</tr>
<tr>
<td>IHS 6923 - Perfusion Practicum III</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SEMESTER 4 – Fall</th>
</tr>
</thead>
<tbody>
<tr>
<td>IHS 6307 - Mechanical Support</td>
</tr>
<tr>
<td>IHS 6941 - Research Seminar II</td>
</tr>
<tr>
<td>HTLH 5850 - Quality Improvement in Healthcare (online)</td>
</tr>
<tr>
<td>IHS 6924 - Perfusion Practicum IV</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SEMESTER 5 - Spring</th>
</tr>
</thead>
<tbody>
<tr>
<td>IHS 6942 - Research Seminar III</td>
</tr>
<tr>
<td>IHS 5513 - Health Informatics (online)</td>
</tr>
<tr>
<td>IHS 6925 - Perfusion Practicum V</td>
</tr>
</tbody>
</table>

Total Credit Hours 53.0
A description of the culminating experience of the program

Students are expected to complete a research project. In this project, students will test a hypothesis that addresses a current issue that is important to the management of perfusion technology related to health care. Students will be introduced to the IRB approval process and learn how to complete a literature review, collect data, complete a statistical analysis, and write a final paper on their research. Students will be required to present their research project and findings.

To begin this process, students will take a course entitled Research and Evidence-Based Practice in Healthcare. This course covers research methodology and provides a cross-disciplinary view of research-informed practice and practice-informed research for the allied health professions. Students also take three research seminars in which students work through the process of hypothesis formation, literature review, data collection, interpretation, discussion, and presentation.

Include all course descriptions in the appendix – See Appendix A

A description of the practicum/clinical experiences.

Students will be supervised by a certified cardiovascular perfusionist during their practicum experiences throughout the program. A total of 150 satisfactorily evaluated cases will be required for graduation. This includes 10 pediatric cases.

How does this curriculum compare with that offered at other institutions with similar programs?

The table below includes the current graduate perfusion degrees.

<table>
<thead>
<tr>
<th>University</th>
<th>Degree program</th>
<th>Length</th>
<th>Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carlow University</td>
<td>Master of Science. in Cardiovascular Perfusion</td>
<td>20 months</td>
<td>60</td>
</tr>
<tr>
<td>Long Island University partnering with North Shore University</td>
<td>Master of Science in Cardiovascular Perfusion</td>
<td>24 months</td>
<td>54</td>
</tr>
<tr>
<td>Medical University of South Carolina</td>
<td>Master of Science in Cardiovascular Perfusion</td>
<td>21 months</td>
<td>87</td>
</tr>
<tr>
<td>Midwestern University</td>
<td>Master of Science in Cardiovascular Science</td>
<td>21 months</td>
<td>103.5 (quarters)</td>
</tr>
<tr>
<td>Milwaukee School of Engineering</td>
<td>Master of Science in Perfusion</td>
<td>18 months</td>
<td>60 (quarter hours)</td>
</tr>
<tr>
<td>Quinnipiac University</td>
<td>Master’s in Health Science – Cardiovascular Perfusion</td>
<td>21 months</td>
<td>49</td>
</tr>
</tbody>
</table>
This proposed degree’s curriculum requirements are aligned with other programs in cardiovascular perfusion as follows:

- The existing degrees all have curriculum instruction in cardiopulmonary bypass, mechanical assist, autotransfusion, and laboratory analysis. The proposed program also includes this core instructional coursework.
- The existing graduate degrees all have a series of practicum courses, in which students are under the direct supervision of a clinical instructor. Students are exposed to increasing levels of responsibility in the clinical conduct of perfusion. The proposed program includes perfusion practicum I, II, III, IV, and V.
- The existing graduate degrees all have a research component built into their programs. This includes one or more courses in research methods with a clinical research project or thesis. The proposed program includes a course in evidence-based practice in healthcare and a research project embedded in Research Seminars I, II and III.
- The existing graduate degrees vary with respect to non-perfusion courses. The range of topics includes: leadership principles/practices, ethics, critical thinking, interprofessional education, quality improvement, and health care delivery. The proposed degree includes coursework in quality improvement, critical thinking and reasoning, evidence-based practice, and health informatics.
- Several of the existing graduate degrees have a course in special topics, issues, populations, or considerations in the field of perfusion. The proposed degree includes a special topics in perfusion course that will address the current topics of relevance in the field of perfusion.

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

The policy will adhere to current guidelines in the Graduate College.

D. **Modality & Location**

- **What modality will the instruction be delivered? In-person, online, or blended?**

This degree will be blended, with the perfusion training delivered on-site at Cleveland Clinic. The non-perfusion courses will be 100% online offered by Ohio University.
The following includes specific information about the Cleveland Clinic location:

**The Sydell and Arnold Miller Family Heart & Vascular Institute**  
Institute Chair:  Lars Svensson, M.D., Ph.D.

**Department of Thoracic and Cardiovascular Surgery**  
Department Chair:  A Marc Gillinov, M.D.

As one of the largest, most experienced cardiac and thoracic surgery groups in the world, the Department of Thoracic and Cardiovascular Surgery cares for patients from all 50 states and around the world. Its surgeons offer virtually every type of cardiac surgery including elective or emergency surgery for heart valve disease, aortic aneurysm, coronary artery disease, arrhythmias, heart failure, Marfan syndrome and other less common conditions.

The depth and breadth of experience allows the department to perform complex operations, such as second or third heart bypasses and conditions previously deemed inoperable with success rates above the national average. The medical staff works with the newest surgical techniques, equipment and devices, including minimally invasive surgery, off-pump bypass, robotically assisted and percutaneous procedures.

During 2016, there were 604,055 patient visits, 13,525 admissions, 4,284 cardiac surgeries, 1,457 cardiac devices implanted, 1,707 interventional procedures, 2,796 vascular surgeries, 1,724 thoracic surgeries and 164 heart and lung transplants. Cleveland Clinic cardiothoracic and vascular surgeons performed 3,039 valve surgeries (e.g. valve replacements and repairs), and 1,561 coronary artery bypass graft procedures. The Sydell and Arnold Miller Family Heart & Vascular Institute has 256 physicians and surgeons and 34 perfusionists. A total of 20 operating rooms are used which have state-of-the-art equipment.

Cleveland Clinic’s Cardiac Surgery program earned the highest three star rating by the Society of Thoracic Surgeons (STS). STS has established a comprehensive rating system to compare the quality of cardiac surgery among hospitals across the county. Looking at data from July 2010 to June 2016, the Society awarded Cleveland Clinic its highest rating, the coveted three stars. Fewer than 15 percent of the heart programs in the nation ever achieve this level in the Society’s survey.

Cleveland Clinic has adequate resources for this new degree program, including space, library, and computational resources. There are dedicated school classrooms, a student area, and the Lerner Alumni Library. Computational resources at Cleveland Clinic support the Lerner Research Institute that has nearly 1,400 research and support personnel in 180 laboratories in 11 departments and is considered one of the largest research institutions in the nation, consistently ranking in the top 10 in National Institutes of health funding, a benchmark of research success. The Lerner Research Institute has 700,000 square feet of state-of-the-art laboratory and research space, including the Genomic Medicine Institute. The Lerner Research Institute is led by Serpil Erzurum, MD.
The following table shows the certification pass rate and job placement for students in the current perfusion program at Cleveland Clinic:

<table>
<thead>
<tr>
<th>Year</th>
<th><em>Certification Pass Rate</em></th>
<th>Six-month Job Placement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Basic Science</td>
<td>Clinical Application</td>
</tr>
<tr>
<td>2018</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>2017</td>
<td>80%</td>
<td>100%</td>
</tr>
<tr>
<td>2016</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>2015</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td>2014</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

*Note: Percentages represent first-time pass rates. Repeat test success is 100%.

- **Students in this program will be affiliated with which campus location?**

  Athens campus.

E. **Accreditation**

- **Does the program intend to seek accreditation?**

The current certificate program at Cleveland Clinic is fully accredited by the Commission on Accreditation of Allied Health Education Programs (CAAHEP). As a requirement to maintain continued CAAHEP program accreditation, Ohio University and Cleveland Clinic’s Heart and Vascular Institute (HVI) will establish a Memorandum of Understanding (MOU) describing the academic partnership and the MSCP program for the Accreditation Committee – Perfusion Education (AC-PE) and CAAHEP approval. (Please see Appendix B for AC-PE approved cardiovascular perfusion curriculum related content areas.)

F. **Faculty and Instruction**

- **Who will be teaching, what is their tenure status, and what are their qualifications?**

Prior to addressing the competency of faculty, it will be helpful to provide some historical background about clinical cardiovascular perfusion, which has undergone significant changes in the past 65 years. Clinical cardiopulmonary bypass was first used successfully in 1953. Initially, perfusionists were trained “on the job” or in a laboratory. Over time it became apparent that formal education training programs were needed due to the development of surgical procedures and the increasing rate of cardiac surgery. Notably, the first organized training was established at the Cleveland Clinic in 1963. The American Society of Extracorporeal Technology was formed in 1964, and this organization began the process of credentialing and developing certification guidelines. In 1975, the American Board of Cardiovascular Perfusion (ABCP) was established. This board expanded the criteria for certification and annual recertification. The ABCP advocated for formal training under accreditation standards, and on-
the-job training ended in 1980. Since then, several programs have been developed, and they range from post-graduate certificate, bachelor’s, and master’s degree programs. The move towards a master’s degree is evident with the current existence of nine (9) master-level degree programs in the U.S. A graduate-level program is the desired entry level into the perfusion profession (Sistino, 2014; Toomasian, Searles, Kurusz, 2003). Currently, perfusion programs are accredited by the Commission on Accreditation of Allied Health Education Programs upon recommendation of the Accreditation Committee- Perfusion Education (AC-PE).

Currently, the terminal degree in cardiovascular perfusion is the master’s degree. The minimal credential for each faculty member is a master’s degree with consideration of experience working in the area of perfusion. The certificate and core courses will be instructed by both full-time Ohio University staff/faculty and adjunct faculty.

In this proposed graduate degree, the following individuals will serve as instructional faculty: James Chapman, Paul Shinko, Matthew Wittenauer and Kuna Kim.

<table>
<thead>
<tr>
<th>Name</th>
<th>Credentials</th>
<th>Program Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Chapman</td>
<td>Certified Clinical Perfusionist (C.C.P.) (post-baccalaureate certification)</td>
<td>Faculty instructor</td>
</tr>
<tr>
<td></td>
<td>M.S. Exercise Physiology (expected July, 2019)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>B.S. Exercise Physiology; Biological Sciences</td>
<td></td>
</tr>
<tr>
<td>Paul Shinko</td>
<td>Certified Clinical Perfusionist (C.C.P)</td>
<td>Faculty instructor</td>
</tr>
<tr>
<td></td>
<td>M.Ed Personnel, Education, Training and Development</td>
<td></td>
</tr>
<tr>
<td></td>
<td>B.S. Allied Health Medicine/Circulation Technology</td>
<td></td>
</tr>
<tr>
<td>Matthew Wittenauer</td>
<td>Certified Clinical Perfusionist (C.C.P) (post-baccalaureate certification)</td>
<td>Faculty instructor and Program Director (see Appendix C)</td>
</tr>
<tr>
<td></td>
<td>M Ed Health Professions Education (expected July, 2019)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>B.S. Microbiology</td>
<td></td>
</tr>
<tr>
<td>Kuna Kim</td>
<td>Certified Clinical Perfusionist (C.C.P.)</td>
<td>Faculty instructor</td>
</tr>
<tr>
<td></td>
<td>MS Health Informatics (expected May 2019)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>BSHS in Perfusion</td>
<td></td>
</tr>
<tr>
<td></td>
<td>BSN Nursing</td>
<td></td>
</tr>
</tbody>
</table>

In addition to the above faculty members, the following individuals will serve as clinical instructors/supervisors for the MSCP program. Adam Troy will serve as the Clinical Coordinator for the degree program.
Lee Wallace, M.D., will serve as the medical advisor for this degree. The medical advisor will participate with OHIO in planning, organizing, conducting, revising, and evaluating the perfusion education program.

The non-perfusion courses will be taught online by CHSP faculty. These courses are taught regularly by Ohio University faculty and include the following:

Non-perfusion courses

<table>
<thead>
<tr>
<th>Name</th>
<th>Credentials</th>
<th>Job Title</th>
<th>Course Taught</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kristin Schuller</td>
<td>PhD, Health Services Policy &amp; Management</td>
<td>Assistant Professor, Department of Social and Public Health</td>
<td>Quality Improvement in Healthcare Organizations</td>
</tr>
<tr>
<td>Catherine Holtman</td>
<td>RDH, BS, MSAH</td>
<td>Adjunct Faculty of Interdisciplinary Health Studies</td>
<td>Evidence-Based Practice in Healthcare</td>
</tr>
<tr>
<td>Lisa Averion</td>
<td>MS Education</td>
<td>Adjunct Faculty of Interdisciplinary Health Studies</td>
<td>Critical Thinking and Reasoning in Clinical Program Solving</td>
</tr>
<tr>
<td>Scott McGrath</td>
<td>PhD Candidate Health Informatics</td>
<td>Adjunct Faculty of Interdisciplinary Health Studies</td>
<td>Clinical Informatics</td>
</tr>
</tbody>
</table>

Please see Appendix D for faculty CVs.
• How will new faculty for the program be selected? By whom?

This will be a collaborative effort between OHIO and Cleveland Clinic. A committee will be formed that will include members of the two institutions. For OHIO, this will be the chair of IHS and the senior associate dean. For Cleveland Clinic, this will include the medical advisor and the director of perfusion.

• What body will oversee the curriculum?

The curriculum will be overseen by the IHS curriculum committee in close consultation with members of the perfusion program at Cleveland Clinic, to ensure that the standards for accreditation are being met.

G. Admission Requirements

• What are the criteria for admission into the program? Be specific.

Students interested in this program must have completed a bachelor’s degree from an accredited college/university with at least a 3.0 GPA and a “B” letter grade or better in each prerequisite course which includes the following: (1) 16 credit hours in biology (general biology and anatomy & physiology); (2) 12 credit hours in chemistry (general chemistry and organic/biochemistry; (3) 3 credit hours college math (e.g., statistics); (4) 8 credit hours general college physics; (5) 3 credit hours of pharmacology. Documented research experience is required, as well as three letters of recommendation.

• Are there any limits on the number of enrollments? If yes, what criteria will be used to make selections?

Enrollment will be limited by the resources at Cleveland Clinic; it is expected that no more than seven students per year will be accepted into the program until additional resources become available. Selections will be made based upon strength of undergraduate preparation and performance as well as the letters of recommendation.

H. Graduation Requirements (in addition to University requirements)

• Are there minimum grade requirements for individual courses?

None beyond academic requirements at Ohio University.

• Is there a minimum GPA for courses in the major?

None beyond academic requirements at Ohio University.

I. Administration

• What academic unit will be home to the program?

The CHSP Department of Interdisciplinary Health Studies (IHS)
• **How will administrative support be provided?**

The Department of IHS has a chair, a full time academic advisor, and a half-time administrative assistant.

**J. Timing**

• **When do you want the program to start? Please be aware of the levels of approval and timelines required for internal and external approvals as outlined in this manual (new programs must be approved by ODHE and HLC before being advertised).**

We would like the program to start Fall, 2020-21

**K. Budget and Financial**

• **What is the financial impact of the program (projected income and expenses), including resource needs such as personnel, space renovations, equipment and technology, library resources, waivers, etc. immediately, and into the next five years?**

Please see Appendix E.

**L. Assessment and Program Review**

• **How will the program outcomes and program quality be assessed?**

The College of HSP has a full-time assistant dean for academic assessment who will assist with: a) maintaining measurable and achievable student learning outcomes for courses and the program; b) providing support to faculty to maintain alignment in courses for assessments, activities, and instruction; and c) providing support to faculty to assess program learning outcomes.

• **How will the program prepare for future program reviews (see Program Review Committee documentation)?**

We will adhere to the self-study requirements for academic program review. This will include an analysis of trends in the program (e.g., faculty, student enrollment) and also trends in healthcare. We will maintain an accurate faculty profile and carefully document education quality by maintaining data such as number of faculty, student enrollment data, time to degree, predominant employers of graduates, and student outcomes.

• **How will individual student success in the program be measured?**

Student success will be measured in several ways, including:

a) Successfully passing of perfusion and non-perfusion courses with minimum GPA of 3.0
b) Successful performance on culminating experience
c) Certification in perfusion
d) Appropriate employment in a healthcare facility or organization

**Letters of support are in Appendix F.**

**References**


Appendices

Appendix A- Course Descriptions

Appendix B – AC-PE Approved Cardiovascular Perfusion Curriculum – Required Content

Appendix C- Program Director CV

Appendix D – Faculty CVs

Appendix E – Budget/Financial pg 65

Appendix F – Letters of Support pg 66-67
## Appendix E

### Budget and Financial Information

<table>
<thead>
<tr>
<th>MS in Cardiovascular Perfusion</th>
<th>2 year program</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY21</td>
<td>FY22</td>
</tr>
<tr>
<td># students</td>
<td>(7)</td>
<td>(14)</td>
</tr>
<tr>
<td>Tuition</td>
<td>$ 232,848</td>
<td>$ 373,968</td>
</tr>
<tr>
<td>Subsidy</td>
<td>$ 30,682</td>
<td>$ 136,680</td>
</tr>
<tr>
<td>Total Revenue</td>
<td>$ 263,530</td>
<td>$ 510,648</td>
</tr>
<tr>
<td>Indirect Expenses</td>
<td>$ 32,941</td>
<td>$ 63,831</td>
</tr>
<tr>
<td>Payment to Cleveland Clinic</td>
<td>$ 130,755</td>
<td>$ 210,000</td>
</tr>
<tr>
<td>IHS Instructor Expenses</td>
<td>$ 10,457</td>
<td>$ 24,041</td>
</tr>
<tr>
<td>Net Revenue for CHSP</td>
<td>$ 89,377</td>
<td>$ 212,777</td>
</tr>
</tbody>
</table>

Cleveland Clinic to receive $30,000 per student - pro-rated each year based on credit hours taken.
January 28, 2019

Connie Patterson, Ph.D.
Assistant Dean, Academic Engagement and Outreach
Chair, University Curriculum Committee
Ohio University
The Gladys W. and David H. Patton College of Education, McCracken Hall
Athens, OH 45701-2979

Dear Dr. Patterson:

I write on behalf of Cleveland Clinic’s Heart and Vascular Institute in support of the Ohio University’s College of Health Sciences and Professions’ proposal to partner with Cleveland Clinic to offer a Master of Science in Cardiovascular Perfusion program.

For the 24th consecutive year, Cleveland Clinic’s heart program has ranked as the best in the nation, earning the number one ranking in U.S. News & World Report’s “2018-19 Best Hospitals.” Since 1995, no hospital in the country has ranked higher than Cleveland Clinic in cardiac care. Our ongoing commitment to provide the best quality heart care to patients requires highly trained, very skilled cardiovascular perfusionists. To advance the science of cardiovascular perfusion, we need perfusionists who have a strong academic foundation in clinical reasoning, research, quality and informatics. To that end, we believe the proposed curriculum provides the necessary course content and rigor demanded for the degree; therefore, we strongly support the proposal.

Through this letter, we acknowledge the roles and responsibilities we will fulfill in this partnership, most notably to provide the didactic, research and clinical coursework for students to complete the credit requirements to earn a Master of Science degree in Cardiovascular Perfusion.

We look forward to working with you to advance the proposal and complete the partnership arrangements.

Sincerely,

Marc Gillinov, MD
AMG/lcr
February 4, 2019

Connie Patterson
Chair, Programs Committee
University Curriculum Council (UCC)

Dear Dr. Patterson:

This letter is in support of the newly proposed Master of Science in Cardiovascular Perfusion. This degree program represents a unique and innovative partnership between Cleveland Clinic and the College of Health Sciences and Professions at Ohio University.

Cleveland Clinic has been training cardiovascular perfusionists for several decades; notably, the first organized training in perfusion was established at Cleveland Clinic in 1963. Cleveland Clinic is well-known for its world-class care, and their heart program has long been ranked as the best in the nation. With their current certificate perfusion program, Cleveland Clinic continues to provide quality training for perfusionists. In keeping with Cleveland Clinic’s dedication to always improve patient care and provide high-quality training, this new degree program is intended to advance training for cardiovascular perfusionists. Together with expert training in perfusion, students will benefit by completing critical coursework in the areas of clinical reasoning and problem solving, evidence-based practice, clinical informatics, and quality improvement in healthcare. This degree program will provide a strong academic foundation for future cardiovascular perfusionists.

In this partnership, Cleveland Clinic will provide the didactic, research, and clinical coursework on-site with expert adjunct faculty, space, equipment, and library resources. The College of Health Sciences and Professions will provide the non-perfusion coursework using online delivery. The degree will be administered by the Department of Interdisciplinary Health Studies in the College of Health Sciences and Professions.

On behalf of the College of Health Sciences and Professions, we provide our full support for the Master of Science in Cardiovascular Perfusion. We greatly look forward to continuing our valued partnership with Cleveland Clinic.

Sincerely,

Randy Leite, Ph.D.
Dean, College of Health Sciences and Professions
MAJOR, DEGREE, AND COLLEGE PROGRAM REVIEWS

RESOLUTION 2019 –

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 six programs:

College of Arts and Sciences
- Political Science

College of Education
- Counseling and Higher Education
- Teacher Education

Center for International Studies
- Center for International Studies

Regional Higher Education
- Medical Assisting Technology
- Office Administration Technology
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Chaden Djalali, Interim Executive Vice President and Provost
       Howard Dewald, Associate Provost for Faculty and Academic Planning

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.

<table>
<thead>
<tr>
<th>College</th>
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<th>Viable</th>
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<tr>
<td>A&amp;S</td>
<td>Political Science</td>
<td>3-8</td>
<td>Yes</td>
</tr>
<tr>
<td>EDU</td>
<td>Counseling and Higher Education</td>
<td>9-14</td>
<td>Yes</td>
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<tr>
<td>EDU</td>
<td>Teacher Education</td>
<td>15-22</td>
<td>Yes</td>
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<td>INST</td>
<td>Center for International Studies</td>
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<td>RHE</td>
<td>Medical Assisting Technology</td>
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<tr>
<td>RHE</td>
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<td>42-45</td>
<td>Jeopardy</td>
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</table>
Political Science (Athens)
Program-Review Executive Summary

Reviewed: AY 2018-19
Previous Review: AY 2007-08

Finding and Overall Assessment: Viable.

Degrees: B.A. in Political Science; B.A. in Political Science-Pre-Law; M.A. in Political Science; Minor in Political Science.

Self-Study Synopsis: The Department of Political Science (POLS), housed in the College of Arts and Sciences, serves students from across the university through general-education offerings, its own majors and students of related disciplines through higher-level courses, and the specialized needs of the most advanced students through its graduate program and HTC tutorials. The program currently is home to approximately 365 undergraduate majors—a 30% increase since 2013. It also boasts 92 minors. At the graduate level, POLS typically enrolls 20 or so students, a figure that has remained stable since the Q2S transition. The department is comprised of 22 tenure-track faculty members at the Athens campus, two tenure-track faculty members at regional campuses (one each at Lancaster and Eastern), and a full-time non-tenure-track faculty member at the Athens campus. Since the last review, the departmental profile has shifted toward more tenure-track faculty positions, providing programmatic stability and consistency in such areas as curriculum development and advising, in addition to a stronger research profile. In the area of assessment, learning outcomes at the undergraduate and graduate levels are identified and assessed, as are the broader undergraduate and graduate curriculums. In regard to areas for improvement, the program identified three: Making continuous adjustments in the undergraduate program in response to direct and indirect assessment of undergraduate learning; developing goals and measurable objectives for direct assessment of student learning in the graduate program; and generating more discretionary resources to facilitate faculty and student research.

Site-Visit Overview: The internal reviewers were Dr. Herta Rodina (Modern Languages) and Dr. Scott Sparks (Teacher Education). The external reviewer was Dr. Ellen Riggle, Professor of Political Science and Gender and Women's Studies at the University of Kentucky. The site visit was conducted Nov. 5-6, 2018. The committee commended POLS for excellence in teaching, outstanding service work, strong mentoring opportunities for students and faculty, and its high-quality scholarship. The visitors noted department seems stretched thin in light of the amount of intensive teaching, program administration, and service performed by its faculty. Given these service and teaching demands, there may be a shortage of faculty to fairly and effectively distribute responsibilities for teaching and service (in and outside the department) while maintaining a significant research profile. Moreover, faculty members lack adequate resources to support professional development/research and travel.

Site-Visit Recommendations: The committee’s recommendations included providing increased placement assistance for recent graduates; the development of a robust recruitment
plan; offering small research- and service-related grants to undergraduates and graduate students; and the creation of research labs involving undergraduates and graduate students.
On behalf of the Department of Political Science, we thank the review committee for its time and attention. We appreciate the recognition of the excellent teaching and mentoring we provide to students, the quality of faculty scholarship in the department, and our outstanding service across the university. We also appreciate the thoughtful suggestions made by the review committee. We look forward to working with the College of Arts & Sciences and Ohio University more broadly to make progress on the committee’s recommendations.

The committee made several recommendations related to opportunities for students including increased placement assistance following graduation, the creation of research labs to provide opportunities for both undergraduate and graduate students, information for students about upcoming conference opportunities, and the provision of small grants to undergraduate and graduate students for travel and research. In some cases, the department engages in these activities but students still may not be aware of them. For example, the department has routinely informed graduate and undergraduate students of upcoming conference opportunities and does provide limited resources for participation. We have also assisted graduate and undergraduate students in applying for university funds to support research as well. We offer guidance for students who present their work at the Ohio University Student Expo and pay for the cost of printing student posters. We will work to find ways, in addition to current email and social media publicity, to apprise students of such opportunities. While our departmental resources have diminished due to budget cuts, we continue to prioritize funds for graduate and undergraduate research opportunities. However, our budget for such activities is limited. We would welcome working with college and development personnel to investigate working with our alumni to provide more resources for student research, the development of research labs, professional development, and internship experiences. Another option for enhanced resources would be to allow the department to keep the funds generated from course buyouts that units outside the college pay to Arts & Sciences for our department faculty members’ service and teaching. These funds could support research funding for faculty, another issue mentioned in the report.

Regarding placement assistance, departmental faculty do provide mentoring and assistance to students after graduation; however, this is an individual rather than an institutional response. We will consider ways to collaborate with the Career and Leadership Development Center to provide greater assistance to students during their programs as well as after program completion and to call more attention to the resources that current students and alumni have at the CLDC.

The remaining recommendation deal with departmental issues related to faculty and faculty recruitment. The committee recommends developing a strategy to recruit faculty from underrepresented groups, offering course-load reductions for faculty with substantial service roles in
and outside of the department, and removing pre-tenure faculty from the department committee that conducts merit evaluations. The department echoes the university’s commitment to attracting and retaining a diverse student body, faculty, and staff. Our programs do in fact attract and retain diverse students; however, we recognize that a more diverse faculty would be beneficial in these efforts and would provide more varied perspectives and experiences for all our students. However, we recognize that to be effective such a plan requires resources at the college and university level to take advantage of and even create opportunities for hiring faculty from under-represented groups. We welcome the opportunity to work with the college and university on developing a more robust, longer-term recruitment plan.

The department currently provides course-load reductions for three substantial service positions in the department (department chair, undergraduate director, and graduate director). All faculty who direct programs outside the department receive at least one course reduction per year through negotiation with the college or through course buyouts from units outside the college. While we are committed to these teaching load adjustments to help faculty in major service roles balance the demands of service with their other faculty responsibilities, particularly research, we recognize that our ability to maintain these arrangements is somewhat limited. We would be hard-pressed to adjust to another faculty member engaging in a service role that required a course load reduction without reconsidering our current commitments or adding faculty resources. We look forward to working with the college and university to facilitate our faculty leadership of endeavors in the college and broader university.

The department will carefully consider the last recommendation of removing untenured faculty from the merit evaluation committee. We are reluctant to eliminate the representation of pre-tenure faculty from the department’s Executive Committee (the committee charged with merit evaluation). However, given the concerns expressed on the review, we will discuss as costs and benefits of such a decision and reach out to the college and other departments for information on other departmental practices and their relative costs and benefits.
TO: John Cotton, Chair, UCC Program Review Committee
FROM: Joe Shields, Interim Dean, College of Arts & Sciences
DATE: February 12, 2019
RE: Department of Political Science Seven-Year Review

I appreciate the thoughtful report provided by the review committee. The report illuminates many strengths of the department and its programs while identifying areas for attention and improvement. The department’s response provides clarifications relevant to some of the recommendations, and identifies reasonable steps that respond to the committee’s suggestions.

The committee notes areas of concern related to financial resources available for research, professional development, and travel. The College of Arts & Sciences is committed to providing support for these activities, and increasing financial resources for these purposes is a long-term goal.

Faculty in the department have access to internal funding made available on a competitive basis through the Research Division, along the lines of the program suggested in the report. The College is making ongoing efforts to increase faculty awareness of, and participation in, internal and external grant programs to support scholarly endeavors.

Recruiting a diverse faculty is similarly a priority for the College and the University. Hiring at the current time remains very limited and advancing our diversity agenda for the faculty is also a long-term goal. The College is continuing efforts to ensure that search processes implement best practice for optimizing diverse candidate pools and recruitment.
The Graduate Council met on April 12, 2019 and considered the program review:

**Department of Political Science**

The department has a MA program, on which Graduate Council concentrated in considering the review. Graduate Council noted comments in the review, that the graduate program seems to lack identity, and that it seems unclear how well the graduate program provides tracks for training in different areas. Those concerns were not addressed in the response of the Department or the Dean of A&S. According to the review the graduate program has adequate faculty support. Graduate Council agrees with the overall assessment that the program is viable, but also sides with the concerns given in the review.
Counseling and Higher Education (Athens)
Program-Review Executive Summary

Reviewed: AY 2018-19
Previous Review: AY 2011-12

Finding and Overall Assessment: Viable.

Degrees: M.Ed. in School Counseling; M.Ed. in Clinical Mental Health-Clinical Rehabilitation Counseling; M.Ed., in Clinical Mental Health Counseling; M.Ed. in College Student Personnel; M.Ed. in Higher Education; Ph.D. in Counselor Education; Ph.D. in Higher Education.

Self-Study Synopsis: In the Patton College of Education, the Department of Counseling and Higher Education (CHE) is a graduate program that boasts decades of preparing leader-educators, practitioners, and human-service professionals who share a commitment to lifelong learning, serving society responsibly, and meeting diverse human and social needs. It has two general areas of concentration: Counseling, which is accredited by the Council for Accreditation of Counseling and Related Educational Programs (CACREP), and Higher Education and Student Affairs, a field without an accrediting body. CHE currently has 12 tenure-track and one non-tenure track faculty members and approximately 200 students, including a regional-campus cohort at Chillicothe and a cohort whose instruction is provided online and at the campus of Columbus State Community College. CHE has an outcomes-assessment process in place for Counseling, per CACREP requirements, and is developing an assessment plan for its other components. CHE graduates have seen professional success in a variety of areas. A recent review found that approximately 98% of M.A. graduates and 98% of doctoral graduates are placed in corresponding professional positions. In the area of scholarship, all faculty members are expected to conduct and publish original research. They also provide important service to the program, college, university, community, and profession. Among areas the program has targeted as priorities are the implementation of an assessment regimen for Higher Education and Student Affairs; improved student-data collection; the development of assessment processes for advising; the improvement of time-to-degree rates; and the development of certificate and undergraduate programs to enhance revenue and meet educational needs in Ohio and beyond.

Site-Visit Overview: The internal reviewers were Fuh-Cherng Jeng (Rehabilitation and Communications Sciences) and Dr. Sarah Poggione, (Political Science). The external reviewers were Dr. Jane Cox, Associate Professor in the School of Lifespan Development and Educational Sciences at Kent State University, and Dr. Maureen Wilson, Professor and Chair of the Department of Higher Education and Student Affairs at Bowling Green State University. The committee found CHE to be viable and thriving. It lauded the program’s teaching and research and praised its members for their mentoring and service work. Among the areas commended by the visitors were the strength of CHE’s curriculum; the accessibility, openness, and responsiveness of the faculty; the demographic diversity of both faculty and students; and the program’s commitment to fund all of its students. The committee’s concerns focused on the need for a clearer and more precise promotion-and-
tenure document; the heavy service loads of CHE faculty; and problems reported by students in regard to course scheduling.

**Site-Visit Recommendations:** The committee’s recommendations involved the areas of concern noted above, as well as the suggestion that CHE seek to fill two important faculty positions that were vacated at the end of AY 2017-18.
February 15, 2019

Dr. John Cotton
Chair UCC Program Review Committee
Stocker Engineering Center 255
Athens, OH 45701

Dear Dr. Cotton:

I am writing in response to the seven-year UCC review of the Department of Counseling and Higher Education. We were pleased by the committee’s finding that both of our program areas were “viable” and “thriving.” There were no surprises in respect to the Commendations or Areas of Concern. I will take this opportunity to address the concerns and reviewers’ recommendations below.

Tenure, Promotion, and Merit Standards

The committee indicated that the promotion, tenure and merit standards were not sufficiently clear. The new standards have been drafted and discussed among the faculty. We are refining these draft standards, based on the reviewers recommendations, and expect to have these completed and confirmed by departmental faculty at our April department meeting. In respect to merit guidelines, I have asked Promotion, Tenure, and Salary (PT&S) Committee to create clearer criteria for evaluating progress. This will be a priority of the PT&S Committee in the 2019-20 academic year.

Teaching/Service Loads

As a graduate-only department, we serve a high number of doctoral students. We have tenured faculty members who carry doctoral student advising loads of up to 15 students. Despite this high workloads, the current college workload policy does not include consideration of dissertation advising as a criterion for workload. During the current year, a committee of departmental faculty have been working on a departmental workload policy proposal that will include consideration of dissertation load. We expect this policy proposal to be approved by the departmental faculty at our April meeting. This policy proposal will then be shared with Dean Middleton for consideration.

Course Scheduling

The faculty consider the concerns raised regarding course scheduling to be legitimate. These are being addressed through enhanced communication and clearer expectations from the department chair to the program coordinators who are charged with managing the course scheduling processes.
Faculty Vacancies

Faculty vacancies have indeed been a point of stress this year, particularly in the Higher Education and Student Affairs (HESA) program. At the time of this writing, we have filled one of the two faculty positions that were vacated last year. While we believe that filling both vacancies in the HESA program would be optimal, we recognize the current budget realities. The Department is in the midst of developing and enhancing revenue-generating programs, and we believe that it is reasonable to reserve action on the second faculty opening until we have reaped the benefits of our program development activities.

Student Feedback

As acknowledged in our self-study, a systematic assessment program for our student advising activities is an area of growth. During the 2019-20 academic year, a committee of faculty and students will be formed to address this concern.

In summary, the program review process has been helpful as we consider our continuous improvement in delivering quality education to students. If there are additional areas of question or concern, please feel free to contact me at matherp@ohio.edu or 740.593.4454.

Respectfully submitted,

Peter C. Mather, Ph.D.
Professor and Chair

cc. Dean Renee Middleton
Hello John,

I have reviewed the report. I find no need to respond to the report—on the whole, it appears to be accurate and I encourage the faculty to move forward with the recommendations relative to course scheduling and revision of the Promotion and Tenure guidelines.

(Renée A. Middleton, Ph.D., Professor and Dean
The Gladys W. and David H. Patton College of Education
AACTE Executive Committee and Immediate Past Board Chair – www.aacte.org
NBPTS Executive Committee and Certification Council Co-Char – www.nbpts.org
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Office Ph: (740) 593-9449
Office Fax (740) 593-0569
Cell Ph: (740) 591-1704
OHIO UNIVERSITY – The best student-centered learning experience in America)
The Graduate Council met on April 12, 2019 and considered the program review:

Counseling and Higher Education

This program is entirely a graduate program. Graduate Council carefully read the review and responses to it, has no additional comments and agrees with the recommendation of the review.
Teacher Education (Athens)
Program-Review Executive Summary

Reviewed: AY 2018-19
Previous Review: AY 2011-12

Finding and Overall Assessment: Viable.

Degrees: B.S.Ed degrees in the following: Earth/Space Science Major; Physical Science—Physics and Chemistry Major; Physical Science—Chemistry Major; Physical Science—Physics Major; Spanish Major; French Major; German Major; Integrated Language Arts Major; Integrated Mathematics Major; Integrated Science Major; Integrated Social Studies Major; Life Science Major; Middle Childhood Education (various areas); Mild to Moderate Educational Needs Major; Moderate to Intensive Educational Needs Major; and Early Childhood Major. M.E. degrees in the following: Intervention Specialist; Early Childhood Intervention Specialist; Middle Childhood Education; Early Childhood Education and Early Childhood Special Education; Curriculum and Instruction; Reading Education; Teaching and Learning; Special Education/Non-Certification; and Adolescent-to-Young-Adult Education. Ph.D. degrees in Social Studies Education, Mathematics Education, Science Education, and Curriculum and Instruction. A.A.S. in Child Development.

Self-Study Synopsis: The Patton College of Education’s Department of Teacher Education (EDTE) provides a wide range of nationally recognized programs to support the interests of prospective and practicing professionals at the undergraduate, graduate, and doctoral levels. Of the program’s 48 faculty members at the Athens and regional campuses, 18 are tenure-track, with 15 of those designated “graduate faculty.” As of Fall 2017, the program had approximately 1350 undergraduate majors and awarded 403 undergraduate degrees in Spring 2017. It also recorded 222 graduate students in 2017, the highest total in four years. The program assesses learning outcomes and advising regularly, per accreditation standards established by the National Council for the Accreditation of Teacher Education. In addition to providing instruction and mentoring, the department’s faculty also engage in field-appropriate research and provide varying forms of service to the department, college, university, community, and profession. Areas of improvement identified by EDTE include developing a strategic plan; creating and implementing a plan for tracking community outreach and engagement; increasing graduate-student enrollment (at the doctoral level, in particular); and increasing funding for professional development.

Site-Visit Overview: The internal reviewers were Dr. Robin D. Muhammad (African American Studies) and C. Scott Smith (Music). The external reviewers were Dr. Audra K. Parker, Ph.D., Associate Professor and Academic Program Coordinator in Elementary Education at George Mason University, and Dr. Kristien Zenkov, Professor and Academic Program Coordinator in Secondary Education at George Mason University. The site visit was conducted Oct. 30 to Nov. 1, 2018. The committee commended EDTE’s teaching, scholarship, and service, as well as its long-standing tradition of offering substantive clinical/field experiences for teacher candidates through their laboratory school and public-school partnerships. The department’s attention to clinical practice—to the merging of theory and practice, to work across university and school contexts—is nationally recognized, and
co-teaching is a common practice and a common topic of instruction. Overall, the program’s coursework is appropriately sequenced and students complete an impressive and comprehensive set of clinical experiences that generally appear to provide them with opportunities to enact in practice the theories they are encountering in course instruction. The committee also observed that at a time when the college and university are facing financial difficulties, it was impressed by the program’s level of commitment and the faculty and staff’s ingenuity in working for the good of students in a supportive environment. The committee also praised the program’s record of student-recruitment and retention and its collegial nature. Areas of concern included increased reliance since the last review on non-tenure-track and fixed-term teaching (i.e., formerly designated as Group II and III, respective); the question of perceptions of a hierarchical orientation at the college level; inconsistencies in faculty workloads; and inconsistency in college-level advising.

**Site-Visit Recommendations:** The committee’s recommendations included the strategic hiring of tenure-track faculty, which would especially strengthen the EDTE’s graduate program; the building of a recruitment “pipeline” linking the department’s undergraduate program to its graduate program; and the consideration of consistent and systematic reward structures that recognize faculty efforts for independent studies and doctoral mentoring.
To: Members of the Teacher Education Review Committee and UCC Program Review Committee

From: Frans H. Doppen, Chair

Re: Seven Year Program Review

CC: Robin Muhammad, Chair, Department of African Studies; C. Scott Smith, Associate Professor, School of Music, College of Fine Arts; Audra K. Parker, George Mason University; Kristien Zenkov, George Mason University

Upon request I offer the following response.

I submitted my comments to Dean Renée A. Middleton. Her letter adequately and correctly includes my response.

I would, however, like to offer the following additional observations:

With regard to diversity, it should be noted that, unlike on the Athens campus, the programs of study on the regional campuses serve a largely local and non-traditional student population.

It should also be noted that, unlike on the Athens campus, that faculty on the regional campuses serve as the academic advisors to their own teacher candidates.

Furthermore, I wish to note the Rural Urban Collaborative. The RUC represents a major commitment by our college and the department to provide our teacher candidates with a placement experience in an urban school with a diverse student population.

Finally, while it is outside the scope of the current program review, it should be noted that, effective 2018-19, the graduate Special Education program of study and endorsements have been fully moved to e-Campus and are currently witnessing increased enrollment numbers. Furthermore, it should also be noted that while enrollment in the undergraduate Special Education program has declined, a concern that is currently being addressed, during the 2017-18 academic year the program also offered 19 service courses.
It has been a pleasure to work with the Review Committee. Thank you for the opportunity to offer additional comments.

Sincerely,

Frans H. Doppen, Chair
To: Members of the Teacher Education Review Committee and UCC Program Review Committee

From: Renée A. Middleton, Dean

Re: Seven Year Program Review

CC: Robin Mohammed, Chair, Department of African Studies; C. Scott Smith, Ohio Associate Professor; Audra K. Parker, George Mason University; Kristine Zenkovi, George Mason University
Dr. Frans Doppen, Chair, Department of Teacher Education

Thanks are offered to the review committee members who took time to evaluate and provide feedback regarding the review of academic programs offered in The Patton College’s Department of Education.

While I appreciate the time and effort review committee members put into the visit and preparation of the report, as well as the overall finding of viability for the department’s programs, I am compelled to point out several significant errors in the Committee Report dated December 15, 2018.

In the section Adequacy of Resources:

- The Committee appears to confuse Group II faculty (full-time teaching) with Group III (adjunct) throughout the report. Throughout the report, references to Group III faculty (which are part-time, temporary) are made, when it is apparent that references to Group II faculty (full-time, teaching focused) are intended. Therefore, it is difficult to decipher with certainty when reference to Group III is actually intended. Early Childhood and Special Education, as mentioned in the report, have been two programs where Group III faculty are used, due to a variety of circumstances. However, Group I (tenure-track) positions have never been converted to Group III (adjunct) positions. The distribution of Group I and Group II faculty within teacher education programs is in response to enrollments of specific programs – so is somewhat fluid and flexible over time. Overall, the Department of Teacher Education has more Group I and Group II faculty currently then it did in 2011.

- The Department of Teacher Education has added a net of two additional Group I faculty in 2017-18 compared to 2011-12 (18 vs. 16). Yet, from 2011-12 to 2018-19, its enrollment decreased by 317 students, a 21% decrease. At the program level, Special Education enrollment decreased by 39% during the same period, while Early Childhood program enrollment increased by 11%.
<table>
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<tr>
<th>UG Enrollment:</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
<th>Fall 2015</th>
<th>Fall 2016</th>
<th>Fall 2017</th>
<th>Fall 2018</th>
<th>Percent Change 2011-2018</th>
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<tr>
<td>Dept. of Teacher</td>
<td>1,540</td>
<td>1,488</td>
<td>1,411</td>
<td>1,171</td>
<td>1,156</td>
<td>1,266</td>
<td>1,294</td>
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<td>Special Education</td>
<td>174</td>
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<td>167</td>
<td>147</td>
<td>139</td>
<td>150</td>
<td>130</td>
<td>107</td>
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<tr>
<td>Early Childhood</td>
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<td>375</td>
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<td>371</td>
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- Based on faculty records for Teacher Education, in 2017-18 there were 18 Group I, 12 Group II, 14 different Group III (part-time, intermittent, temporary), and 4 Early Retirement faculty members. This is compared to 2011-12 faculty counts of 16 Group 1, 10 Group 2 and 3 Group II, and 7 ER faculty. Therefore, the number of permanent faculty (Group I and II) has increased in the past 7 years by four.

- The statement “Faculty expressed concern about TA funding being converted to Masters-level fellowships, which reduced the number of PhD TAs” is not factual. The Department of Teacher Education has not had a reduction in doctoral TA/GA positions. This concern was stated a second time in the report, citing a decrease in the total number of support opportunities for graduate students. The Department of Teacher Education has had no decrease in graduate student support through GA/TA/GRS positions. Within the past seven years, two of the TE GA positions were earmarked for the Child Development Center; however, the same total number of Teacher Education graduate students are afforded assistantship positions as in previous years.

Additional Comments:
While it is true to that the field of teacher education is generally lacking in diversity, with a strong majority of teachers and teacher education majors being female and White, the goal within The Patton College of Education is to recruit and matriculate a more diverse pool of students than what the current demographics of the PK-12 student population in the southeast Ohio region. I strongly agree with the review committee members that our teacher education diversity of students can be improved upon.
It is important to clarify to review committee members that the recruitment pool for our master’s programs that provide teacher licensure (initial licensure master’s programs) is necessarily a different population from our current undergraduate students, who are earning the teaching license in their undergraduate programs. Though review committee members heard initial licensure master’s students note the challenge of a high-intensity program, it is, in fact just that—a one-year program for master’s students whose undergraduate content meets the licensure requirements, so they are focused on an intensive year-long clinical model in an educational preparation program to prepare them to work as licensed teachers. This is a rigorous and fast-paced master’s program.
The recruitment pool for the master’s in curriculum and instruction, which might appeal to our own OHIO graduates, actually draws from a national market and is effective in reaching a broad range of students due to its eCampus home. It is my belief that a strong program pulls students into master’s and doctoral programs from other undergraduate programs – which is what the Teacher Education Department seeks to do.

The advising of teacher education students has been a priority in The Patton College for over a decade now. The move to professional advisors, over 10 years ago, has improved the rating of advising as evidenced on the student satisfaction survey, which is distributed every two years. The goal in The Patton College is to balance faculty hires with changes in enrollment.

Department chairs present and review Staffing Protocol requests each year that reflect program enrollments and current FTEs of all faculty members in the program. It is noteworthy to mention that Special Education received approval to hire an additional Group I faculty in 2017-18 despite falling enrollments, but in anticipation of new program developments and a strong potential for recruiting both UG and graduate students.

Group III faculty in Teacher Education would never be used to replace Group I faculty, unless on a temporary basis during the hiring process. Moreover, if and when Group II faculty lines replace Group I faculty it is typically due to a focus on the clinical model of education and a need to offer greater variety of courses or hold responsibility for facilitation of online programs – held by non-research active Group I faculty who have retired. For example, the retirement of Group I faculty member who coordinated the online Curriculum and Instruction master’s that was commensurate with an emphasis on teaching and de-emphasis on research retired; that position was replace with a Group II faculty member who holds the same responsibilities as the retired Group I faculty member had (due to her shift in activities over time).

Finally, requests for Group IIIs occur for a number of different reasons, and can change from year to year. For example, departments request Group III because a Group I faculty member is engaging in service work, working on a grant, or taking leave. Fortunately in a teacher education program with emphasis on the clinical model, drawing upon Group III faculty provides our student with current experience and expertise of highly qualified classroom teachers, which complements the instruction provided by our permanent Group I and Group II faculty members.

Finally, I enthusiastically agree that the Departments’ pedagogical practices, focused on the clinical model of education, are a source of pride in The Patton College. The outreach centers mentioned in the report, The Ohio University Child Development Center, The Ohio Center for Clinical Practice in Education, and the Ohio Center for Equity in Mathematics and Science are rightfully applauded for innovative programming in our region. I offer that the Stevens Literacy Center is a fourth center affiliated with the Department that provides meaningful outreach and opportunities for educational enhancement to traditionally underserved members of our community.

Thank you for the opportunity to review and respond to the report. If you have any questions, regarding this feedback, please feel free to contact me.
The Graduate Council met on April 12, 2019 and considered the program review:

**Teacher Education**

Graduate Council concentrated on the part of the review dealing with the graduate program. The report notes that the size of the graduate program is small compared to that of the undergraduate program, and points to some underlying problems resulting of this, like to the “many merged undergraduate/graduate offering”, which is indeed a quality concern. Graduate Council sides with the concerns laid out in the report. Both, the Department Chair and Dean Middleton referred to the graduate program moved to e-Campus and seeing larger enrollments, but were not specific about the concerns raised in the report. Graduate Council agrees with the overall assessment that the program is viable, but also sides with the concerns given in the review.
Center for International Studies (Athens)
Program-Review Executive Summary

Reviewed: AY 2017-18
Previous Review: AY 2007-08

Finding and Overall Assessment: *Viable.*


Self-Study Synopsis: Founded in 1964, the Center for International Studies (INST) offers a wide range of interdisciplinary programs at the graduate and undergraduate levels, with special focus on area studies and development studies. INST boasts more than 150 affiliated faculty members and, since the last review (2007-08), the center has added one tenure-track faculty member in its Global Leadership Center and one non-tenure-track faculty member. INST’s diverse student body, who come from four continents and over 30 countries, are engaged in curricula that integrate language, study-away, and professional-development programming that foster cultural competence and project-management and communication skills. INST provides flexible curricula with significant breadth, drawing from expertise across the university and particularly the College of Arts & Sciences and the Scripps College of Communication. As of 2016 (the academic year preceding the start of INST’s program review), the center was home to 96 M.A. students (spread among five concentrations) and has averaged 111 M.A. students per academic year since 2010. The unit granted 412 M.A. degrees between 2010 and 2016. INST also offers seven graduate-certificate programs. At the undergraduate level, INST enrolled 71 undergraduate majors in 2016 (with an average of 83 majors since 2012) in its B.A. program in Global Studies, with specializations offered in African Studies, Asian Studies, Latin American Studies, European Studies, and War and Peace Studies. The center’s self-identified areas for improvement included focusing on faculty recruitment and retention that can sustain the Center’s commitment to academic excellence through globalized education, research, and service; strengthening the marketing of INST programs to increase the number and diversity of students enrolled; and improving data collection in regard to students and alumni.

Site-Visit Overview: The internal reviewers were Dr. Lauren Mills (Chemistry and Biochemistry), Dr. Zaki Kuruppalil (Engineering Technology and management), and Dr. Robert Williams (Mechanical Engineering. The external reviewer was Dr. Leonardo Villalón, dean of the International Center at the University of Florida. The site visit was conducted Feb. 27-28, 2018. The committee found INST to have a robust body of dedicated affiliated faculty, a clearly collaborative and collegial environment, an engaged and strongly motivated student population, and a significant international reputation and experience abroad. It
specifically praised such attributes as the center’s culture of close faculty-student engagement and its portfolio-based assessment of undergraduate students. While lauding the quality and scope of INST programs, the visitors also noted declining enrollments since the last program review. General areas of concern included the possibility that some important foreign-language instruction at OHIO may disappear due to budgetary and staffing issues; the lack of a formal procedure for gaining and maintaining affiliate-faculty status in the center; and the aforementioned decline in enrollment.

**Site-Visit Recommendations:** The committee’s recommendations included separating the position of Vice Provost for Global Affairs from that of Executive Director of INST; the consideration of a reorganization of foreign-language instruction at the university; and addressing the issue of faculty-affiliate status.
Date:      May 31, 2028

To:        David Ingram, Chair, Program Review Committee,
            Office of the Executive Vice President and Provost

From:      Lorna Jean Edmonds, Director, on behalf
            of the Center for International Studies Leadership Team


The Center for International Studies (CIS or the Center) would like to extend our sincere
gratitude to the program reviewers for our seven-year review and with the recommendation
that the CIS is viable. The review has provided valuable insight into our programs and an
opportunity to capture our social history, identify areas of priority and define our goals for the
future. It has given us meaningful feedback that has already proven to be beneficial as we
continue to move the Center forward. We also appreciate that the committee acknowledged
the immense value that the CIS brings to the whole university with our innovative,
interdisciplinary and robust degree programs, our diverse student body and most importantly
the breadth and depth of our affiliated faculty with international expertise recognized
nationally and internationally. We take seriously the recommendations, and we have detailed
our strategic plans and initiatives as a response below.

We would like first address two areas: the misinterpretation that there is no regular curriculum
development or assessment and the structure of the CIS Group I position.

1. Curriculum Development

   The CIS Curriculum Committee, formerly the GFAB (Global Faculty Advisory Board),
meets regularly to work on and update the curriculum. Over the last few years, many
curriculum changes have been added, including expanding our course options to classes
offered in other colleges outside of the College of Arts and Sciences, and our study away
guidelines. We have added new courses as new faculty are hired into the university and
when current faculty expand their course offerings. Dr. Catherine Cutcher, the Assistant
Director for Global Studies Programs, represents the CIS at the University Curriculum
Committee and Programs Committee meetings, and consults with other faculty and
departments on international and global studies curriculum issues. At the graduate
level, each year we update our program handbooks to reflect updated courses. We follow the university schedule for ACALOG catalog updates and provide oversight of curriculum change through OCEAN.

Further, Professor Edna Wangui, an affiliated faculty member in Geography and former interim director of the International Development Studies program, is leading the development of our outcomes and assessment tools this year with Dr. Catherine Cutcher. We are now implementing the evaluation and assessment of undergraduate learning outcomes through a portfolio review process, and using the feedback for continuous improvement and curriculum change. We are following best practices in higher education by using the Global Learning VALUE Rubric established by the American Association of Colleges and Universities (AAC&U). Next year, we will also work with the graduate program directors to develop learning outcomes and an assessment process for the culminating experiences of our graduate students (i.e., theses, comprehensive exams, and professional projects).

2. The appointment of the Group I Director of the Global Leadership Center (GLC).

The GLC director is Group 1 faculty in which the job description was uniquely written to address the fact that a core responsibility of the GLC is to offer a large certificate program that aims to promote the leadership, educational, and scholarship opportunities for, and competencies of OHIO undergraduate students. It is also to expand the GLC mandate as a center positioned to support global leadership skills and knowledge development.

The job description for the GLC director clearly states that significant educational oversight and related coordination is required to lead the GLC and this is noted in the 40% commitment to service, 50% for teaching and 10% for research and scholarship. There are three TAs and a program assistant who support the coordination of this educational program.

It will be important, however, to ensure that this position is well understood and the expectations of the tenured position are achieved through the Promotion and Tenure committee, which is actively engaged with the director. There were no concerns identified by the committee nor the director following the first year of employment.

A. Summary of Key Observations and Response to Review

The following table is a summary of key observations from the review. Below the table, the response to the review’s constructive observations is presented:
Key Observations

<table>
<thead>
<tr>
<th>Positive</th>
<th>Constructive</th>
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<tbody>
<tr>
<td>1. Innovative, interdisciplinary &amp; strong degrees</td>
<td>1. RCM’s zero-sum logic</td>
</tr>
<tr>
<td>2. National recognition of breath &amp; depth of faculty with international expertise</td>
<td>2. Affiliated faculty standing/status</td>
</tr>
<tr>
<td>3. Diverse student body</td>
<td>3. Current grouping of language offerings</td>
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<tr>
<td>4. Continued support of Less Commonly Taught Languages (LCTLs)</td>
<td>4. Declining enrollments <em>(see chart)</em></td>
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<td>5. 4+1 initiative as a way to respond to student demand</td>
<td>5. Lack of student data, especially employment and placement data</td>
</tr>
<tr>
<td>6. Benefit to the university - infusing international &amp; global dimensions</td>
<td>6. CIS Director/ Vice Provost of Global Affairs and International Studies portfolio leadership structure, titles and approach</td>
</tr>
</tbody>
</table>

Response

1. **Financial and Program Stability**
   
   We are aware that RCM can foster a zero-sum logic. Our aim is to foster cooperation and not competition across colleges and departments. It is to stabilize enrollment while we add new and improve upon the quality, diversity and profile of the CIS programs. This is a challenge in which the CIS is striving to achieve within its mission and recognizing its distinct structure and access to affiliated faculty.

   The set of new CIS proposed courses for CIS students aim to meet the demand for on-line accessibility of our programs, and complement the courses offered by other colleges and departments across the university. An introduction to global studies and competencies is also being developed to offer to all OHIO students. These courses will benefit students by offering opportunities that are not currently available to them. We are also excited to be creating new 4+1 initiatives and the Global Studies HTC program. These new initiatives offer niche areas, enhance program quality and diversity and will generate revenue. Collectively they further define the core of CIS and its distinction.

2. **Affiliated faculty standing and status**
   
   Our affiliated faculty are at the core of what makes CIS successful and our aim is to continue to support their work and advocate for it to be recognized. We want our faculty to be engaged in CIS academic, professional, service and governance activities. In FY18, we established regular
meetings with all affiliated faculty and we plan to continue this by increasing communications and networking with, and among faculty and chairs as well as supporting faculty led partnerships and initiatives. In FY19, we will establish an annual research support award and determine how best to increase affiliated faculty involvement in CIS governance.

3. **World Languages with CIS focus on the Less Commonly Taught Languages (LCTLS) and current grouping of language offerings**

We remain committed to supporting the teaching of languages both within our unit and across campus. In FY18, we hired our first World Languages Lecturer to oversee CIS language offerings with a particular focus on overseeing the Less Commonly Taught Languages and to support pan-university profiling of all OHIO language offerings. In FY19, African Studies will also support a teaching assistant for Swahili. Asian Studies will also support at two-year teaching assistant for Hindi starting in FY19 with funding from Asian Studies, the Friends of India and the Office of Global Affairs. The goal is to use this time and investment to develop a strategy for sustaining world languages.

4. **Increasing student success and enrollments**

In this past year, there has been a greater focus on our communications and outreach strategy and interactions with the admissions and enrollment management teams to increase first-year and transfer student admissions. Early records indicate that there is a first-year student increase from 4 to 15 students from FY18 to FY19. For the graduate program, we have received 51 acceptances of 114 admitted many of which are now pending visa acceptance.

The revisions of our two assistant director positions will enable the CIS to better respond to student needs and interests, and improve the quality and diversity of CIS programs. In FY 18, we established the Global Professional Development Series, which we have been continually assessing to ensure better programming in FY 19 and beyond. For example, in FY 19, the Center for International Studies will be launching a mentorship program. We are also excited about all the new course and program offerings in global studies to add to the selection of programs for our students.

5. **CIS Data and Profile of Students and Alumni**

The CIS has more access to information about its students this year than in the past thanks to the seven-year review process! It was timely. In addition, the CIS has since collected an academic profile of the undergraduate students’ academic focus and the study away and language courses chosen to complete their degrees. Of note is that the CIS started administering the undergraduate Global Studies program in 2012 and produced its first alumni who started the freshmen within CIS only in 2016. CIS is eager to learn from past experiences and reach out to potential partners and employers as recommended by the reviewers.

Much more information is required, particularly, as it pertains to being able to monitor and evaluate student success and alumni profiles and career trajectory. This summer, the CIS will be investing in building our alumni data base while advancing our alumni relations goals. In
addition, a future goal is to hire an administrative specialist responsible for the CIS database and analytics.

6. **Leadership and Structure**

All members of the leadership team are striving to determine the approach to governing and managing the CIS that serves its academic interests to remain distinctive through engagement of its stakeholders. This includes identifying the ways to increase involvement of affiliated faculty and their departments and colleges. The goal is to enable progressive thinking and collective decision making that ensures the CIS meets its vision and mission with faculty and students who are proud to be involved.

This leadership team has been in place for one year now with growing knowledge and experience for advancing policy development and programming. Although there is greater access, communication and transparency, the CIS leadership and the affiliated faculty need to do more to find the balance for greater impact. Discussions regarding the structure of the CIS in relation to other colleges and the global affairs and international studies portfolio would be timely.

**B. CIS Strategic Initiatives as Response to Review**

The following highlights examples of the CIS FY18 strategic initiatives and activities in which it is investing:

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<tbody>
<tr>
<td>FY18 Goal/Aim</td>
<td>Improve quality and diversity of CIS programs to better respond to student interests</td>
<td>Increase enrollment in LCTLs along with other languages</td>
<td>Foster cooperation and not competition across colleges and departments and stabilize enrollment</td>
<td>Advocate for work of faculty to be recognized and increase CIS visibility</td>
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<tr>
<td>FY18 Activities</td>
<td>• 4+1 model • Increase CIS courses - global and online • Global studies HTC • Professional development, mentorship and social programs • Revise jobs: Assistant Directors of Graduate &amp;</td>
<td>• World Languages Coordinator • FY19 - African Studies support Swahili GA • Expansion of</td>
<td>• Working to engage more with our alumni • Increase scholarships • Increase engagement with admissions • Increase GAs • Strengthen communications</td>
<td>• Establishment of an annual research support award • Increase engagement in CIS academic, professional, service and governance activities</td>
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<tr>
<td>Undergraduate programs and Administrative Associates</td>
<td>STARTALK languages and data analytics</td>
<td>• Increase communications and networking with and among faculty and chairs • Support partnerships initiated or led by our affiliated faculty</td>
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C. Conclusion and CIS Recommendations

The Center for International Studies has played a vital role at Ohio University for more than 50 years. This review process is assisting our faculty and staff as we move forward into this next phase of the university's history. It is the only academic unit offering this unique mix of interdisciplinary area studies, development studies, war and peace and global leadership for undergraduates and graduates. The Center attracts students from around the globe, and our graduates are making a positive impact in Ohio, nationally and internationally. As already mentioned, the review has provided valuable insight into our programs, helped us to identify areas of priority and further defined our goals for the future. As part of the process of continuing to meet the needs of our students and the university, the Center for International Studies would like to make the following recommendations:

1. OHIO's language policy and current grouping of language offerings should be revised at the senior policy level of academic administration. We propose that the issue be addressed and evaluated by the University International Council (UIC) in cooperation with the College of Arts and Sciences and the CIS. The goal is to facilitate an inclusive and pan-university discussion about OHIO's language programs and to propose a plan for sustainability. CIS is requesting a budget allocation be made for a Linguist Group 1 Faculty position to oversee the LCTLS. This could be a position in Arts and Sciences or a joint position with the CIS.

2. A budget allocation for an additional Group 1 Faculty position to lead CIS (INST) courses and research in global studies as part of strengthening OHIO’s academic programming and profile in global studies. This new faculty line expands the reach of the Center while complementing President Nellis' Strategic Pathways for the University. It enhances the research and creative profile through interdisciplinary collaborations as well supporting and investing in outstanding faculty.

3. Accord the title of Dean to the CIS director consistent with all other academic and student affairs units significantly engaged in education, research and service.
Appendix: CIS Student Profile

Ohio University Athens Campus Undergraduate Profile

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<th>Fall 2013</th>
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*As of October 15, 2017

**Admission accepted but pending visas as of May 7, 2018

*** Data Not Available
The Graduate Council met on April 12, 2019 and considered the program review:

Center for International Studies

Graduate Council agrees with the recommendation of the review committee and positively noted that concerns brought forward in the review are being already addressed in a timely fashion as stated in the response by the director.
Medical Assisting Technology (RHE)
Program-Review Executive Summary

Reviewed: AY 2018-19
Previous Review: AY 2012-13 (Follow-up conducted in 2015-16)

Finding and Overall Assessment: Viable.

Degrees: A.A.S. in Medical Assisting Technology.

Self-Study Synopsis: Founded in 1997, the Medical Assisting Technology (MAT) program was the first allied-health program established within the OHIO system. It began at the Lancaster campus then expanded to include Chillicothe and, as of Fall 2019, the Southern campus. The program is accredited by the Medical Assisting Education Review Board (MAERB) and thus abides by that body’s curricular and assessment standards and requirements. Appointed in 2014, the current director is a full-time, non-tenure track faculty member (the previous director was tenure track), and the program also has two fixed-term instructors. The program has average a cohort of 10 incoming students per year since 2012, with more expected in light of the MAT’s recent expansion. In 2017, the program’s graduates achieved an 83.3% passing rate on the field’s certification exam, the Certified Medical Assistant (CMA) exam—the highest percentage in program history.

Site-Visit Overview: The internal reviewers were Dr. Miriam Shadis (History) and Dr. Mary Jane Kelley (Modern Languages). The external reviewer was Kimberly Ephlin, director of the Medical Laboratory Technician and Medical Assisting Technology programs at Hocking College. The site visit took place on February 28, 2019. The committee commended the program’s director for bearing an enormous workload and for leading a smooth-running and effective program. Students are well prepared and share a strong sense of community. The visitors also noted that the program’s curriculum is continually undergoing adjustment based on effective assessment practices and input from the program’s advisory committee and local employers in the healthcare industry. The committee also observed that the program relies primarily on the instruction and direction of one person, who also conducts a significant amount of advising, networking, and other heavy service work, including accreditation-related reporting. This is of concern in light MAT’s expansion to the Chillicothe and Southern campuses since the follow-up review of 2015-16. (The director, based in Lancaster, must make regular sojourns to teach at the other campuses [it is a four-hour round trip from Lancaster to Ironton], in addition to her administrative work that goes well beyond her contractual responsibilities as a Lecturer.) In addition to the program director, the program has two fixed-term faculty members. These faculty members can cover Lancaster-campus instruction, but in light of the program’s expansion to the Chillicothe and Southern Campuses, additional faculty members are necessary to carry out the overall mission of the department and will be required in order for the program to remain in compliance with MAERB guidelines. Additional non-tenure track faculty could absorb both teaching and administrative responsibilities.

Site-Visit Recommendations: In addition to noting the need to appointing additional faculty members to cover the program’s expanding curricular and administrative demands, the
committee’s recommendations also included the intensification of the program’s marketing amid a booming healthcare-related job market.

Note: The University Curriculum Council Program Review Committee has scheduled an update for the 2021-2022 academic year that will focus on MAT’s staffing needs, workload matters, and expansion to Chillicothe and Southern campuses.
Ohio University Lancaster  
Medical Assisting Program  
Response to Reviewer’s Report on 7-year Review

The Medical Assisting Program would like to thank the reviewers for the time and effort that was involved in performing the on-site survey and reviewer’s report. The findings are accurate, and the commendations appreciated.

In response to the areas of concerns:

a. Concentration of all program responsibilities in one person. The statement was made that “healthy programs evolve through collaboration and a variety of viewpoints in daily operation and in future planning.”

The program director communicates regularly with Dr. Brian Higgins who is an adjunct and on the MAT advisory board committee. Dr. Higgins participated in the recent MAERB program review and met with reviewers during the UCC 7-year review. Dr. Higgins attends the annual advisory board committee and receives emails from the program director when his opinion or collaboration is needed concerning program details. Dr. Higgin’s responses contribute to programmatic decision making.

Susan Maxwell, the former program director, provided input when the agenda was being developed for the MAERB on-site review. This provided a model for the UCC 7-year review agenda.

Lea Yoakem, OU-Chillicothe adjunct, regularly communicates with the program director as Ms. Yoakem is teaching the laboratory portion of MAT 2010 Clinical Procedures I. The program director oriented Ms. Yoakem to the MAERB system of competency evaluation for the psychomotor and affective competencies being taught in MAT 2010. Both instructors developed a list of necessary equipment and supplies for the instruction of these competencies and created a schedule to follow so that the weekly laboratory would coincide with the theory being covered in lecture.

All adjuncts and the program director complete a resource survey each semester which the program director uses to develop the annual resource assessment with includes an action plan designed for maintenance or improvement of the program and action plan follow-up.

The program director also attends the annual Ohio State Society of Medical Assistants Conference or the American Association of Medical Assistants Annual Conference. Workshops are held at these conferences that cover various medical assisting topics to include program management. The program director also has the opportunity to network with other program managers while attending and exchange ideas about program administration and changes in the field of medical assisting.

b. Program expansion to Chillicothe and Southern campuses. The program director was able to use technology to the advantage of the MAT program and develop the administrative courses into a blended format where the laboratory portion of the courses would be taught online. This freed up classroom time allowing the program director to dedicate one day a week for travel to the OUC and OUS campuses as required by the Medical Assisting Education Review Board standards.

c. Marketing. The program director has met with the advising department at OUC orienting them to the MAT program, curriculum covered, and employment opportunities. The program director participated in the Hilltop Majors Fair at OUC and three Application Nights. The program director recently attended a Majors Fair at OUS promoting the program to approximately 85 high school juniors. The program director will attend the OUL Majors Fair at OUL on April 3.
With input from the program director, OUC and OUS have created information brochures for the MAT program. These are distributed at the major’s fairs.
The program director asked to advertise the OUL/OUC/OUS MAT program at the upcoming Ohio State Society of Medical Assistants yearly conference in Dublin, but this was denied as it was thought that statewide advertising for a local program is not appropriate.
The program director will work with the Student Services departments of OUL/OUC/and OUS to orient the advising staff to new MAT program changes which include replacing BIOS 1030/1300 and 1310 with MAT 2900 Human Form and Function. The BIOS courses proved to be a considerable barrier for MAT students to overcome and could be a possible contributor to the low enrollment of the OUL program.

d. Service duties assigned to Cynthia Boles. Ms. Boles has resigned from the following committees: Celebrate Women, Women in the Sciences (although she has agreed to continue to be a presenter), Diversity, Special Events Planning, and RHE Assessment. Ms. Boles will continue to participate as a member of the AEC Group II committee.

In response to recommendations based on areas of concern:

e. Job expectations and contracts for Cynthia Boles. The reviewers stated that, “It wasn’t clear to the committee which of those (three different types of contracts described by Dean Smith that cover different categories of responsibilities on campus) contact types Boles has or should have. Clear communication on job expectations is critical for satisfactory job performance, fair evaluation, and morale.
In in Programmatic Information section of the review is was stated that according to the resource action plan/follow up, there was a need identified in 2016 for the program director to have adequate time for completing and being compensated for time allotted to complete required MAERB reporting (over 35% of her time). In 2016, it was noted that moving forward she would be allotted time to complete the report, but this stipulation is not mentioned in 2017 or after.

Reimbursement for the MAT program director is documented as follows:

- June 24, 2014 hired by OUL. “A separate stipend of $4000 will be provided for campus level program coordination of the Medical Assisting Technology program and is renewable on a calendar year basis and the amount may be adjusted depending upon enrollment and performance of duties.”
- September 4, 2015. “As you are aware, during the 2015-2016 school year you will receive stipends for duties associated with being a Campus Program Coordinator for the associate degree program in Medical Assisting Technology. The stipend scale below provides the maximum amount for fully completing all duties as assigned:
  up to 24 majors- $2,000
  25-49 majors - $4,000
  50-74 majors - $6,000
  75+ majors - $8,000
Appointment forms have been processed to provide you with an overall stipend of $4,000 based on the number of students in your program. The stipend may be reduced in a future year based on annual activity report, action plan, and recommendation of the associate dean.”
• July 18, 2016 RE: 2016-2017 Salary. Stipend for Additional Duties: $4,000 for MAT Program Coordinator.
• July 10, 2017 RE: 2017-2018 Academic Year Salary. Stipend for Additional Duties: $4,000 (RHE Campus Program Coordination)
• In February 2018 a Memorandum of Agreement was prepared (attached).
• August 2018 MAT courses initiated at OUC.

On March 6, 2019 the Program Director made the required MAERB biweekly visit to OUC to coordinate MAT program lecture notes, return completed assignments to students, and organize supplies for the MAT 2010 lab assignment. This date also coordinated with an Application Night being held. The travel expense report for $47.56 in mileage was denied. The rationale given was, “Mileage will be paid for travel to OUC per the OULN policy. This is not a mandatory event and any mileage outside OULN needs to be approved by the campus dean.”

When the OUL dean was contacted, an email was received that read, “Since you are not receiving a stipend from the OUC campus to coordinate program we will reimburse your mileage to attend the admissions fair as a recruiting event. In the future, i.e. next year, you should receive a stipend for the coordinator duties on the OUC campus. At that point the stipend will compensate you for attending these types of events.”

I would like to take the reviewer’s observations as an opportunity to open up the lines of communication concerning job expectations between the MAT Program Director and the OUL/OUC and OUS Deans.


Cynthia Boles, CMA (AAMA), MAT Program Director/Lecturer
MEMORANDUM OF AGREEMENT
BY AND BETWEEN
OHIO UNIVERSITY LANCASTER
AND CYNTHIA BOLES, LECTURER & PROGRAM COORDINATOR (MAT)

Ohio University Lancaster (OUL) agrees to work with Ohio University Chillicothe (OUC) to expand the Medical Assisting Technology (MAT) program. OUC and OUL will draw on the experience and skills of Cynthia Boles to shape that possible expansion, determine the details of accreditation compliance, and design curricular delivery methods for this proposed expansion.

Cynthia Boles agrees to perform the following activities:

- Meet with OUL and OUC administration to shape the path forward toward expanding these programs.
- Redesign curriculum delivery via Ohio University Learning Network (OULN), where appropriate.
- Complete appropriate paperwork for submission to the accrediting agency.
- Other responsibilities related to this effort as they arise.

Ohio University Lancaster agrees to provide the following:

- A one-time, one-credit release from teaching to be considered on load for Spring 2018.
- Mileage reimbursement as necessary for travel between OUL and OUC campuses related to this effort.
- Logistical support as is available.

Date

Bob Klein, Ph.D.
Interim Associate Dean, Ohio University Lancaster

Date

Cynthia Boles, M.B.A, C.M.A
Lecturer & Program Coordinator,
Ohio University Lancaster

Copy - Cynthia Boles' employment file.
April 19, 2019

Dr. John Cotton  
Chair, Program Review Committee  
University Curriculum Council (UCC)

Dear Dr. Cotten,

The deans were pleased to see the Medical Assisting Technology (MAT) associate of applied science (AAS) degree program judged by the review team as viable. The program has been extensively reviewed given the recent visit by the accreditation board. That review was highly positive and is a credit to the leadership of the program director, Cynthia Boles. The commendations in the report are echoed by the deans. The program is well managed, valued by students and our communities of interest, and the lab experiences are deemed valuable and are supported. Importantly, the curriculum is routinely examined and maintained to ensure all of the designated knowledge, skills, and abilities are covered in a tight two-year time frame of the AAS degree. Cynthia’s tireless efforts to develop a new course to provide the anatomy and biology content relevant in scope and level to medical assistant is one such example.

The reviewers noted concerns. While there are risks to having one faculty member programs, they are common to the associate degree program sector of higher education. The Lancaster campus alone has seven such AAS/AAB programs. They are common to regional campuses across the state as the tuition is half a residential campus rate and smaller enrollments are common due to rural settings and no student housing. As Ms. Boles notes, community partnerships, program advisory boards and in the case of MAT, a medical director provides the necessary interaction to be “healthy”. The fact that we had such a glowing MAERB accreditation result should place such concerns to rest.

The reviewers are justifiably concerned about the expansion of the program to Chillicothe and Southern campuses. We all hope that these very new efforts to start this program on other campuses takes root and the deans will make appropriate staffing adjustments as evidence indicates that they are sustainable. Very strict accreditation rules do not allow for piloting the program and given the need for new revenue, we hope to grow the program as nursing has grown but wish to minimize the risk until sufficient evidence exists for sustainability. These efforts are so new that OUC was only given approval to move beyond course offerings to offering the
program starting in Fall 2019. These courses/programs are being advertised within a reasonable commuting distance service area and within the limits of what can be accomplished based on budget allocations.

The reviewers take issue with Ms. Boles service load and state that she should not be required to perform service. That, in fact is the case. Her appointment letter states that “While service to the campus and university is not a requirement of this position, some faculty choose to participate in committee work or student organizations so as to more fully engage in the life of the campus. Such activity is encouraged.” Recognizing the work load involved, service is voluntary, not mandatory. We agree and fully support her decision to withdraw from committees where she may have passion and interest but are not related to her contractual assignment.

In summary, the deans agree that the program curriculum, program outcomes, and student experience are sound. The program enjoys the experienced leadership of its program director. For these reasons, OUC and OUS deans see great value in its expansion to other campuses. It is unfortunate that his review came at a time when this expansion was just beginning and resources and stability are stretched. There is some confusion between campuses that does need attention. However, the deans are very aware of these needs and with even modest growth resources will quickly follow. We look forward to seeing that growth.

Sincerely,

James M. Smith, Dean
Lancaster Campus

Martin T. Tuck, Dean
Chillicothe Campus

Nicole Pennington, Dean
Southern Campus
Office Administration Technology (RHE)
Program-Review Executive Summary

Reviewed: AY 2018-19
Previous Review: AY 2011-12

Finding and Overall Assessment: In Jeopardy.

Degrees: A.A.B. in Office Administration Technology.

Self-Study Synopsis: Housed at the Chillicothe and Southern campuses, the Office Administration Technology (OAT) program provides students with traditional and online instruction in business administration to prepare them for employment or promotion or build the foundations upon which students will pursue B.A. degrees in such fields at Technical and Applied Studies and Science in Applied Management. As of 2018, the program’s faculty was comprised of one tenure-track faculty member (the OAT program coordinator at Chillicothe), one full-time instructional faculty member (the Business Studies Director at Southern), and six fixed-term faculty members (five at Chillicothe and one at Southern). This marks a decrease of six fixed-term faculty members at Chillicothe and one at Southern since the last review (2011-12). The program saw 153 students enrolled in its classes as of Fall 2018, down from a high of 367 in Fall 2013. It reported 14 majors. Declining enrollments are among the program’s self-identified concerns, which also include significant curricular overlap involving RHE’s Computer Science Technology program (at Lancaster, Chillicothe, and Southern), and the Business Management Technology program (also at Lancaster, Chillicothe, and Southern).

Site-Visit Overview: The internal reviewers were Dr. Fuh-Cherng Jeng (Communications Sciences and Disorders) and Dr. Lauren McMills (Chemistry and Biochemistry). The external reviewer was Deborah Peairs, Associate Professor of Office Administration and ITS at Clark State Community College. The site visit was conducted in March 2019. The committee identified OAT’s declining number of students and its low major count as factors threatening the program’s future. It noted that former students praised OAT and graduates are well prepared for jobs or further education. The visitors also emphasized an issue noted in the self-study: significant curricular overlap with other A.A.S. programs. Moreover, the site visit identified what the committee called a “band aid approach” to keeping computer labs operating efficiently at the Chillicothe campus. Computer infrastructure should be a high priority for any program that depends on technology for the majority of its courses.

Site-Visit Recommendations: To ensure the program’s viability, the committee recommended that it be updated to include Medical Office Administration Technology (MOAT), as there would likely be interest in this program due to a large number of healthcare providers locally and nationwide in need of such skills. Indeed, the visitors pointed to the possibility of a MOAT program (not be confused with Medical Assisting Technology) supplanting OAT, which could become a certificate program under the MOAT umbrella. The committee also recommended that OAT market its courses to high-school students and that the program’s advisory committee meet regularly, with input from local businesspeople. In sum, the committee found that OAT currently stands “in jeopardy.” It noted: “Every
institution of higher learning in the state is experiencing the same challenges of low enrollment in their office administration programs. Fresh ideas will need to be explored, discussed, and implemented in order to continue to attract students in today’s economic and ever-changing climate. The availability of an option, such as a Medical Office Administration Technology program, would likely help the program maintain viability.”
Hello John,

I want to thank you and the committee for your patience. Here is where we are. The deans discussed the review report and their recommendations were shared with me last Wednesday, April 10. It is their recommendation that I pursue the design of a medical office administration program as per one of the recommendations of the program reviewers. The deans would like to see OAT as it stands to continue accepting students into the major through the next academic year. Once the new design is complete, they would like to see the old OAT program suspended with a teach out plan put through UCC by the end of the year.

As the program coordinator, I am investigating all of the review information. I was very pleased with the many positive outcomes and comments from the review. With low enrollments cited as the single most important factor leaving the program in jeopardy and in light of the One OHIO implementation and changes coming to RHE, I am hesitant to suspend the program right away. I am currently conducting some research into medical office programs including medical coding. I am also looking into some of the other recommendations made by the reviewers. I have already started to share this information with my division chair and some OAT advisory board members. I plan to discuss this information and the deans’ recommendation with our campus curriculum committee faculty, the OAT program advisory committee, and the faculty in my division. Once I have their feedback, I will make an exact plan of action. I should know that plan by the end of this spring term.

Perhaps another review could be scheduled in fall 2021. Is that enough information or do you need something more specific? If a formal letter is needed, please let me know.

Thank you again for your patience.

Allison
Dear Dr. Cotton:

The Regional campus deans, in particular Dean Pennington and myself (Dean Martin Tuck) are in full agreement with the Program Reviewer's conclusion that the Office Administration Technology (OAT) program is "In Jeopardy" due to low student enrollment.

We also agree with the reviewer's recommendation that the curriculum of the program should be revised to focus on medical office administration. With career opportunities in the health care field increasing and predicted to further increase in the future, it appears to be sound advise by the reviewers to focus the curriculum of the program on medical office clerical administration.

We also feel the curriculum revisions should be completed by Allison White, the OAT Regional Program Coordinator, in a timely manner and would suggest they be submitted for university curriculum approval by the end of the 2019 calendar year at the latest.

We also suggest that admission of new students to the current OAT program be suspended until the curriculum revisions are made.

We appreciate the reviewers thoughtful and complete review of the program.

Sincerely,

Martin Tuck, Dean Ohio University Chillicothe
Nicole Pennington, Dean Ohio University Southern

Martin T. Tuck, Ph.D.
Dean
Ohio University - Chillicothe
tuck@ohio.edu

"If I were giving a young man advice as to how he might succeed in life, I would say to him, pick out a good father and mother, and begin life in Ohio.

~Wilbur Wright
Resources, Facilities, and Affordability Committee Meeting
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO and Treasurer
Katie Hensel, Budget Director

Re: Financial Update: FY19 Year End Results & FY20 University Budget

At the October meeting, we will provide the Board with the University’s FY19 Audited Financial Statements. Our forecasted year end results were reviewed with the BOT at the June meeting and the Audit Committee will review the audited statements in early October before submission to the State. Relevant aspects of our financial performance will be incorporated into the Resources Committee presentation focusing on budget planning, most importantly the impact of FY19 actuals on the University’s multi-year operating reserve projection.

The FY20 University Budget Update will include FY20 income statement forecasts as well as information on the status of FY21-26 budget planning. In particular, the FY20 forecast will focus on preliminary budget variances as summarized below:

**State Appropriations: +$4.7M**
Consistent with the August BOT update, we are currently forecasting FY20 state appropriations to exceed our budget by more than $4.7M based upon: (1) an unbudgeted 1% appropriation ($1.7M) increase to the State Share of Instruction (the University budgeted for a potential 1% increase while the final State Budget included 2%); and (2) significant investments from the State of Ohio in unique line item support ($3.0M) appropriated directly to Ohio University.

**Undergraduate Net Tuition: -$6.6M**
The FY20 undergraduate net tuition forecast has been updated to reflect actual Fall 2019 headcount enrollments and credit hour production as published in the Fall 2019 Census Report, by Institutional Research. The current forecast indicates that Ohio University’s UG gross tuition will be $7.0M below budget, partially offset by savings in the UG student financial aid budget of $0.4M for a projected FY20 change in UG net tuition of -$6.6M when compared to budget. Enrollments will be discussed in the Academics and Student Success Committee. We will continue to monitor the impact of the Fall
2019 actual enrollments on our current year UG tuition and will present any changes to the forecast as part of our Resources Committee presentation.

**Strategic Opportunity Reserve (SOR)**

Since the Strategic Opportunity Reserve is funded (in part) by a 2% holdback from the State Share of Instruction and Athens UG tuition, we are currently forecasting that the FY20 budget variances detailed above will result in $1.9M in less revenue to SOR. We will continue to monitor and update the FY20 reserve forecast based on projected changes to both revenues and expenses throughout the year.

Our full Resources Committee presentation, published concurrent with the October meeting, will highlight the following:

- FY20 Forecast as compared to FY20 Budget
- Financial impact of Fall 2019 enrollments on multi-year budgets
- University FY21-26 planning assumptions, budget process, and timeline.

Finally, we will be requesting approval of fees for existing graduate programs.
WHEREAS, the appropriate planning and consultations within the University have been completed, resulting in the recommendations for establishing tuition, fee, and rate increases for purposes of investing in strategic priorities and to support quality off-campus, graduate programs detailed in Exhibit A; and

WHEREAS, these tuition, fees, and rate changes must be authorized and consistent with legislation enacted by the General Assembly.

NOW THEREFORE, BE IT RESOLVED that the Board of Trustees adopts the fee schedule attached hereto as Exhibit A, effective Spring Semester 2020, unless otherwise noted and pending approval of the Chancellor of the Ohio Department of Higher Education as noted above.
### Exhibit A

**OHIO UNIVERSITY**  
**GRADUATE OFF CAMPUS PROGRAMS**  
**CHANGES TO 2019-20 STUDENT TUITION & FEE SCHEDULE**  
*(PER CREDIT HOUR)*

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<tr>
<th>College</th>
<th>Program - Current Fees</th>
<th>Instructional Fee</th>
<th>General Fee</th>
<th>Program Fee</th>
<th>Special Svcs / Materials Fee</th>
<th>Ohio Resident Total</th>
<th>Non-Resident Fee</th>
<th>Out-of-State Resident Total</th>
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<th>College</th>
<th>Program - Proposed Fees</th>
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SERIES 2020 BONDS RESOLUTION

RESOLUTION 2019-______

Providing for the authorization, issuance and sale of not to exceed $250,000,000 in aggregate principal amount of General Receipts Bonds of The Ohio University, authorizing a Supplemental Trust Agreement securing such bonds, and authorizing matters related thereto

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

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

WHEREAS, the University has heretofore authorized, issued or entered into the prior Obligations under such Trust Agreement (collectively referred to herein as the “Prior Obligations”) as described on Exhibit A attached hereto and made a part hereof;

WHEREAS, the University has previously determined, and does hereby confirm, that it is necessary to acquire, construct, equip, furnish, reconstruct, alter, enlarge, remodel, renovate, rehabilitate or improve the following University Facilities at the respective currently estimated amounts to be financed (being collectively referred to herein as the “2020 Projects”):
<table>
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<tr>
<th>Project Name</th>
<th>Description</th>
<th>Currently Estimated Amount to be Financed</th>
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</thead>
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<tr>
<td>Academic Facilities</td>
<td>Acquisition, construction, renovation, rehabilitation, improvements and upgrades to academic buildings and related facilities, including, but not limited to, the Chemistry Building (Clippinger) Renovation Phases 1-3, Facilities/RMS/Administrative relocation, HCOM Athens, Seigfred Hall Renovation, and Russ Opportunity Center.</td>
<td>$80,000,000</td>
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<td>Ohio Information Technology (OIT) Network Replacement</td>
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<td>$9,000,000</td>
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WHEREAS, the University has determined to issue not to exceed $250,000,000 in aggregate principal amount of Bonds in one or more series under the Trust Agreement, to be designated “General Receipts Bonds, Series 2020,” or such other designation as authorized hereby (the “Series 2020 Bonds”), to

(i)    refund all or part of one or more of the Series 2012 Bonds (defined in Exhibit A), the Series 2013 Bonds (defined in Exhibit A); and

(ii)   finance all or part of the costs of, including the reimbursement of such costs of, the 2020 Projects in an aggregate principal amount of such 2020 Projects not to exceed $75,000,000;

; and

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

WHEREAS, the Board finds that all conditions precedent to the authorization and sale of the Series 2020 Bonds have been or will be met by the time the Series 2020 Bonds are issued;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF TRUSTEES OF THE OHIO UNIVERSITY, as follows:
Section 1. Definitions and Interpretations. All words and terms defined in the General Bond Resolution and elsewhere in the Trust Agreement and all interpretations therein provided shall have the meanings, respectively, and be subject to the same interpretations as therein provided where used in this Resolution, unless the context or use indicates another or different meaning or intent, except that this Resolution is sometimes herein called and may be known as the “Series 2020 Resolution,” the Bonds authorized by this Resolution are referred to herein and in the Series 2020 Supplemental Trust Agreement hereby authorized as the “Series 2020 Bonds,” and the terms "hereof," “herein,” “hereby,” “hereto” and “hereunder,” and similar terms, mean this Resolution. All words and terms defined in the preambles hereto shall have the respective meanings provided in the preambles hereto.

In addition, when used in this Resolution and the Series 2020 Supplemental Trust Agreement, the following words shall have the indicated meanings:

“Authorized Denominations” means with respect to each series of the Series 2020 Bonds, the denominations designated as such in the related Series 2020 Certificate of Award.

“Beneficial Owner” means with respect to the each series of the Series 2020 Bonds, the Person owning the Beneficial Ownership Interest therein, as evidenced to the satisfaction of the Trustee.

“Beneficial Ownership Interest” means the right to receive payments and notices with respect to the Series 2020 Bonds held in a book entry system for which the Depository does not act on behalf of a Beneficial Owner with respect to the optional or mandatory tender for purchase of the Series 2020 Bonds pursuant to the Trust Agreement.

“Book entry form” or “book entry system” means, with respect to the Series 2020 Bonds, a form or system, as applicable, under which (i) the ownership of beneficial interests in such Bonds and Debt Service Charges may be transferred only through a book entry and (ii) physical Series 2020 Bond certificates in fully registered form are registered only in the name of a Depository or its nominee as Bondholder, with the physical Series 2020 Bond certificates “immobilized” in the custody of the Depository. The book entry system maintained by and the responsibility of the Depository and not maintained by or the responsibility of the University or the Trustee is the record that identifies, and records the transfer of the interests of, the owners of beneficial (book entry) interests in such Series 2020 Bonds.

“Depository” means any securities depository that is a clearing agency under federal law operating and maintaining, with its participants or otherwise, a book entry system to record ownership of beneficial interest in the Series 2020 Bonds, and to effect transfers of book entry interests in such Bonds, and includes and means initially The Depository Trust Company (a limited purpose trust company), New York, New York.

“Federal Tax Documents” means the Certificate Under Sections 103(b)(2) and 148 of the Internal Revenue Code of 1986, as Amended, and the Certificate Regarding Issuance, Use of Proceeds and Arbitrage Compliance, both delivered by the University at the time of the issuance and delivery of each series of Tax-Exempt Series 2020 Bonds, as the same may be amended or supplemented in accordance with their respective terms.
“Fiscal Officer” has the meaning given to it in the General Bond Resolution and means the Treasurer of the University or such other officer or employee of the University as may be, or be designated by the Board, as the chief fiscal officer of the University, as shown in a written certification maintained by the University on file with the Trustee, signed by the President of the University or Secretary of the Board and currently identifying the Fiscal Officer, and shall also mean any officer of the University identified in such certificate as an alternate to the aforesaid officer.

“Fixed Rate Bonds” means Series 2020 Bonds that are not “Variable Rate Obligations,” as defined in the General Bond Resolution.

“Interest Payment Date” means, as to each series of the Series 2020 Bonds, each of the dates set forth as such in the related Series 2020 Certificate of Award.

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

“Interest Rate Mode” means any of those modes of interest with respect to the Series 2020 Bonds permitted by the Supplemental Trust Agreement related thereto and specified in the Series 2020 Certificate of Award.

“Mandatory Redemption Date” means, as to each series of the Series 2020 Bonds, each of the dates set forth in the related Series 2020 Certificate of Award for the retirement of a portion of the principal of the Series 2020 Bonds pursuant to any Mandatory Sinking Fund Requirements set forth therein.

“Mandatory Sinking Fund Requirements” means, as to each series of the Series 2020 Bonds, the amounts required to be deposited in the Debt Service Fund for the purpose of redeeming related Series 2020 Bonds (less the amount of any credit as provided in Section 4(c) of this Resolution) on each Mandatory Redemption Date, as may be set forth in the related Series 2020 Certificate of Award.

“Maximum Rate” means for each series of the Series 2020 Bonds, twelve percent (12%) per annum or such lesser rate designated as such in the related Series 2020 Certificate of Award or if Variable Rate Obligations, a rate not in excess of that rate permitted by applicable law.

“Original Purchaser” means, as to each series of the Series 2020 Bonds, the purchaser or purchasers of that series of the Series 2020 Bonds designated as such in the related Series 2020 Certificate of Award.

“Pledged Bonds” means Series 2020 Bonds or Beneficial Ownership Interests registered in the name of the Series 2020 Financial Institution and securing the obligations of the University to reimburse the Series 2020 Financial Institution for advances made pursuant to a Series 2020 Credit Support Instrument as may be provided in the related Series 2020 Certificate of Award and Series 2020 Supplemental Trust Agreement.

“Prior Obligations” means the Series 2001 Bonds, Series 2001 Swap Agreement, the Series 2003 Bonds, the Notes heretofore issued, the Series 2004 Bonds, the Series 2006A Bonds, the
Series 2006B Bonds, the Series 2006C Bonds, the Series 2008A Bonds, the Series 2008B Bonds, the Series 2009 Bonds, the Series 2012 Bonds, the Series 2012 OAQDA Bonds, the Housing For Ohio Guaranty Bonds, the Series 2013 Bonds, the Series 2014 Bonds, the Series 2016 Notes, the Series 2017A Bonds, and the Series 2017B Line of Credit Note (as each is defined in Exhibit A).

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

“Refunded Bonds” means the Series 2012 Bonds, the Series 2013 Bonds, or portions thereof, if any, refunded with a portion of the proceeds of the Series 2020 Bonds, as specified in a Series 2020 Certificate of Award, and deemed to be paid and discharged under the Trust Agreement.

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

“Refunded Bonds Escrow Agreement” means one or more Escrow Deposit Agreements between the University and the Refunded Bonds Escrow Trustee of even date with the related Series 2020 Supplemental Trust Agreement, securing one or more series of the Refunded Bonds.

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

“Refunded Bond Escrow Trustee” means the bank or trust company serving as Escrow Trustee under the Refunded Bonds Escrow Agreement, being initially designated in a Series 2020 Certificate of Award.

“Series 2020 Certificate of Award” means with respect to each series of Series 2020 Bonds, the certificate of the Fiscal Officer establishing certain terms of that series of the Series 2020 Bonds and authorized in Section 5 hereof, including any supplements thereto.

“Series 2020 Closing Date” means each date on which any series of the Series 2020 Bonds are delivered to the Original Purchaser thereof for payment.

“Series 2020 Credit Support Instrument” means any Credit Support Instruments relating to some or all of the Series 2020 Bonds described in a Series 2020 Certificate of Award and issued by a Series 2020 Financial Institution for the benefit of the holders of Series 2020 Bonds.


“Series 2020 Projects Account” means the account by that name created in the Facilities Fund pursuant to Section 6 hereof.

“Series 2020 Remarketing Agent” means the Remarketing Agent designated as such in the Series 2020 Certificate of Award.
“Series 2020 Supplemental Trust Agreement” means a Supplemental Trust Agreement styled and dated as determined in a Series 2020 Certificate of Award, by and between the University and the Trustee supplementing the Trust Agreement and securing one or more series of the Series 2020 Bonds, as the same may be supplemented and amended as provided herein and therein.


“Tax-Exempt Series 2020 Bonds” means Series 2020 Bonds the interest on which is intended by the University at the time of initial issuance to be exempt from federal income taxation under the Code, such intent to be conclusively evidenced by a determination to that effect contained in a Series 2020 Certificate of Award.

Section 2. Determinations by Board. The Board hereby finds and determines that (a) the 2020 Projects will constitute “auxiliary facilities” or “education facilities” as defined in the Act; (b) the issuance of the Series 2020 Bonds and the refunding of the Refunded Bonds, if any, will be in the best interests of the University; and (c) this Resolution is adopted pursuant to the General Bond Resolution, the Trust Agreement, the Act and Section 2i of Article VIII of the Ohio Constitution.

The Board finds that the conditions stated in numbered subparagraphs (1) and (2) of Section 3(a) of the General Bond Resolution will be satisfied by the time of authentication of the Series 2020 Bonds. The Fiscal Officer shall confirm these findings by a certificate in form satisfactory to, and to be filed with, the Trustee prior to the authentication of the Series 2020 Bonds, and the Fiscal Officer may provide such other evidence with respect thereto as the Trustee may reasonably request.

Section 3. Authorization, Designation and Purpose of Series 2020 Bonds. It is hereby declared to be necessary and in the best interests of the University to, and the University shall, issue, sell and deliver, as provided and authorized herein, Bonds of the University, on a parity with all other outstanding Obligations from time to time, which shall be designated “General Receipts Bonds, Series 2020,” or such other designation as may be specified in the related Series 2020 Certificate of Award (the “Series 2020 Bonds”), for the purposes of (i) paying Costs of University Facilities, as defined in the General Bond Resolution, related to the 2020 Projects, (ii) refunding the Refunded Bonds, if any, and (iii) paying Costs of University Facilities related to the Series 2020 Bonds and the refunding of the Refunded Bonds, all upon the terms set forth herein. For such purposes, the proceeds from the sale of the Series 2020 Bonds shall be allocated and deposited as provided in Section 6 hereof. Proceeds of the Series 2020 Bonds may be allocated among the 2020 Projects other than as shown in the preambles to this Resolution (even if doing so results in a reduction or elimination of one or more of the Series 2020 Projects), and deviations from the descriptions of particular Series 2020 Projects as shown in the preambles to this Resolution, or the scope thereof, may be made, if the Fiscal Officer in consultation with the Resources Committee of the Board determines that doing so is in the best interest of the University. The principal amount of each series of Series 2020 Bonds to be issued shall be determined by the Fiscal Officer and specified in a Series 2020 Certificate of Award, provided that the aggregate principal amount of all Series 2020 Bonds Outstanding at any time shall not exceed $250,000,000. The Series 2020
Bonds may be issued in one or more separate series of (i) Fixed Rate Bonds or (ii) Variable Rate Obligations bearing interest at one or more Interest Rate Modes, and any such Variable Rate Obligations may be convertible to one or more Interest Rate Modes, all as the Fiscal Officer may determine in a Series 2020 Certificate of Award and as described herein and in the related Series 2020 Supplemental Trust Agreement. Any series of the Series 2020 Bonds may be issued in separate series of Tax-Exempt Series 2020 Bonds and Taxable Series 2020 Bonds as the Fiscal Officer may determine in a Series 2020 Certificate of Award.


(a) Forms, Denominations, Dates and Numbering. The Series 2020 Bonds shall be negotiable instruments in accordance with the Act, shall be issued only in fully registered form, without coupons, shall be substantially in the respective forms thereof set forth in the related Series 2020 Supplemental Trust Agreement, shall be in Authorized Denominations and shall express upon their faces the purpose for which they are issued and that they are issued pursuant to the Act. Each Series 2020 Bond shall have only one principal maturity date for a specified interest rate, except for interim certificates, receipts or temporary Series 2020 Bonds which may be issued pending preparation of definitive Series 2020 Bonds. The Series 2020 Bonds shall be dated and numbered as set forth in the related Series 2020 Certificate of Award.

Subject to the provisions of this Resolution for the use of a book entry system, the Series 2020 Bonds shall be exchangeable for other Series 2020 Bonds in the manner and upon the terms set forth in the Trust Agreement.

(b) Execution, Interest Rates and Maturities. (i) The Series 2020 Bonds shall be executed by any two of the Chairman of the Board, the President of the University, the Fiscal Officer or the Secretary of the Board, and may have the seal of the University affixed or printed thereon; provided that all of such signatures and such seal may be facsimiles.

(ii) Each series of the Series 2020 Bonds shall mature on the date or dates and in the amounts set forth in the related Series 2020 Certificate of Award, provided that the final maturity of the Series 2020 Bonds shall be not later than December 1, 2050. Interest on each series of the Series 2020 Bonds shall be calculated and payable as provided in the related Series 2020 Certificate of Award. The net interest cost payable by the University on any series of the Series 2020 Bonds over their stated terms shall not exceed the Maximum Rate except that Pledged Bonds (or the economic equivalent thereof as may be determined in the related Series 2020 Certificate of Award) may bear interest at a rate greater than the Maximum Rate as provided in the related Series 2020 Certificate of Award and Series 2020 Supplemental Trust Agreement.

(iii) At the University’s option, some or all of the Series 2020 Bonds may be converted to or from one Interest Rate Mode to another as provided in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement.

(c) Mandatory Sinking Fund Redemption. Each series of the Series 2020 Bonds shall be subject to mandatory sinking fund redemption in part on each Mandatory Redemption Date, in the manner provided in the Trust Agreement, at a redemption price of 100% of the principal
amount thereof to be redeemed plus accrued interest to the redemption date in such amounts and in the manner as may be set forth in the related Series 2020 Certificate of Award and the related Series 2020 Supplemental Trust Agreement.

(d) Optional Redemption. The Series 2020 Bonds shall be callable for redemption at the option of the University, in the manner provided in the Trust Agreement, in whole or in part, at such price or prices and at such times and in the manner as may be set forth in the related Series 2020 Certificate of Award and the related Series 2020 Supplemental Trust Agreement.

(e) Method and Notice of Redemption. If less than all of the outstanding Series 2020 Bonds of one maturity are to be called, the selection of such Series 2020 Bonds of such maturity to be called shall be made in the manner provided in the related Series 2020 Certificate of Award and the related Series 2020 Supplemental Trust Agreement. Notice of call for redemption of Series 2020 Bonds shall be given at the times and in the manner provided in the related Series 2020 Certificate of Award and the related Series 2020 Supplemental Trust Agreement.

(f) Place of Payment; Record Dates. Debt Service Charges on each series of the Series 2020 Bonds when due shall be payable to the registered holders thereof at the places and in the manner provided in the related Series 2020 Certificate of Award and the related Series 2020 Supplemental Trust Agreement. The Fiscal Officer may establish a Regular Record Date and a Special Record Date for a series of the Series 2020 Bonds which shall be set forth in the related Series 2020 Certificate of Award.

(g) Paying Agent and Registrar. The Trustee shall serve as Paying Agent and Registrar for the Series 2020 Bonds.

(h) Payment. Debt Service Charges with respect to any series of the Series 2020 Bonds shall be payable in lawful money of the United States of America without deduction for the services of the Trustee or the Paying Agent, in the manner provided in the related Trust Agreement.

(i) Book Entry System. If so specified in a Series 2020 Certificate of Award, any or all of the related Series 2020 Bonds shall only be originally issued to a Depository for use in a book entry system and: (i) such Series 2020 Bonds shall be registered in the name of the Depository or its nominee, as Bondholder, and immobilized in the custody of the Depository; (ii) there shall be a single Series 2020 Bond representing each maturity; and (iii) such Series 2020 Bonds shall not be transferable or exchangeable, except for transfer to another Depository or another nominee of a Depository or to the Series 2020 Financial Institution in order to obtain payment of principal of Series 2020 Bonds in accordance with the Trust Agreement and in exchange for any Series 2020 Bonds so transferred without further action by the University. The Beneficial Owners shall not have any right to receive Series 2020 Bonds in the form of physical certificates.

So long as a book entry system is in effect for any of the Series 2020 Bonds, the University and Trustee shall recognize and treat the Depository, or its nominee, as the Holder of such Series 2020 Bonds for all purposes, including payment of Debt Service Charges, giving of notices, and enforcement of remedies. The crediting of payments of Debt Service Charges on such Series 2020 Bonds and the transmittal of notices and other communications by the Depository to Beneficial Owners are the responsibility of the Depository and are not the responsibility of the University or
the Trustee; provided, however, that the University and the Trustee understand that neither the Depository or its nominee shall provide any consent requested of Holders of such Series 2020 Bonds pursuant to the Trust Agreement, and that the Depository will mail an omnibus proxy (including a list identifying the owners of the book entry interests in such Series 2020 Bonds) to the University which assigns the Depository’s, or its nominee’s, voting rights to the owners of the book entry interests in such Series 2020 Bonds (as credited to their accounts at the Depository as of the record date for mailing of requests for such consents). Upon receipt of such omnibus proxy, the University shall promptly provide such omnibus proxy (including the list identifying the owners of the book entry interests in such Series 2020 Bonds attached thereto) to the Trustee, who shall then treat such owners as Holders of such Series 2020 Bonds for purposes of obtaining any consents pursuant to the terms of the Trust Agreement.

As long as any of the Series 2020 Bonds are registered in the name of a Depository, or its nominee, the University and the Trustee agree to comply with the terms and provisions of their agreement with the Depository including the provisions thereof with respect to any delivery of such Series 2020 Bonds to the Trustee which shall supersede the provisions of the Trust Agreement with respect thereto.

Notwithstanding any other provision of this Resolution or any provision of the General Bond Resolution, the Trust Agreement, any Series 2020 Supplemental Trust Agreement or any Series 2020 Bond to the contrary, with the approval of the Fiscal Officer, the Trustee may enter into an agreement with a Depository, or the nominee of a Depository, that is the registered owner of a Series 2020 Bond in the custody of that Depository providing for making all payments to that registered owner of principal of and interest and any premium on that Series 2020 Bond or any portion of that Series 2020 Bond (other than any payment of its entire unpaid principal amount) at a place and in a manner (including wire transfer of federal funds) other than as provided above in this Resolution, without prior presentation or surrender of that Series 2020 Bond, upon any conditions which shall be satisfactory to the Trustee and the Fiscal Officer. That payment in any event shall be made to the person who is the registered owner of that Series 2020 Bond on the date that principal and premium is due, or, with respect to the payment of interest, as of the applicable Regular Record Date or Special Record Date or other date agreed upon, as the case may be. The Trustee will furnish a copy of each of those agreements, certified to be correct by an officer of the Trustee, to other Authenticating Agents and Paying Agents for Series 2020 Bonds, if any, and to the University. Any payment of principal, premium, or interest pursuant to such an agreement shall constitute payment thereof pursuant to, and for all purposes of, this Resolution and Trust Agreement.

(j) Change of Depository and Replacement Series 2020 Bonds. If any Depository determines not to continue to act as a Depository for any Series 2020 Bonds for use in a book entry system, the University may attempt to have established a securities depository/book entry system relationship with another qualified Depository under the Trust Agreement. If the University does not or is unable to do so, the University and the Trustee, after the Trustee has made provision for notification of the owners of book entry interests in such Series 2020 Bonds by appropriate notice to the then Depository, shall permit withdrawal of such Series 2020 Bonds from the Depository, and authenticate and deliver Series 2020 Bond certificates in fully registered form to the assignees of the Depository or its nominee. If the event is not the result of University action or inaction, such withdrawal, authentication and delivery shall be at the cost and expense (including costs of
printing or otherwise preparing, and delivering, such replacement Series 2020 Bonds), of those persons requesting that authentication and delivery unless University action or inaction shall have been the cause of the termination of the book entry system in which event such cost and expense shall be borne by the University. Such replacement Series 2020 Bonds shall be in Authorized Denominations.

(k) **Tender Options.** Each Holder and Beneficial Owner shall have the option to tender Series 2020 Bonds for purchase upon such terms as may be set forth in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement.

(l) **Mandatory Tender.** The Series 2020 Bonds may be subject to mandatory tender by the Holders and Beneficial Owners thereof for purchase upon such terms as may be set forth in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement. The Series 2020 Certificate of Award may include provisions regarding whether any obligation on the part of the University to purchase Series 2020 Bonds from their Holders shall be treated for purposes of the third paragraph of Section 2 of the General Bond Resolution as the conclusion of the term of Series 2020 Bonds, and/or whether the University may exercise a right to purchase in lieu of redemption and continue the term of such Series 2020 Bonds.

(m) **Remarketing of Series 2020 Bonds.** Series 2020 Bonds which have been tendered for purchase may be remarketed by the Series 2020 Remarketing Agent in the manner set forth or provided for in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement.

Section 5. **Sale of the Series 2020 Bonds; Series 2020 Certificate of Award.** Each series of the Series 2020 Bonds shall be awarded and sold to the Original Purchaser at the price set forth in the related Series 2020 Certificate of Award; such price for any maturity of such Series 2020 Bonds shall be not less than 95% of the principal amount thereof, plus accrued interest on the aggregate principal amount of such Series 2020 Bonds from their dates to the date of delivery and payment by the Original Purchaser for such Series 2020 Bonds, all in accordance with, and subject to the terms and conditions of, an Original Purchaser’s proposal contained in a hereinafter described Series 2020 Bond Purchase Agreement. Such award and sale shall be evidenced by the execution of a Series 2020 Certificate of Award by the Fiscal Officer, setting forth such award and sale, the other matters to be set forth therein referred to in this Resolution, and such other matters as such officers determine are consistent with this Resolution, the Trust Agreement and the related Series 2020 Supplemental Trust Agreement. That the matters contained in a Series 2020 Certificate of Award are consistent with this Resolution, the Trust Agreement and the related Series 2020 Supplemental Trust Agreement shall be conclusively evidenced by the execution of such Series 2020 Certificate of Award by such officer. Each Series 2020 Certificate of Award shall be and hereby is incorporated into this Resolution and the related Series 2020 Supplemental Trust Agreement.

The Fiscal Officer is hereby further authorized and directed to execute and deliver, in the name and on behalf of the University, a bond purchase agreement with the Original Purchaser for a series of Series 2020 Bonds (a “Series 2020 Bond Purchase Agreement”) upon such terms as approved by such officer not inconsistent with this Bond Legislation and not substantially adverse to the University. The approval of such officer, and that a Series 2020 Bond Purchase Agreement
is consistent with this Resolution and not substantially adverse to the University, shall be conclusively evidenced by the execution of such Series 2020 Bond Purchase Agreement by such officer. Subject to receiving any necessary appointment by the attorney general of the State, the Fiscal Officer is hereby authorized to make arrangements with Dinsmore & Shohl LLP to serve as bond counsel for the Series 2020 Bonds, and such firm is hereby appointed to serve in such capacities.

The Fiscal Officer, and any other appropriate officer of the University, are each hereby separately authorized to make arrangements for the delivery of each series of the Series 2020 Bonds to, and payment therefor by, the related Original Purchaser. It is hereby determined that the prices for and the terms of the Series 2020 Bonds, and the sale thereof, all as provided in this Resolution, each Series 2020 Supplemental Trust Agreement and each Series 2020 Certificate of Award are in the best interest of the University and in compliance with all legal requirements.

Section 6. Allocation of Proceeds of Series 2020 Bonds. (a) All of the proceeds received by on behalf of the University from the sale of the Series 2020 Bonds shall be received and receipted for by the Fiscal Officer or the Trustee, and shall be deposited and allocated as follows:

(i) To the Debt Service Account of the Debt Service Fund, the portion of such proceeds representing accrued interest and any capitalized interest directed to be deposited in the Debt Service Account by the related Series 2020 Certificate of Award; and

(ii) To a Refunded Bonds Escrow Fund such amount as set forth in the related Series 2020 Certificate of Award as is necessary to provide for cash and the purchase of Refunded Bonds Defeasance Obligations sufficient to refund the related Refunded Bonds as set forth in the related Refunded Bonds Escrow Agreement; and

(iii) To the Series 2020 Projects Account which is hereby created as a separate deposit account within the Facilities Fund (except when invested as hereinafter provided) in the custody of the University or the Trustee or other entity, as the Fiscal Officer shall determine, such portion of such proceeds as may be specified in the related Series 2020 Certificate of Award.

(b) Any such capitalized interest may be deposited in a separate sub-account of the Debt Service Account of the Debt Service Fund as the Fiscal Officer may determine. Upon a determination by the Fiscal Officer that any portion of such amount designated to be used for capitalized interest is not needed for such purpose, such portion may be transferred to a Refunded Bonds Escrow Fund or the Series 2020 Projects Account as the Fiscal Officer may direct.

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

(d) No provision shall be made for a Debt Service Reserve Account with respect to the Series 2020 Bonds, and there shall be no Required Reserve for the Series 2020 Bonds. The Series 2020 Bonds shall not be payable from, and the Series 2020 Bonds shall not be secured by, any moneys in or investments credited to the Debt Service Reserve Account, and therefore, Debt Service Charges on the Series 2020 Bonds shall not have access to or claims upon the Debt Service Reserve Account.
Section 7. **Series 2020 Projects Account; Refunded Bonds Escrow Fund; Recordkeeping; Application of Moneys.** A record of each deposit into and disbursement from the Series 2020 Projects Account and the Refunded Bonds Escrow Fund shall be made and maintained by the party having custody of such account.

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

Moneys in the Series 2020 Projects Account shall be used to pay Costs of University Facilities related to the 2020 Projects, capitalized interest to a date as may be set forth in a Series 2020 Certificate of Award and any Costs of University Facilities associated with the issuance of the Series 2020 Bonds and the refunding of the Refunded Bonds to the extent not paid from moneys in a Refunded Bonds Escrow Fund, and shall be disbursed upon the written request of the Fiscal Officer on behalf of the University. The University covenants that it will proceed with due diligence to pay such costs and complete the 2020 Projects. Upon the final payment of such costs, the University shall deliver to the Trustee a certificate of the Fiscal Officer on behalf of the University stating that fact and setting forth the amount, if any, then remaining in the Series 2020 Projects Account which shall be transferred to the Debt Service Account of the Debt Service Fund pursuant to this Section.

Upon such certification, any moneys remaining in the Series 2020 Projects Account and certified pursuant to the preceding paragraph shall be transferred by the party having custody of such Account to the Debt Service Account of the Debt Service Fund as set forth in the immediately preceding paragraph.

Moneys in the Series 2020 Projects Account may be invested in any lawful University investments in amounts maturing not later than the times when such amounts in the Series 2020 Projects Account are required to pay any costs payable from such Fund. Any investment made by the Trustee shall be at the written or oral (and, if oral, promptly confirmed in writing) direction of the Fiscal Officer. The term “lawful University investments” shall mean those investments made in accordance with the *Statement of Objectives and Policies for Non-Endowment Invested Funds*, approved by the Board on September 21, 2005, as the same may be amended, supplemented or replaced from time to time. Such investments may include qualifying money market mutual funds for which the Trustee or any of its affiliates provide services for a fee, whether as an investment advisor, custodian, transfer agent, registrar, sponsor, distributor, manager or otherwise.

Any investment of moneys in the Series 2020 Projects Account shall constitute a part of the Series 2020 Projects Account and the Series 2020 Projects Account shall be credited with all proceeds of sale, and gain or loss, from such investment. Interest earnings on moneys in the Series 2020 Projects Account shall be credited when received to the Series 2020 Projects Account. For investment purposes only, moneys in the Series 2020 Projects Account may be commingled with moneys from one or more funds held by the Trustee pursuant to the Trust Agreement; provided that separate records are maintained for each such fund, the investments made therefrom, and the interest earnings credited thereto.
Section 8. **Series 2020 Supplemental Trust Agreement; Refunded Bonds Escrow Agreement.** The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, a Series 2020 Supplemental Trust Agreement pursuant to the Trust Agreement in connection with the issuance of each series of the Series 2020 Bonds and, if applicable, a related Refunded Bonds Escrow Agreement, in such forms not substantially adverse to the University as may be permitted by the Act and the Trust Agreement and approved by the officer or officers executing the same on behalf of the University. The approval of such forms by the Board and such officer or officers, and the fact that such forms are not substantially adverse to the University, shall be conclusively evidenced by the execution of each Series 2020 Supplemental Trust Agreement and Refunded Bonds Escrow Agreement by such officer or officers.

Consistent with Section 8.02 of the Original Trust Agreement, the University and the Trustee, without the consent of or notice to any of the Bondholders, may enter into agreements supplemental to the Trust Agreement and the Series 2020 Supplemental Trust Agreements to the extent necessary or desirable to permit (i) the transfer of Series 2020 Bonds from one Depository to another, and the succession of Depositories or (ii) the withdrawal of Series 2020 Bonds from a Depository in connection with a book entry system and the issuance of Series 2020 Bonds or of replacement Series 2020 Bonds in fully registered form to others than a Depository.

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

The appropriate officers of the University shall do all things necessary or proper to implement and carry out the orders and agreements set forth in or approved in this Resolution for the proper fulfillment of the purposes of the General Bond Resolution and this Resolution. The Secretary of the Board shall furnish to the Original Purchaser a true and certified transcript of all proceedings taken with reference to the authorization and issuance of the Series 2020 Bonds along with other information as is necessary or proper with respect to the Series 2020 Bonds.

The Refunded Bonds shall be and hereby are ordered called for optional redemption according to their terms on the first optional redemption date following the issuance of the related Series 2020 Bonds at the redemption prices set forth therein. The Fiscal Officer and other appropriate officers and employees of the University are each hereby separately authorized to engage a firm of certified public accountants to verify the sufficiency of the moneys and investments in a Refunded Bonds Escrow Fund and to subscribe for and purchase such United States Treasury obligations, including such obligations of the State and Local Government Series, as shall be required by such Refunded Bonds Escrow Agreement, and to pay for the services of such accountants and for such obligations with the proceeds of the related Series 2020 Bonds, and any such actions heretofore taken by such officers or the Original Purchaser of the related Series 2020 Bonds or bond counsel in connection with such subscription and purchase are hereby approved, ratified and confirmed.
Section 9. **Tax Matters.** The University hereby covenants that it will not take any action, or fail to take any action, if any such action or failure to take action would adversely affect the exclusion from gross income of the interest on the Tax-Exempt Series 2020 Bonds under Section 103(a) of the Code. Without limiting the generality of the foregoing, the University hereby covenants as follows:

(a) The University will not directly or indirectly use or permit the use of any proceeds of the Tax-Exempt Series 2020 Bonds or any other funds of the University, or take or omit to take any action that would cause the Tax-Exempt Series 2020 Bonds to be “arbitrage bonds” within the meaning of Sections 103(b)(2) and 148 of the Code. To that end, the University will comply with all requirements of Sections 103(b)(2) and 148 of the Code to the extent applicable to the Tax-Exempt Series 2020 Bonds. In the event that at any time the University is of the opinion that for purposes of this sub-section (a) it is necessary to restrict or limit the yield on the investment of any moneys held by the Trustee under the Trust Agreement, the Fiscal Officer shall so instruct the Trustee in writing, and the Trustee shall take such action as may be necessary in accordance with such instructions. The Fiscal Officer, or any other officer having responsibility with respect to the issuance of the Tax-Exempt Series 2020 Bonds, is authorized and directed to give an appropriate certificate on behalf of the University, on the date of delivery of the Tax-Exempt Series 2020 Bonds for inclusion in the transcript of proceedings, setting forth the facts, estimates and circumstances and reasonable expectations pertaining to the use of the proceeds thereof and the provisions of such Sections 103(b)(2) and 148, and to execute and deliver on behalf of the University an IRS Form 8038G in connection with the issuance of the Tax-Exempt Series 2020 Bonds.

Without limiting the generality of the foregoing, the University agrees that there shall be paid from time to time all amounts required to be rebated to the United States pursuant to Section 148(f) of the Code. This covenant shall survive payment in full or defeasance of the Tax-Exempt Series 2020 Bonds. The University specifically covenants to pay or cause to be paid to the United States at the times and in the amounts determined under Section 10 hereof the Rebate Amounts, as described in the Federal Tax Documents. The Trustee agrees to perform all tasks required of it in the Federal Tax Documents.

Notwithstanding any provision of this sub-section (a), if the University shall provide to the Trustee an opinion of nationally recognized bond counsel to the effect that any action required under this Section and Section 10 of this Resolution is no longer required, or to the effect that some further action is required, to maintain the exclusion from gross income of the interest on the Tax-Exempt Series 2020 Bonds pursuant to Section 103(a) of the Code, the University and the Trustee may rely conclusively on such opinion in complying with the provisions hereof.

(b) So long as any of the Tax-Exempt Series 2020 Bonds, or any obligations issued to refund the Tax-Exempt Series 2020 Bonds, remain unpaid, the University will not operate or use, or permit the operation or use of, the 2020 Projects, the improvements financed with the Refunded Bonds, or any part thereof in any trade or business carried on by any person within the meaning of the Code which would (i) cause the Tax-Exempt Series 2020 Bonds to be “private activity bonds” within the meaning of Section 141 of the Code, and (ii) result in the interest payable on the Tax-Exempt Series 2020 Bonds to be not exempt from federal income taxation under the Code.
Section 10. Rebate Fund.

(a) There has previously been created and ordered maintained in the custody of the Trustee (except when invested as herein provided), the Rebate Fund, which shall not constitute a Special Fund or Account securing the Series 2020 Bonds or other Obligations. There shall be deposited in the Rebate Fund such amounts as are required to be deposited therein pursuant to the Federal Tax Documents. Subject to the transfer provisions provided in paragraph (d) below, all money at any time deposited in the Rebate Fund shall be held by the Trustee in trust, to the extent required to satisfy the Rebate Amount (as defined in the Federal Tax Documents), for payment to the United States of America, and neither the University nor the owner of any Bonds shall have any rights in or claim to such money. All amounts deposited into or on deposit in the Rebate Fund shall be governed by this Section, by Section 9 of this Resolution and by the Federal Tax Documents (which is incorporated herein by reference).

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

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

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

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

Section 11. Official Statement. The Fiscal Officer is hereby authorized to execute and deliver preliminary and final official statements on behalf of the University for any or all series of the Series 2020 Bonds, in such forms as such officer may approve, and to deem such official statements to be “final” for purposes of Securities and Exchange Commission Rule 15c2-12, such officer’s execution thereof on behalf of the University to be conclusive evidence of such authorization, approval and deeming, and copies thereof are hereby authorized to be prepared and furnished to the Original Purchaser for distribution to prospective purchasers of the Series 2020 Bonds and other interested persons.

The Fiscal Officer on behalf of the University is hereby authorized to execute and deliver continuing disclosure certificates or agreements dated as set forth in a Series 2020 Certificate of Award (a “Continuing Disclosure Certificate”) in connection with the issuance of the related Series 2020 Bonds in such forms as such officer may approve. The University hereby covenants and agrees that it will execute, comply with and carry out all of the provisions of each Continuing Disclosure Certificate. Failure to comply with any such provisions of a Continuing Disclosure
Certificate shall not constitute a default on the Series 2020 Bonds; however, any holder or owner of the Series 2020 Bonds may take such action as may be necessary and appropriate, including seeking specific performance, to cause the University to comply with its obligations under this paragraph and such Continuing Disclosure Certificate.

The Fiscal Officer on behalf of the University is hereby authorized to furnish such information, to execute such instruments and to take such other actions in cooperation with the Original Purchaser as may be reasonably requested to qualify the Series 2020 Bonds for offer and sale under the Blue Sky or other securities laws and regulations and to determine their eligibility for investment under the laws and regulations of such states and other jurisdictions of the United States of America as may be designated by the Original Purchaser; provided however, that the University shall not be required to register as a dealer or broker in any such state or jurisdiction or become subject to the service of process in any jurisdiction in which the University is not now subject to such service.

Section 12. Series 2020 Credit Support Instrument and Interest Rate Hedges. (a) The Fiscal Officer is hereby authorized, but shall not be required, to establish or apply for one or more Series 2020 Credit Support Instruments which may, but need not, include self-liquidity or the obligation of the University to purchase Series 2020 Bonds in lieu of redemption. The Fiscal Officer is hereby authorized to select one or more Financial Institutions having qualifications and duties as may be set forth in a Series 2020 Certificate of Award and a Series 2020 Supplemental Trust Agreement to serve as a Series 2020 Financial Institution and to provide a Series 2020 Credit Support Instrument, and to accept the commitment of a Series 2020 Financial Institution therefor, and the payment of the fees, premiums and expenses relating to any Series 2020 Credit Support Instrument from sources as may be described in the related Series 2020 Certificate of Award and the related Series 2020 Supplemental Trust Agreement is hereby authorized. The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, a reimbursement agreement or other agreement with each Series 2020 Financial Institution providing for the payment of the fees and expenses of such Series 2020 Financial Institution and the reimbursement, and security for the reimbursement, of such Series 2020 Financial Institution for advances made pursuant to any Series 2020 Credit Support Instrument, in such form as may be permitted by the Act and approved by the officer or officers executing the same on behalf of the University. The approval of such form by the Board and such officer or officers shall be conclusively evidenced by the execution of such agreement by such officer or officers.

(b) The Fiscal Officer is hereby authorized to (i) apply for one or more Interest Rate Hedges with respect to all or a portion of the Series 2020 Bonds, (ii) select a provider of such Interest Rate Hedge by negotiation or by a bidding process, based on the Fiscal Officer’s best judgment as to which approach best serves the interest of the University, and (iii) accept the commitment of such provider therefor. The Fiscal Officer is authorized to retain such consultants and professional advisors as the Fiscal Officer deems necessary to accomplish the Interest Rate Hedge in the manner most beneficial to the University, and if a negotiated process is to be used, to select the counterparty and to approve the market-based terms for such Interest Rate Hedge. The payment of the fees and expenses of such consultants and advisors or otherwise related to any Interest Rate Hedge from the moneys in the Series 2020 Projects Account, or other sources
described in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement is hereby authorized.

Any Interest Rate Hedge may be secured by a pledge of the General Receipts, either on a parity basis with the outstanding Obligations payable from the same sources as the Series 2020 Bonds, or on a subordinated basis payable as provided in the documentation for the Interest Rate Hedge (the "Hedge Documents"). The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, any Hedge Documents, in such form as may be permitted by the Act and approved by the officer or officers executing the same on behalf of the University. The approval of such form by the Board and such officer or officers shall be conclusively evidenced by the execution of such Hedge Documents by such officer or officers.

Consistent with Sections 8.02 and 10.02 of the Original Trust Agreement, the University and the Trustee, without the consent of or notice to any of the Bondholders but with the consent of any applicable Financial Institutions, may enter into agreements supplemental or amendatory to the Trust Agreement and the Series 2020 Supplemental Trust Agreement to the extent necessary or desirable to permit an Interest Rate Hedge to take place upon terms acceptable to the University, particularly with respect to how the amounts to be paid by the University pursuant to the Hedge Documents are to be treated for calculating annual amounts payable on the Obligations. Any Authorized Officer is hereby authorized and directed, in the name and on behalf of the University, and as its corporate act and deed, to negotiate, execute and deliver amendments or supplements to the Trust Agreement and the Series 2020 Supplemental Trust Agreement determined by the Authorized Officer to be necessary and appropriate to accomplish any Interest Rate Hedge in such forms not substantially adverse to the University as may be permitted by the Act and approved by the Authorized Officer executing the same on behalf of the University. The approval of such forms by the Board and such officer or officers, and the fact that such forms are not substantially adverse to the University, shall be conclusively evidenced by the execution of such amendments or supplements by such Authorized Officer.

Section 13. Series 2020 Remarketing Agent. The Fiscal Officer is hereby authorized to select a Remarketing Agent having qualifications and duties as set forth in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement to serve as the Series 2020 Remarketing Agent for the Series 2020 Bonds, and the payment of the fees and expenses relating to the remarketing of the Series 2020 Bonds from sources described in the Series 2020 Certificate of Award and the Series 2020 Supplemental Trust Agreement is hereby authorized. The Chairman of the Board, the President of the University, the Secretary of the Board and the Fiscal Officer, or any one or more of them, are each authorized and directed to execute, acknowledge and deliver, in the name of and on behalf of the University, an agreement with the Series 2020 Remarketing Agent providing for its services and the payment of the fees and expenses of the Series 2020 Remarketing Agent, in such form as may be permitted by the Act and approved by the officer or officers executing the same on behalf of the University. The approval of such form by the Board and such officer or officers shall be conclusively evidenced by the execution of such agreement by such officer or officers.
Section 14. Temporary Series 2020 Bonds. Pending the preparation of definitive Series 2020 Bonds the University may execute and the Trustee shall authenticate and deliver temporary Series 2020 Bonds in printed or typewritten form. Temporary Series 2020 Bonds shall be issuable in fully registered form, of any denomination, and substantially in the form of the definitive Series 2020 Bonds but with such omissions, insertions and variations as may be appropriate for temporary Series 2020 Bonds, all as may be determined by the Fiscal Officer. Every temporary Series 2020 Bond shall be executed on behalf of the University, and be authenticated by the Trustee upon the same conditions and in substantially the same manner, and with like effect, as the definitive Series 2020 Bonds. If one or more temporary Series 2020 Bonds are issued, then without unnecessary delay the University shall execute and furnish to the Trustee in exchange therefor without charge, and the Trustee shall authenticate and deliver in exchange for such temporary Series 2020 Bonds an equal aggregate principal amount of definitive Series 2020 Bonds. Until so exchanged the temporary Series 2020 Bonds shall be entitled to the same benefits under the Trust Agreement as definitive Series 2020 Bonds.

Section 15. Prior Actions Approved. All actions hereto taken by officers and employees of the Board and the University in connection with the approval, authorization, sale, execution, delivery and issuance of the Prior Obligations or the security therefor, or any Interest Rate Hedge or Credit Support Instrument related thereto or to the Series 2020 Bonds, are hereby approved, ratified and confirmed.

Section 16. Additional Special Funds and Accounts. The Fiscal Officer is hereby authorized to create such additional Special Funds and Special Accounts in connection with the Series 2020 Bonds and the security therefor and the remarketing thereof as the Fiscal Officer deems necessary. Any such Special Funds and Accounts and the permitted investment thereof shall be described in a Series 2020 Certificate of Award.

Section 17. Relationship of this Resolution to General Bond Resolution. It is understood and acknowledged by the University that the Series 2020 Bonds are being issued pursuant to the terms of the General Bond Resolution, as amended and supplemented by the terms of this Resolution; that the Series 2020 Bonds are subject to all of the terms and conditions of the General Bond Resolution, as amended, except as otherwise provided herein; and that all of the terms, conditions, covenants and warranties contained in the General Bond Resolution, as amended, except as otherwise provided herein, shall apply with like force and effect to the Series 2020 Bonds as if originally made in connection therewith. The General Bond Resolution and the Trust Agreement, as amended and supplemented to date including by this Resolution, and the Obligations issued to date thereunder, including the Prior Obligations, are hereby approved, ratified and confirmed.

Section 18. General. This Resolution is adopted pursuant to the General Bond Resolution and the Trust Agreement. The appropriate officers of the University shall do all things necessary and proper to implement and carry out the orders and agreements set forth in or approved in the General Bond Resolution and this Resolution for the proper fulfillment of the purposes thereof. Without limiting the generality of the foregoing, the Fiscal Officer and other appropriate officers of the University are hereby authorized to apply to the Chancellor of the Ohio Board of Regents for any required approvals with respect to the 2020 Projects or the Series 2020 Bonds. Should all the Series 2020 Projects or the Series 2020 Bonds not receive such approvals by the time the Series
2020 Bonds to fund the 2020 Projects are sold, the Series related Series 2020 Certificate of Award shall set forth the 2020 Projects and the amount of such Series 2020 Bonds that have received such approvals. Thereupon, such Series 2020 Bonds for the Series 2020 Projects shall be issued in a principal amount not exceeding the amount approved by the Chancellor of the Ohio Board of Regents and the 2020 Projects shall include only the projects approved by the Chancellor of the Ohio Board of Regents.

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

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

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

Adopted: __________  __ , 20__
EXHIBIT A

- $48,025,000 principal amount of Bonds (as defined in the General Bond Resolution) designated “Subordinated Variable Rate General Receipts Bonds, Series 2001” (the “Series 2001 Bonds”), pursuant to a First Supplemental Trust Agreement dated as of May 1, 2001 (the “First Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities;

- an Interest Rate Hedge (as defined in Section 9.98 of the Ohio Revised Code) for a portion of the Series 2001 Bonds in the form of an ISDA Master Agreement, dated December 1, 2001 (which, together with the schedule and confirmations related thereto, are collectively referred to as the “Series 2001 Swap Agreement”) in a maximum notional amount of $31,020,000 with Morgan Guaranty Trust Company of New York, under the Trust Agreement with respect to amounts payable by the University under the Series 2001 Swap Agreement (other than any Early Termination Amount, as defined in the Series 2001 Swap Agreement, and any amounts payable pursuant to Section 11 of the Series 2001 Swap Agreement by the University);

- $47,860,000 principal amount of Bonds designated “Subordinated General Receipts Bonds, Series 2003” dated September 3, 2003 and maturing through December 1, 2023 (the “Series 2003 Bonds”), pursuant to a Second Supplemental Trust Agreement dated as of September 1, 2003 (the “Second Supplemental Trust Agreement”) for the purpose of retiring certain bond anticipation notes and refunding the University’s General Receipts Bonds, Series 1993 dated as of December 1, 1993, which were issued to finance the cost of certain University Facilities;

- Notes (as defined in the General Bond Resolution) from time to time and in varying principal amounts pursuant to a Third Supplemental Trust Agreement dated as of October 1, 2003 (the “Third Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities; however, there are no Notes presently outstanding under the Third Supplemental Trust Agreement;

- $52,885,000 principal amount of Bonds designated “Subordinated General Receipts Bonds, Series 2004” dated as of March 15, 2004 and maturing through December 1, 2031 (the “Series 2004 Bonds”), pursuant to a Fourth Supplemental Trust Agreement dated as of March 15, 2004 (the “Fourth Supplemental Trust Agreement”) for the purpose of retiring certain bond anticipation notes and paying part of the cost of certain University Facilities;

- $28,145,000 principal amount of Bonds designated “Subordinated General Receipts Refunding Bonds, Series 2006A” dated as of February 16, 2006 and maturing through December 1, 2024 (the “Series 2006A Bonds”), pursuant to a Fifth Supplemental Trust Agreement dated as of February 1, 2006 (the “Fifth Supplemental Trust Agreement”) for the purpose of refunding all or a portion of the University’s outstanding General Receipts Bonds, Series 1999 dated as of
March 15, 1999 issued pursuant to the Prior Indenture, as defined in the General Bond Resolution, for the purpose of paying part of the cost of certain University Facilities; and

- $29,170,000 principal amount of Bonds designated “Subordinated General Receipts Bonds, Series 2006B” dated as of April 6, 2006 and maturing through December 1, 2036 (the “Series 2006B Bonds”) and $8,025,000 principal amount of Bonds designated “Subordinated Variable Rate General Receipts Bonds, Series 2006C” dated as of April 6, 2006 and maturing through December 1, 2016 (the “Series 2006C Bonds”), both pursuant to a Sixth Supplemental Trust Agreement dated as of April 1, 2006 (the “Sixth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities; and

- $15,350,000 principal amount of Bonds comprised of $13,345,000 principal amount of Bonds designated “Tax Exempt General Receipts Bonds, Series 2008A” dated July 10, 2008 and maturing through December 1, 2033 (the “Series 2008A Bonds”) and $2,005,000 principal amount of Bonds designated “Taxable General Receipts Bonds, Series 2008B” dated July 10, 2008 and maturing through December 1, 2015 (the “Series 2008B Bonds”), both pursuant to a Seventh Supplemental Trust Agreement dated as of July 1, 2008 (the “Seventh Supplemental Trust Agreement”) for the purpose of retiring certain bond anticipation notes and paying part of the cost of certain University Facilities; and

- $26,645,000 principal amount of Bonds designated “General Receipts Bonds, Series 2009” dated June 3, 2009 and maturing through December 1, 2019 (the “Series 2009 Bonds”), pursuant to an Eighth Supplemental Trust Agreement dated as of May 1, 2009 (the “Eighth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities; and

- $76,470,000 principal amount of Bonds designated “General Receipts Bonds, Series 2012” dated February 29, 2012 and maturing through December 1, 2042 (the “Series 2012 Bonds”), pursuant to a Ninth Supplemental Trust Agreement dated as of February 1, 2012 (the “Ninth Supplemental Trust Agreement”) for the purposes of paying part of the cost of certain University Facilities and refunding certain of the Series 2003 Bonds and Series 2004 Bonds; and

- $28,640,370 principal amount of Bonds designated “General Receipts Notes, OAQDA Series 2012” dated July 31, 2012 and maturing through December 1, 2023 (the “Series 2012 OAQDA Bonds”), pursuant to a Tenth Supplemental Trust Agreement dated as of July 1, 2012 (the “Tenth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities constitutes “energy conservation measures” as defined in Section 3345.61 of the Ohio Revised Code, through the Ohio Air Quality Development Authority (the “OAQDA”); and

- $27,204,750 principal amount of Bonds designated “General Receipts Bonds, Series 2011” dated as of October 1, 2012 and maturing through June 1, 2032 (the “Housing For Ohio Guaranty Bonds”), pursuant to an Eleventh Supplemental Trust Agreement...
Agreement dated as of October 1, 2012 (the “Eleventh Supplemental Trust Agreement”) for the purpose of providing security for the letter of credit reimbursement obligations of Housing for Ohio, Inc., a non-profit corporation which has developed a facility on real property owned by the University and located adjacent to the University’s main campus in the City of Athens, Ohio providing housing for the use of the University’s students, faculty members, officers, and employees, and their spouses and families known as “University Courtyard”; and

- $145,170,000 principal amount of Bonds designated “General Receipts Bonds, Series 2013” dated June 5, 2013 and maturing through December 1, 2043 (the “Series 2013 Bonds”) pursuant to a Twelfth Supplemental Trust Agreement dated as of June 1, 2013 (the “Twelfth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities and refunding all of the Series 2001 Bonds and certain of the Series 2004 Bonds; and

- $250,000,000 principal amount of Bonds designated “General Receipts Bonds, Series 2014 (Federally Taxable)” dated November 14, 2014 and maturing through December 1, 2044 (the “Series 2014 Bonds”) pursuant to a Thirteenth Supplemental Trust Agreement dated as of November 1, 2014 (the “Thirteenth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities;

- $156,150,000 principal amount of Bonds designated “General Receipts Bonds, Series 2017A” dated March 1, 2017 and maturing through December 1, 2047 (the “Series 2017A Bonds”) pursuant to a Fourteenth Supplemental Trust Agreement dated as of March 1, 2017 (the “Fourteenth Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities and refunding the Series 2006A Bonds (maturing December 1 in the years 2017-2024 inclusive), the Series 2006B Bonds (maturing December 1 in the years 2017, 2019, 2021, 2023, 2026, 2031 and 2036) and the Series 2008A Bonds (maturing December 1 in the years 2018-2023, inclusive, and on December 1 in the year 2028 and 2033);

- $50,000,000 maximum principal amount of Obligations designated “General Receipts Obligations, Series 2017B (Line of Credit) (the “Series 2017B Line of Credit Note”), maturing through December 1, 2019, subject to extension, pursuant to a Fifteenth Supplemental Trust Agreement dated as of November 1, 2017 (the “Series 2017B Supplemental Trust Agreement”) for the purpose of paying part of the cost of certain University Facilities.

[End of Series 2020 Bonds Resolution]
Interoffice Communication

Date:    September 23, 2019

To:      The President and Board of Trustees

From:    Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO and Treasurer
            Robin R. Schaffer, Executive Director, Treasury Operations

Re:   Treasury & Debt Update

At the October meeting we are requesting approval to issue up to $75M of new money debt and up to $148M of 2012 and 2013 refunding. This builds on discussions at the June and August 2019 meetings.

We will review a presentation that summarizes the information and analysis supporting the issuance, refunding, and planned structure.

Highlights of the presentation include:

- The FY21-26 six-year CIP approved by the Board of Trustees in June 2019 included a $150 million of capital spending financed through new debt in two equal $75M tranches in FY’s 20 and 22.

- The University is requesting authorization to finance new money in an amount not to exceed $75 million plus issuance costs (the first tranche of the $150 million funding plan) in early spring 2020.

- The Treasury Team (Ohio University treasury management and our advisors at Janney, LLC – collectively referred to as the “Treasury Team”) is recommending to structure the Series 2020 new money bonds as a 30-year term bond with a sinking fund from FY49 to FY51.

- The University is requesting authorization to advance refund all callable maturities for the Series 2012 and 2013 bonds (with a collective callable par of $148M) plus issuance costs. The Treasury Team will assess the economics of refinancing closer to the time of issuance. As a reminder, the University’s refunding opportunities are limited as tax-exempt advance refundings were eliminated in the Tax Cuts and Jobs Act of 2017.
• After evaluating options, the Treasury Team is recommending a traditional taxable advance refunding.

• The Treasury Team recommends approval of the following resolution that will be presented at the October 2019 meeting: **Series 2020 Bond Resolution - Providing for the authorization, issuance and sale of not to exceed $250,000,000 in aggregate principal amount of General Receipts Bonds of The Ohio University, authorizing a Supplemental Trust Agreement securing such bonds, and authorizing matters related thereto.**

**Rating Agency Updates:**

In May 2019 and August 2019, respectively, S&P reaffirmed our A+/Stable credit rating and Moody’s reaffirmed our Aa3/Stable credit rating. These reports were previously shared with the BOT.

Both agencies require an update to their credit ratings prior to the Series 2020 bond issuance.

**Treasury and Debt Advisory Committee:**

The Treasury and Debt Advisory Committee (“TDAC”) will meet on November 20, 2019 to review the Series 2020 Plan of Finance as well as the updated Internal Bank and Century Bond Bank models and dashboards. The TDAC meeting materials will be shared with the Board of Trustees at the January 2020 Board meetings.
Series 2020 Plan of Finance Overview

- The University’s FY21-FY26 six-year CIP was submitted and approved by the Board of Trustees in June 2019.

- The revised CIP calls for an estimated additional $150 million in capital spending financed through debt.

- The University will finance an amount not to exceed $75 million of this amount with its next tranche of debt to occur in Spring 2020.

Series 2020 Plan of Finance Framework

- **New Money:** The not to exceed $75 million new money financing will be structured based on the Treasury Team’s assessment of the following topics:

<table>
<thead>
<tr>
<th>Decision Point</th>
<th>Options</th>
<th>Considerations</th>
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<tbody>
<tr>
<td>Amortization</td>
<td>Amortizing</td>
<td>Debt Strategy</td>
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<td></td>
<td>Bullet Maturity</td>
<td>Current &amp; Historical Interest Rates</td>
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<td>Tax Status</td>
<td>Tax-Exempt</td>
<td>Use of Proceeds</td>
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<tr>
<td></td>
<td>Taxable</td>
<td>Relationship of Tax-Exempt vs. Taxable Rates</td>
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<td>Interest Rate Type</td>
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<td>Variable Rate</td>
<td>Projected Interest Rates</td>
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<td>Risk Tolerance</td>
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- **Refunding Opportunities:** The University’s refunding opportunities are limited as tax-exempt advance refundings were eliminated in the Tax Cuts and Jobs Act of 2017.

  - The University will consider other strategies that may allow it to effectively refund bonds for savings.
Series 2020 Plan of Finance Recommendation

The chart below summarizes the Series 2020 new money plan of finance. The presentation herein provides analysis and considerations that underlie this recommendation.

<table>
<thead>
<tr>
<th>SERIES 2020 PLAN OF FINANCE</th>
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<tbody>
<tr>
<td><strong>Project Fund:</strong></td>
</tr>
<tr>
<td>▪ Not to exceed $75 million</td>
</tr>
<tr>
<td><strong>Tax Status:</strong></td>
</tr>
<tr>
<td>▪ Tax-Exempt or Taxable</td>
</tr>
<tr>
<td>— Pending determination of financed projects eligibility for tax-exempt financing</td>
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<tr>
<td>— Pending market conditions at time of pricing</td>
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<td><strong>Coupon Type:</strong></td>
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<tr>
<td>▪ Fixed Rate</td>
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<tr>
<td><strong>Call Feature:</strong></td>
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<tr>
<td>▪ 10-Year Par Call</td>
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<tr>
<td>▪ Will evaluate shorter call features closer to pricing</td>
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<tr>
<td><strong>Pricing:</strong></td>
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<tr>
<td>▪ Premium Bonds with 5.00% coupons (if tax-exempt)</td>
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<tr>
<td>— Will evaluate lower coupons closer to pricing</td>
</tr>
<tr>
<td>▪ Par Bonds (if taxable)</td>
</tr>
<tr>
<td><strong>Amortization</strong></td>
</tr>
<tr>
<td>▪ 30-Year term bond due 12/01/2050 with sinking fund from 12/01/2048 to 12/01/2050.</td>
</tr>
<tr>
<td><strong>Refunding</strong></td>
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<tr>
<td>— Evaluate savings closer to time of issuance to determine if refunding will be included.</td>
</tr>
<tr>
<td>Month</td>
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<td>------------</td>
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<tr>
<td>October 2019</td>
</tr>
</tbody>
</table>
| November 2019 | • Select underwriters and other professionals  
|              | • Submit Chancellor application                                    |
| December 2019 | • Complete tax diligence on projects to be financed                 |
| January 2020  | • Receive Chancellor approval  
|              | • Conduct meetings with rating agencies and receive ratings  
|              | • Due diligence call with underwriters                             |
| February 2020 | • Finalize bond documents and Appendix A (disclosure portion of offering document)  
|              | • Mail Preliminary Official Statement  
|              | • Bond Pricing  
|              | • Mail Final Official Statement                                   |
| March 2020    | • Closing (actual date will be dependent upon cash flow and market considerations) |
1. Amortization Structure
The University currently has $593.6 million of outstanding debt, 99% of which is fixed rate. The principal amortization structure displays the evolving debt strategy of the University.

Pre-Series 2014 issuance was generally done on an amortizing basis to create level portfolio debt service.

The University has since shifted to utilizing bullet maturities for new money in consideration of its Century Bond (Series 2014) and Internal Bank (Series 2017A new money) strategies.
Recommendation for Amortization Structure

- The Series 2020 recommendation for amortization structure is based on the following framework.

Consideration #1 – Debt Strategy

- The University employs an internal bank strategy in which the optimal financing approach is to structure external debt as a long-dated bullet maturity and internal debt with annual amortization.

  *The University should consider a long-dated maturity to align with this approach.*

Consideration #2 – Current & Historical Interest Rates

- Long-term interest rates are near historic lows and the slope of 30-year to 10-year maturities are below long-term medians.

  *The University should consider issuing long-term debt to take advantage of low rates.*

**Recommendation**

- The Treasury Team recommends the University issue a long-dated bullet maturity with minimal amortization and the appropriate policies in place to manage future repayment. The bullet maturity may be issued with or without a sinking fund.
Considerations for Tax Status

- The University can use the following framework to guide the decision of tax status for the 2020 borrowing and future issues.

Consideration #1 – Use of Proceeds

- The Series 2020 issuance is the second tranche of debt financing for the ongoing Capital Improvement Plan.
- The University will need to determine which projects from the Capital Improvement Plan will be financed with Series 2020.
- For purposes of this analysis we assume that all of the Series 2020 projects are eligible for tax-exempt financing.

Consideration #2 – Relationship of Tax-Exempt vs. Taxable Rates

- Consider the interest rate relationship of tax-exempt vs. taxable debt across the yield curve.
Recommendation for Tax Status

- The Series 2020 recommendation for tax status is based on the following framework.

Consideration #1 – Use of Proceeds

- The University must determine if projects being financed have any private use issues that would require the issuance of taxable debt.

  For purposes of this analysis we assume that all of the Series 2020 projects are eligible for tax-exempt financing.

Consideration #2 – Relationship of Tax-Exempt vs. Taxable Rates

- The tax-exempt yield curve will result in significantly lower rates on a yield-to-call basis but slightly higher rates on a yield-to-maturity basis even when considering the benefit of the market standard 10-year par call for tax-exempt bonds.

  The University should consider tax-exempt and taxable bonds depending on market conditions at pricing.

Recommendation

- The Treasury Team recommends the University receive authorization to issue tax-exempt or taxable debt for Series 2020 (assuming that all projects are eligible to be financed on a tax-exempt basis) and determine tax status closer to pricing.
3. INTEREST RATE TYPE
Considerations for Interest Rate Type

- The University can use the following framework to guide the decision of fixed versus variable rate debt for the 2020 borrowing and future issues.

Consideration #1 – Current & Historical Interest Rates
- Consider the level of absolute rates as well as the shape of the yield curve relative to history.

<table>
<thead>
<tr>
<th>Yield Curve Slope</th>
<th>Level of Long-Term Rates</th>
<th>Approach to Debt Structure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Steep Curve</td>
<td>Higher Rates</td>
<td>Consider Variable Rate Debt</td>
</tr>
<tr>
<td>Steep Curve</td>
<td>Lower Rates</td>
<td>Consider Variable or Fixed Rate Debt</td>
</tr>
<tr>
<td>Flat Curve</td>
<td>Lower Rates</td>
<td>Consider Fixed Rate Debt</td>
</tr>
<tr>
<td>Flat Curve</td>
<td>Higher Rates</td>
<td>Consider Variable Rate Debt</td>
</tr>
</tbody>
</table>

* Note: Grey shading in chart above indicates current yield curve shape relative to history.

Consideration #2 – Projected Interest Rates
- Consider how rates are expected to change in the near term. The expectation of how rates will change (increase or decrease) and the pace of rate change (if short-term or long-term increase faster) is informative to this decision.

Consideration #3 – Risk Tolerance
- Consider how much risk the University is willing to take from a market and liquidity perspective.
Recommendation for Interest Rate Type

- The Series 2020 recommendation for interest rate type is based on the following framework.

Consideration #1 – Current & Historical Interest Rates
- Current conditions are classified as “Flat Yield Curve, Lower Rates” relative to historical rates since 1962.
  - The University should consider long-term fixed rate debt due to minimal benefit associated with shorter-term rates.

Consideration #2 – Projected Interest Rates
- The yield curve is projected to remain flat and long-term rates are projected to increase but remain historically low.
  - The University should consider fixed rate debt as the yield curve is projected to remain flat.

Consideration #3 – Risk Tolerance
- The University has traditionally issued fixed rate debt to reduce risk within the debt portfolio.
  - The University should consider layering in variable rate debt when the short-term market is more favorable.

**Recommendation**
- The Treasury Team recommends the University maximize fixed rate debt for Series 2020 and wait for a steeper yield curve environment to consider increasing its variable rate exposure.
4. NEW MONEY STRUCTURE
Maturity Structure Scenarios

- The chart below illustrates the maturity placement under four scenarios for the new borrowing.
  - For purposes of this analysis, we assume the University issues tax-exempt debt.

**Maturity Structure Scenarios**

- **Scenario 1 (30-Year Bullet):** Single maturity due FY51
- **Scenario 2 (30-Year Term Bond):** Term bond with sinking fund from FY49 to FY51
- **Scenario 3 (Long Wrap):** Term bond with sinking fund from FY42 to FY48
- **Scenario 4 (Short Wrap):** Term bond with sinking fund from FY45 to FY48 to match Series 2017A new money
The chart below displays summary statistics for each of the new money scenarios.

Scenario 3 and 4 result in lower debt service and all-in TIC due to shorter average life.

— On a present value basis, the debt service difference is minimal between the three scenarios.

<table>
<thead>
<tr>
<th>Scenario 1 (30-Year Bullet)</th>
<th>Scenario 2 (30-Year Term Bond)</th>
<th>Scenario 3 (Long Wrap)</th>
<th>Scenario 4 (Short Wrap)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maturities</td>
<td>12/1/2050</td>
<td>12/01/2048 to 12/01/2050</td>
<td>12/01/2041 to 12/01/2047</td>
</tr>
<tr>
<td>All-in TIC</td>
<td>3.63%</td>
<td>3.61%</td>
<td>3.39%</td>
</tr>
<tr>
<td>Average Life (Years)</td>
<td>30.742</td>
<td>29.775</td>
<td>23.067</td>
</tr>
<tr>
<td>Par Amount</td>
<td>59,870,000</td>
<td>59,870,000</td>
<td>59,715,000</td>
</tr>
<tr>
<td>Interest Expense</td>
<td>92,025,179</td>
<td>89,131,679</td>
<td>68,873,181</td>
</tr>
<tr>
<td>Total Debt Service</td>
<td>151,895,179</td>
<td>149,001,679</td>
<td>128,588,181</td>
</tr>
<tr>
<td>PV Debt Service</td>
<td>70,411,386</td>
<td>70,236,111</td>
<td>68,652,724</td>
</tr>
</tbody>
</table>

Rates as of 09/03/2019; subject to future market conditions. Present value discount rate = 4.00%.
Assumes Closing Date of 03/04/2020; Cost of Issuance and Underwriter’s Discount of approximately $570,000.
The Treasury Team recommends that the University structure its Series 2020 new money bonds as a 30-year term bond with a sinking fund from FY49 to FY51 (Scenario 2).

The chart below summarizes the Series 2020 new money plan of finance.

<table>
<thead>
<tr>
<th>SERIES 2020 NEW MONEY PLAN OF FINANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Fund:</strong></td>
</tr>
<tr>
<td>▪ Not to exceed $75 million</td>
</tr>
<tr>
<td><strong>Tax Status:</strong></td>
</tr>
<tr>
<td>▪ Tax-Exempt or Taxable</td>
</tr>
<tr>
<td>— Pending determination of financed projects eligibility for tax-exempt financing</td>
</tr>
<tr>
<td>— Pending market conditions at time of pricing</td>
</tr>
<tr>
<td><strong>Coupon Type:</strong></td>
</tr>
<tr>
<td>▪ Fixed Rate</td>
</tr>
<tr>
<td><strong>Call Feature:</strong></td>
</tr>
<tr>
<td>▪ 10-Year Par Call</td>
</tr>
<tr>
<td>▪ Will evaluate shorter call features closer to pricing</td>
</tr>
<tr>
<td><strong>Pricing:</strong></td>
</tr>
<tr>
<td>▪ Premium Bonds with 5.00% coupons (if tax-exempt)</td>
</tr>
<tr>
<td>— Will evaluate lower coupons closer to pricing</td>
</tr>
<tr>
<td>▪ Par Bonds (if taxable)</td>
</tr>
<tr>
<td><strong>Amortization</strong></td>
</tr>
<tr>
<td>▪ 30-Year term bond due 12/01/2050 with sinking fund from 12/01/2048 to 12/01/2050.</td>
</tr>
</tbody>
</table>
5. **REFUNDING CONSIDERATIONS**
Refunding Considerations

- The University has two series of bonds that are candidates for advance refunding as part of the Series 2020 issuance.

<table>
<thead>
<tr>
<th>Refunding Candidate</th>
<th>Par Call Date</th>
<th>Callable Par Amount</th>
<th>Final Maturity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Series 2012</td>
<td>06/01/2022</td>
<td>$35,445,000</td>
<td>12/01/2042</td>
</tr>
<tr>
<td>Series 2013</td>
<td>12/01/2022</td>
<td>$113,100,000</td>
<td>12/01/2043</td>
</tr>
</tbody>
</table>

- Since tax-exempt advance refundings were eliminated in the Tax Cuts and Jobs Act of 2017 the University will need to explore other options to advance refund these bonds.

- **Option 1: Taxable Advance Refunding**
  - The University can issue taxable bonds to advance refund existing tax-exempt bonds.

- **Option 2: Substitution Refunding**
  - Creates the net effect of a tax-exempt advance refunding by re-allocating funds for capital projects to defease all or portion of Series 2012 and 2013 callable maturities and financing the capital projects with tax-exempt debt.
  - To execute on this strategy the University must have enough tax-exempt eligible projects to match the cost of the escrow to defease the Series 2012 and 2013 bonds.
  - In addition, the University should consider the pace of spend for the projects identified for this strategy.
Option 1: Taxable Advance Refunding

- The University can advance refund the Series 2012 and 2013 bonds on a taxable basis to achieve savings.

- The analysis below displays savings under two different scenarios for each refunding series:
  
  - Refunding of all callable maturities
  
  - Refunding of callable maturities with 5% coupons

- The analysis results in strong net present value savings and solid escrow efficiency for each scenario.

<table>
<thead>
<tr>
<th>Series 2012 Refunding Results (06/01/2022 Call Date)</th>
<th>Series 2013 Refunding Results (12/01/2022 Call Date)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Scenario:</strong> All Callable Maturities 5% Coupon Maturities</td>
<td><strong>Scenario:</strong> All Callable Maturities 5% Coupon Maturities</td>
</tr>
<tr>
<td>Refunded Par Amount: 35,445,000</td>
<td>17,780,000</td>
</tr>
<tr>
<td>Refunding Par Amount: 38,485,000</td>
<td>19,565,000</td>
</tr>
<tr>
<td>Average Life: 12.558</td>
<td>12.904</td>
</tr>
<tr>
<td>All-in TIC: 2.95%</td>
<td>2.97%</td>
</tr>
<tr>
<td>Cost of Neg. Arbitrage: 1,047,597</td>
<td>536,816</td>
</tr>
<tr>
<td><strong>NPV Savings ($)</strong>: 3,006,954</td>
<td>2,300,348</td>
</tr>
<tr>
<td><strong>NPV Savings (%)</strong>: 8.48%</td>
<td>12.94%</td>
</tr>
<tr>
<td><strong>Escrow Efficiency (%)</strong>: 74.16%</td>
<td>81.08%</td>
</tr>
<tr>
<td>Refunded Par Amount: 113,100,000</td>
<td>83,300,000</td>
</tr>
<tr>
<td>Refunding Par Amount: 125,735,000</td>
<td>93,210,000</td>
</tr>
<tr>
<td>Average Life: 12.885</td>
<td>14.508</td>
</tr>
<tr>
<td>All-in TIC: 2.93%</td>
<td>3.01%</td>
</tr>
<tr>
<td>Cost of Neg. Arbitrage: 4,177,665</td>
<td>3,311,703</td>
</tr>
<tr>
<td><strong>NPV Savings ($)</strong>: 11,870,220</td>
<td>10,771,195</td>
</tr>
<tr>
<td><strong>NPV Savings (%)</strong>: 10.50%</td>
<td>12.93%</td>
</tr>
<tr>
<td><strong>Escrow Efficiency (%)</strong>: 73.97%</td>
<td>76.48%</td>
</tr>
</tbody>
</table>

Rates as of 09/03/2019; subject to future market conditions; PV Discount Rate = 4.00%
Assumes Closing Date of 03/04/2020; Cost of Issuance and Underwriter's Discount = 2.00% of par amount
Option 2: Cash Substitution Refunding Considerations

- There are certain considerations for the cash substitution strategy outside of debt service savings.

Consideration #1 – Capital Projects

- The University should consider the amount of remaining CIP projects that could be eligible for tax-exempt financing in addition to the Series 2020 new money.
- The pace of spend on these projects will be important. This strategy is optimal for projects with near-term cash needs.

Consideration #2 – Restriction of Working Capital

- The University should consider that this strategy will restrict a portion of the University’s working capital that was previously unrestricted.
- As a result, balance sheet liabilities will remain approximately the same while unrestricted assets decrease and restricted assets increase.
- This will negatively impact the University’s spendable cash and investments (a key Moody’s rating metric) since the unspent bond proceeds will no longer be considered spendable under Moody’s methodology.

Consideration #3 – Loss of Investment Income

- The University will reduce investment income since it is spending working capital to pay the cost of an escrow to defease the bonds today instead of using it on capital projects that would be funded over time.
- The loss in investment income reduces savings related to this strategy.
Option 2: Cash Substitution Refunding Impact on Rating Metrics

- The cash substitution refunding strategy will reduce cash and investments as calculated by Moody's.

- This strategy reduces cash and investments because the University will spend an amount of unrestricted cash to fund the cost of the escrow to defease the bonds.

- While the University will receive a like amount of bond proceeds, making the net cash impact zero, Moody's does not include unspent bond proceeds in its calculation of cash and investments.

- This will impact cash and investments as well as two key Moody's Scorecard metrics, spendable cash and investments to operations and spendable cash and investments to debt.

- The charts below displays actual versus pro forma FY 2018 ratios if the University refunded all callable Series 2012 and Series 2013 maturities through a cash substitution.

![Graphs showing actual versus pro forma FY 2018 ratios for spendable cash and investments to debt and operations.](attachment:graphs.png)

FY 2018 Moody’s Aa3 Public University Median
Refinancing Recommendation

- The Series 2020 recommendation for refinancing is based on the following framework.

**Consideration #1 – Savings in Current Market**

- The University can achieve strong present value savings for Series 2012 and Series 2013 bonds in today’s market from a taxable advance refunding or tax-exempt cash substitution refunding.

- *The University should consider refinancing the Series 2012 and 2013 bonds given current historical low rates.*

**Consideration #2 – Refinancing Strategy Impact**

- A tax-exempt cash substitution refunding will require the University to restrict funds that were previously unrestricted. This draw on reserves may limit financial flexibility in the coming years and reduce key rating agency metrics.

- The reduction of working capital will negatively impact investment income. When including the impact of lost investment income, a tax-exempt cash substitution refunding has lower savings than a taxable advance refunding.

- *The University should consider a more traditional taxable advance refunding to avoid negative impacts related to working capital of the cash substitution strategy.*

**Recommendation**

- The Treasury Team recommends the University receive authorization to advance refund all callable maturities for the Series 2012 and 2013 bonds and assess the economics of refinancing closer to the time of issuance.
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Member: NYSE, FINRA, SIPC
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President for Finance & Administration, Treasurer and CFO
      David Gaume, Director of Investments

Re: Review of New Investment Policy Statement

Pursuant to resolution 2002-1851, the University’s Board of Trustees entrusted oversight of the long-term investment portfolio to the Investment 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 Committee. These investments are guided by the Century Bond and Deferred Maintenance Program Investment Policy.

In September 2019, the Foundation’s Investment Committee approved a new Investment Policy Statement to support the recent transition to Fund Evaluation Group from Hirtle Callaghan and a new investment management framework. The new Investment Policy Statement encompasses the governance of the long-term investments for the General Endowment Fund and Century Bond and Deferred Maintenance Program. A timeline for reviewing and approving the new Investment Policy Statement by the University Board of Trustees and the Foundation Board is listed below.

- October 2019 – University Board of Trustees to review new Investment Policy Statement
- November 2019 – Foundation Board to review and approve new Investment Policy Statement
- January 2020 – University Board of Trustees to approve new Investment Policy Statement

A copy of the new Investment Policy Statement immediately follows this memo. Please note that the appendices are based on currently approved asset allocation targets and ranges. Pending an asset allocation study scheduled for late 2019, we expect these targets and ranges to be updated following approval by the University Board of Trustees and Foundation Board.
THE OHIO UNIVERSITY FOUNDATION

INVESTMENT POLICY STATEMENT

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F. PORTFOLIO MONITORING
G. ACKNOWLEDGEMENT
H. APPENDIX A – ASSET ALLOCATION FOR ENDOWMENT
I. APPENDIX B – ASSET ALLOCATION FOR CENTURY BOND PORTFOLIO
A. OVERVIEW

Purpose
This Investment Policy Statement establishes the investment objectives, policies, and guidelines for the administration and investment of the Endowment and Century Bond portfolios. All interested parties, including trustees, staff, and external agents, shall adhere to the investment policies and guidelines set forth in this Investment Policy Statement.

Scope
The investment portfolios listed below will be managed in accordance to this Investment Policy Statement.

Endowment portfolio – This portfolio is comprised of The Ohio University (“University”) and The Ohio University Foundation (“Foundation”) endowments and quasi-endowments, as well as a portion of University and Foundation working capital.

Century Bond portfolio – This portfolio is comprised of assets held by the Century Bond Program.

Fiduciary Duty
In seeking to attain the objectives set forth in this Investment Policy Statement, all fiduciaries shall exercise the utmost prudence and care at all times. All investment actions and decisions must be based solely in the best interest of the investment portfolios. Fiduciaries must provide full and fair disclosure of all material facts regarding any potential risks and conflicts of interests.

B. ROLES AND RESPONSIBILITIES

Board of Trustees
The University’s Board of Trustees has entrusted the oversight of the Endowment and Century Bond portfolios to the Investment Committee of the Foundation (“Investment Committee”). The key duties of the University’s Board of Trustees are as follows:

- Delegate oversight of the investment portfolios to the Investment Committee.
- Review and approve the Investment Policy Statement.
- Receive annual reports from the Investment Committee on portfolio performance.
Investment Committee

The Investment Committee is a standing committee that is authorized to engage in activities necessary and appropriate to successfully manage the investment portfolios and fulfill their fiduciary responsibility. The key duties of the Investment Committee are as follows:

- Review and approve the Investment Policy Statement.
- Establish acceptable objectives and risk tolerances.
- Appoint, retain, or dismiss external agents.
- Review and approve asset allocation targets and permissible ranges.
- Report investment results to the University Board of Trustees and Foundation Board.
- Review and evaluate performance against relevant benchmarks and peer institutions.
- Delegate responsibilities associated with the investment and reinvestment of assets as needed.
- Hold sufficient number of in-person and telephonic meetings, but not less than four annually, to provide effective administration and oversight of the investment portfolios.

Investment Staff

The investment staff is accountable for the daily management of the investment portfolios. The key duties of investment staff are as follows:

- Review, recommend, and update approved changes to the Investment Policy Statement and asset allocations targets and permissible ranges in conjunction with investment consultant.
- Source, evaluate, and recommend traditional and alternative investments in conjunction with investment consultant.
- Conduct due diligence on traditional and alternative investments.
- Monitor and report on traditional and alternative investments.
- Execute approved actions and rebalancing in conjunction with investment consultant.
- Prepare and present investment reports in conjunction with investment consultant.
- Serve as primary contact for Investment Committee and external agents.

External Agents

The Investment Committee will delegate certain functions to external agents when deemed most prudent and appropriate. In performing a delegated function, the external agent owes a duty to the University and Foundation to exercise the utmost care, skill, and diligence related to the scope and terms of the delegation. A representative list of external agents is as follows:
**INVESTMENT POLICY STATEMENT**

**Investment Manager** – An investment manager will manage assets in accordance with the Investment Policy Statement and their respective mandate. The Investment Committee may terminate an investment manager at any time. The key duties of an investment manager are as follows:

- Exercise discretion in regards to buying, holding, or selling assets.
- Provide performance reporting on regular basis, preferably monthly, but not less than quarterly.
- Notify all interested parties of any material changes, including ownership, philosophy, strategy, financial condition, personnel, etc.
- Provide relevant market information and investment research as requested.
- Report to Investment Committee, investment consultant, and investment staff as requested.
- Vote proxies promptly and in the best interest of the investment portfolios (except for mutual funds, ETFs/ETNs and commingled funds).

**Custodian** – A custodian is responsible for the safekeeping of assets and other administrative tasks. The key duties of a custodian are as follows:

- Provide recordkeeping and reporting.
- Collect investment income and principal.
- Trade receipt, capture, and settlement.
- Administer corporate actions, proxy voting, and class actions.

**Investment Consultant** – An investment consultant will provide advice and services for the investment portfolios consistent with the investment policies and guidelines set forth in this Investment Policy Statement and their respective Investment Advisory Agreement. On a periodic basis, but no less than every four years, the Investment Committee will review and evaluate the appropriateness and effectiveness of an investment consultant in fulfilling their responsibilities. The key duties of an investment consultant are as follows:

- Review, recommend, and update asset allocation targets and permissible ranges.
- Source, evaluate, and recommend traditional and alternative investments.
- Conduct initial and ongoing due diligence for all investments.
- Monitor and report on all investments, including monthly flash and quarterly report.
- Recommend portfolio rebalancing transactions as appropriate.
- Review, recommend, and update approved changes to the Investment Policy Statement.
- Work with investment staff to execute approved transactions.
• Review, recommend, and update benchmarks for all investments.
• Prepare and present investment reports for Investment Committee meetings.
• Conduct custodian search and benchmarking when requested.
• Act as an extension of investment staff to help manage back office tasks.

C. OBJECTIVES

Return
Endowment Portfolio – The long-term objective is to achieve a total return averaging at least the sum of the spending rate, administrative fee, and inflation. A total return in excess of this amount will provide for long-term growth of the portfolio. The Investment Committee will aim to achieve its return goal while maintaining acceptable risk levels, preserving capital, and reducing volatility through portfolio diversification. Overall, this portfolio will be managed to meet the following objectives:

• Obtain an annualized nominal return greater than or equal to the long-term return objective.
• Attain a nominal return greater than or equal to a weighted composite or policy index.
• Achieve intergenerational equity in order to preserve equity among generations.

Century Bond Portfolio – The long-term objective is to maximize total return. The Investment Committee will aim to achieve its return goal while maintaining acceptable risk levels, preserving capital, and reducing volatility through portfolio diversification. Overall, this portfolio will be managed to meet the following objectives:

• Attain a nominal return greater than or equal to a weighted composite or policy index.
• Ensure the Century Bond Deb Reserve Fund has sufficient assets to repay principal at maturity.

Risk
The focus will be on total portfolio risk, not risk related to a specific asset class or category. The total portfolio risk of each portfolio will be managed within prudent risk limits, subject to the asset class targets set by the Investment Committee. The goal is to achieve superior risk-adjusted returns. The portfolio risk of each portfolio will be monitored on an ongoing basis.
D. SPENDING

General

Endowment Portfolio – Refer to the Foundation’s Spending Policy for further information.

Century Bond Portfolio – The purpose of the Century Bond portfolio is to support the University’s capital improvement projects.

Spending Formula

Endowment Portfolio – Refer to the Foundation’s Spending Policy for further information.

Century Bond Portfolio – Spending is not based on a prescribed formula like the Endowment, as it is more dependent on the timing and amount of capital improvement projects, interest payments, and Century Bond Internal Bank liquidity as approved by the University Board of Trustees.

E. ASSET ALLOCATION AND MANAGER STRUCTURE

Asset Allocation Policy

Asset allocation is a key determinant of returns over the long-term. Therefore, asset allocation decisions for the portfolios will be based on a comprehensive asset allocation study. The asset allocation study will incorporate the expected return, risk, and correlation of eligible asset classes, as well as the overall expected return and risk of various model portfolios of these asset classes. The expected return and risk of the model portfolios will be evaluated in terms of their ability to best meet the portfolios long-term objectives. Based upon this analysis, an asset allocation policy with permissible percentage targets and ranges for each eligible asset class will be established for the portfolios. The asset allocation policy will be reviewed at least annually with a more comprehensive review every three to five years. For an illustration of the current asset allocation policy ranges for the investment portfolios refer to Appendices A and B, respectively.

Asset Categories

Investments will generally fall into one of four asset categories. Each category serves a specific role within a portfolio. An allocation to all four categories can provide diversification to major market risk factors while establishing a simple framework to review the exposures within the portfolio. The categories are as follows:
Global Equity – Intended to be the primary source of long-term capital appreciation for the portfolio. While this category has higher expected returns than fixed income, it also has higher expected volatilities. Sub-categories include public and private equity, as well as hedged equity.

Global Fixed Income – Intended to offset the volatility of equities, particularly during market downturns, as well as provide deflation protection. This category is comprised primarily of fixed income securities, which are categorized as interest rate sensitive and credit sensitive. Sub-categories include both public and private debt.

Real Assets – Intended to insulate the portfolio from inflation shocks and to provide a source of non-correlating returns with other asset categories. This category consists of both public and private investments in real estate, natural resources (e.g., energy, agriculture, timber), and infrastructure (e.g., power generation, mid-stream energy and Master Limited Partnerships “MLPs”).

Diversifying Strategies – Intended to provide diversification from systematic market risk, with the primary determinant of returns typically derived from manager skill (alpha) rather than the market (beta). Sub-categories may include liquid, semi-liquid, and illiquid non-directional strategies that seek low correlations to the public equity and fixed income markets.

Diversification
The investment portfolios will be invested across a broad range of asset classes and investment managers to reduce overall risk and stabilize returns. A globally diversified portfolio, with uncorrelated returns from various assets should reduce the variability of returns across time.

Rebalancing
In general, the asset allocation should track the targets set by the Investment Committee. However, there may be times that allocations differ from targets, but within ranges, for various reasons, including market fluctuations, moving to new targets over time, and tactical decisions based on valuations, risks, and opportunities. In addition, alternative asset classes may require a longer period of time to achieve target allocations.

The investment consultant and staff will monitor the asset allocation for the portfolios and attempt to stay within the permissible ranges for each asset category set forth in Appendices A and B. 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, liquidity
considerations, and market impact will have on the overall portfolios. Whenever possible, portfolio cash should be used to rebalance in a cost effective manner. If the portfolios are close to or outside of the permissible ranges, the investment consultant and staff will develop a plan of action to rebalance.

In the event that the Foundation receives a gift that is determined by the Foundation’s leadership to be transformational, the investment of such funds into the endowment investment portfolio shall be done deliberately over the course of one year, but not in less than two quarterly installments. The determination of what constitutes a transformational gift shall be made by the Foundation leadership, but shall be a minimum of 5% of the corpus of the fund at the end of the month in which the funds are received.

**Liquidity**

The portfolios have a long-term investment horizon with relatively modest liquidity needs. For this reason, the portfolios can tolerate short and intermediate term volatility, providing that the long-term returns meet or exceed objectives. Accordingly, the portfolios may take advantage of less liquid investments, including hedge funds, private equity, private debt, and private real assets, which typically offer higher risk-adjusted returns. To ensure adequate liquidity for distributions and rebalancing purposes, the investment consultant and staff will monitor the liquidity of both portfolios taking into account the overall liquidity needs of the University.

**Manager Structure**

The assets in each asset class will be invested in accounts managed by third party investment managers. Investment managers of varying types and styles (e.g., SMAs, ETFs, mutual funds, commingled funds, growth, value, active, passive, etc.) may be employed within each asset class. Multiple investment managers may be utilized within an asset class. In highly efficient areas of the capital markets, the investment committee will consider using index funds and other structured strategies (e.g., smart beta, enhanced indexes, factor strategies, etc.). The investment manager’s strategy will be evaluated regarding its effectiveness in complementing the portfolio’s other investment managers in order to achieve the desired result.

**F. PORTFOLIO MONITORING**

The Investment Committee will monitor and review investment performance on an ongoing basis. Performance results for each asset class and investment manager will be included in the quarterly report to the Investment Committee. The investment managers will be evaluated based
on longer-term performance or full market cycles to avoid variations in performance due to short-term volatility. The investment managers will be assessed based on the following criteria:

- A market index most closely matched to the investment manager’s respective mandate.
- A peer comparison of investment managers may also be utilized.
- Material changes to an investment manager’s fees, firm, philosophy, strategy, and personnel.
- Performance will be evaluated over a three to five year time horizon. However, shorter-term results will be monitored on a regular basis and earlier action may be taken.
- Compliance with the Investment Policy Statement and respective mandate.
- Any other relevant information, including effective correspondence.
G. ACKNOWLEDGEMENT

We recognize the importance of adhering to the mission and strategy detailed in this policy. We agree to work to fulfill the objectives stated herein, within the guidelines and restrictions, to the best of our ability. We acknowledge that open communications are essential to fulfilling this mission, and therefore, recognize that suggestions regarding appropriate adjustments to this policy or the manner in which investment performance is reviewed are expected.

_______________________________   ______________________
The Ohio University Foundation       Date

_______________________________   ______________________
Fund Evaluation Group, LLC         Date
### H. APPENDIX A – ASSET ALLOCATION FOR ENDOWMENT PORTFOLIO

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Long-Term Policy Target</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Min</td>
</tr>
<tr>
<td>Global Equity</td>
<td>49.1%</td>
<td>46%</td>
</tr>
<tr>
<td>US Large Cap Equity</td>
<td>20.6%</td>
<td>15%</td>
</tr>
<tr>
<td>US Small Cap Equity</td>
<td>3.9%</td>
<td>2%</td>
</tr>
<tr>
<td>Intl Equity - Developed</td>
<td>19.7%</td>
<td>14%</td>
</tr>
<tr>
<td>Intl Equity - Emerging</td>
<td>4.9%</td>
<td>2%</td>
</tr>
<tr>
<td>Alternatives</td>
<td>31.3%</td>
<td>15%</td>
</tr>
<tr>
<td>Private Equity (ex-Real Estate)</td>
<td>9.0%</td>
<td>0%</td>
</tr>
<tr>
<td>Hedge Funds</td>
<td>10.0%</td>
<td>0%</td>
</tr>
<tr>
<td>Commodities</td>
<td>4.9%</td>
<td>0%</td>
</tr>
<tr>
<td>Real Estate</td>
<td>4.9%</td>
<td>0%</td>
</tr>
<tr>
<td>Special Opportunities</td>
<td>2.5%</td>
<td>0%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td>19.6%</td>
<td>17%</td>
</tr>
<tr>
<td>Core Fixed Income</td>
<td>9.8%</td>
<td>5%</td>
</tr>
<tr>
<td>Opportunistic Fixed Income</td>
<td>3.9%</td>
<td>2%</td>
</tr>
<tr>
<td>TIPS</td>
<td>5.9%</td>
<td>3%</td>
</tr>
<tr>
<td>Cash</td>
<td>0.0%</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100.0%</strong></td>
<td></td>
</tr>
</tbody>
</table>

1. We show currently approved asset allocation targets and ranges, despite the body of this document showing a slightly different categorization of asset classes. Pending an asset allocation study scheduled for late 2019, we expect these targets and ranges will be updated.

2. We interpret Commodities above to include all manner of public and private real assets including, but not limited to energy, infrastructure, power, agriculture and master limited partnerships (MLPs), among others.

3. We interpret Special Opportunities above to be any investment (public or private) that is not otherwise outside of the bounds of this policy and its other restrictions.

4. We interpret Opportunistic Fixed income to incorporate any primarily credit based investment, public or private, corporate or consumer.
I. APPENDIX B – ASSET ALLOCATION FOR CENTURY BOND PORTFOLIO

<table>
<thead>
<tr>
<th>Asset Class</th>
<th>Long-Term Policy Target</th>
<th>Range Min</th>
<th>Range Max</th>
</tr>
</thead>
<tbody>
<tr>
<td>Global Equity</td>
<td></td>
<td>40.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>US Large Cap Equity</td>
<td>17.0%</td>
<td>8%</td>
</tr>
<tr>
<td></td>
<td>US Small Cap</td>
<td>3.0%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Intl Equity - Developed</td>
<td>16.0%</td>
<td>8%</td>
</tr>
<tr>
<td></td>
<td>Intl Equity - Emerging</td>
<td>4.0%</td>
<td>0%</td>
</tr>
<tr>
<td>Alternatives</td>
<td></td>
<td>43.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Private Equity</td>
<td>20.0%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Hedge Funds</td>
<td>15.0%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Commodities</td>
<td>4.0%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Real Estate</td>
<td>4.0%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Special Opportunities</td>
<td>0.0%</td>
<td>0%</td>
</tr>
<tr>
<td>Fixed Income</td>
<td></td>
<td>17.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Core Fixed Income</td>
<td>9.0%</td>
<td>3%</td>
</tr>
<tr>
<td></td>
<td>Opportunistic Fixed Income</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TIPS</td>
<td>3.0%</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>Cash</td>
<td>0.0%</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100.0%</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2 We show currently approved asset allocation targets and ranges, despite the body of this document showing a slightly different categorization of asset classes. Pending an asset allocation study scheduled for late 2019, we expect these targets and ranges will be updated.

3 We interpret Commodities above to include all manner of public and private real assets including, but not limited to energy, infrastructure, power, agriculture and master limited partnerships (MLPs), among others.

4 We interpret Special Opportunities above to be any investment (public or private) that is not otherwise outside of the bounds of this policy and its other restrictions.

8 We interpret Opportunistic Fixed Income to incorporate any primarily credit based investment, public or private, corporate or consumer.
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO and Treasurer
       David Gaume, Director of Investments
       David L. Stowe, Assistant Professor of Finance

Re: Student Investment Program

The purpose of this memo is to update the committee on the performance and progress of the OU Student Investment Programs. Two Ohio University student organizations manage $8.3 million (as of 06/30/2019) of the university long-term working capital pool, the:

- Student Equity Management Group (SEMG) and the
- Fixed Income Management Group (FIMG).

These groups are advised by and under the direct supervision of David L. Stowe, Assistant Professor of Finance, and are also under administrative oversight by David Gaume, Director of Investments.

Attached to this memo is a presentation that reviews:
- the investment performance results as of 06/30/2019,
- the groups’ structures, and
- a summary of our purposes.

The groups continue to maintain strong financial performance relative to their benchmarks. They strive to maintain a professional operation with a student-oriented focus to maintain ownership and responsibility. They deliver a unique and industry-leading learning experience to their members that prepares them to be competitive in the job market. Lastly, they strive to elevate the image of Ohio University with Alumni and other stakeholders.

The students are very thankful for this opportunity to serve Ohio University.
Student Investment Program

October 10, 2019
# Historical Return

## % Total Return

**As of 06/30/2019**

<table>
<thead>
<tr>
<th></th>
<th>1mo</th>
<th>3mo</th>
<th>6mo</th>
<th>9mo</th>
<th>1yr</th>
<th>Annualized</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3yr</td>
<td>5yr</td>
<td>10yr</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEMG Traditional</td>
<td></td>
<td></td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEMG Sustainable</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td>S&amp;P 500 Index</td>
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<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FIMG Traditional</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>FIMG Sustainable</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bloomberg Barclays US Aggregate Index</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

## % Excess Return Relative to Benchmarks

**As of 06/30/2019**

<table>
<thead>
<tr>
<th></th>
<th>1mo</th>
<th>3mo</th>
<th>6mo</th>
<th>9mo</th>
<th>1yr</th>
<th>Annualized</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3yr</td>
<td>5yr</td>
<td>10yr</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEMG Traditional over S&amp;P 500 Index</td>
<td></td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>SEMG Sustainable over S&amp;P 500 Index</td>
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</tr>
<tr>
<td>FIMG Traditional over Bloomberg Barclays US Aggregate Index</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>FIMG Sustainable over Bloomberg Barclays US Aggregate Index</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Student Leaders

Fixed Income Management Group

Blake Kinkoph
VP of Investments

Elsa Gran
Investment Analyst

Student Equity Management Group

Isaac Link
Executive Board

Joe Boyko
Executive Board

Market Values (as of 6/30/2019):

• FIMG Sustainable - $ 1,524,293.25
• FIMG Traditional - $ 1,535,272.63

Market Values (as of 6/30/2019):

• SEMG Sustainable - $ 2,448,798.10
• SEMG Traditional - $ 2,761,995.88
Student Equity Management Group

Group Structure

Organizational Structure

- Executive Board (5)
- Head Analyst (5)
- Analyst (14)

Relatively flat structure allows every member to openly voice opinions in consent or dissent.

Concentrated Portfolio Strategy

Country
Sector
Industry
Firm

Strategy primarily follows a bottom-up approach with a top-down complement.
SEMG Monthly Excess Return and 1-year rolling Excess Return vs the S&P 500 Index

6/30/2019
SEMG Traditional 5-year Cumulative Growth vs the S&P 500 Index

6/30/2019
SEMG Sustainable 5-year Cumulative Growth vs the S&P 500 Index

6/30/2019
The investments team is responsible for crafting high quality investment pitches that are voted on by the group to be included into the portfolio.

The portfolio team is responsible for generating high performing portfolio management strategies, while also monitoring all of the positions.
FIMG Monthly Excess Return and 1-year rolling Excess Return vs US Aggregate Index

6/30/2019
FIMG Traditional 5-year Cumulative Growth vs the Barclay's US Aggregate Index

6/30/2019
FIMG Sustainable 5-year Cumulative Growth vs the Barclay's US Aggregate Index

6/30/2019
In Summary

• Our Purpose

• Manage a **professional**, student-driven **investment operation** for Ohio University.
• Create a unique and industry-leading **experiential learning** opportunity for students.
• Facilitate **networking** through mutually beneficial relationships between Alums and Ohio University.

Thank You!
CAPITAL PROJECTS
APPROVAL TO PROCEED WITH DESIGN AND CONSTRUCTION

RESOLUTION 2019 -

WHEREAS, construction and renovation projects with a total project budget of $500,000 or more require Board approval; and

WHEREAS, projects presented and recommended for Board approval have been subject to a multi-step planning process culminating in executive leadership review and approval by the Capital Funding and Priorities Committee (CF&PC); and

WHEREAS, the following projects are presented for Board approval:

Design & Construction Requests:

<table>
<thead>
<tr>
<th>Project</th>
<th>Current</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Hall Make Up Air</td>
<td>$1,500,000</td>
</tr>
<tr>
<td>Washington Hall Make Up Air &amp; Chilled Water</td>
<td>$1,400,000</td>
</tr>
</tbody>
</table>

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, the Senior Vice President for Finance and Administration, or either’s authorized designee to accept and award contracts and execute all necessary agreements, easements and documents to effectuate the transaction and related transactions within the total project budgets identified.
Projects in excess of $500,000 will be presented for Board approval to undertake design through 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>Previously Approved</th>
<th>Current Action</th>
<th>Total Authorized Expenditures</th>
<th>Previously Approved</th>
<th>Current Budget Action</th>
<th>Total Approved Project Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval to Undertake Design through Construction</td>
<td></td>
<td></td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
</tr>
<tr>
<td>James Hall Make Up Air</td>
<td></td>
<td></td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
</tr>
<tr>
<td>Washington Hall Make Up Air &amp; Chilled Water</td>
<td></td>
<td></td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
</tr>
</tbody>
</table>

Current Project Approval Request Information

- **James Hall Make Up Air** – This $1.5M project will improve the ventilation and air quality in James Hall, including necessary HVAC upgrades to address a lack of make up air in the building. This project is funded by housing departmental funding.

- **Washington Hall Make Up Air & Chilled Water** – This $1.4M project will improve building ventilation, bring chilled water to the building from the campus chilled water distribution loop and install controls for air conditioning. This project is funded by housing departmental funding.
October 10, 2019

Capital Projects Update

Resolution

Tab #: pg
## Facilities Projects Summary

<table>
<thead>
<tr>
<th>Phase</th>
<th>Number of Projects</th>
<th>Budget</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - Conceptual</td>
<td>21</td>
<td>$5,670,446</td>
<td>$18,149</td>
</tr>
<tr>
<td>1 - PreDesign</td>
<td>16</td>
<td>$9,709,568</td>
<td>$26,593</td>
</tr>
<tr>
<td>2 - Design</td>
<td>35</td>
<td>$155,678,361</td>
<td>$6,817,796</td>
</tr>
<tr>
<td>3 - Construction</td>
<td>57</td>
<td>$135,157,376</td>
<td>$37,877,850</td>
</tr>
<tr>
<td>4 - Closeout</td>
<td>50</td>
<td>$65,347,301</td>
<td>$58,262,452</td>
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<tr>
<td><strong>Grand Total</strong></td>
<td><strong>179</strong></td>
<td><strong>$371,563,052</strong></td>
<td><strong>$103,002,840</strong></td>
</tr>
</tbody>
</table>
## Approvals Requested

<table>
<thead>
<tr>
<th>PROJECT</th>
<th>Previously Approved</th>
<th>Current Action</th>
<th>Total Approved Authorized Expenditures</th>
<th>Previously Approved</th>
<th>Current Budget Action</th>
<th>Total Approved Project Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval to Undertake Design through Construction</td>
<td></td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
<td></td>
<td>$ 1,500,000</td>
<td>$ 1,500,000</td>
</tr>
<tr>
<td>James Hall Make Up Air</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
<td></td>
<td></td>
<td></td>
<td>$ 1,400,000</td>
</tr>
<tr>
<td>Washington Hall Make Up Air &amp; Chilled Water</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
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<td>$ 1,400,000</td>
</tr>
</tbody>
</table>
James Hall Make Up Air
### James Hall Make Up Air

#### Fiscal Year FY19 FY20 FY21 FY22

<table>
<thead>
<tr>
<th>Activity</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
</tr>
</thead>
<tbody>
<tr>
<td>Schedule</td>
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<td>Blue</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td></td>
<td></td>
<td>Design</td>
<td>Construction</td>
</tr>
</tbody>
</table>

#### AE Services | Construction | Authorized Expenditures | Approved Budget

<table>
<thead>
<tr>
<th>Previous Board Budget Approvals</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
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</thead>
<tbody>
<tr>
<td>$</td>
<td></td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Current Board Request:</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
<th>Approved Budget</th>
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</thead>
<tbody>
<tr>
<td>$ 225,000</td>
<td>$ 1,275,000</td>
<td>$ 1,500,000</td>
<td></td>
<td>$ 1,500,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sub-Totals</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>$ 225,000</td>
<td>$ 1,275,000</td>
<td>$ 1,500,000</td>
<td></td>
</tr>
</tbody>
</table>

**Board Actions:**

- **Fund Sources**
  - Department Reserves: $ 225,000 $ 1,275,000 $ 1,500,000
  - **Sub-Totals:** $ 225,000 $ 1,275,000 $ 1,500,000
Washington Hall Make Up Air & Chilled Water
## Washington Hall Make Up Air & Chilled Water

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>FY19</th>
<th>FY20</th>
<th>FY21</th>
<th>FY22</th>
</tr>
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<tbody>
<tr>
<td>Schedule</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Activity</td>
<td>Design</td>
<td>Construction</td>
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<table>
<thead>
<tr>
<th>Previous Board Budget Approvals</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
<th>Approved Budget</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>$ -</td>
<td>$ 1,400,000</td>
<td>$ -</td>
<td>$ -</td>
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<table>
<thead>
<tr>
<th>Current Board Request:</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
<th>Approved Budget</th>
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<tbody>
<tr>
<td></td>
<td>$ 210,000</td>
<td>$ 1,190,000</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sub-Totals</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
<th>Approved Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 210,000</td>
<td>$ 1,190,000</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
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</table>

### Fund Sources

<table>
<thead>
<tr>
<th>Department Reserves</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
<th>Approved Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 210,000</td>
<td>$ 1,190,000</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sub-Totals</th>
<th>AE Services</th>
<th>Construction</th>
<th>Authorized Expenditures</th>
<th>Approved Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 210,000</td>
<td>$ 1,190,000</td>
<td>$ 1,400,000</td>
<td>$ 1,400,000</td>
</tr>
</tbody>
</table>
CAPITAL PROJECTS
APPROVAL TO PROCEED WITH DESIGN AND CONSTRUCTION
RESOLUTION 2019 -

WHEREAS, construction and renovation projects with a total project budget of $500,000 or more require Board approval; and

WHEREAS, projects presented and recommended for Board approval have been subject to a multi-step planning process culminating in executive leadership review and approval by the Capital Funding and Priorities Committee (CF&PC); and

WHEREAS, the following projects are presented for Board approval:

Design & Construction Requests:

<table>
<thead>
<tr>
<th>Capital Project Budget &amp; Authorized Expenditures</th>
<th>Current</th>
</tr>
</thead>
<tbody>
<tr>
<td>James Hall Make Up Air</td>
<td>$1,500,000</td>
</tr>
<tr>
<td>Washington Hall Make Up Air &amp; Chilled Water</td>
<td>$1,400,000</td>
</tr>
</tbody>
</table>

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, the Senior Vice President for Finance and Administration, or either’s authorized designee to accept and award contracts and execute all necessary agreements, easements and documents to effectuate the transaction and related transactions within the total project budgets identified.
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO & Treasurer
       Stephen D. Wood, Senior Associate Vice President and Chief Facilities Officer

Re: Design Costs and Project Estimating Presentation

This presentation addresses August 2019 Board of Trustee member’s questions by providing an in-depth look the type of services and related project costs for Architectural Engineer services associated with our project Design process. Specifically, it will address what design services are included in our projects, design fee peer comparison, and how much we pay for our design services.

As part of the discussion of design services, we will share industry standards associated with project estimates from the Association for the Advancement of Cost Engineering (AACE) and how their published standards relate to our project development and approval process.

Lastly, we will share project cost data for the compendium of Ridges projects and how these costs relate to other projects on campus.
October 10, 2019

Design Costs & Project Estimation
Follow-up to August BoT Meeting

Tab #; pg
Agenda

• Design Follow-Ups
  • What is included in Design?
  • Peer benchmarking of design fee rate
  • How much do we pay for design services?
  • Challenges with in-house design

• Project Estimating accuracy

• Ridges Projects Overview
What is included in Design?

Design vs. Construction Breakdown

- Initial project approval (i.e. prior to negotiating contract with Architect Engineer (A/E) firm), includes an estimated division between design and construct based on historic project averages
  - Design – 15% of Budget
    - Includes A/E and in-house Project Management Fee
  - Construction – 85% of Budget
    - Includes construction and contingency
- Subsequent approvals (budget amendments) based on actual costs
What is included in Design?

Defined by Ohio Facilities Construction Commission

- Basic Services (included in fee %)
  - Program verification, Schematic Design, Design Development, Construction Documents, Bidding Services, Construction Administration, Closeout

- Additional Services (not in fee %)
  - Specialized services, grant applications, surveying, special inspections, quality assurance testing

- Reimbursable Expenses (not in fee %)
  - Permit fees, printing

- Change Order Allowance (not in fee %)
  - Based on negotiated basic fee percentage and 50% of construction contingency
What is included in Design?

Breakdown of Major Disciplines

• **Basic Services:** Architecture, Geotechnical Engineering, Structural Engineering, Traffic Engineering, Civil Engineering (utilities), Mechanical Engineering (HVAC & Fire Protection), Electrical Engineering, Plumbing Engineering, Interior Design, Landscape Architecture, Construction Administration

• **Additional Services:** Geotechnical Consultants, Environmental Consultants, Acoustics Specialists, Hazardous Materials Consultants, Commissioning Agents, Surveying, Third Party Testing Agents (for quality assurance testing), etc.
Peer Benchmarking

- Ohio State and Miami – Professional Service Fees Negotiation Guidelines (for Basic Services only)
  - Average fee for average complexity project - 9.05% of construction cost
  - Fee guidelines vary (4.75% to 16.8%) based on cost and complexity
  - This guideline is used as a tool to negotiate an appropriate fee rate
How much do we pay for Design?

• Data Set – 80 active projects that have A/E agreements

• Two ways to consider what we pay:
  – Sum of basic fees as a percentage of total construction budgets = 8.48%
  – Average of basic fees paid = 13.84%

• Key Takeaways:
  – We’re paying an appropriate basic fee across our program (8.48% vs. 9.05%)
  – We’re paying high basic fee rates on small projects (less than $100K)
    • However, this issue has low impact on overall dollar value because of small project budgets

• Opportunities to Improve:
  – Re-evaluate how and what we procure on small projects
  – Implement Professional Services Fee guidelines for Ohio University
How much do we pay for Design?

- We’re doing well overall
- Identified opportunities for improvement:
  - Re-evaluate how/what we procure for basic services on small projects
    - Improve negotiating strategies to reduce fee paid on small projects (<$100K)
    - Evaluate need for complete basic services (e.g. SD, DD, CD phases of design)
  - Implement Professional Services Fee Guidelines for Ohio University
    - Guideline for use by staff to set appropriate fee range on a given project
    - Provide a tool to enable successful negotiation of appropriate fees
    - Assist with transition away from legacy expectations with vendors
How much do we pay for Design?

**Project Budget Breakdown**
- Construction: 75.9%
- Contingency: 11.59%
- A/E Services: 10%
- PM Fee: 2.48%

**Architect/Engineer Fee Breakdown**
- Basic Services: 73.18%
- Additional Services: 20.96%
- Reimbursable Expenses: 3.35%
- Change Order Allowance: 2.52%
# Estimating Accuracy

Association for Advancement of Cost Engineering (AACE)

<table>
<thead>
<tr>
<th>ESTIMATE CLASS</th>
<th>MATURITY LEVEL OF PROJECT DEFINITION DELIVERABLES</th>
<th>END USAGE</th>
<th>METHODOLOGY</th>
<th>EXPECTED ACCURACY RANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class 5</td>
<td>0% to 2%</td>
<td>Concept screening</td>
<td>Capacity factored, parametric models, judgment, or analogy</td>
<td>L: -20% to -50%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>H: +30% to +100%</td>
</tr>
<tr>
<td>Class 4</td>
<td>1% to 15%</td>
<td>Study or feasibility</td>
<td>Equipment factored or parametric models</td>
<td>L: -15% to -30%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>H: +20% to +50%</td>
</tr>
<tr>
<td>Class 3</td>
<td>10% to 40%</td>
<td>Budget authorization or control</td>
<td>Semi-detailed unit costs with assembly level line items</td>
<td>L: -10% to -20%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>H: +10% to +30%</td>
</tr>
<tr>
<td>Class 2</td>
<td>30% to 75%</td>
<td>Control or bid/tender</td>
<td>Detailed unit cost with forced detailed take-off</td>
<td>L: -5% to -15%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>H: +5% to +20%</td>
</tr>
<tr>
<td>Class 1</td>
<td>65% to 100%</td>
<td>Check estimate or bid/tender</td>
<td>Detailed unit cost with detailed take-off</td>
<td>L: -3% to -10%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>H: +3% to +15%</td>
</tr>
</tbody>
</table>

Source: Cost Estimate Classification System – As Applied in Engineering, Procurement and Construction, AACE International Recommended Practice No. 18R-97
Challenges with in-house design

• FMS Concerns:
  – Professional Liability
  – Specialization varies by project
    • For example, a lab building requires a different approach than a medical office building
  – Breadth of specialized services needed
    • Geotechnical investigation, surveying, acoustic modeling, etc.
  – Variability of capital plan and staffing levels

• Ohio State and Miami approach:
  – In-house Project Management, A/E services through third party vendor

• National Trend: in-house Project Managers, third party A/E
  – “The general trend we are seeing is institutions shifting their full-time employees (FTEs) to bring project managers in-house and contracting more design and A/E work” – Education Advisory Board (EAB)
Estimating Accuracy

- Class 5 = Conceptual Planning
- Class 4 = Programming
- Class 3 = Schematic Design
- Class 2 = Design Development
- Class 1 = Construction Documents

= BoT Approval

Source: Document Project Readiness by Estimate Class Using PDRI, 2011 AACE International Transactions, EST.604
Future project approval requests will include an estimated cost with associated budget range (based on AACE data)

- Provide a greater degree of accuracy in project estimates
- Minimize budget amendments by providing budget ranges in alignment with AACE guidelines
### Ridges Projects Overview

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Budget</th>
<th>Investment Category</th>
<th>Cost/SF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Konneker Research HVAC and Building Envelope</td>
<td>$5,000,000</td>
<td>Deferred Maintenance</td>
<td>$67.50</td>
</tr>
<tr>
<td>Ridges 13, 14, and 18 Renovation</td>
<td>$15,330,234</td>
<td>Renovation, Deferred Maintenance</td>
<td>$150.41</td>
</tr>
<tr>
<td>Ridges 2, 3, and 4 Electrical Feed</td>
<td>$51,300</td>
<td>Utility, Code Compliance</td>
<td></td>
</tr>
<tr>
<td>Ridges 32 Roof Replacement</td>
<td>$99,950</td>
<td>Deferred Maintenance</td>
<td>$33.32</td>
</tr>
<tr>
<td>Ridges 33 Roof Replacement</td>
<td>$925,000</td>
<td>Deferred Maintenance</td>
<td>$120.31</td>
</tr>
<tr>
<td>Ridges 37 Roof Replacement</td>
<td>$850,000</td>
<td>Deferred Maintenance</td>
<td>$94.44</td>
</tr>
<tr>
<td>Ridges Cooling Tower Replacement</td>
<td>$408,700</td>
<td>Deferred Maintenance</td>
<td></td>
</tr>
<tr>
<td>Ridges Circle Roadway Repair</td>
<td>$600,000</td>
<td>Paving</td>
<td>$31.54</td>
</tr>
<tr>
<td>Ridges Parking Lot, Site Improvements and Building 20 Demo</td>
<td>$2,764,330</td>
<td>Demolition, Paving</td>
<td></td>
</tr>
<tr>
<td>Ridges Utilities Decentralization and Site Prep</td>
<td>$2,620,865</td>
<td>Demolition, Utility Decentralization</td>
<td></td>
</tr>
<tr>
<td>Child Development Center HVAC Controls Upgrade</td>
<td>$358,175</td>
<td>Deferred Maintenance</td>
<td>$24.44</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$29,008,554</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Ridges 13, 14, and 18 Renovation

- **Significant challenges during construction:**
  - Unforeseen concealed ventilation shafts and associated structural modifications
  - Unanticipated restoration of deteriorated plaster
  - Flooring substrate in poor condition, requires removal and replacement

### Breakdown of Contingency Costs to Date

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>Unanticipated Building Conditions</td>
<td>$569,918</td>
</tr>
<tr>
<td>Additional Demolition Required</td>
<td>$14,267</td>
</tr>
<tr>
<td>Additional MEP Work Required</td>
<td>$137,385</td>
</tr>
<tr>
<td>Other</td>
<td>$142,662</td>
</tr>
<tr>
<td><strong>Total Contingency Cost to Date</strong></td>
<td><strong>$864,234</strong></td>
</tr>
</tbody>
</table>
Ridges Budget Restructures

Restructuring the budgets will accomplish the scope of all three projects without additional funding.

<table>
<thead>
<tr>
<th>Project</th>
<th>Current Budget</th>
<th>Budget Realignment</th>
<th>Final Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ridges 13, 14 and 18 Renovation</td>
<td>$15,330,234</td>
<td>+$1,080,000</td>
<td>$16,410,234</td>
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<tr>
<td>Ridges Parking Lot, Site Improvements and Building 20 Demolition</td>
<td>$2,764,330</td>
<td>-$916,000</td>
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<tr>
<td>Ridges Utilities Decentralization and Site Prep</td>
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<td>-$164,000</td>
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<tr>
<td>Total</td>
<td>$20,715,429</td>
<td>$0</td>
<td>$20,715,429</td>
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</table>
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO and Treasurer
       Steve Wood, Chief Facilities Officer and Senior Associate Vice President

Re: Facility Projects Updates

The following facility project reports are included with this update:

1. The *Active Capital Project Schedules* report shows the design and construction timeline view for major projects in progress as of the meeting date.
2. The *Facility Projects Report* details active projects approved for expenditure as well as proposed projects under development (indicated as the Conceptual phase). The report is sorted by facility phase, and then by completion date within phase.

A summary of active projects by phase is shown in the table below:

<table>
<thead>
<tr>
<th>Phase</th>
<th>Number of Projects</th>
<th>Budget</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - Conceptual</td>
<td>21</td>
<td>$5,670,446</td>
<td>$18,149</td>
</tr>
<tr>
<td>1 - PreDesign</td>
<td>16</td>
<td>$9,709,568</td>
<td>$26,593</td>
</tr>
<tr>
<td>2 - Design</td>
<td>35</td>
<td>$155,678,361</td>
<td>$6,817,796</td>
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<tr>
<td>3 - Construction</td>
<td>57</td>
<td>$135,157,376</td>
<td>$37,877,850</td>
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<tr>
<td>4 - Closeout</td>
<td>50</td>
<td>$65,347,301</td>
<td>$58,262,452</td>
</tr>
<tr>
<td>Grand Total</td>
<td>179</td>
<td>$371,563,052</td>
<td>$103,002,840</td>
</tr>
</tbody>
</table>

*Projects in the ‘0 - Conceptual Phase’ often do not yet have developed budget estimates and are therefore reflected as “zero” in the attached report.*
Facility projects highlights since the August Board of Trustees meeting include:

- **Start of construction:**
  - Chubb/Sing Tao Roof Replacement
  - Lindley Hall Roof Replacement
  - Ridges Building 33 Roof Replacement
  - Ridges Circle Roadway Repair
  - OUL Campus Infrastructure Improvements

- **Continued construction progress:**
  - Chemistry Building
  - Chilled Water Plant 3
  - HCOM Facility
  - Ridges 13, 14 and 18 Renovation

- **Substantial completion:**
  - Bush Airport Taxiway Rehabilitation
  - Child Development Center HVAC Controls Upgrade
  - Sargent Hall HVAC Upgrades
  - Convocation Center Concrete Repair
  - Brown House and Edgehill Maintenance Demolition
<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>HCOM Phase I Academic Replacement Space</td>
<td>65,000,000</td>
</tr>
<tr>
<td>Chemistry Building</td>
<td>42,600,000</td>
</tr>
<tr>
<td>Clippinger Renovation Phase 2</td>
<td>33,622,000</td>
</tr>
<tr>
<td>Russ Research Opportunity Center</td>
<td>30,100,000</td>
</tr>
<tr>
<td>Chilled Water Plant 3 - Plant</td>
<td>18,975,000</td>
</tr>
<tr>
<td>Ridges 13, 14 and 18 Renovation</td>
<td>15,330,234</td>
</tr>
<tr>
<td>Chilled Water Plant 3 - Utility Distribution</td>
<td>12,600,000</td>
</tr>
<tr>
<td>Gamertsfelder Bath/HVAC Upgrades</td>
<td>7,600,000</td>
</tr>
<tr>
<td>HCOM Utilities Phase I - EIP/HCOM</td>
<td>5,270,000</td>
</tr>
<tr>
<td>Konneker Research Ridges 25 HVAC and Boiler System Upgrade 2018</td>
<td>5,000,000</td>
</tr>
<tr>
<td>Convocation Center Residential Restrooms Renovation 2018</td>
<td>3,500,000</td>
</tr>
<tr>
<td>Stocker Roof Replacement 2019</td>
<td>3,300,000</td>
</tr>
<tr>
<td>Porter and Lindley Halls Window Replacement 2019</td>
<td>2,899,452</td>
</tr>
<tr>
<td>Ridges Parking Lot, Site and Building 20 Demolition</td>
<td>2,704,330</td>
</tr>
<tr>
<td>Ridges Utilities Decentralization and Site Prep</td>
<td>2,620,865</td>
</tr>
<tr>
<td>29 Park Place and Carriage House Renovation and ADA Improvements</td>
<td>2,300,000</td>
</tr>
<tr>
<td>Grosvenor Hall Administrative Relocation Renovation 2019</td>
<td>1,800,000</td>
</tr>
<tr>
<td>Konneker Alumni Center ADA Addition and Renovation 2018</td>
<td>1,732,750</td>
</tr>
<tr>
<td>Campus Steam System Repairs 2019</td>
<td>1,500,000</td>
</tr>
<tr>
<td>PROJECT TITLE</td>
<td>BUDGET</td>
</tr>
<tr>
<td>------------------------------------------------------------</td>
<td>---------</td>
</tr>
<tr>
<td>Trisolini House Renovation for Auxiliaries 2019</td>
<td>1,500,000</td>
</tr>
<tr>
<td>Innovation Center Infrastructure Upgrades 2019</td>
<td>1,438,423</td>
</tr>
<tr>
<td>Lindley Hall Roof Replacement</td>
<td>1,407,265</td>
</tr>
<tr>
<td>West Green CW Pump System Repairs</td>
<td>1,399,600</td>
</tr>
<tr>
<td>HRTC Repurpose for HCOM 2019</td>
<td>1,163,500</td>
</tr>
<tr>
<td>Ridges Building 33 Roof Replacement 2019</td>
<td>925,000</td>
</tr>
<tr>
<td>Central Classroom Masonry Repairs 2018</td>
<td>922,000</td>
</tr>
<tr>
<td>Glidden Chilled Water Connection</td>
<td>850,000</td>
</tr>
<tr>
<td>Ridges Building 37 Improvements - Roof Repair 2018</td>
<td>850,000</td>
</tr>
<tr>
<td>Brown House and Edgehill Maintenance Demolition</td>
<td>815,000</td>
</tr>
<tr>
<td>Richland Avenue Pedestrian Crossing Sidewalk Realignment</td>
<td>767,983</td>
</tr>
<tr>
<td>Campus Steam System Repairs 2020</td>
<td>750,000</td>
</tr>
<tr>
<td>Convocation Center Concrete Repair 2018</td>
<td>600,000</td>
</tr>
<tr>
<td>Ridges Circle Roadway Repair 2018</td>
<td>600,000</td>
</tr>
<tr>
<td>OUE Campus Chiller Replacements 2019</td>
<td>548,579</td>
</tr>
<tr>
<td>Project Name</td>
<td>Project Manager</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td><strong>OHIO Student Farm West State Street Sign Installation 2019</strong></td>
<td>Gem Stone</td>
</tr>
<tr>
<td><strong>Botanical Research HVAC Replacement 2019</strong></td>
<td>Garrett Karr</td>
</tr>
<tr>
<td><strong>James Hall Make Up Air</strong></td>
<td>Brody Bauers</td>
</tr>
<tr>
<td><strong>Walter Hall 235 Classroom Renovation 2019</strong></td>
<td>Gem Stone</td>
</tr>
<tr>
<td><strong>Walter Hall 235 Classroom Renovation 2019</strong></td>
<td>Gem Stone</td>
</tr>
<tr>
<td><strong>Morton Chilled Water Connection 2019</strong></td>
<td>Michael McAvoy</td>
</tr>
<tr>
<td><strong>Washington Hall Make Up Air &amp; Chilled Water</strong></td>
<td>Brody Bauers</td>
</tr>
<tr>
<td><strong>Alden Library Air Handlers 3 and 4 Replacement 2019</strong></td>
<td>Michael McAvoy</td>
</tr>
<tr>
<td><strong>Alden Library Air Handlers 3 and 4 Replacement 2019</strong></td>
<td>Danny Counts</td>
</tr>
<tr>
<td><strong>OUE Health &amp; Physical Education Center HVAC Controls Upgrade 2019</strong></td>
<td>Danny Counts</td>
</tr>
<tr>
<td><strong>Lausche Plant Fire Alarm Installation 2019</strong></td>
<td>Brody Bauers</td>
</tr>
<tr>
<td><strong>Nelson Chilled Water Plant Repairs 2019</strong></td>
<td>Brody Bauers</td>
</tr>
<tr>
<td><strong>OUE Health &amp; Physical Education Center Roof Replacement 2019</strong></td>
<td>Danny Counts</td>
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<tr>
<td><strong>Alden Library 3rd Floor Portrait Installation 2019</strong></td>
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<tr>
<td><strong>Haning Hall Electronic Access Conversion 2019</strong></td>
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<tr>
<td><strong>Haning Hall Electronic Access Conversion 2019</strong></td>
<td>Garrett Karr</td>
</tr>
<tr>
<td><strong>Ridges 37 Printing Services Electrical Installation 2019</strong></td>
<td>Michael McAvoy</td>
</tr>
<tr>
<td><strong>Grover Substation Electrical Study 2020</strong></td>
<td>Danny Counts</td>
</tr>
<tr>
<td><strong>Kantner Hall Storm Water Study 2020</strong></td>
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<td><strong>Ping Center Lighting Controls Replacement 2019</strong></td>
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<tr>
<td><strong>OUD Medical Education Building 2 Renovation 2020</strong></td>
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<tr>
<td><strong>Kantner Ground and 3rd Floor Restroom Conversion 2019</strong></td>
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<tr>
<td><strong>Alden Center Stairwell Strip Installation</strong></td>
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<tr>
<td><strong>Lin Hall ADA Entrance Canopy Installation 2018</strong></td>
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<td><strong>Hudson Health Center HVAC Study 2019</strong></td>
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<tr>
<td><strong>OUS Student Resource Commons Improvements 2019</strong></td>
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<tr>
<td><strong>OUE Listick Hall HVAC Improvements</strong></td>
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<tr>
<td><strong>Child Development Center Playground Expansion 2019</strong></td>
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<td><strong>Copeland, Porter and Life Science Energy Savings Improvements 2018</strong></td>
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<td><strong>HRTC Repurpose for HCOM 2019</strong></td>
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<tr>
<td><strong>Lindley Hall Administrative Relocations Renovation</strong></td>
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<td><strong>Central Classroom Masonry Repairs 2018</strong></td>
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<tr>
<td><strong>Chillicothe Campus Bennett Hall Elevator Replacement 2019</strong></td>
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<tr>
<td><strong>Porter and Lindley Halls Window Replacement 2019</strong></td>
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<tr>
<td><strong>Innovation Center Infrastructure Upgrades 2019</strong></td>
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<td><strong>Grouvenor Hall Administrative Relocation Renovation 2019</strong></td>
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<td><strong>Convocation Center N207 Sales Area Development 2019</strong></td>
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<td><strong>OUL Brasee Hall Carpet Replacement 2020</strong></td>
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<td><strong>Irvin Hall 2nd Floor Electrical Load Study 2019</strong></td>
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<td><strong>Alden Library 4th Floor Cable Thread Installation 2019</strong></td>
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<tr>
<td><strong>Ridges Building 33 Transfer Switch Replacement 2019</strong></td>
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</table>

**Phase definitions:** A project is in the Conceptual Phase until the scope, schedule, budget and funding are determined. Then PreDesign occurs until the architect/engineer is under contract. Design occurs until the contract is issued for Construction, and upon Substantial Completion the Closeout phase begins. This phase continues until the appropriate documents are archived and the project is closed financially.
<table>
<thead>
<tr>
<th>Project Name</th>
<th>Project Manager</th>
<th>Current Phase</th>
<th>Original Budget</th>
<th>Expenditures</th>
<th>Substantial Completion Date</th>
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<td>Shannon Hall HVAC Improvements</td>
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<td>Brent Buckley</td>
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<td>Facility Site Improvements - HCOM Phase I</td>
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<td>Alden Library 504 Carpet Replacement and Display Case Removal 2019</td>
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<td>Ridges Parking Lot, Site Improvements and Building 20 Demolition</td>
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<td>X</td>
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<td>Cutler Hall Basement Drainage 2018</td>
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<td>$150,000</td>
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<td>Chilled Water Plant 3 - Plant</td>
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<td>Grover Center E303 Conference Room Renovation</td>
<td>Stephanie Ruth</td>
<td>3 - Construction</td>
<td>X</td>
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<td>Sook Academic Center</td>
<td>Jon Cozad</td>
<td>4 - Closeout</td>
<td>X</td>
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<tr>
<td>Tiffin Hall Bathroom Upgrades</td>
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<td>4 - Closeout</td>
<td>X</td>
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<tr>
<td>Copeland Hall Roof Replacement</td>
<td>Brent Buckley</td>
<td>4 - Closeout</td>
<td>X</td>
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<tr>
<td>OUZ Herrold Rehab Nursing</td>
<td>Danny Counts</td>
<td>4 - Closeout</td>
<td>X</td>
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<td>2,000,000</td>
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<tr>
<td>Convocation Center Videoboard Installation</td>
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<td>X</td>
<td>$1,979,705</td>
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<td>Adams Hall Waterproofing</td>
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<td>RTEC Roof Replacement</td>
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<tr>
<td>OUL Herrold Hall Roof</td>
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<td>Gildner Hall Compressor Replacement 2018</td>
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<td>1,700,000</td>
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<td>East Green Building Based Domestic Hot Water</td>
<td>Garrett Karr</td>
<td>4 - Closeout</td>
<td>X</td>
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<td>Walter Hall Coil Conversion</td>
<td>Danny Counts</td>
<td>4 - Closeout</td>
<td>X</td>
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<td>Porter Hall Masonry Stabilization</td>
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<td>C-Suite (Student Innovation Hub)</td>
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<td>X</td>
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<td>Botanical Research Greenhouse Upgrade</td>
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<td>X</td>
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<td>Bob Wren Infield Artificial Turf</td>
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<td>X</td>
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<td>Bush Airport Obstruction Removal</td>
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<td>2,959,400</td>
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<td>Ridges Building 20 Underground Storage Tank Removal 2018</td>
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<td>450,000</td>
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<td>Athens Campus IT Closets Fiber Cable Installation 2018</td>
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<td>4 - Closeout</td>
<td>X</td>
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<td>17,500,000</td>
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<tr>
<td>RTVC Drinking Fountain Replacements</td>
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<td>EIF - Permanent Campus Boilers</td>
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<td>X</td>
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<td>999,000</td>
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<td>WOUC Spectrum Conversion</td>
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<td>300,000</td>
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<tr>
<td>Chubb Hall HVAC Study 2019</td>
<td>Michael Mcavoy</td>
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<td>X</td>
<td>$300,000</td>
<td>300,000</td>
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<tr>
<td>Athens Campus IT Closets Fiber Cable Installation 2018</td>
<td>Jon Cozad</td>
<td>4 - Closeout</td>
<td>X</td>
<td>$150,000</td>
<td>150,000</td>
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<td>Ridges Chilled Water Plant Cooling Towers Replacement 2018</td>
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<td>$15,975</td>
<td>15,975</td>
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<td>Ridges Building 32 Reverse Osmosis System Installation</td>
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<td>X</td>
<td>$408,700</td>
<td>408,700</td>
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<td>Memorial Auditorium Limestone Repair and Roof Study 2019</td>
<td>Tony Bertino</td>
<td>4 - Closeout</td>
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<tr>
<td>Washington WC Bathroom Upgrades</td>
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<td>4 - Closeout</td>
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<td>112,650</td>
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<tr>
<td>Ping Center Cardio/Weight Room Flooring Upgrade</td>
<td>Stephanie Ruth</td>
<td>4 - Closeout</td>
<td>X</td>
<td>$38,204</td>
<td>40,996</td>
</tr>
<tr>
<td>Walter International Education Center ADA Desk &amp; Floor Refinish</td>
<td>Gem Stone</td>
<td>4 - Closeout</td>
<td>X</td>
<td>$12,000</td>
<td>12,000</td>
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<tr>
<td>Airport Security Improvements</td>
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<td>4 - Closeout</td>
<td>X</td>
<td>$25,000</td>
<td>25,000</td>
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<tr>
<td>Memorial Auditorium ADA Ramp Lighting Installation 2019</td>
<td>Tony Bertino</td>
<td>4 - Closeout</td>
<td>X</td>
<td>$3,160</td>
<td>3,160</td>
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<tr>
<td>Nelson Garage Zone Maintenance Restroom Addition</td>
<td>Stephanie Ruth</td>
<td>4 - Closeout</td>
<td>X</td>
<td>$502,345</td>
<td>502,345</td>
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<td>Seigfried Hall Exterior Lighting Improvements 2019</td>
<td>Tony Bertino</td>
<td>4 - Closeout</td>
<td>X</td>
<td>$16,200</td>
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</tbody>
</table>
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Vice President Finance & Administration, CFO and Treasurer
       Candice J. Casto, Assistant Vice President of Foundation Finance and Administration

Re: Endowment Review

Pursuant to resolution 2002-1851, the University’s Board of Trustees entrusted oversight of the long-term investment portfolio to the Investment Committee of The Ohio University Foundation. The long-term investment portfolio 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 portfolio to the Investment Committee of The Ohio University Foundation.

At the upcoming October Board meeting, to keep the Resources Committee apprised of the stewardship of those assets and the resources generated from them, material covering the following will be provided:

- portfolio oversight
- total assets under management
- asset allocation
- portfolio performance
- endowment assets
- endowment spending policy and distributions

The annual NACUBO-TIAA Study of Endowments for the fiscal year ended June 30, 2019, which reports on endowment management practices and portfolio performance of higher education institutions will be available by early February and shared with the Resources Committee at its March meeting.
Endowment review

October 10, 2018

Tab #; pg
Endowment Review - Agenda

• Portfolio Oversight
• Total Assets Under Management
• Asset Allocation
• Portfolio Performance
• Endowment Assets and Distributions
Portfolio Oversight

• The Ohio University Foundation Board

• Investment Committee – Governing Fiduciary

• Fund Evaluation Group – Managing Fiduciary
Total Assets Under Management

$728.4M as of June 30, 2019

Investment Pool By Entity
- Foundation: 32%
- University: 68%

Investment Pool By Funding Type
- Century Bond Reserve: 1%
- Working Capital: 20%
- Endowed Accounts: 79%
# Long-Term Portfolio Growth

(in millions)

<table>
<thead>
<tr>
<th></th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</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>Portfolio Return</td>
<td>17.2%</td>
<td>19.0%</td>
<td>-0.2%</td>
<td>11.9%</td>
<td>16.7%</td>
<td>-1.1%</td>
<td>-3.2%</td>
<td>12.7%</td>
<td>6.5%</td>
<td>4.3%</td>
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<tr>
<td>Total Portfolio</td>
<td>337.4</td>
<td>396.5</td>
<td>467.2</td>
<td>522.6</td>
<td>632.5</td>
<td>625.5</td>
<td>596.3</td>
<td>667.3</td>
<td>710.8</td>
<td>728.4</td>
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<tr>
<td>Century Bond Reserve</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>3.5</td>
<td>3.4</td>
<td>3.9</td>
<td>4.1</td>
<td>4.3</td>
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<tr>
<td>Working Capital</td>
<td>60.2</td>
<td>60.5</td>
<td>58.2</td>
<td>75.8</td>
<td>116.6</td>
<td>115.0</td>
<td>111.2</td>
<td>127.2</td>
<td>137.8</td>
<td>147.7</td>
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<tr>
<td>Endowed Accounts</td>
<td>277.2</td>
<td>336.0</td>
<td>409.0</td>
<td>446.7</td>
<td>515.9</td>
<td>507.0</td>
<td>481.6</td>
<td>536.2</td>
<td>568.9</td>
<td>576.4</td>
</tr>
</tbody>
</table>

*estimated and unaudited
Expected Return

The administrative fee will be reduced by 10 bps per year, from 2.0% in FY20 to 1.5% in FY25 in an effort to enhance the endowment’s long-term spending power.
NACUBO/TIAA Study of Endowments Performance vs. Peers

Periods Ended June 30, 2018

*Represents the average nominal rate of return, as reported in the NTSE.
Portfolio Performance

Periods Ended June 30, 2019

![Bar chart showing portfolio performance periods ended June 30, 2019. The chart compares Ohio University Return, Policy Diversified Benchmark, and HEPI + 6% Spend Benchmark for Five-Year, Three-Year, and One-Year periods. The percentages are as follows:

- Five-Year:
  - Ohio University Return: 3.7%
  - Policy Diversified Benchmark: 4.7%
  - HEPI + 6% Spend Benchmark: 8.7%

- Three-Year:
  - Ohio University Return: 7.8%
  - Policy Diversified Benchmark: 8.3%
  - HEPI + 6% Spend Benchmark: 8.8%

- One-Year:
  - Ohio University Return: 4.3%
  - Policy Diversified Benchmark: 4.8%
  - HEPI + 6% Spend Benchmark: 8.8%]
Endowment Assets

$579.5M as of June 30, 2019

Endowments By Entity

- 82% University
- 18% Foundation

Endowments By Type

- 62% Permanent Endowments
- 38% Quasi-Endowments
Endowment Growth
(in millions)

*estimated and unaudited
Endowment Spending Policy

**MV > HGV**
- 4% Spend
- 2% Fee^"^^

**MV < HGV**
- 1% Spend
- No Fee

^To be reduced to 1.5% by FY25
*Underwater
Endowment Distributions

(in millions)

<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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<th>FY18</th>
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<td>Total</td>
<td>6.4</td>
<td>12.1</td>
<td>15.9</td>
<td>20.1</td>
<td>22.6</td>
<td>26.1</td>
<td>26.8</td>
<td>28.0</td>
<td>28.9</td>
<td>29.0</td>
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<td>2.1</td>
<td>4.8</td>
<td>6.4</td>
<td>7.3</td>
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<td>9.2</td>
<td>9.4</td>
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<td>Spending Allocation</td>
<td>5.4</td>
<td>10.0</td>
<td>11.1</td>
<td>13.7</td>
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<td>17.6</td>
<td>18.1</td>
<td>18.8</td>
<td>19.5</td>
<td>19.6</td>
</tr>
</tbody>
</table>

*estimated and unaudited
Governance and Compensation Committee Meeting
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO and Treasurer
     Colleen Bendl, Chief Human Resources Officer
     Greg Fialko, Senior HR Director, Benefits

Re: Retirement Plans Benefit Investment Committee Update

Due to changes in State of Ohio law regarding oversight of Alternative Retirement Plans (ARP) and supplemental retirement plans offered by public employers including universities, and due to an evolving landscape for higher education retirement plans, the university created a Retirement Benefit Investment Committee and partnered with a consultant to review current retirement plans and make recommendations regarding the potential to improve investment options and fees for faculty and staff, simplify the retirement plan selection process, and increase retirement plan vendor accountability.

The attached materials provide background information, the current status of retirement plans offered by the university, and preliminary recommendations by the consultant and Benefit Investment Committee.
Retirement Plans Benefit Investment Committee Update

October 10, 2019

Tab #: pg
Benefit Investment Committee (BIC) Information and Recommendations

• Current Retirement Plan Vendor Status
• Factors Leading to Recommending Changes to Current Status
• BIC Recommendations
  • Reduce number of vendors to minimum required
• Faculty/Staff Impact
• Current Vendor/Financial Advisor Impact
• Information/Data
  • Current Vendor Usage
  • Fees Negotiated by Cammack
Current Retirement Plan Vendor Status

Historically the Ohio Revised Code (ORC) dictated how retirement vendors were selected.

- **ARP:** Ohio Department of Higher Education (DHE) selected vendors.
- **403(b):** ORC provided option to contract with any vendor requested or to limit to vendors who are able to enroll 1% of full time employees. (We used the 1% rule).
- Due to ORC/DHE parameters, IUC institutions did not negotiate contracts, fees, investment options with vendors.

Current Ohio University Vendors:

- **ARP – 7 vendors**
  - AXA, Lincoln National, Nationwide, Mass Mutual, TIAA, VALIC, VOYA
- **403(b) – 9 vendors (15 financial planners/entities)**
  - Ameriprise, AXA, Aspire (Carpenter Associates, Edward Jones, Merrill Lynch, Morgan Stanley, Snider-Fuller-Stroh, Wells Fargo), Legend Group, Lincoln National, Met Life, TIAA, VALIC, Voya
- **457(b) Plans – 6 Vendors**
  - AXA, Met Life, Ohio Deferred Compensation, TIAA, VALIC, Voya
Factors Leading to Recommended Changes

Changes to Ohio Revised Code:
- 2012 ORC Change (per IUC effort) allowed universities to reduce the number of ARP vendors to a minimum of four via RFP.
- 2014 ORC Change (per IUC effort) allowed universities to reduce the number of 403(b) vendors to a minimum of four via RFP.
- 2016 IUC – AON Consulting review of retirement plan vendors
- 2016 Higher Education class action lawsuits related to fiduciary duties
  - Yale, Penn, Columbia, NYU, Duke, Johns Hopkins, Northwestern, Emory, Cornell, etc.
  - Some have failed. Some have settled.

Fiduciary Duty Clarification:
- FY2018 IUC – ICE Miller guidance on fiduciary responsibilities of IUC institutions mainly due to State of Ohio Law and plan documents.
- While exempt from ERISA a fiduciary duty resides with the Board of Trustees, mainly due to State law.
- Ice Miller recommendations included establishing retirement plan Benefit Investment Committee, Investment Policy Statement, and more closely monitoring vendor options, fees, and performance.

IUC – Cammack Relationship:
- FY2019 IUC contracted with Cammack consulting to conduct the selection process for retirement plan vendors, review existing relationships, negotiate fees and investment options, and provide ongoing plan management consulting for IUC members.
Cammack Review and Recommendations for Ohio University

- Reduce the number of vendors to minimum required by ORC
- Oversee and reduce investment options per vendor
  - Current vendors offer over 500 combined investment options
  - Consider limiting to 25-30 options per vendor, with as many consistencies across vendors as possible
- Move vendor options away from annuities and to mutual funds
- Establish a default investment option for each vendor
- Negotiate Fees
  - Current vendor fees range from 0.15% - 3.24%
  - Cammack has negotiated fees in range of 0.9% - 0.58% if the university is willing to reduce vendors
- Revise (or create) provider agreements with up-to-date contract provisions
  - Services, compensation/fees, reimbursement accounts, indemnification, termination, liquidity, etc.
- Establish an investment committee and investment policy statement
- Initiate quarterly and annual reviews of investment options for each vendor. Change options as needed.
- Review loan policies
- Eliminate 15 year catch-up provisions in plan(s)
- Implement a common remitter vendor
- Allow Registered Investment Advisors (RIA) to service all vendor accounts for an additional fee. This will be administered by vendors (Investment Advice, financial planning)
- Take advantage of TIAA revenue credit/sharing option
Initial BIC Recommendations

• Reduce the number of ARP, 403(b), and 457 Vendors to 4 vendors (plus Ohio Deferred Comp)
  • Recommended Vendors:
    • TIAA
    • Valic
    • Voya
    • Axa
    • Ohio Deferred Comp (457 only)
• Investment options: Include vendor proprietary options; limit number of options per vendor to appropriate level (ex. 25-30 options)
• Allow Registered Investment Advisors to service all plans for vendors who allow them. Currently TIAA is the only vendor that permits this. Limit RIA fees to no more than 1%
• Pursue common remitter opportunity as soon as feasible
  • May be delayed due to operational/OIT needs
• Add revenue credit/sharing to TIAA contract (and others if available)
• 403(b) Plan Amendments:
  • Hardship rules: Update plan to adhere to recent IRS changes to hardship withdrawals
  • Rollovers into plan: Update plan to allow all participants to roll funds into 403(b) plan, as allowed by ARP and 457 plans.
• Establish Investment Policy Statement
• Establish Benefits Investment Committee and Charter
BIC Recommendation Reasoning:

- **Improves fiduciary and regulatory compliance**: Investment Policy Statement, Benefits Investment Committee, Quarterly/Annual investment performance review and recommended changes, etc.

- **Improves (reduces) fees charged to employees by vendors**
  - The following is an illustration of total fees paid by a worker over their lifetime based on different fee percentages:

<table>
<thead>
<tr>
<th>Fee Percentage</th>
<th>Typical Worker: $30,502 median income*</th>
<th>High Earner: $75,000 median income*</th>
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<td>$104,033</td>
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<td>$340,147</td>
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<tr>
<td>1.30%</td>
<td>$166,420</td>
<td>$409,202</td>
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</table>

"Assumes worker starts saving at age 25 and retires at age 67 Source (“Fixing the Drain on Retirement Savings, How Retirement Fees Are Straining the Middle Class and What We Can Do about Them,” Jennifer Erickson and David Madland, Center for American Progress, April 11, 2014)

- **Improves and simplifies options for employees**: Much easier to explain/understand options, fees, and performance of four proposed vendors relative to the current mix of vendors for each plan type/options for each plan type

- **Recommended vendors already have significant participation, limiting disruption**: Combined: 93% of ARP participants, 75% of 403(b) participants, and 53.5% of 457(b) participants
Faculty/Staff Impact

Impact:
• Some active Faculty/Staff must change vendors to one of four selected vendors by effective date
• All active Faculty/Staff must make new investment elections by effective date
• Retired/Separated Faculty/Staff can keep existing accounts or move funds to four selected vendors

Pros for Faculty/Staff:
• Improved fees and investment options (see previous slide)
• More simplified/understandable options
• Increased vendor accountability with university monitoring vendor fees and performance
• Option to use Registered Investment Advisors (under TIAA) for those who prefer more hands-on and/or local assistance with investments

Cons for Faculty/Staff:
• Significant change
• Must select new investment options with recommended vendors by effective date
• May lose ability to work with current local/regional investment advisor
• Potential to have investments with two different vendors (old and new)
The following vendors will no longer service active faculty/staff:

- Ameriprise (403b)
- Aspire (403b - see below list of impacted financial advisors/entities)
- Legend Group (403b)
- Met Life (403b)
- Mass Mutual (ARP)
- Lincoln National (ARP and 403b)
- Nationwide (ARP)

The following regional financial advisors/entities will no longer provide direct services to faculty and staff (unless they become a Registered Investment Advisor (under TIAA)).

- Ameriprise: Jeff Chaddock; Sheryl Hill; Kevin Gegorski; Michael Smeltzer
- Carpenter and Associates: Mike Carpenter (via Aspire)
- Edward Jones: Channing McCallister; Sandor Vegh (via Aspire)
- The Legend Group: M. Shane Kays; Todd Stout
- Merril Lynch: Rohit Sharma (via Aspire)
- Met Life: Geoff Fedurek
- Morgan Stanley: Ryan Dunlop (via Aspire)
- Snider – Fuller -Stroh: Jim Fuller; Mark Snider; Dan Stroh (via Aspire)
- Wells Fargo: James Karageorge (via Aspire)
Benefit Investment Committee / Cammack

Goals and Plans:

- Initiate final negotiations/contracts with four recommended vendors (start Fall 2019)
- Finalize official Investment policy statement and charter (Complete)
- Finalize fiduciary training (Complete)
- Finalize investment lineups for each vendor (Fall 2019)
- Establish/schedule ongoing investment performance review process (Complete)
- Execute recommended 403(b) plan document amendments (Initial changes complete)
- Finalize conversion date for move to 4 vendors (Planning for 7/1/2020)
  - Create/implement employee communication plan
  - Create/implement employee education plan
## Vendor Participation Statistics:

<table>
<thead>
<tr>
<th>ARP Vendors</th>
<th># Participants*</th>
<th>% Participants</th>
<th>$ Millions</th>
</tr>
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<tbody>
<tr>
<td>AXA</td>
<td>101</td>
<td>4%</td>
<td>$7.2</td>
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<tr>
<td>Lincoln</td>
<td>19</td>
<td>0.75%</td>
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<tr>
<td>Mass Mutual</td>
<td>105</td>
<td>4%</td>
<td>$30.5</td>
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<tr>
<td>Nationwide</td>
<td>53</td>
<td>2%</td>
<td>$4.3</td>
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<tr>
<td>TIAA</td>
<td>1,174</td>
<td>45%</td>
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</tr>
<tr>
<td>VALIC</td>
<td>267</td>
<td>11%</td>
<td>$11</td>
</tr>
<tr>
<td>VOYA</td>
<td>847</td>
<td>33%</td>
<td>$106.2</td>
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</table>

<table>
<thead>
<tr>
<th>403B</th>
<th># Participants*</th>
<th>% Participants</th>
<th>$ Millions</th>
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</thead>
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<tr>
<td>Ameriprise</td>
<td>136</td>
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<td>ASPIRE</td>
<td>267</td>
<td>12.5%</td>
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<tr>
<td>AXA</td>
<td>85</td>
<td>4%</td>
<td>$4</td>
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<tr>
<td>Lincoln</td>
<td>45</td>
<td>2%</td>
<td>$3.5</td>
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<tr>
<td>Met Life</td>
<td>25</td>
<td>1.2%</td>
<td>$1.5</td>
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<tr>
<td>Legend Group</td>
<td>60</td>
<td>2.8%</td>
<td>$2.8</td>
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<tr>
<td>TIAA</td>
<td>413</td>
<td>19.5%</td>
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</tr>
<tr>
<td>VALIC</td>
<td>406</td>
<td>19%</td>
<td>$29</td>
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<tr>
<td>VOYA</td>
<td>690</td>
<td>32.5%</td>
<td>$62.3</td>
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Vendor Participation Statistics:

<table>
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<th>457 Plan</th>
<th># Participants*</th>
<th>% Participants</th>
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<tr>
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<td>17</td>
<td>2.5%</td>
<td>$1.0</td>
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<td>Ohio Dff Comp</td>
<td>306</td>
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<td>Legend Group</td>
<td>27</td>
<td>4%</td>
<td>$0.45</td>
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<tr>
<td>TIAA</td>
<td>104</td>
<td>14.5%</td>
<td>$9.5</td>
</tr>
<tr>
<td>VALIC</td>
<td>82</td>
<td>11.5%</td>
<td>$8.4</td>
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<tr>
<td>VOYA</td>
<td>184</td>
<td>25.5%</td>
<td>$8.0</td>
</tr>
</tbody>
</table>

Recommended Vendors Total Participation:

- **ARP:** TIAA, VALIC, Voya, AXA = 93% of participants
- **403(b):** TIAA, VALIC, Voya, AXA = 75% of participants
- **457:** TIAA, VALIC, Voya, AXA = 53.5% of participants
Amendment to the Graduate Student Senate Constitution

1. Whereas, the Graduate Student Senate is the senate that represents graduate and professional students at Ohio University; and

2. Whereas, Article X, Section B of the Graduate Student Senate Constitution currently requires that amendments to the Constitution be approved by the Board of Trustees; and

3. Whereas, in compliance with this provision, the Graduate Student Senate has in the past submitted amendments to its Constitution to the Board of Trustees for their approval; and

4. Whereas, the Graduate Student Senate has resolution 1920-04, attached hereto as Exhibit A, proposing to eliminate the requirement in its Constitution for Board of Trustees approval of amendments; and

5. Whereas, the Graduate Student Senate has requested Board review of the proposed amendment to Article X, Section B as indicated in the attached Exhibit B;

6. Resolved, that the Board does not object to the amendment attached as Exhibit B.
Exhibit A:

**Resolution 1920-04: Amendment to the Graduate Student Senate Constitution**

1. Whereas, Article X, Section B of the Graduate Student Senate Constitution currently requires that amendments to the Constitution be approved by the Board of Trustees; and

2. Whereas, in compliance with this provision, the Graduate Student Senate has in the past submitted amendments to its Constitution to the Board of Trustees for their approval; and

3. Whereas, the Graduate Student Senate has requested Board review of the proposed amendment to Article X, Section B as indicated in the attached Constitution; and

4. Resolved, that the resolution in the document below shall be presented to the Board of Trustees for approval at their next meeting on October 11, 2019.

Sponsors:

Samantha Stewart  
Vice President  
Michael Senteney  
Treasurer  
Dareen Tadros  
President
Amendment to the Graduate Student Senate Constitution

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2. Whereas, Article X, Section B of the Graduate Student Senate Constitution currently requires that amendments to the Constitution be approved by the Board of Trustees; and

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4. Whereas, the Graduate Student Senate has resolution 1920-04, attached hereto as Exhibit A, proposing to eliminate the requirement in its Constitution for Board of Trustees approval of amendments; and

5. Whereas, the Graduate Student Senate has requested Board review of the proposed amendment to Article X, Section B as indicated in the attached Exhibit B;

6. Resolved, that the Board does not object to the amendment attached as Exhibit B.
GSS Constitution
Approved by the OU Board of Trustees 6-2416
Ratified by the Graduate Student Senate on March 13, 2003
Revised by the Graduate Student Senate April 11, 2016

PREAMBLE
We, the graduate students of Ohio University of the Athens campus, hereby set forth to form a representative graduate student senate to participate in the formulation and application of both university and community policy, and with the goal of enhancing the quality of life and education of all graduate students, hereby establish the Ohio University Graduate Student Senate.

ARTICLE I: NAME SECT
TION A: NAME
The official name of the organization shall be the Ohio University Graduate Student Senate (GSS), hereafter referred to as GSS.

ARTICLE II: PURPOSE
SECTION A: GENERAL
1. Act as the official representative body of graduate students enrolled at Ohio University.
2. Exercise its right to have input on all decisions and actions that will affect the welfare of the graduate student body.
3. Inform the graduate student body of issues relevant to its welfare.
4. Receive student complaints, investigate student problems, concerns, work toward their resolution, and present the representative voice of the graduate student body’s perspective, opinion and recommend actions it feels are appropriate to the University, the community and other governing bodies.
5. Provide academic and administrative programs, opportunities, and community activities for the University, the community and for the graduate student body in particular.
6. Provide a forum in which the graduate student body may present, discuss, and set upon issues related to its role in the academic and non-academic aspects of the University and the community.
7. Work with the Ohio University Student Senate on common issues, concerns, and activities.

ARTICLE III: POWERS & DUTIE
S SECTION A: GENERAL DUTIES
1. Establish working relationships with Ohio University, the City of Athens, state and national communities.
2. Be responsible for gathering graduate student opinion and formulating policy.
3. Represent graduate students in matters pertaining directly to the individual graduate degree granting programs.
4. Conduct GSS elections in accordance and collaboration with the Student Senate.
5. Appoint graduate student representatives to University Committees to ensure graduate student input on all matters concerning the University.
6. Create Standing and Special Commissions and Committees and determine the structure and rules for said Commissions and Committees.
7. Establish Bylaws and Policies and Procedures consistent with the Constitution by which the GSS shall function.
9. Establish rules of conduct and standards for its Executive Officers, Senators, College Council Chairs, Commissions, Committees, and Supporting Staff.
10. Try all cases of disciplinary action for its members.

ARTICLE IV: MEMBERSHIP SECTION A: ELIGIBILITY
1. All full and parttime graduate students from the Ohio University, Athens campus currently enrolled in an official graduate degree granting program and in good academic standing shall be eligible to serve on the GSS.

SECTION B: OHIO UNIVERSITY STATEMENT OF TOLERANCE
1. The GSS supports and shall abide by Ohio University's Statement of Tolerance, which states: “Ohio University is committed to equal opportunity for all people and is pledged to take direct and affirmative action to achieve the goal of equal opportunity. We are bound morally, with and pursuant to this statement; Ohio University will not tolerate racism, sexism, homophobia, harassment, bigotry or other forms of violations of human rights. Such actions are inconsistent with and undermine the values, which we hold essential to our institutional mission. All faculty, staff, and students of Ohio University must take this opportunity to reaffirm our commitment to nondiscrimination, to equality of opportunity and treatment, and to a leadership role in achieving equality and diversity.”

ARTICLE V: EXECUTIVE BRANCH SECTION A: EXECUTIVES, GENERAL
1. The elected Executive Officers of the GSS shall be President, Vice President for Legislative Affairs, Vice President for Finance, and Vice President for Communications.
2. There shall be Executive Staff appointed to aid in the internal operation and administration of the GSS.

ARTICLE VI: LEGISLATIVE BRANCH
SECTION A: SENATORS DEPARTMENT REPRESENTATIVES, GENERAL
1. There shall be Department Representatives selected to represent the specific interests of graduate students within individual departments.
2. There shall be Senators elected to represent the general interests of graduate students, selected from each Responsibility Centered Management “center,” in which there is a Graduate Program.

ARTICLE VII: COMMITTEE BRANCH
SECTION A: COMMISSIONS & COMMITTEES, GENERAL
1. The GSS shall establish and dissolve various Commissions to represent the interests of specific constituencies within the graduate student population, and to address specific areas of concern to the graduate student population.
2. There shall be Commissioners appointed to represent the interests of specific constituencies within the graduate student population.
3. The GSS shall establish and dissolve various Committees to aid in internal operations and administration of the GSS.
ARTICLE VIII: ADVISORY
R SECTION A: GENERA
L
1. The GSS shall be advised by a full-time member of the Ohio University faculty, administration, or
staff in accordance with the guidelines established by the Ohio University Office of Student
Activities (OSA).

ARTICLE IX: MEETINGS OF THE SENATE
SECTION A: FREQUENCY OF MEETINGS
1. There shall be at least two general meetings scheduled each month, except January, May, June,
July, August, and December.

ARTICLE X: AMENDMENTS TO THE CONSTITUTION
SECTION A: REVIEW AND AMENDMENTS
1. The GSS shall examine and reaffirm this Constitution every five years, beginning in the 2005-
2006 academic year.
2. Amendments to this Constitution shall be initiated by the GSS or by petition of at least 100
graduate students on the Ohio University, Athens campus.
3. Proposed amendments shall be presented via resolution and posted for public review at least
four days prior to the meeting at which they are to be considered.
4. Proposed amendments shall be adopted by a concurrence of two thirds of the total voting membership of the GSS.

SECTION B: RATIFICATION
1. At the next scheduled meeting following adoption of amendments, this Constitution shall
be ratified by a concurrence of two-thirds of the total voting membership of the GSS.
2. Upon ratification, this Constitution shall be presented to the Ohio University Board of
Trustees for approval. Upon approval by the Board of Trustees, this Constitution shall be
effective.
Audit and Risk Management Committee Meeting
Interoffice Communication

Date: September 16, 2019

To: The President and Board of Trustees

From: Jeffrey Davis, Chief Audit Executive

Re: Audit and Risk Management Committee Meeting

Internal Audit will present an update on office activities at the October 10, 2019 Audit and Risk Management Committee meeting. The status of the FY19 audit plan, details related to the selection of the next external auditor, and the Ohio Ethics Hotline will be discussed. There will also be an update on the University’s enterprise risk management program and a presentation by the intercollegiate athletics compliance officer.

I will be pleased to answer any questions.
October 10, 2019

Audit and Risk Management Committee

Chief Audit Executive Report

Tab
FY20 Audit Plan Status Update
## Audit and Risk Management Committee

### FY20 Audit Plan Status:

<table>
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<tr>
<th>Audit</th>
<th>Auditor</th>
<th>Status</th>
<th>Report Date</th>
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<tr>
<td>Honors Tutorial College</td>
<td>Boyle, Tong, Ennis</td>
<td>Completed</td>
<td>9/9/2019</td>
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<tr>
<td>NCAA Agreed Upon Procedures</td>
<td>Bevan, Boyle</td>
<td>In Progress</td>
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<tr>
<td>IT General Controls</td>
<td>Tong</td>
<td>In Progress</td>
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<tr>
<td>University Airport</td>
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<tr>
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<td>Lancaster Regional Campus</td>
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<td>Finance and Information – IT</td>
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<td>Planned</td>
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<tr>
<td>Treasury Management</td>
<td>Ennis, Tong, Boyle</td>
<td>Planned</td>
<td></td>
</tr>
</tbody>
</table>
External Auditor Selection Process
Audit and Risk Management Committee

Auditor Selection Process:

• Plante Moran’s contract ends when the current audit is completed
• The next firm will receive a 5 year contract
• The Ohio Auditor of State considers OHIO a Tier 1 entity (complex audit)
• It is likely that we will have the choice of either an RFP (Request for Proposal) or an RFQ (Request for Quote)
• There are advantages and disadvantages to either approach
The RFP is a more lengthy process and the AOS is more involved.

An RFQ allows more flexibility but potentially requires more work by the University’s staff.

Using the RFP process, the AOS will award 95 of the 100 points. However, our 5 points will be important because the firms tend to be tightly grouped with the AOS scoring approach.

Using the RFQ approach, we get to identify the top two firms but the AOS will make the final decision.
Audit and Risk Management Committee

Auditor Selection Process:

• A new firm will not be permitted to sign a contract until the current audit process is completed and reports released to the public.
• The goal is to have the new audit firm selected prior to the end of February at the latest.
Ohio Ethics Hotline
Audit and Risk Management Committee

Ohio Ethics Hotline:

• Ethics Hotline implemented in February 2006
• University has a contract with EthicsPoint (Navex Global)
  – Ohio higher education clients include: Ohio State, Miami, Toledo and Cincinnati
• Allows for anonymous reporting of concerns
• Annual notification letter to campus
Audit and Risk Management Committee

Ohio Ethics Hotline:

• Deterrent to fraud
• Hotline also a way to clear up misconceptions, clarify policy, improve processes and procedures
• Based on the 2018 Global Fraud Survey – Over 40% of all known fraud was detected by a tip with most coming from employees
Audit and Risk Management Committee

Ohio University (OHIO) has selected EthicsPoint to provide a simple, anonymous way for employees to report suspected fraud, waste, or abuse of university assets or other compliance and regulatory issues. You may file a report by calling toll-free 1-866-294-9591.

make a report
To make a report to Ohio University, call toll-free 1-866-294-9591. The following categories of reports will be accepted:

Financial Matters
Accounting, fraud, theft, donor stewardship, or other financial issue

Regulatory/Research and Compliance
Concerns related to grants or research, athletics, and violations of local, state, federal or other regulations

Risk and Safety
Unsafe working conditions, vandalism, environmental issues, and other risk and safety issues

Medical
Medical issues related to university medical operations

Information Technology
Data privacy or integrity, inappropriate use of technology, software piracy or copyright infringements.
The following types of concerns must be reported directly to the appropriate office:

- **Human Resources**: All reports of employee misconduct, harassment, discrimination or other human resource issues
- **Institutional Equity**: Reports of discrimination, harassment, or concerns about disability accessibility
Audit and Risk Management Committee

Ohio Ethics Hotline:

- Academic Affairs: Inquiries should be directed to the relevant Director or College Dean
- Student Affairs: Student concerns are reported to specific offices or directly to the Dean of Students
Audit and Risk Management Committee

Ohio Ethics Hotline:

Summary of Reports:
• One report received in FY19 and two in FY18
• 52 reports received from February 2006 through October 16, 2019
Audit and Risk Management Committee

Conclusion

• Questions?
October 10, 2019

Audit and Risk Management Committee

ICA Compliance

Tab
Mission Statement

The mission of the Ohio University ICA Compliance Office is to function within the scope of the University to coordinate, monitor and verify compliance with all National Collegiate Athletic Association (NCAA), Mid-American Conference (MAC) and University rules, regulations and policies.
Audit and Risk Management Committee

Responsibility

• Promote Institutional Control Consistent with the NCAA, MAC and Ohio University

• Implement, Educate and Monitor Student-Athletes, Coaches, Boosters, Faculty and Staff regarding NCAA, Mid-American Conference and Ohio University Bylaws and Policies
Audit and Risk Management Committee

Compliance Staff

Erik Hildebrand
• Associate Athletic Director for Compliance & Student-Athlete Services
• 13 years of professional experience
• Began at OHIO University in 2011

Jon Berryhill
• Director of Compliance
• 2 years of professional experience
• Began at OHIO University in 2019

2 Graduate Assistants in the Master of Sport Administration
• Current Graduate Students
• Work 20 hours a week each
Audit and Risk Management Committee

Organizational Structure

- Assoc. AD for Compliance has a dual reporting line
- Reports Directly to Deputy Athletic Director/SWA, Amy Dean
- Outside Report to General Counsel Office, Barb Nalazek
- 16 Sports
- 400+ Student-Athletes, 300+ Student-Athletes on Athletic Aid
- 43 Head & Assistant Coaches
- 40+ Administrative Staff
Audit and Risk Management Committee

**Education**

- Monthly Coaches Meeting, All Sports
- Monthly Newsletter, Student-Athlete and Coaches
- Administer Coaches Annual Recruiting Exam
- Individual Coaches Meeting, As Needed, Particularly with New Legislation
- Semester Meetings with Student-Athletes
- Ohiobobcats.com, Compliance Portion
Violation Structure & Summary

- Infractions Program consists of three violation classifications:
  - Level I - Severe Breach of Conduct (19.1.1)
  - Level II – Significant Breach of Conduct (19.1.2)
  - Level III – Breach of Conduct (19.1.3)

- **Summary**
  - 3,000+ Level 3 Violations Across Division I Annually
  - OHIO had 6 Level 3 Violation in 2018
  - OHIO Averages 7 Level 3 violations a year since 2016
  - Bylaw 13, Recruiting and Bylaw 17, Playing & Practice Most Frequent
Audit and Risk Management Committee

**Hot Topics**

- **Transfer**
  - New Transfer Portal allows SA to Contact Any School
  - Immediate Eligibility in Sports other than Football, Basketball and Baseball

- **Amateurism**
  - Name, Image and Likeness Lawsuits

- **Sports Wagering**
  - Legalized Sports Wagering in States
Audit and Risk Management Committee

Conclusion

• Questions?
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Deborah J. Shaffer, Senior Vice President Finance & Administration, CFO and Treasurer
       Colleen Bendl, Chief Human Resources Officer
       Larry Wines, Director of ERM & Insurance

Re: ERM Update

At the October meeting we will provide a status report to the Board of Trustees on progress against our Enterprise Risk Management (ERM) assessment process.

As you will recall, Ohio University adopted a revised ERM process to identify, understand and manage our institutional risks and opportunities. Our goals are to
- enhance our focus on strategic risks,
- expand the ERM process to address lower level risks,
- distribute ownership of risk management to functional areas,
- integrate compliance into ERM process, and
- link risk related activities to Ohio University’s strategic pathways and priorities.

Our enhanced ERM process covers all major sectors of risk as well as sixteen departments of university operations.

We began the process in 2018;
- From October to December 2018 leadership worked with consultants to develop common definitions, training materials and tools,
- The Presidential University Risk Council (PURC) was established and convened its first meeting January 15, 2019,
- Subject matter experts (SMEs) were identified by PURC for sixteen operational areas in February 2019,
- All PURC members and SMEs completed the developed risk awareness education and training in March 2019,
- Risk interviews were conducted with PURC and SMEs in May & June 2019,
- Department risk registers were confirmed in July & August 2019,
• A consolidated risk listing was presented to PURC at the September 2019 meeting with training provided on rating risks (risk prioritization) with the goal of developing risk treatment strategies.

We look forward to presenting the PURC’s recommendation for risk treatment to the Board and receiving the Board’s thoughts and feedback.
Enterprise Risk Management (ERM) Update

October 11, 2019

Tab #: pg
Agenda

• Review ERM goals
• Work plan review and status update
• Next steps
Background

Ohio University has adopted a revised Enterprise Risk Management (ERM) process to help identify, understand and manage institutional risks and opportunities.

**Goals:**

- Enhance University/Board’s focus on strategic risks
- Expand the ERM process further into the University to address lower level risks
- Distribute ownership of risk management to functional areas
- Integrate compliance into ERM process
- *Link risk related activities to Ohio University strategic pathways and priorities – New!*
Risk Assessment Schedule for 2018-19

**Fall 2018** COMPLETE
- Develop common definitions, training materials/tools
- Convene PURC, provide quarterly progress reports

**Winter 2018** COMPLETE
- Risk awareness education & training of campus groups

**Spring 2019** COMPLETE
- Planning units use tools to identify and populate tools

**Summer 2019** ON SCHEDULE
- Assess and affirm risk mitigation priorities/strategies

**Deliverables:**
- Risk Assessment
- Heat Map
- Risk Mitigation Memo

**Answers the questions:**
- What are the top risks in my area?
- What internal and external factors can impact my risks?
- How are these risks being managed and who is responsible?
- What is the risk mitigation approach and timetable?
## Detailed Work Plan

### Last updated: 5/23/19

<table>
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<th>Ref.</th>
<th>Activity</th>
<th>Date Range</th>
<th>2018</th>
<th>2019</th>
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<td>1</td>
<td>Draft Risk Criteria for impact and likelihood</td>
<td>Date Range</td>
<td></td>
<td></td>
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<tr>
<td>2</td>
<td>Finalize Risk Criteria with ERM Executive Managers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Obtain approval of Risk Criteria from PURC via email</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>4</td>
<td>Draft outreach communications</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Draft ERM Training Materials for PURC</td>
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<tr>
<td>6</td>
<td>Develop Risk Assessment collection/tracking tool</td>
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<td></td>
</tr>
<tr>
<td>7</td>
<td>Review and approve - Colleen to schedule meeting</td>
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<tr>
<td>8</td>
<td>Convene PURC</td>
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<tr>
<td>9</td>
<td>Share information with President’s Council Meeting (12/17)</td>
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<tr>
<td>10</td>
<td>Re-orient PURC on updated ERM goals and desired outcomes</td>
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</tr>
<tr>
<td>11</td>
<td>Establish desired meeting schedule (Monthly or Quarterly)</td>
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<tr>
<td>12</td>
<td>Develop Agendas for 2019 PURC Meetings</td>
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<tr>
<td>13</td>
<td>Develop Risk Assessment Training Materials for SMEs</td>
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<tr>
<td>14</td>
<td>Identify Training Participants (Functional VPs to identify)</td>
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<tr>
<td>15</td>
<td>Determine Training Delivery method</td>
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<tr>
<td>16</td>
<td>Execute ERM Training Program</td>
<td></td>
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<tr>
<td>17</td>
<td>Schedule risk interview meetings</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>Conduct risk interview meetings</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>Departments complete risk registers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Risk registers collected</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>Analyze risk registers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Develop Heat Map</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Report on risks, opportunities and trends to PURC</td>
<td></td>
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<tr>
<td>24</td>
<td>Identify high priority risks</td>
<td></td>
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<tr>
<td>25</td>
<td>Evaluate risk treatment strategies</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>26</td>
<td>Develop risk treatment approaches</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>27</td>
<td>Assign risk / risk treatment owners</td>
<td></td>
<td></td>
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<tr>
<td>28</td>
<td>Develop Risk Mitigation Memo</td>
<td></td>
<td></td>
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<tr>
<td>29</td>
<td>Oversee / facilitate execution of risk treatment workplans</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Decision Point
- Deliverable
- Deliverable Complete
Action Items and Next Steps

• **Generate Consolidated Risk Listing (September 17)**
  - Confirmed department risk listings and a consolidated, university-wide risk register was developed and presented to the PURC for confirmation. A survey will be issued to rate in terms of impact and likelihood, identifying high priority risks for Ohio University. Responses due September 27th.

• **Commence Risk Treatment Plan Phase (October 7)**
  - For selected high priority risks, treatment plans will be developed.
  - Assign risk/risk treatment to owners.
  - Develop risk mitigation memo.
## Risk Rating

### Scale for Likelihood

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
<th>% of Time</th>
<th>Rate of Occurrence</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Certain or Almost Certain</td>
<td>HIGH - Almost certain to occur, expected in most circumstances</td>
<td>&gt;75%</td>
<td>Daily - Weekly</td>
</tr>
<tr>
<td>4 Likely</td>
<td>MEDIUM HIGH - Likely to occur or will probably occur</td>
<td>Up to 75%</td>
<td>Monthly</td>
</tr>
<tr>
<td>3 Possible</td>
<td>MEDIUM - Possible, this could occur</td>
<td>Up to 50%</td>
<td>Once or twice a year</td>
</tr>
<tr>
<td>2 Unlikely</td>
<td>MEDIUM LOW - Unlikely, not expected to occur</td>
<td>Up to 30%</td>
<td>Every 2-5 years</td>
</tr>
<tr>
<td>1 Rare or Remote</td>
<td>LOW - Rare, would occur only under exceptional circumstances</td>
<td>10% or lower</td>
<td>10 years or more</td>
</tr>
</tbody>
</table>
## Risk Rating

### Scale for Consequence

<table>
<thead>
<tr>
<th>Rating</th>
<th>Service disruption, affect upon funds or processes</th>
<th>Reputation</th>
<th>Failure to Meet Legal Obligations</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Total failure of service, extremely expensive $$ $$</td>
<td>National publicity &gt;3 days, resignations</td>
<td>Multiple civil &amp; criminal suits. Claim or fine above $5m</td>
<td>Fatality of 1+ employees or citizens</td>
</tr>
<tr>
<td>4</td>
<td>Serious disruption to service, high cost $$ $$</td>
<td>National public or press interest</td>
<td>Litigation, claim or fine of $500k-5m</td>
<td>Serious injury or disability of 1+ people</td>
</tr>
<tr>
<td>3</td>
<td>Disruption to service, will cost $$</td>
<td>Local public and press interest</td>
<td>Litigation, claim or fine of $100k-500k</td>
<td>Major injury to people</td>
</tr>
<tr>
<td>2</td>
<td>Some minor impact on service, minor $ impact</td>
<td>Contained within department but known by entity</td>
<td>Litigation, claim or fine of $10k-100k</td>
<td>Minor injuries to people</td>
</tr>
<tr>
<td>1</td>
<td>Annoyance, small or no $ impact</td>
<td>Contained within the department</td>
<td>Litigation, claim or fine of &lt;$10k</td>
<td>Minor injury to individual</td>
</tr>
</tbody>
</table>
## Risk Rating

### Scale for Opportunities

<table>
<thead>
<tr>
<th>Rating</th>
<th>Effect Upon Operations</th>
<th>Reputation</th>
<th>Ability to Achieve Goals / Objectives</th>
<th>Effect Upon People</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Very high $$$ impact, great improvements to services and processes</td>
<td>National public and press interest; very positive impact on reputation</td>
<td>Regarded as the &quot;model&quot; for this activity and ability to achieve goals</td>
<td>All or most stakeholders positively affected</td>
</tr>
<tr>
<td>4</td>
<td>Medium to High $$$ impact, services and processes improved</td>
<td>Statewide public or press interest, supports good reputation</td>
<td>Regarded as high achieving; most goals met</td>
<td>Many key stakeholders affected</td>
</tr>
<tr>
<td>3</td>
<td>Moderate $$ impact, some improvements</td>
<td>Local public and press interest; improves local reputation</td>
<td>Average performer for similar type entities</td>
<td>Would only affect some areas of operation</td>
</tr>
<tr>
<td>2</td>
<td>Minor $$ impact, minor improvements</td>
<td>Improvement of internal reputation or morale</td>
<td>Little or no impact upon organizational objectives</td>
<td>One or two departments affected</td>
</tr>
<tr>
<td>1</td>
<td>Small or no impact on $$ or services</td>
<td>Affects individual department only</td>
<td>No goals established or achieved</td>
<td>Some individual affected</td>
</tr>
</tbody>
</table>
Interoffice Communication

Date: September 23, 2019

To: The President and Board of Trustees

From: Chaden Djalali, Executive Vice President and Provost
Kerri Griffin, Director of Equity and Civil Rights Compliance and Title IX Coordinator

Re: Annual Security and Fire Safety Report (Clery Report)


This year’s Annual Security and Fire Safety Report was compiled by the Office of Equity and Civil Rights Compliance, in close coordination with the Ohio University Police Department, the Office of Community Standards and Student Responsibility, and each of OHIO’s regional and extension campuses.

Following are several important points that will aid in understanding the ASR crime data:

- The report includes data for the previous calendar year and two prior years – in this case, 2018, 2017 and 2016. Even though this is OHIO’s 2019 report, it does not contain 2019 statistics. Those will be reported in next year’s ASR.

- Crimes counted in this report were reported in 2018. In other words, they may have happened in a prior year, but if the first report of it was made in 2018, the crime was counted in the 2018 numbers.

- For the Athens campus, statistics reported in every column labeled “On-Campus Residential Facilities” are also included in the column labeled “On Campus.” While this table structure can lead to confusion, it is based on current recommendations in the federal Clery Act guidelines.
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Ohio University Fire Safety Plan

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Appendix: Definitions
Introduction

Ohio University is a state-assisted institution of higher education that has its main campus in Athens, Ohio and also operates regional campuses, extension campuses and centers in other parts of the state. Regional campus locations include Chillicothe, Lancaster, Ironton (Southern), St. Clairsville (Eastern), and Zanesville. Extension campus locations include Warrensville Heights (Cleveland Campus) and Dublin, Ohio. Centers are located in Cambridge, Pickerington, and Proctorville.

Annual Security Report (ASR)

Ohio University is committed to assisting all members of the university community in providing for their own safety and security. This Annual Security Report was compiled by Ohio University’s Clery Compliance Team and can be found on the University Equity and Civil Rights Compliance website at www.ohio.edu/equity-civil-rights. Printed copies of the Annual Security Report may also be requested at no charge by contacting the Office of Equity and Civil Rights Compliance at 740-593-9140 or equity@ohio.edu.

The Annual Security Report contains information regarding campus security and personal safety. It includes topics such as crime prevention, local law enforcement authority, crime-reporting policies, disciplinary procedures, and other matters of importance related to security. Important law-enforcement contacts, key campus offices, and local resources are provided for each University location.

The ASR also provides crime statistics for the Athens, regional and extension campuses and centers for the three most-recent calendar years. These data summarize crimes that occurred on campus; on non-campus property controlled by the university; and on public property within, or immediately adjacent to and accessible from, each campus. Crime data are compiled from reports submitted by Campus Security Authorities, case files of the Office of Community Standards and Student Responsibility and the Office of Equity and Civil Rights Compliance, and statistics reported by the Ohio University Police Department and solicited from local law enforcement.

Compilation of the ASR was coordinated through the Office of the Executive Vice President and Provost. Each campus has a designated staff person responsible for communicating with their local law-enforcement agencies to collect crime statistics for that campus and provide them for compilation in the ASR.

Staff from Ohio University’s Office of Community Standards & Student Responsibility (CSSR), the Office of Equity and Civil Rights Compliance, and the Ohio University Police Department also participate in reviewing cases for Clery reportability, verifying annual statistics, and updating the policy statements, resource contact information, and other ASR narrative. The University Communication and Marketing Office is instrumental in posting the ASR by the annual October 1 deadline and notifying the university community and the broader public of its availability.

**Campus Law-Enforcement Authority**

Ohio University’s main campus in Athens is served by the Ohio University Police Department, a full-service law enforcement agency operating 24 hours a day, 365 days a year and headquartered at 135 Scott Quadrangle. The department is staffed with 31 sworn police officers, with the authority to make arrests. These officers are commissioned by the State of Ohio to serve and protect the university community. The department also employs seven full-time civilian personnel.

Investigations of criminal conduct and violations of university policy are conducted in a timely and professional manner, with prosecution and referrals to the criminal justice system or other appropriate entities when applicable. The department is also responsible for issuing timely warnings of crimes that pose a threat to the campus community.

The department works with federal, state, and local agencies as needed and works with appropriate university departments to provide those who may be the victim of criminal actions or emergency situations with information on university options available to them. OUPD holds mutual aid agreements with the City of Athens Police Department and the Athens County Sheriff’s Office for the purpose of supporting each other’s police operations as needed.

At Ohio University’s regional campuses, extension campuses, and centers, local law-enforcement entities provide safety services and enforcement of criminal laws. Contact information for these entities is provided for each campus and center beginning on page 45 of this report.

Ohio University believes that eliminating or minimizing criminal opportunities helps prevent crime. Partnerships have been established with students and employees to identify potential areas of victimization and options for appropriate response. Police officers engage in visible patrol and present programs along with Housing and Residence Life staff and other groups on campus, to help community members reduce their chances of becoming a victim of crime.

**Reporting Crimes and Other Emergencies**

**Procedures and Facilities to Report Crimes or Other Emergencies**

Students, employees, visitors, and community members at any Ohio University campus are strongly encouraged to report incidents of criminal conduct, suspicious behavior, or emergencies to their local law enforcement office. (*Contact information for each campus and center may be found starting on page 45 of this report.*) Emergency telephones are located at the main entrance of all residence halls and in select locations throughout the Athens campus. The phones are recognizable by the blue lights located above each phone. Emergency phones
provide direct access to the Ohio University Police Department (740-593-1911) and can be used to access other emergency services.

Ohio University encourages anyone who is the victim of, witness to, or is made aware of any crime to promptly and accurately report the incident to their local law-enforcement office or another campus authority. With this information, the university can take steps to help ensure the future safety of the campus by determining whether there is a pattern of crime with regard to a particular location, method, or assailant, and alerting the campus community to potential danger.

Reported crime statistics in this document come from local law-enforcement offices that have jurisdiction over campus geography as outlined by the Clery Act and from sources across Ohio University. Campus Security Authorities (CSAs) are members of the Ohio University community with significant responsibility for student and campus activities who also have the authority and the duty to take action or respond to particular issues on behalf of the institution. Campus Security Authorities have access to the Ohio University CSA Crime Reporting Form here and by visiting www.ohio.edu/equity-civil-rights and click “CSA Reporting Form”.

Confidential Reporting

Crime reports made to Ohio University healthcare and mental-health professionals can generally be kept confidential, although de-identified reports may be included in the annual disclosure of crime statistics. Please note: Because police reports are public records as a matter of state law, law-enforcement offices cannot hold reports of crime in confidence. An individual may, however, report a crime to Ohio University police or local law enforcement for inclusion in this annual report without pursuing criminal charges.

Unfounded Criminal Reports

In rare cases, crime statistics that have been reported to Ohio University for inclusion in the annual security report may be removed from this report. These reports may only be listed as "unfounded" following a law enforcement investigation, and only sworn or commissioned law enforcement personnel may determine that a crime report is "unfounded." Crime reports will be properly determined to be false only if the evidence from the complete and thorough investigation establishes that the crime reported was not, in fact, completed or attempted in any manner. Ohio University discloses in this annual security report the number of "unfounded" crime reports and retains all records for these cases.

Monitoring and Reporting Criminal Activity at Off-Campus Locations Recognized by the Institution

In addition to joint education and enforcement efforts, the Ohio University Police Department works through the local city police department to monitor and record criminal activity at off-campus locations of student organizations officially recognized by the university, including student organizations with off-campus housing facilities.
Emergency Preparedness

Ohio University recognizes the need to prepare itself for numerous emergencies that may happen at any time. Ohio University has created an Emergency Operations Plan (EOP). The EOP provides general guidance, organizational structure, and specific direction on preparedness, response, and communication disciplines. It is critical that we prepare for the “unexpected” events to protect the Ohio University community and the surrounding local communities. The EOP outlines university procedures for managing major emergencies that may threaten the health and safety of the campus community. Ohio University Policy 44.100, Critical Incidents, provides the Ohio University policy authority for this plan. The EOP can be easily accessed by visiting www.ohio.edu/facilities/safety.

In addition to the EOP, the university has created a Critical Incident Response Team (CIRT). CIRT is made up of numerous university stakeholders whose mission is to provide leadership to the campus community before, during, and after an emergency or critical incident. The standing CIRT consists of the chief of police (co-chair), assistant vice president for safety and risk management (co-chair), dean of students, associate vice president for facilities, assistant vice president for auxiliary services, emergency programs coordinator, and executive director for communications and marketing.

Upon the declaration of a critical incident, the CIRT chair will appoint appropriate members to the augmented CIRT, based on the nature of the incident. In most cases, the augmented CIRT will include all members of the standing CIRT.

In addition to convening to respond to critical incidents, CIRT members regularly meet on a quarterly basis. The CIRT also prepares, and at least annually reviews and revises as needed, the "Ohio University Emergency Preparedness Response Plan," which is published on the Environmental Health and Safety home page at www.ohio.edu/facilities/safety.

The executive dean of Regional Higher Education works with each regional-campus dean to prepare response plans augmenting those described above. The Ohio University Police Department and emergency programs coordinator serve as consultative resources.

Emergency Notifications

The Ohio University Police Department (OUPD), Risk Management and Safety (RMS), and the Critical Incident Response Team (CIRT) work closely to monitor emergency situations on and around the University’s campuses and centers. If it is determined that there is an emergency or dangerous situation that poses an immediate threat to the health and safety of some or all members of the university community, OUPD will immediately collaborate with RMS and CIRT to determine the immediate course of action.

OUPD and/or RMS have the responsibility to respond to, summon the necessary resources for, mitigate, investigate, and document any situation that may cause an emergency or dangerous situation in the university community. In the event of a critical incident or an emergency situation, the university community will be notified by the appropriate emergency notification system or systems that have been established at Ohio University and described in detail in this
document. This notification may be issued by OUPD, CIRT, or authorities at a regional campus. The emergency notification may be issued to a selected group or location within the university community or to the entire university community as appropriate to the situation. Alerts will be issued immediately unless a notification, in the judgment of OUPD, other first responders, or campus officials, would compromise efforts to assist victims or to contain, respond to, or otherwise mitigate the emergency. The institution will provide adequate follow-up information to the community as needed. If an emergency notification is issued, that same information will not be repeated through the issuance of a timely warning.

OUPD, RMS, and CIRT also work with the City of Athens and Athens County Emergency Management Agency to determine if there is an emergency or critical incident within the City or County of Athens that may pose an immediate threat to the university community and respond immediately to those situations as well. Each Ohio University campus maintains a close, cooperative relationship with all local, state, and federal law enforcement agencies in order to make similar determinations. Students, faculty, and staff are encouraged to notify local law enforcement of any and all possible dangerous situations that may be occurring within the university community.

**Issuing Timely Warnings**

Crime Alerts/Timely Warnings shall be issued for crimes reported to the institution within its geography that are considered to represent a serious or continuing threat to students and employees. Reported crimes will be reviewed on a case by case basis in light of all the facts surrounding the incident, including factors such as: the nature of the crime, the continuing danger to the campus community, and the possible risk of compromising law enforcement efforts. The Chief of Police or his/her designee shall determine the content of the notification and is responsible for carrying out these warnings. These crime alerts/timely warnings shall be provided in a timely manner that gets the word out quickly and effectively communitywide, will withhold the names of victims as confidential, and will aid in the prevention of similar occurrences. The institution is not required to issue a timely warning with respect to crimes reported to a pastoral or professional counselor.

**Emergency Evacuation Procedures**

Information on critical incidents and how to respond to different emergencies can be found at [www.ohio.edu/emergency](http://www.ohio.edu/emergency). In addition, Ohio University has downloadable Campus Emergency Guides which contain in-depth, University-approved information about a wide variety of potential campus emergencies and the steps that should be taken if they occur. These guides can be found [here](http://www.ohio.edu/facilities/safety) and at [www.ohio.edu/facilities/safety](http://www.ohio.edu/facilities/safety). Campus and center-specific information is also accessible from each campus and center’s website.

Students living in the residence halls at Ohio University participate in evacuation procedures and drills, which are held at the beginning of each academic semester. These evacuation and emergency/fire drills are designed to inform students of emergency exits and emergency plans for the residence halls. The Safety Department, along with Housing and Residence Life, coordinate these drills. The University’s Critical Incident Response Team (CIRT) also participates
in a tabletop exercise at each of the quarterly meetings. These exercises are based on a wide range of emergency situations and critical incidents that may affect some or all of the university community. CIRT members use these exercises to determine the best course of action and responses for the various incidents. The Athens campus is also active in the Athens County Emergency Management Agency drills and exercises that are held every year.

**Community Emergency Notifications**

The following methods of communication are available and may be utilized in the event of a campus emergency. The usage of these tools will be dependent upon the particular set of circumstances present during the situation or incident. Not every communication tool will be utilized in every situation. University officials, in conjunction with the Critical Incident Response Team (CIRT), may initiate the communication tools listed.

**Outdoor Emergency Notification System (Siren/PA system):**

An outdoor emergency notification system (audible siren/PA) has been installed on the Athens Campus and may be used for notifying the campus community of weather-related situations or other emergency situations as deemed necessary by the university. The outdoor emergency notification system will sound from six locations (or each site may be activated independently). An outdoor emergency notification will start with the sounding of a pre-programmed tone and continue with a pre-recorded or live verbal announcement. An audible educational test of the outdoor emergency notification system occurs the second Friday following the start of each academic semester.

**OHIO Alert (Voice/Text Messaging/Email/Social Media):**

Ohio University's OHIO Alert system allows authorized users to send automated emergency notifications to members of all Ohio University campuses via voice message, e-mail, text messaging, and social media in situations as deemed necessary and appropriate. There will be times where this system will be used in conjunction with the campus outdoor emergency notification system and other times where it will be used with other communications or as the sole method of communication. This information can also be found on the OUPD Twitter account ([www.twitter.com/oupolice](http://www.twitter.com/oupolice)) and [Facebook page](https://www.facebook.com) for information. The university tests the emergency event notification system each semester.

**Email**

The university's email system may be used as a mode of communication. The email system allows a more thorough explanation of the situation to be delivered to everyone's email address at Ohio University. Instructions or protective steps may also be given through email.

**Websites**

The university has several opportunities to utilize the web to disseminate information in an emergency. The university's homepage ([www.ohio.edu](http://www.ohio.edu)) has an emergency information link
and may also be used as a standalone site serving as the sole release point for emergency information.

The emergency information page (www.ohio.edu/alert) is a site where information may be posted as the emergency situation evolves. This site is a link from the university homepage and is used to update the campus community. This site links to other university sites such as OUPD, Counseling and Psychological Services, and the Campus Emergency Response Guide which provides procedures to follow in an emergency, e.g., evacuation, tornado, etc. This same page links to critical incident information for each of the regional campuses.

**CATVision**

CATVision is a year-round, 24 hour-a-day service delivered to every student bedroom, apartment, and residence hall lounge on the Athens campus. The service is also provided to various academic and administrative locations on campus. Programming to all television monitors connected to CATVision can be interrupted to display an emergency message.

**Campus Emergency Call-in Number**

In the event of an emergency, Ohio University has established (740) 597-1800 as a university call-in number to play a short, pre-recorded announcement.

**Campus and Local Media**

During an emergency related to the university, campus and local media outlets will be notified by university Communications and Marketing and will be updated as the situation evolves.

**Safety of and Access to Campus Facilities**

Maintenance of indoor and outdoor campus facilities is conducted by the Facilities Management & Safety Office, which is comprised of Access Control; Architecture, Design and Construction; Custodial Services, Emergency Programs, Energy Management, Safety Department, Facilities Work Center; Grounds; Laboratory & Radiation Safety; Maintenance and Operations; Office of Sustainability; Recycling & Refuse; and Utilities services. Risk-mitigation activities include operation of outdoor lighting, maintenance of landscaping, hazardous-material handling and disposal, fire prevention, pest control, etc.

The Safety Department is responsible for coordinating all aspects of environmental management, occupational health and safety on campus, in an effort to prevent fatalities, injuries, illness, and disabilities on the job and in the total campus community. Safety concerns may be brought to the Safety Department’s attention at (740) 593-1666, www.ohio.edu/ehs. Following are safety and security details specific to each of Ohio University’s campuses and centers. (Contact information for each campus and center may be found starting on page 45 of this report):
Athens: Special emergency telephones that ring directly into the Ohio University Police Department are located at the main entrance of all residence halls and strategically throughout the campus. Outdoor emergency phones are marked with a blue light.

Chillicothe: The Chillicothe campus has security officers on duty to help enforce campus policies and assist in maintaining a safe and secure campus. Several blue-light emergency telephones, located throughout campus, connect directly to 9-1-1.

Cleveland: Located within Cleveland Clinic’s Warrensville Heights facility, Ohio University’s Cleveland Campus is served by Cleveland Clinic’s security force. They coordinate with local law-enforcement entities and other service providers to provide 24/7 services including Safety Escorts, Active Patrols, Alarm and Code Response, Community Policing, Crime Investigation, Emergency Alerts, Emergency Response, Non-emergency Support, Safety Awareness Education, Vehicle Assistance, and Victim Advocacy.

Security camera systems are installed at key points to monitor internal and external locations, including buildings and parking facilities. Blue Light and yellow emergency intercoms strategically placed at locations like sidewalks and parking areas are connected to 9-1-1.

Dublin: A 24/7 security presence actively monitors all campus facilities. Through active foot patrols and building presence, uniformed security personnel provide first response and prompt notification of reported campus incidents. Site officers are available to provide safety escorts and maintain a security-services front desk in the Medical Education Building 1 (MEB1) and the Dublin Integrated Education Center (DIEC). At all times a security guard can be reached at (614) 563-6726.

Eastern: The campus’s Safety Committee is responsible for all safety and security issues on University property and works cooperatively with the Ohio State Highway Patrol to provide a safe and secure campus. Services provided include building/grounds/parking lot control; event security; escorts to vehicles, buildings, or classes; a Lost and Found department; and First Aid/CPR. The Ohio State Highway Patrol has the responsibility to investigate all crimes that occur on the campus.

Lancaster: North and South lots are equipped with blue-light emergency telephones and cameras. The blue-light phones connect directly to the Lancaster Police Department.

Pickerington: The parking lot is equipped with a blue-light emergency telephone (near the sidewalk between buildings) that connects directly to the Fairfield County Sheriff’s Department.
**Proctorville:** On-site security coverage is provided by the Ohio State Highway Patrol and the Lawrence County Sheriff's Office with support from the Ohio University Police Department (OUPD).

**Southern:** Security is provided on campus through a contract with the Ironton Police Department for officer foot patrol on campus during both select and random times of the day. On-site security coverage is also provided jurisdictionally by the Ohio State Highway Patrol and the Lawrence County Sheriff's Office with support from the Ohio University Police Department (OUPD).

**Zanesville:** The Zanesville Campus Public Safety Department, located in the Campus Center T472, provides safety and security services including vehicle and foot patrols of campus property and buildings; enforcement of the Student Code of Conduct and referrals of violations to the Associate Dean; a Safety Escort Service; vehicle assistance for vehicles parked on campus property; safety and crime-prevention programs through various formats such as lectures, training sessions, and brochures; event security; and parking enforcement.

**Access Control**

Access to Ohio University facilities is limited to those who have authorization through their status as students, faculty, staff or visitors in connection with special events or invitation. Academic and administrative facilities at all Ohio University campuses are secured by building, facility occupants, or maintenance personnel at the close of the day’s activities and opened in the mornings in the same manner.

The University Access Control department is responsible for maintaining all locks, locking mechanisms, padlocks, keys, cores, remote offline keypads, and online key access systems on University premises. For mechanical locks and keys, Key Contacts are individuals designated by each department or building to act as a liaison between the Access Control office and are the only individuals authorized to request keys or core changes via the online Access Transaction Form. In partnership with OHIO’s Office of Information Technology, Access Control is also responsible for maintaining access via online electronic locks, which restrict after-hours access to University academic and administrative buildings to authorized individuals.

**Residence Hall Access**

Residence halls are for the use and enjoyment of the residents of the building. Exterior doors and interior hallway doors are to be locked at all times and are accessible via ID card. Access to the individual rooms is limited to the residents and authorized university employees who must follow procedures established to protect the safety of the residents.

Residence-hall access is controlled by electronic locks. Students are granted access to the online electronic locks only for the residence hall in which they are assigned. University staff members, whose job duties require them to access the residence halls regularly, must contact the Access Control office at (740) 593-1758 or complete the online Access Transaction.
Form in order to be granted authorization to access the residence halls. Electronic access is activated by swiping a University ID card (student or faculty/staff). Residence halls have two levels of card swipe access: Level 1 provides access to the ground-floor lobby, while Level 2 provides access to residential living areas. Card-Swipe mechanisms are ADA-accessible.

**Campus Security Programs for Students and Employees**

Ohio University sponsors or participates in various programs designed to inform students, staff and visitors about safety and security issues throughout the year. While these efforts attempt to be comprehensive in providing a safe and secure community, it is important that community members be aware of their own safety and that of others in the community. To that end, the Ohio University Police Department also provides the following programs to the greater university community:

**ALiCE- A Comprehensive Response to Extreme Workplace Violence**

While Ohio University makes every effort to notify the campus community of any conceivable or active threat, there still exists the potential for a dangerous situation to evolve too rapidly to wait for notification from the Ohio University Police Department or other campus authorities. Incidents involving an armed intruder are dynamic events and most people are not prepared to respond if they find themselves in that type of situation. ALiCE promotes everyone taking a more active role in their safety when facing an armed or dangerous intruder. Analyses of tragic active-shooter situations have shown that a strict adherence to the shelter-in-place mindset can result in failure. While sheltering in place may be an appropriate strategy in a given situation, the Ohio University Police Department recommends that campus and community members be familiar with other potential strategies taught in the ALiCE program: Alert, Lockdown, Inform, Counter, and Escape.

**Alert**

Get the word out. As soon as you can do so safely, notify OUPD (740) 593-1911, your local law enforcement office, or emergency services by calling 911. If possible, tell others around you.

**Lockdown**

Locking down is still a good starting point and OUPD encourages campus members to have strategies in place to protect themselves from a nearby threat. Simple things like piling chairs against the door or tying the door handle closed may be enough of a lockdown that an active shooter moves on.

**Inform**

Communication and the continual flow of information keep the shooter or active threat off balance. If you’re able to do so safely, keep in communication with those around you and with emergency services. Remain aware of what is happening around you and work together. These situations evolve rapidly, and together we can increase everyone’s chances of survival.
Counter
When confronted by an active threat and lockdown has not worked, apply skills to distract, confuse, or gain control of the situation. An active shooter is often alone, untrained, and easily overwhelmed. A small group of unarmed individuals face better odds of survival working together to take control by “swarming” an active shooter rather than remaining passive, which often only emboldens the attacker.

Escape
If possible, leaving an active threat situation is likely your best strategy for survival. If a building you are in catches fire and you have a safe path to escape, the smart thing to do is to leave. That same principle applies for an active shooter situation. Leaving the area reduces the number of potential targets and reduces the number of bystanders and chaos once law enforcement arrives. Plan ahead and think outside the box; for example, escaping out of a second or third story window can be eased by connecting belts or backpack straps.

The Ohio University Police Department offers training seminars on a regular and by-request basis. To schedule an ALiCE session, contact Lieutenant Eric E. Hoskinson at (740) 566-7928 or hoskinso@ohio.edu. In a short YouTube video, members of the Ohio University Police Department summarize the strategies of ALiCE.

What Does It Mean to “Shelter in Place”?
If an incident occurs and the building or areas around you become unstable, or if the air outdoors becomes dangerous due to toxic or irritating substances, it may be safer to stay indoors because leaving the area may expose you to that danger. Thus, to “shelter in place” means to make a shelter of the building that you are in, and with a few adjustments this location can be made even safer and more comfortable until it is safe to go outside.

How You Will Know to Shelter in Place
A shelter-in-place notification will come from the Ohio University Police Department, Risk Management and Safety, Housing and Residence Life Staff, or authorities at your regional campus. Alerts by either text messaging or outdoor notification messages will be the primary means of disseminating the notification; however, other means of communication may also be employed.

Basic Shelter-in-Place Procedures
If an incident occurs and the building you are in is not damaged, stay inside in an interior room until you are told it is safe to come out. Follow these steps unless instructed otherwise by emergency personnel:

1. If you are inside, stay where you are. Collect any emergency shelter-in-place supplies and a telephone to be used in case of an emergency. If you are outdoors, proceed into the closest university building quickly or follow instructions from emergency personnel on the scene.
2. Locate a room to shelter inside. It should be:
   a. An interior room,
b. Above ground level, and
c. Without windows or with the least number of windows.
d. If there is a large group of people inside a building, several rooms may be necessary.

3. Shut and lock all windows (tighter seal) and close exterior doors.
4. Turn off air conditioners, heaters, and fans.
5. Close vents to ventilation systems as you are able. (University employees will turn off ventilation systems as quickly as possible).
6. Make a list of people and ask someone to call your local law enforcement office or 911 so they will know where you are sheltering.
7. Turn on a radio or TV and listen for further instructions.
8. Make yourself comfortable.

If your building is damaged, take your personal belongings (purse, wallet, OU ID, etc.) and follow the evacuation procedures for your building (close your door, proceed to the nearest exit, and use the stairs instead of the elevators). Once you have evacuated, seek shelter at the nearest university building quickly. If first responders are on scene, follow their directions.

**RAD**

Rape Aggression Defense is a 15-hour self-defense program for women that focuses on mental and physical preparation with a strong emphasis on physical defensive techniques. This program encourages students and employees to share responsibility for their own security and the security of others. This program is offered to campus and community groups by request.

**Personal Safety and Stalking Technology**

This program encourages individuals to protect their personal information with an emphasis on prevention of stalking and on-line harassment. This program is offered upon request.

**Community Safety Talks**

Officers meet with faculty, staff, and students about campus safety procedures and various crime prevention strategies on a regular basis. These programs are often held in the residential halls or classes and are scheduled by request.

**Policies Regarding Illegal Drugs and Alcoholic Beverages on Campus**

Ohio University investigates and enforces drug and alcohol violations occurring on the main campus in cooperation with local, state, and federal law enforcement agencies. Violations of drug and alcohol laws may result in criminal prosecution. Violations of drug and alcohol laws will be referred to the Office of Community Standards and Student Responsibility. Sanctions under the Student Code of Conduct range from short-term probation to expulsion. Ohio University strictly enforces drug and alcohol laws.
Health Promotion, located at Baker Student Center in Athens, is responsible for substance abuse education and prevention for students. Ohio University also has an alcohol and drug abuse awareness program for employees, which includes an Employee Assistance Program coordinated by the Human Resources Department. The Ohio University Police Department works cooperatively with local law enforcement agencies and organizations such as Mothers Against Drunk Drivers (MADD) to prevent drug and alcohol violations around the Athens community.

Educational Programs Regarding Sexual Misconduct, Relationship Violence, and Stalking

Ohio University provides comprehensive, intentional, and integrated programming initiatives, strategies, and campaigns intended to end dating violence, domestic violence, sexual assault, and stalking. All efforts are culturally relevant, inclusive of diverse communities and identities, sustainable, responsive to community needs, and informed by research or assessed for value, effectiveness, or outcome. These programs consider environmental risk and protective factors as they occur on the individual, relationship, institutional, community, and societal levels. Such programs will include a statement that the university prohibits dating violence, domestic violence, sexual assault, and stalking; definitions of each of those behaviors, as well as a definition of consent; a description of safe and positive options for bystander intervention; information on risk reduction; information regarding the importance of preserving evidence that may assist in proving that an offense occurred; how and to whom to report an offense; options about the involvement of law enforcement; the rights of victims and the institution’s responsibilities; how the institution will protect the confidentiality of victims; and information regarding the university’s disciplinary procedures. A list of prevention and awareness programs, including those directed at new students and new employees, is available to the campus community.

For more information on ongoing prevention and awareness campaigns for students and employees, please contact Mathew Hall, Assistant Director of Health Promotion for Sexual Assault/Misconduct Prevention at hallm2@ohio.edu or (740)-597-7971. On the next page is a matrix of current programming initiatives, strategies, and campaigns. In addition to the programming listed in the matrix, University Equity and Civil Rights Compliance (ECRC) provides training on sexual misconduct, relationship violence, and stalking to all new employees in new employee orientation, and provides training on sexual misconduct, relationship violence, and stalking to various campus units throughout the year and on request. An online training module was issued to all faculty and staff university-wide in 2018–19.
## Primary & Secondary Approaches for Addressing Sexual Misconduct/Violence

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<td>• Fraternity and Sorority Community training on Rape Culture hosted by Phi Delta Theta</td>
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<td>• Social Work Courses</td>
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<td>• Healthy Masculinity Classroom Presentations</td>
<td>• Fraternity and Sorority Community training on Rape Culture hosted by Phi Delta Theta</td>
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<td>• Blood Stripe Film Showing and discussion</td>
<td>• Undressing Disability with Emily Yates Beverly Gooden, domestic violence awareness week speaker</td>
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<td>• Sara Safari, Women's History Month Keynote</td>
<td>• Self Defense Workshop put on by OUPD</td>
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<td>o A Mile Together (to end PBPV)</td>
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<td>o POWER/GAMMA &amp; Better Bystander visuals in 3rd floor BUC Atrium</td>
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<td>Open discussion with HRL and Residential students on sexual assault (WC)</td>
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<td>One page flyer with resources and information related to sexual assault to residence halls (WC)</td>
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**Key:**
- BI: Bystander Intervention
- BSO: Bobcat Student Orientation
- DOSA: Division of Student Affairs
- DOS: Dean of Students
- HRL: Housing and Residence Life
- OUPD: Ohio University Police Department
- PBPV: Power-Based Personal Violence
- ROTC: Reserve Officer’s Training Corp
- SA: Sexual Assault
- SMP: Sexual Misconduct Policy
- WC: Ohio University Women’s Center
Registered Sex Offenders

Information on registered sex offenders near your campus can be obtained by contacting your local Sheriff’s Office or by visiting the Ohio Attorney General’s website. Contact information for the Sheriff's Office closest to your campus can be found beginning on page 45 of this report.

Ohio Legal Definitions Relative to the Clery Act and the Violence Against Women Act (VAWA)

Any criminal investigation conducted by the Ohio University Police Department or other law enforcement agency with responsibility for investigating an alleged offense of sexual assault, dating violence, domestic violence, and stalking laws will operate in accordance with criminal elements as defined by the Ohio Revised Code. The Ohio Revised Code (ORC) does not explicitly define “consent” or “sexual assault;” however, Chapter 2907 of the ORC defines “sex offenses” in Ohio criminal law. Ohio law does not define “dating violence,” but Chapter 2901 of the ORC outlines 36 “offenses of violence” in Ohio criminal law. Chapter 2919.25 of the ORC outlines the elements of a domestic violence offense as follows:

(A) No person shall knowingly cause or attempt to cause physical harm to a family or household member.

(B) No person shall recklessly cause serious physical harm to a family or household member.

(C) No person, by threat of force, shall knowingly cause a family or household member to believe that the offender will cause imminent physical harm to the family or household member.

Ohio Revised Code 2903.211 outlines the elements of “menacing by stalking” as follows:

(A) (1) No person by engaging in a pattern of conduct shall knowingly cause another person to believe that the offender will cause physical harm to the other person or a family or household member of the other person or cause mental distress to the other person or a family or household member of the other person. In addition to any other basis for the other person’s belief that the offender will cause physical harm to the other person or the other person’s family or household member or mental distress to the other person or the other person’s family or household member, the other person’s belief or mental distress may be based on words or conduct of the offender that are directed at or identify a corporation, association, or other organization that employs the other person or to which the other person belongs.

(2) No person, through the use of any form of written communication or any electronic method of remotely transferring information, including, but not limited to, any computer, computer network, computer program, r-computer system, or telecommunication device shall post a message or use any intentionally written or verbal graphic gesture with purpose to do either of the following:

(a) Violate division (A)(1) of this section:
(b) Urge or incite another to commit a violation of division (A)(1) of this section.

(3) No person, with a sexual motivation, shall violate division (A)(1) or (2) of this section.

Safety-Related Policies

Disciplinary Complaints

Disciplinary complaints can be filed with the Office for Community Standards and Student Responsibility (CSSR) online (www.ohio.edu/communitystandards) or in person in 349 Baker University Center. Students charged with violations of the Student Code of Conduct will have an initial meeting with a staff member to discuss the process, charges, rights and options, and the incident. Students can choose to waive their right to a hearing, accept responsibility for the charges, and have their matter decided by the staff member with whom they are meeting. Students who deny one or more of their charges will be scheduled for a hearing. All students have the ability to appeal the decision in their matter.

The University uses a separate process to address allegations that a student engaged in sexual misconduct, stalking, or relationship violence. Addressed jointly by CSSR and Equity and Civil Rights Compliance (ECRC), that process is detailed below. An in-depth explanation of all student disciplinary processes can be found in the Student Code of Conduct, which is available on the CSSR website (www.ohio.edu/communitystandards).

University Policy 12.020: Student Records

The final results of a disciplinary proceeding conducted by the university may be disclosed in the event a student is an alleged perpetrator of a crime of violence or a non-forcible sex offense and, with respect to the allegation made against the student, the student is found to have violated the Student Code of Conduct. For purposes of this provision and the following provision, "final results" means a determination made pursuant to the procedures contained in the Student Code of Conduct and includes only the name of the student, the violation committed, and any sanction imposed by the university against the student.

The final results of a disciplinary proceeding shall be disclosed to the victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense, regardless of whether the alleged perpetrator is found to have violated the Student Code of Conduct.

University Policy 03.004: Sexual Misconduct, Relationship Violence, and Stalking

A. Policy

Ohio University prohibits sexual misconduct, relationship violence, and stalking in any of its employment situations or educational programs and activities.
This policy has been developed to provide a fair process for determining if a violation of this policy occurred, to remediate the effects of conduct that violates this policy, and to provide information to prevent sexual misconduct, relationship violence, and stalking.

B. Basis for policy
For purposes of this policy, "sexual misconduct, relationship violence, and stalking" includes sexual harassment and sexual assault, domestic violence and dating violence, and stalking. These behaviors are prohibited as unlawful discriminatory conduct under Title VII of the Civil Rights Act of 1964 (as amended), Title IX of the Education Amendments of 1972, section 4112.02 of the Revised Code, the Violence Against Women Reauthorization Act of 2013 ("VAWA"), and the Campus Sexual Assault Elimination Act ("Campus SaVE Act").

C. Policy application
The rights, responsibilities, and expectations for conduct contained within this policy apply to all aspects of Ohio University’s operations, locations, and programs, including regional campuses and online programs. This policy applies to all students, employees, volunteers, and agents of Ohio University. This policy applies to visitors or guests on campus who make an allegation of sexual misconduct against Ohio University students or employees. Sexual misconduct, relationship violence, and stalking can occur between any persons associated with the university, e.g., an employee and a supervisor; coworkers; faculty members; a faculty, staff member, or student and a customer, vendor, or contractor; students; or a student and a faculty member; etc.

All requirements of this policy are applicable regardless of sexual orientation, gender identity, or gender expression. People who believe they have been harmed by conduct prohibited by this policy may file a complaint or report with the office of equity and civil rights compliance ("ECRC"). Third parties may file a complaint or report on behalf of persons whom they believe have been adversely affected by conduct prohibited by this policy.

Sexual misconduct, relationship violence, and stalking committed against or by an Ohio University student, employee, or agent is prohibited through this policy. Depending on the facts and the individuals involved, it could also have implications under the Ohio University employment policies (e.g., under policy 41.135) or the "Student Code of Conduct." If this policy directly contradicts any other policy or procedures related to protected status discrimination, harassment, or retaliation, this policy takes precedence. An initial choice to use any particular policy does not preclude a later or simultaneous decision to use one or more of the others, or to use the criminal justice system.

Students, faculty and staff members may also be victims of sexual misconduct, relationship violence, and stalking by individuals not associated with Ohio University. In such situations, while the university may not conduct an investigation, all resources described in part (H) are available to those victims.

D. Definitions
The following definitions are used in this policy:
1. **Complainant**: The person who initiates a complaint or report regarding conduct that falls under the sexual-misconduct policy.

2. **Respondent**: The person who is alleged to have engaged in behavior in violation of this policy.

3. **Consent**: The state of Ohio does not provide a definition of “consent” in state statutes relating to sexual crimes. Ohio University's definition of consent is as follows:

   Consent must be informed, knowing and voluntary. Consent must be clear and unambiguous for each participant throughout any sexual encounter. Consent to some sexual acts does not imply consent to others, nor does past consent to a given act imply ongoing or future consent. Consent can be revoked at any time. For all of these reasons, sexual partners must evaluate consent in an ongoing fashion and should communicate clearly with each other throughout any sexual encounter.

   Consent cannot be obtained from someone who is asleep or otherwise mentally or physically incapacitated, whether due to alcohol, drugs, or some other condition. Consent cannot be obtained by threat, coercion, or force. Agreement given under such conditions does not constitute consent. In order to give effective consent, one must be of legal age.

4. **Sexual harassment**: Sexual advances, requests for sexual favors, and other physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint. Sexual harassment occurs under either of two circumstances: "sexual harassment by quid pro quo" and "sexual harassment by hostile environment," as discussed in parts (E)(1) and (E)(2), of this policy.

5. **Sexual assault**: Any type of sexual contact or behavior that meets the definition of "non-consensual sexual intercourse" or of "non-consensual sexual contact," as discussed in parts (E)(3) and (E)(4) of Policy 03.004.

E. **Offenses**

The following types of conduct are violations of this policy:

1. **Sexual harassment by quid pro quo**: Physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint, where:

   a. Submission to such conduct is made either explicitly or implicitly a term or condition of a person's employment or academic status; or

   b. Submission to or rejection of such conduct by a person is used as the basis for employment or academic decisions affecting such person.
2. **Sexual harassment by hostile environment:** Physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint, where:

   a. Such conduct has the purpose or effect of unreasonably interfering with a person's work or academic performance or creating an intimidating, hostile, or offensive environment for working, learning, or living on campus.
   
   b. The determination of whether an environment is "hostile" is often contextual and must be based on the circumstances. These circumstances could include:
      1. The frequency of the conduct;
      2. The nature and severity of the conduct;
      3. Relationship between the complainant and the respondent;
      4. Location and context in which the alleged conduct occurs;
      5. Whether the conduct was physically threatening;
      6. Whether the conduct was humiliating; or
      7. Whether the conduct arose in the context of other discriminatory conduct.

3. **Non-consensual sexual contact** is:
   
   a. Intentional contact with the breasts, buttock, groin, or genitals;
   
   b. Touching another with any of these body parts, or making another touch you or themselves with or on any of these body parts;
   
   c. Any intentional bodily contact in a sexual manner;
   
   d. By a person upon a person;
   
   e. Without consent.

4. **Non-consensual sexual intercourse** is:
   
   a. Vaginal or anal penetration by any body part or foreign object;
   
   b. Oral copulation (mouth to genital contact or genital to mouth contact);
   
   c. However slight;
   
   d. By a person upon a person;
   
   e. Without consent.

5. **Sexual exploitation** occurs when a person, knowingly or recklessly, takes non-consensual or abusive sexual advantage of another for his or her own advantage or benefit, or to benefit or advantage anyone other than the one being exploited, and that behavior does not otherwise constitute one of the other sexual misconduct offenses. Examples of sexual exploitation include:
   
   a. Prostituting another person;
   
   b. Non-consensual video- or audio-recording or photographing of sexual activity;
   
   c. Going beyond the boundaries of consent (such as permitting others to observe you having consensual sex with someone who is not aware of the observation);
   
   d. Voyeurism;
e. Public indecency (such as exposing your genitals to others without consent);

f. Knowingly exposing another person to a sexually transmitted infection ("STI") or Human Immunodeficiency Virus ("HIV") without prior knowledge and consent of the person to be exposed to STI or HIV; or

g. Contact-free coercion (e.g., by threat of violence) causing a person to completely or partially disrobe.

6. Domestic violence is defined as physical violence committed by a current or former spouse, or intimate partner of the complainant; by a person with whom the complainant shares a child; by a person cohabiting with the complainant as a spouse or intimate partner; or by a family or household member (i.e., parent, child, other persons related by blood, marriage, or prior marriage); see section 2919.25 of the Revised Code).

Harmful behavior that is not physical in nature will be evaluated through the "severe and pervasive" lens described in part (E)(2) of this policy, "Sexual Harassment by Hostile Environment."

7. Dating violence is defined as physical violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the complainant; and where the existence of such a relationship shall be determined based on the complainant's statement, and with consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating violence does not include acts that meet the definition of "domestic violence."

Harmful behavior that is not physical in nature will be evaluated through the "severe and pervasive" lens described in part (E)(2) of this policy, "Sexual Harassment by Hostile Environment."

8. Stalking

a. Stalking is engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for his or her safety or the safety of others; or that would cause a reasonable person to suffer substantial emotional distress. A "reasonable person" is a person under similar circumstances or similarly situated to the victim. "Substantial emotional distress" is significant mental suffering or anguish that may, but does not necessarily require, medical or other professional treatment or counseling.

b. Stalking requires two or more acts, such as the following:

   i. Acts in which the stalker directly, indirectly, or through third parties;
   ii. By any action, method, device, or means;
   iii. Follows, monitors, observes, surveils, threatens, or communicates to or about a person; or
   iv. Interferes with a person's property.
c. The following are examples of behaviors that could constitute stalking:
   i. Sending unwanted emails, texts, letters, or gifts;
   ii. Asking someone or someone's acquaintances where they are or where they are going;
   iii. Repeatedly calling someone on the phone;
   iv. Using the internet to threaten someone;
   v. Appearing at someone's class or workplace without a legitimate reason.

9. **Retaliatory harassment** is an adverse action or threat of an adverse action taken in response to a person who makes a protected disclosure under this policy. Protected disclosures include:

   a. Reporting suspected sexual misconduct, relationship violence, or stalking to a supervisor or appropriate university official;
   b. Filing a complaint or lawsuit under federal or state law or university policy that prohibits sexual misconduct, relationship violence, or stalking; or
   c. Participating in an investigation or proceeding under this policy.

10. **Consensual relationships**: Consensual romantic or sexual relationships in which one party retains a direct supervisory or evaluative role over the other party are unethical, create a risk for real or perceived coercion, and are expressly a violation of this policy. Furthermore, the possibility of a future amorous relationship may distort the present instructional or advising relationship.

    Therefore, persons with direct supervisory, evaluative, grading, or academic advising responsibilities who are involved in such relationships must bring those relationships to the attention of their supervisor. This will likely result in the necessity to remove the employee from the supervisory, evaluative, grading, or academic advising responsibilities.

    Ohio University does not intrude upon private choices regarding personal relationships when these relationships do not violate the policies of the university, cause harm to the safety and wellbeing of members of campus community, or increase the risk of harm to the safety and wellbeing of members of campus community.

F. Reporting

1. **Duty to report**

   Immediately upon learning of potential campus sexual misconduct, any employee with a duty to report violations of this policy who receives a complaint of sexual misconduct or who observes or learns of conduct that is reasonably believed to be in violation of this policy, is required to report the alleged conduct to University Equity and Civil Rights Compliance (ECRC).
Employees with a duty to report violations of this policy include faculty, administrators, coaches, and staff. Graduate assistants and student employees have a duty to report violations of this policy of which they become aware in the course of their duties when these duties include responsibility for the safety and wellbeing of other members of the campus community or if they have supervisory, evaluative, grading, or advisory responsibility over other members of the campus community.

In addition to the duty to report sexual misconduct to ECRC as identified in the prior paragraphs, in some circumstances there is also a duty to report allegations of criminal conduct to law enforcement. Section 2921.22 of the Revised Code requires every person who knows that a felony has been or is being committed, to report it to law enforcement. It is a criminal offense to knowingly fail to make the report. If you suspect or have knowledge of criminal activity occurring on university property, call the Ohio University Police Department ("OUPD") at 740-593-1911 (in an emergency, please dial 911 immediately). Incidents that occur off campus or at a regional campus should be reported to local law enforcement.

2. **Filing a formal report of violation of this policy**
University Equity and Civil Rights Compliance (ECRC) serves as the recipient for any formal complaint or report of sexual misconduct. Other offices may handle certain aspects of the university response, such as university human resources, dean of student’s office, office of community standards and student responsibility ("CSSR"), OUPD, etc. ECRC is responsible for investigating complaints of sexual misconduct under this policy, monitoring the response of other campus offices that may respond to complaints of sexual misconduct under this policy, and for responding to complaints of retaliation for filing a complaint on the basis of this policy.

**Online Form:** [https://www.ohio.edu/equity-civil-rights](https://www.ohio.edu/equity-civil-rights)

**Walk in:**
Office of University Equity and Civil Rights Compliance (ECRC)
Ohio University
Lindley Hall 006
Athens, Ohio 45701

**Phone:** (740) 593-9140
**Fax:** (740) 593-9168
**Email:** equity@ohio.edu

3. **Self-reporting of sexual offenses**
Person who are victims or survivors of sexual offenses are encouraged to contact university police. Victims or survivors may be assisted by campus employees in notifying law enforcement authorities, if the victim or survivor so choses. Reporting an assault to university police may not require criminal prosecution. Opportunities exist to make
confidential reports of crimes for inclusion in Clery Act statistics, for filing a Title IX complaint within the university, and for obtaining counseling or treatment without initiating a Title IX investigation or criminal investigation. See part (F)(4) of this policy for more details. In all cases, victims or survivors are encouraged to avail themselves of existing resources.

Within the university, sexual offenses should be reported to:

Ohio University Police Department
Main Campus: 740 593-1911

4. Privacy and confidentiality
   If a complainant requests that his or her identity be kept confidential, the university shall evaluate such requests in the context of the complainant's safety and potential harm to the community. Requests will be honored to the extent possible. Individuals should be aware that the university's ability to respond (including sanctioning the alleged respondent) may be limited by such a request. However, once formal procedures are pursued, the complainant's identity must be disclosed to the respondent. In the event that the complainant's identity is disclosed, where the complainant has sought anonymity, the complainant shall be notified in advance, whenever possible, of the disclosure. Requesting that an individual's identity be kept confidential does not relinquish one's ability to avail him or herself of support services. In those cases where the evaluation permits confidentiality, record-keeping will exclude personally identifiable information about the complainant.

   In general, information received in connection with the filing, investigation, and resolution of allegations will be treated as private, with certain exceptions. These exceptions include the following: to the extent it is necessary to disclose information in the course of the investigation, for the purposes of addressing conduct or practices that violate the policy, or when required to do so by law. All persons involved in the process should observe the same standard of discretion and respect for the privacy of persons involved in the process.

   If the complaint contains sufficiently detailed information about conduct that may constitute a crime, then the matter will be reported to law enforcement, as discussed in part (F)(1) of this policy.

5. Anonymous complaints
   Anonymous complaints will be accepted; however, Ohio University's ability to obtain additional information may be compromised and the ability to investigate or resolve anonymous complaints may be limited.
If the complaint contains sufficiently detailed information about conduct that would constitute a violation of this policy, ECRC will exercise due diligence to address the concerns identified with the affected planning unit to the extent possible with available information.

6. **Filing a false complaint**

Intentionally making a false complaint or report of sexual misconduct is prohibited, is a violation of this policy, constitutes misconduct subject to disciplinary action, and may also be a crime. ECRC shall refer evidence of intentional false complaints or reports to the office of legal affairs.

G. **Investigation guidelines**

1. **Preservation of evidence and medical examination**

   Evidence of a sexual assault should be preserved as soon as possible after the incident, even if the affected party is unsure about reporting or filing criminal charges. This is because some kinds of evidence may only be collected within a short period of time after an assault, and delaying preservation may reduce the chances of a successful criminal prosecution in the future. A sexual assault forensic examination ("SAFE") will preserve evidence. Therefore, any person who has been subjected to physical sexual violence is urged to go as quickly as possible to the emergency room at any local hospital for medical attention. For a list of hospitals close to each campus, including those with SAFE nurse examiners or staff specially trained for sexual misconduct examination and evidence collection, refer to the "Sexual Misconduct, Relationship Violence and Stalking Resource List" (linked from the "References" part of this policy) or to the resources listed for each campus in this annual security report.

2. **Investigation**

   Violations committed by persons affiliated with Ohio University who are not students shall be investigated and adjudicated pursuant to the "ECRC Grievance Procedure" (linked from the "References" part of this policy). Violations of this policy committed by students shall be investigated and adjudicated pursuant to the "Student Sexual Misconduct, Relationship Violence and Stalking Process" (linked from the "References" part of this policy).

   Such proceedings shall provide a prompt, fair, and impartial investigation and resolution.

   Investigation proceedings are conducted by employees who receive annual training on issues related to domestic violence, dating violence, sexual assault, and stalking and on investigation and hearing processes that protect the safety of victims and promote accountability.

   Both the complainant and respondent are entitled to have others present during
proceedings, including the opportunity to be accompanied to any related meeting or proceeding by an advisor of their choice.

Both the complainant and respondent shall be simultaneously informed, in writing, of the outcome of the proceedings; of procedures, if any, to appeal the results of the proceeding; of any change to the results that occurs prior to the time that such results become final; and when such results become final.

3. Cooperation with investigation
   A person with a duty to report will actively provide information in the time and manner deemed necessary and appropriate by the university to conduct the investigation. Failure to cooperate with the investigation process in a timely manner may compromise the university’s ability to conduct an investigation and fully address allegations.

4. Standards of evidence
   In determining a violation of this policy, the "preponderance of evidence" standard is applied. Therefore, if a violation of this policy is found, the behavior is "more likely than not" to have occurred.

5. Sanctions and protective measures
   A person or group of persons found to have violated this policy will be subject to disciplinary action by the responsible planning unit or office. Student discipline may include the following sanctions: reprimand, probation, suspension, and expulsion from the university. Employee discipline may include censure, suspension, and termination of employment. Following a determination of non-consensual sexual contact, non-consensual sexual intercourse, sexual assault, domestic violence, dating violence, or stalking, additional protective measures may be imposed. In consultation with ECRC, responsible planning units will ensure corrective measures intended to end the prohibited conduct and prevent further violation of the policy.

6. Consideration of classroom and instructional settings
   The classroom or other instructional setting (e.g., studio, laboratory, office hours) presents special issues because academic freedom protects the expression of ideas, even where the idea or its expression is perceived to be mature, controversial, explicit, graphic, or offensive. Nevertheless, conduct that would otherwise constitute violation of this policy will not be exempt merely because it occurs in an instructional setting. Rather, the investigation will consider the legitimate pedagogical context and will take into account discipline-specific guidelines for professional practice as defined by the appropriate educational unit.

   Accordingly, if the conduct that was the basis for the complaint occurred in an instructional context, broad deference is given. When there is a legitimate pedagogical basis, the presentation or discussion of sexual topics that are mature, controversial, graphic,
or explicit shall not be considered sexual harassment even if some persons find these topics subjectively offensive.

H. Resource and response guidelines
1. Resources for victims, complainants, and respondents
Ohio University offers resources for all persons who have been affected by sexual misconduct. ECRC shall maintain information online listing, describing, and linking to on-campus confidential and non-confidential resources, as linked from the "References" part of this policy.

In most circumstances, those designated as confidential resources do not have a duty to report violations of this policy to ECRC or law enforcement other than for statistical record-keeping purposes as required by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, 20 U.S.C. § 1092(f), 34 C.F.R. 688.46. There should be no expectation that a report to these resources otherwise puts Ohio University on notice of a violation of this policy.

2. Interim employment and academic arrangements
As an interim measure, the university will consider requests for and implement alternative living, working, transportation, and academic arrangements as available and appropriate. These may include no-contact directives. The university reserves the right to determine the most appropriate course of action in making these arrangements.

If a victim or survivor procures a restraining order or similar order from a court, the victim or survivor is encouraged to notify OUPD of the order so that OUPD can assist, as needed, with enforcement of the order.

3. Reasonable accommodation for persons with disabilities
Any persons living with a disability involved in this process have the right to request reasonable accommodation in order to ensure their full and equal participation. Students should make requests to the office of student accessibility services ("SAS") and employees should contact the office for equal opportunity and accessibility ("EOA"). Parties do not have to disclose information about the complaint or charge to request reasonable accommodation, except to the extent that it may assist in the determination of reasonable accommodations. Accommodations are determined on an individual basis by SAS or EOA and are implemented in consultation with the case investigator(s). Examples of reasonable accommodation include sign language interpretation, real-time communication access during hearings, large print documents, extended time to review documents, or assistance with transcribing questions during interviews or hearings.

4. Prevention programs
Ohio University provides comprehensive, intentional, and integrated programming initiatives, strategies, and campaigns intended to end dating violence, domestic violence,
sexual assault and stalking that are culturally relevant, inclusive of diverse communities and identities, sustainable, responsive to community needs, and informed by research or assessed for value, effectiveness, or outcome. These programs consider environmental risk and protective factors as they occur on the individual, relationship, institutional, community, and societal levels. ECRC shall maintain a list of prevention and awareness programs, including those directed at new students and new employees, and make it available online.

end of Policy 03.004

Investigation and Resolution Process: Student Sexual Misconduct, Relationship Violence and Stalking

This section describes the process for investigating and adjudicating reports of alleged sexual misconduct, relationship violence, and stalking that involve students as the respondent. This process will be used to adjudicate alleged student violations of Ohio University Policy 03.004 as well as alleged violations of the Student Code of Conduct. This process applies to reported incidents in which the initial interview with the Complainant occurred on or after August 21, 2014. This process was last revised on February 15, 2019.

A. Confidential Resources
Confidential resources are those entities that are not required to disclose the details of incidents reported to them to University Equity and Civil Rights Compliance (ECRC) for further investigation. While the university strongly encourages formal reporting of sexual misconduct, relationship violence, and stalking, we also recognize that students impacted by these issues may wish to take advantage of health and support resources without disclosing the situation to the university. There are a number of confidential resources to which students may speak, whether or not they are participating in a formal university process. On campus, those resources are:

- Campus Care
  1st Floor Hudson Health Center
  740-593-1660
  Campus Care Website

- Counseling and Psychological Services (CPS)
  3rd Floor Hudson Health Center
  740-593-1616 (24/7 Line)
  CPS Website

- Survivor Advocacy Program
  Lindley Hall, 038
  740-597-7233 (24/7 Line)
  survivor.advocacy@ohio.edu
  http://www.ohio.edu/survivor

B. Definitions
For the purposes of this process, the following definitions apply:
**Advisor:** Individual selected by either a complainant or respondent to assist them in preparation for and during any meetings or hearings related to this process. An advisor may assist the complainant and respondent by helping to prepare materials, draft questions, and confer with the complainant and respondent during meetings and hearings, as long as this does not unreasonably disrupt or delay the process. An advisor may also represent the complainant and respondent by asking questions of the other party and witnesses at the hearing; however, an advisor may not make statements on behalf of the parties. An advisor may be anyone of the student’s choosing, including an attorney, but cannot be a witness to the matter in question.

**Complainant:** Person who was subject to alleged misconduct as described in Policy 03.004 and/or the *Student Code of Conduct*. There may be more than one complainant for an incident.

**Gatekeeper:** Entity responsible for determining if a matter fits within the scope of Policy 03.004 and should therefore be resolved by this process. The Office of Equity and Civil Rights Compliance (ECRC) serves as the gatekeeper for this process.

**Hearing Authority:** Panel of two individuals chosen from the pool of trained investigators in ECRC and the Office of Community Standards and Student Responsibility (CSSR) who have not participated in the investigation of the matter at hand.

**Investigators:** Individuals who are chosen from a pool of trained investigators in ECRC and CSSR. Two investigators will be assigned and will conduct a prompt, thorough, and impartial investigation that includes conducting interviews and completing the investigative report.

**Preponderance of Evidence:** Standard of proof used by the hearing authority. Preponderance of evidence means that the statements and information presented in the matter must indicate to a reasonable person that it is more likely than not that the respondent committed a violation.

**Process Advisor:** Member of the university community who has been specifically trained to provide information to complainants or respondents regarding the process. This person does not actively participate in the process, but can be present at meetings and hearings to provide support to the complainant or respondent. Process advisors cannot be a witness in the matter in question. A list of process advisors can be obtained by request from CSSR.

**Referring Party:** Person who reported the alleged policy violation to ECRC.

**Respondent:** Person who is alleged to have committed a violation or violations of Policy 03.004 and/or the *Student Code of Conduct*. There may be more than one respondent for an incident.
Sexual Misconduct: See Policy 03.004: Sexual Misconduct, Relationship Violence, and Stalking

Support Person: Any person chosen by either the complainant or the respondent to provide support to them throughout their interactions with ECRC and/or CSSR throughout this process. The complainant and respondent are each entitled to one support person at a time, but this person does not have to be the same individual throughout the process. This person does not actively participate in the process, but can be present at meetings and hearings to provide support to the complainant or respondent. The support person cannot be a witness in the matter in question.

Witness: Person who is requested to participate in an investigation or a hearing because they may have information about the alleged misconduct. Witness names may be supplied by the complainant, respondent, or others with knowledge of the matter. All witnesses requested to appear at a hearing will be considered university witnesses.

C. Report of Potential Violation

Complainants may self-report incidents of sexual misconduct, relationship violence, or stalking directly to ECRC. Referrals or third party notices of alleged sexual misconduct, relationship violence and stalking also come from a variety of sources, including but not limited to students, faculty, and staff members. With the exception of the confidential resources listed below, all employees of Ohio University have an obligation to report any instances of these behaviors to ECRC. This includes mandatory reporting from the Ohio University Police Department (OUPD) and CSSR to ECRC. Per Policy 03.004, “Immediately upon learning of potential campus sexual misconduct, any employee with a duty to report violations of this policy who receives a complaint of sexual misconduct or who observes or learns of conduct that is reasonably believed to be in violation of this policy, is required to report the alleged conduct to the Office of Equity and Civil Rights Compliance.”

ECRC will then inform the Title IX coordinator of the report. ECRC and CSSR are also responsible for notifying the appropriate law enforcement agency if the report indicates that sexual violence and/or another felony may have been committed. While ECRC and CSSR are obligated to contact law enforcement, complainants are not required to speak with the police unless they so choose. ECRC will also work with OUPD to assess if a timely warning needs to be issued to the campus community in relation to the report. Complainants are encouraged to contact either OUPD or another appropriate law enforcement agency to file a report, if they so choose. Staff members in ECRC and CSSR are available, if requested, to assist students in making contact with the appropriate law enforcement agency.

Additionally, if any party involved in the alleged non-consensual sexual contact or non-consensual sexual intercourse is a minor, university personnel will notify Job and Family Services or other appropriate agencies, as required by Ohio law. Further, ECRC will share statistical information with OUPD as required by the Clery Act.
D. Gatekeeping
ECRC serves as the initial gatekeeper responsible for conducting the preliminary assessment to determine if there is enough information to initiate a formal investigation. This responsibility exists because ECRC serves as the university’s Title IX compliance office and oversees Title IX grievance processes. If there is no reasonable cause to believe that Policy 03.004 has been violated, ECRC will notify appropriate parties and close the matter. Should additional information come forward at a later date, ECRC may re-open the matter. Should ECRC decide that the matter does not meet gatekeeping, they will notify the appropriate parties of available resources. ECRC may also refer the matter to CSSR for resolution under the student conduct process if the report contains other alleged violations of the Student Code of Conduct. If ECRC determines there is reasonable cause to initiate an investigation, that investigation will be conducted in accordance with Section O below.

Gatekeeping is ongoing and will continue to occur once a matter has moved to investigation and may be re-evaluated as new information becomes available. There may be instances in which the information collected in the course of the investigation does not meet the elements of the sexual misconduct violation of policy 03.004. In situations where this becomes the case, the investigative team will make a written recommendation to the Title IX Coordinator to close the matter related to the sexual misconduct process. The Title IX Coordinator will review the recommendation and decide which process is best suited to resolve the issue. If the Title IX Coordinator agrees to close the issue in the sexual misconduct process, the investigative team will issue a letter to both the complainant and respondent with that information and the rationale for that decision, with a copy to the Title IX Coordinator and the director of Community Standards and Student Responsibility. If there are other allegations that could constitute violations of the Student Code of Conduct, the issues will be referred to CSSR for review.

E. Concurrent Proceedings External to the University
The Sexual Misconduct, Relationship Violence, and Stalking Process may be initiated when a student is alleged to have engaged in conduct that violates university policy, including when the alleged conduct may also potentially violate criminal or civil law. The university may initiate this process regardless of any external criminal, civil, or administrative proceeding. This process may be carried out prior to, simultaneously with, or following those proceedings. Determinations made and sanctions imposed under this process will not be subject to change because criminal charges arising out of the same facts were dismissed, reduced, or resolved in favor of or against the criminal law defendant.

Records generated as a result of this process are considered educational records and governed by the Family Educational Rights and Privacy Act (FERPA) and are therefore subject to release under the order of a lawful subpoena.

F. Concurrent Proceedings Internal to the University
The Sexual Misconduct, Relationship Violence, and Stalking Process may be initiated when a student is alleged to have engaged in conduct that violates university policy 03.004 and the Student Code of Conduct. In addition to the investigation and resolution process described in this document, if the student is also employed on campus as a faculty or staff
member, other processes may apply. The Title IX Coordinator, in consultation with other individuals as appropriate, will determine which process will take precedence or if the processes (or portions thereof) will run concurrently. For example, a student may be placed on leave from their employee position while the investigation takes place. In making this determination, the Title IX Coordinator will consider a number of factors, including but not limited to:

- The primary relationship of the respondent to the university
- The role the respondent was in at the time the incident occurred
- The context of the incident, including the environment in which the misconduct is alleged to have occurred

In order to minimize the burden on all involved parties and to resolve the matter in a timely manner, the investigative report and final outcome from the primary process may be shared, as necessary and appropriate, with the decision makers in other processes.

**G. Assessment of Interim Measures**

All reports will be reviewed to determine if interim measures are necessary. Interim measures may be implemented even if a formal investigation is unable to proceed. Interim measures may be made or requested at any point after a report is received and may include but are not limited to:

- Administrative directives for no contact
- Temporary or permanent re-assignment of housing
- Restriction of access to particular areas of campus
- Altered academic arrangements (moving an individual from class, completing work online, etc.)
- Designated “safe hours” of use for communal spaces on campus (e.g., the Ping Center and/or dining halls)

The university reserves the right to determine the most appropriate course of action in making these arrangements. In most cases, ECRC and CSSR will make decisions on interim measures. In situations where a residential move is required due to allegations of sexual misconduct, relationship violence, or stalking, professional staff in the Department of Housing and Residence Life may initiate an immediate residential move and/or restrict access to residence halls. They may also issue temporary administrative directives for no contact under the same circumstances. Housing and Residence Life will notify ECRC and CSSR in writing of any interim measures they initiate as soon as possible but no later than the next business day. All interim measures described above will be documented in writing. Both respondent and complainant are eligible to receive interim measures as requested and deemed appropriate. Every attempt will be made to minimize disruption to both parties when interim measures are enacted.

Additionally, ECRC and CSSR may jointly assess reports as they are received to determine if there is a need to recommend an interim suspension of the respondent. That recommendation will then be presented to the Dean of Students (or designee) for consideration. If the decision is made to proceed with an interim suspension, the respondent will be notified in
writing by the Dean of Students (or designee) as per the process outlined in the Student Code of Conduct

H. Complainant Options, Rights, and Resources Meeting

Staff from ECRC will contact the complainant as soon as possible upon receipt of a report of alleged sexual misconduct, relationship violence, or stalking to set up an options, rights, and resources meeting. The following will be covered:

- Medical, mental health, law enforcement, and other resources available both on campus and in the surrounding community
- Possible interim measures (see Section G above)
- The obligation of the university to investigate every report of alleged sexual misconduct, relationship violence, and stalking under federal and state law, Ohio University policy, and out of concern for the safety of our campus community
- The obligation of ECRC and CSSR to notify the appropriate law enforcement agency if the report indicates that sexual violence and/or another felony may have been committed. While ECRC and CSSR are obligated to contact law enforcement, complainants are not required to speak with the police unless they so choose.
- The process for investigating and resolving alleged violations of sexual misconduct, relationship violence, and stalking
- The rights of the complainant and respondent (see Section M below)
- The option to request confidentiality and the process by which that request will be evaluated (see Section I below)

ECRC may also verify the information received in the initial report with the complainant. Should the complainant not respond to ECRC’s initial attempt to contact them, ECRC will make two additional attempts. Should the complainant not respond at all, ECRC will send the complainant written acknowledgment of their non-participation and notice of the next steps in the process. Should the complainant later choose to participate, they may re-engage at any point before the process is concluded.

I. Request for Confidentiality

Complainants may request that their name not be used as part of any investigation that the university may initiate. Confidentiality will be discussed during the initial interview. Referring parties may share that a complainant wishes to request confidentiality, but it will not be considered a formal request until made by the complainant to ECRC. Complainants requesting confidentiality need to be aware that the inability to use a complainant’s name can significantly impede the university’s ability to conduct an investigation and, in most cases, the university will be unable to investigate the matter or resolve it through the Student Sexual Misconduct, Relationship Violence, or Stalking Process or other university processes. Additionally, confidentiality can also impact the interim measures the university is able to put in place. For example, a no-contact directive could not be issued if the complainant’s name cannot be shared.

Should a complainant wish to request confidentiality, that request will be reviewed jointly by ECRC and CSSR. The university will make every effort to honor a complainant’s request
for confidentiality; however, there are times when that request will not be able to be granted. Some of the reasons a request for confidentiality may be denied include but are not limited to:

- The reported use of force during the commission of an alleged violation of sexual misconduct, relationship violence, or stalking
- The reported use of a weapon during the commission of an alleged violation of sexual misconduct, relationship violence, or stalking
- Significant physical injury resulting from an alleged violation of sexual misconduct, relationship violence, or stalking
- The involvement of multiple respondents in the commission of an alleged violation of sexual misconduct, relationship violence, or stalking
- Prior allegations (substantiated or not) of sexual misconduct, relationship violence, or stalking made against the respondent
- Other relevant factors, including but not limited to:
  - The frequency and severity of the alleged behavior
  - The age of the complainant (for example, if the complainant is a minor)
  - Any position of trust a respondent may hold due to the nature of their employment or other relevant status with the university

The complainant will be notified in writing of the outcome of their request for confidentiality. In situations where confidentiality has been granted, if another report is made regarding the same alleged perpetrator, the request for confidentiality may be reconsidered in the interest of the safety of the campus community. In those instances, ECRC and/or CSSR will attempt to contact the complainant to discuss the need to revoke confidentiality. If the complainant is unable to be reached or does not respond after two attempts, ECRC and/or CSSR will notify the complainant in writing regarding the revocation of confidentiality before proceeding to use the complainant’s name.

If no request for confidentiality is made, the investigation will proceed using the complainant’s name.

J. Respondent Notice, Rights, and Resources Meeting

After sufficient information regarding the allegations has been gathered, staff from ECRC will contact the respondent to inform them that a report has been received alleging a violation of Ohio University Policy 03.004 and the Student Code of Conduct. The respondent will be sent correspondence informing them of the alleged violation(s) and requesting their presence at a meeting. At the initial meeting the respondent will not be asked any questions about the allegations. ECRC staff will discuss the following:

- The obligation of the university to investigate every report of alleged sexual misconduct, relationship violence, and stalking under federal and state law, Ohio University policy, and of concern for the safety of our campus community.
- The process for investigating and resolving alleged violations of sexual misconduct, relationship violence, and stalking.
- The rights of the complainant and the respondent (see Section M).
- The details of the allegation as well as the name of the complainant.
• Medical, mental health, law enforcement, and other resources available both on campus and in the surrounding community
• Possible interim measures (see Section G above)

Should the respondent not respond to the initial attempt to meet, ECRC will make two additional attempts. If the respondent does not respond at all, ECRC will send the respondent written acknowledgment of their non-participation and notice of the next steps in the process. The respondent will continue to be notified throughout the investigation and may participate at any point in the process prior to its conclusion.

After the initial meeting staff from ECRC will provide the respondent follow up communication with the summary of the allegation(s) as well as notice of the official charges, as of the date of the letter. The respondent will then be notified of a meeting date and time with the investigators to discuss the matter in full detail (see Section O).

It is important to note that the charges may change as the investigation progresses and more information is gathered. Should that occur, the respondent will be notified of any changes (see Section O)

K. Amnesty for Alcohol and Drugs
In an effort to encourage reporting of alleged sexual misconduct, relationship violence, and stalking violations, students will not be subject to referrals for action under the Student Code of Conduct if they engaged in the unlawful or prohibited personal use of alcohol or drugs during the incident when the alleged violation occurred. Amnesty applies only to the personal use of alcohol or drugs during the incident in question and does not extend to other potential violations of the Student Code of Conduct that may have been committed. Amnesty does not apply to matters in which drugs or alcohol are used to facilitate a violation of Ohio University Policy 03.004 and/or the Student Code of Conduct.

L. Related Student Code of Conduct Allegations
In situations where the sexual misconduct matter has moved to a formal investigation, any additional Student Code of Conduct allegations connected to the sexual misconduct that arise during the investigation may be adjudicated within the sexual misconduct process. This would also include any student conduct charges resulting from allegations of violation of University Policy 40.001: Equal Employment and Educational Opportunity. In these instances, CSSR staff will review and determine the appropriate charges under the Student Code of Conduct. Two examples of allegations that will be resolved in this manner are allegations that the respondent used alcohol or drugs to facilitate sexual misconduct and possession or use of a weapon in the course of sexual misconduct. These are alleged Student Code of Conduct charges, and the sanctions for those related charges, if substantiated and regardless of whether the sexual misconduct charge is substantiated, would be determined in the hearing
M. Rights of the Complainant and Respondent

Respondents have the right to be, and will be, presumed not responsible for a violation of prohibited conduct until found in violation by a preponderance of the evidence.

Additionally, both complainant and respondents have the right to:

- Have an advisor, a process advisor, and up to two support people, present during any meetings or hearings that may occur as part of this process
- Have legal counsel serve as an advisor in this process. The role of an advisor is outlined in Section B above
- Request reasonable accommodations due to disability (see Section N below) • Have their matter handled in a forthright and timely manner
- Receive advance notice of any meetings in which they are entitled to participate and the purpose of those meetings
- Provide statements, evidence, and information as part of the investigation • Know the names of all witnesses that are contacted as a part of the investigation • Know the specific charges being made under Policy 03.004 and the Student Code of Conduct and the range of potential sanctions should a violation be found
- A copy of the redacted pre-hearing investigative report in order to prepare for the hearing • Inspect information compiled by the investigators for the purpose of the sexual misconduct resolution process in order to prepare for the hearing
- Speak or not speak as a part of the process
- Question witnesses that participate in the hearing, either personally or through their advisor
- Rebut written materials presented in a hearing
- File a written appeal to the Vice President for Student Affairs (or designee)

N. Reasonable Accommodations for Students with Disabilities

Any student with a disability involved in this process has the right to request reasonable accommodation in order to ensure their full and equal participation in this process. Students wishing to request reasonable accommodations should make those requests directly to the office of Student Accessibility Services (SAS). Students do not have to disclose information about the complaint or charge to SAS to request reasonable accommodation except to the extent that it may assist in the determination of reasonable accommodations. Accommodations are determined on an individual basis by SAS staff and implemented in consultation with CSSR and ECRC. Examples of reasonable accommodation include but are not limited to sign language interpretation, real-time communication access during hearings, large print documents, extended time to review documents, or assistance with transcribing questions during interviews or hearings. Students are responsible for requesting accommodations in a timely manner; failure to do so may result in a delay in the process.

- Student Accessibility Services
  Baker University Center, 348
  (740) 593-2620
  disabilities@ohio.edu
  www ohio.edu/uc/sas
O. Investigation

Once ECRC has determined that a matter will proceed, an investigation will be conducted by two investigators from the investigator pool. The team of two investigators will conduct a prompt, thorough, and impartial investigation. Every effort will be made for both investigators to be present at all interviews. The investigators will contact all relevant parties to set up a time to meet. Should the relevant party not respond to the initial attempt to meet, the investigators will make at least one additional attempt before moving forward in the process.

Investigations will consist of interviews with the complainant, respondent, and relevant witnesses. Witness names may be supplied by either or both the complainant and respondent. If unclear, Investigators may request that the complainant and respondent explain how witnesses are related to a situation and what information they believe the person can provide to investigators. Additionally, the investigative team may determine through other means that they need to speak with someone and seek that person out independently. Witness interviews will be limited in scope to the relevant facts of the matter. Character witnesses and witnesses without relevant information will not be interviewed. The investigative team may request additional information and evidence from witnesses. The investigative team may need to conduct multiple interviews in order to follow up or clarify information provided by others. Student witnesses, while not required to speak, are required to attend scheduled interviews and meetings. Should they fail to attend, they may be charged under the Student Code of Conduct for failure to comply.

At times, investigations may uncover additional information that warrants the removal or addition of charges against the respondent or that indicates that another individual (or individuals), including the complainant, should be charged with a violation of Ohio University Policy 03.004 and/or the Student Code of Conduct. Should that occur, the parties will be notified of any charges that are to be dismissed or added. In the case of new charges, the investigators will request to meet with the party being charged to review the new charges and the specific allegations from which they stem. That meeting will be followed with a letter containing the summary (or updated summary) of allegations and notice of all current charges. An interview will be scheduled in order to discuss the new allegations and charges in more detail. As before, should the party not respond to the request to meet after two attempts, the process will continue to move forward.

At the conclusion of the investigation, the investigative team will write an investigative report. The investigative report will include the following:

- The names of the investigative team
- Applicable policies to the matter
- A list of involved parties
- A brief history of the investigation
- Overview of the allegations
- The violations that were alleged to have occurred
- Summaries of the interviews the investigative team conducted
- Other information as deemed relevant by the investigators
Both investigators will sign the report. This investigative report will be made available to both the complainant and the respondent.

P. Delay in Process

It is the goal of this process to provide a prompt, fair, and equitable process for all parties involved. Every effort will be made to investigate and resolve allegations as quickly as possible. However, in some circumstances, there may be a necessary delay in the process in order to appropriately address the unique circumstances involved in each case. In instances where a delay becomes necessary, the parties will be notified. Additionally, the parties can request an update on the status of their matter at any point.

Q. Pre-hearing Meetings

Once the investigative report is complete, the investigative team will schedule separate meetings with both the complainant and the respondent. In that meeting, the investigative team will go over the investigative report with each party. At that time, both the complainant and respondent will be given access to the investigative report and any additional information or materials that were considered as part of the investigation. Additionally, both the complainant and respondent will be provided with a redacted copy of the investigative report. During the pre-hearing meeting, both the complainant and respondent will be informed as to when and where the hearing on this matter is scheduled to take place. Following the pre-hearing meeting, each party will be sent a letter confirming the date and time and containing information relevant to the hearing. Should the complainant and/or respondent not attend their scheduled pre-hearing meeting, they will be informed of the date of the hearing in writing.

Options for the hearing will also be discussed. Both the complainant and respondent may participate in the hearing in a number of ways. They may participate from another location by video conference, they may attend in person but request to be screened off from the other party, or they may attend the hearing without any alternative arrangements in place. If either party does not attend the hearing, it will be conducted as scheduled in that person’s absence.

The respondent will have three business days from the date of the pre-hearing meeting to decide if they would like to accept responsibility for the charge(s). If the respondent accepts responsibility for the charge(s), the hearing will not be held, and the investigative team will notify the complainant that the respondent has accepted responsibility and the hearing has been canceled. Any statement the respondent includes with their acceptance of responsibility will be shared with the complainant. The complainant will have an opportunity to provide an impact statement to be used in determining sanctioning. Any impact statement the complainant may submit will also be shared with the respondent. The deadline for the impact statement is three business days from when the complainant is notified that the respondent has accepted responsibility for the charge. The investigative team will then give the report, all documents and information collected during the investigation, and the impact statement (if any) to the hearing authority. The hearing authority will review those materials, determine an appropriate sanction, and notify the complainant and respondent of their
decision in writing, with a copy to the Title IX coordinator. Both the complainant and the respondent have the right to appeal as outlined in Section T below

R. Hearing
A hearing will be conducted for all matters that are not resolved by the respondent accepting responsibility after the pre-hearing meeting. At the discretion of the Title IX Coordinator, in consultation with CSSR, matters involving multiple complainants or respondents may be heard in the same hearing. Additionally, matters where there is a cross-complaint (e.g., both parties accuse each other of violating Policy 03.004 and the Student Code of Conduct), may also be heard in the same hearing. The hearing authority will use the preponderance of the evidence standard in making their decision as to whether or not university policy was violated. Both members of the hearing authority must agree that the standard of proof has been met. If the members of the hearing authority disagree, there will be no finding of violation.

All hearings under this process will be closed to the public. At designated times during the hearing, the complainant and respondent, or their advisors, may ask relevant questions directly of each other and witnesses. The hearing authority will determine if questions are relevant. For example, questions introducing the sexual history of either party with anyone besides each other would typically be deemed irrelevant and would not be permitted. If the hearing authority determines that a question is not relevant, the party asking the question may choose to reword the question or provide supporting information as to the relevance of the question for further consideration by the hearing authority. The hearing authority also reserves the right to disallow or require the parties to reword questions that have already been asked and answered. In addition, it is expected that all parties will ask and answer questions in a manner that maintains civility throughout the proceeding.

No later than two business days before a scheduled hearing, the complainant and respondent should provide the investigative team with the following:

- Any request for alternate arrangements they would like made for their participation in the hearing. This includes requests to participate remotely via video conference or for a divider to be present in the room. While late requests for alternative arrangements will be considered, they cannot be guaranteed.
- Any additional information or evidence they would like to be considered at the hearing. While all information should have been submitted prior to the pre-hearing meeting, occasionally some information presents itself at a later date. In order for it to be considered at a hearing, it should be submitted no later than two business days prior to the hearing. Additionally, if determined to be necessary based on the information submitted, ECRC/CSSR may, at their discretion, reschedule the hearing.
- The names (or pseudonyms as listed in the investigative report) of any witnesses they wish to have questioned during the hearing. Witnesses who are not named by either party or the hearing authority will not be scheduled to participate during the hearing but will be asked to be available should the need to ask a question arise.

The following is a guide as to how the hearing will be conducted:
• The hearing authority will begin the hearing by discussing expectations for the hearing.
• The hearing authority will give a brief overview of the nature of the allegations.
• The hearing authority may ask the investigative team clarifying questions regarding the investigation at any point during the hearing.
• The complainant will be given an opportunity to respond to the investigative report.
• The hearing authority will have an opportunity to ask complainant questions
• The respondent, or their advisor, will be given the opportunity to ask relevant questions of the complainant as described above.
• The respondent will be given an opportunity to respond to the investigative report.
• The hearing authority will have an opportunity to ask respondent questions.
• The complainant, or their advisor, will be given the opportunity to ask relevant questions of the respondent as described above.
• The hearing authority will call witnesses and ask them questions.
• The complainant, or their advisor, will be given the opportunity to ask relevant questions of witnesses as described above.
• The respondent, or their advisor, will be given the opportunity to ask relevant questions of the witnesses as described above.
• The complainant will be given the opportunity to make a summary statement, including an impact statement if any, and any requested sanctioning considerations.
• The respondent will be given the opportunity to make a summary statement, including an impact statement if any, and any requested sanctioning considerations.

The hearing authority reserves the right to ask questions of anyone at the hearing at any time. Additionally, the hearing authority reserves the right to recess the hearing at any point and reconvene at a later time or date, should circumstances warrant.

At the end of the hearing, the hearing panel will go into closed session to deliberate on findings and, if applicable, sanctions. The standard of proof to make a decision on findings is a preponderance of evidence as defined in Section B above. Should any individual – complainant, respondent, or witness - choose not to participate in the hearing, statements provided by that individual as a part of the investigation may not be considered by the hearing authority in their deliberations.

Both parties will receive a formal written notice of the outcome of the hearing within five business days of the conclusion of the hearing, with a copy to the Title IX Coordinator. The finding of violation or not in violation will be given, along with a rationale for why the decision was made. If there is a finding of violation, the sanction will also be given, along with a rationale as to why that sanction was chosen. Sanctions, if any, will be determined in accordance with the sanctioning guidelines for sexual misconduct maintained by the Office of Community Standards and Student Responsibility.

S. Sanctioning
Students, student organizations, and student groups of Ohio University are responsible for abiding by all Ohio University policies. When a respondent is found in violation of Ohio
University Policy 03.004 or Prohibited Conduct as defined by the Student Code of Conduct, appropriate disciplinary sanctions will be imposed. Sanctions are defined in Part F of the Student Code of Conduct.

CSSR is responsible for monitoring completion and compliance with all sanctions. A student suspended via this process, who has complied with all components of their sanctions and completed the reenrollment requirements, will generally be permitted to re-enroll.

T. Investigation

Both the complainant and the respondent will have five business days from the written notification of the decision to appeal. Both parties have the right to appeal on the following grounds:

- Inappropriate sanction (cases of clear abuse of discretion by the hearing authority);
- A procedural defect occurred that significantly impacted the outcome of the hearing; and/or
- Discovery of new and significant information that could have affected the outcome of the hearing and that was not known or could not reasonably have been discovered and/or presented at the time of the hearing.

If either party submits an appeal, that appeal will be shared with the other party who will then have five business days to write a rebuttal. At their discretion, and for cause, the vice president for student affairs or designee may elect to extend the deadline for appeals and/or rebuttals. Should this occur, both parties will be notified of the new deadline. The appeals and rebuttals will be submitted to CSSR, who will forward them with the case file, to the vice president for student affairs or designee. Within two weeks of receiving the appeal(s) and rebuttal(s), the vice president for student affairs or designee will make a decision on the appeal in consultation with the Title IX coordinator or designee. If necessary, the vice president for student affairs or designee may take additional time to fully consider the appeal and rebuttal. Should this occur, both parties will be notified. The vice president or designee may uphold the decision, alter the sanction, order a new hearing, or remand the matter to the original hearing authority as appropriate. The appeal process is not a re-hearing on the matter. It is a closed process and is limited to the review of written documents and the case file.

U. Notice of Final Determination

If there is no appeal, the hearing chair will issue a notice of final determination to both the complainant and respondent once the appeal period has passed with a copy to the Title IX coordinator. If there is an appeal, the vice president for student affairs will issue a letter stating the outcome of the appeal. The letter will be sent to both the complainant and respondent with a copy to the Title IX coordinator and the director of CSSR. Unless a new hearing is granted, the letter from the vice president for student affairs is considered the notice of final determination.
V. Process Review

The offices of Community Standards and Student Responsibility, Legal Affairs, and Equity and Civil Rights Compliance will review this process periodically to assess the effectiveness and continued compliance. Any changes will be presented to the Review and Standards Committee.

Missing Student Policy

Designation of Missing Person Contact(s) by Students

In accordance with Federal Higher Education Opportunity Act of 2008, Section 485(j), 20 U.S.C. 1092(j), 34 C.F.R. 668.46, regarding missing students, each student residing in university on-campus housing has the option to designate an individual or individuals to be contacted by the university not later than 24 hours after the time that the Ohio University Police Department determines that student to be missing. If the student determined to be missing is under the age of 18 and not emancipated, the university will notify both the contact(s) designated by the missing student and the student's custodial parent or guardian.

The missing student’s contact(s) may be the same individual(s) as the student’s general-purpose emergency contact but does not have to be. Students are responsible for updating their missing person contact(s) through the Office of Housing and Residence Life, as described in more detail below. The missing person contacts will be maintained confidentially; only authorized campus individuals and law enforcement officers in furtherance of a missing person investigation may have access to the information.

Notification to Students and Collection and Maintenance of Information

In early fall semester, the Office of Housing and Residence Life will, via email, notify students residing in university on-campus housing that they have the option to register a missing student contact or contacts. In that email, students will be directed to visit their MyHousing page to register their missing student contact(s). To register the contact(s), students (1) select “personal preferences” then the “current semester” (e.g., fall 2017-18), (2) complete the “confidential emergency contact” web field, then (3) save the information by selecting the “submit my personal preferences” button. The Office of Housing and Residence Life will maintain each student’s missing person contact(s) until the student changes the contact(s).

Procedures for Reporting and Notification Regarding Missing Students

Individuals who have reason to believe that a student is missing should immediately report their concern to the Ohio University Police Department. OUPD will take appropriate investigative action, in accordance with department policy, to determine whether the student has been missing more than 24 hours.

As soon as reasonably possible, and not longer than 24 hours after OUPD determines that the student has been missing for 24 hours, OUPD will notify the Dean of Students, or his or her designee. Upon notification from OUPD that a student has been missing for more than 24 hours, the Dean of Students (or designee) will:
• Make contact with one or more of the missing-person contact(s) identified by the student. If a missing person contact has not been formally declared, the university will notify the general-purpose emergency contact.

• If the missing student is an unemancipated student under the age of 18, the Dean of Students (or designee) will also notify that the student’s custodial parent or guardian.

In addition, OUPD will notify any local law enforcement with jurisdiction (if other than or in addition to OUPD) that the student has been missing for more than 24 hours.
**Safety/Support Resources and Crime Statistics**

### National Resources

**GLBT National Help Center**
Free and confidential peer-support for gay, lesbian, bisexual, transgender, and questioning people.
1-888-843-4564
www.glbtnationalhelpcenter.org

**Love is Respect**
Designed specifically for teens and young adults; provides 24/7 phone, text, and chat services and offers real-time, one-on-one, confidential support from peer advocates.
Text “campus” to 22522 for help.
866-331-9474 (TTY 866-331-8453)
www.loveisrespect.org

**Ohio Alliance to End Sexual Violence**
Information on resources, prevention, and response.
216-658-1381
888-886-8388
www.oaesv.org

**Not Alone (Together Against Sexual Assault)**
Information for students, schools, and anyone interested in finding resources on how to respond to and prevent sexual assault on college and university campuses and in our schools.
www.notalone.gov

**National Sexual Assault Hotline**
RAINN (Rape, Abuse & Incest National Network) provides live, secure, anonymous 24/7 crisis support for victims of sexual violence, their friends, and families.
800-656-4673
www.rainn.org

**National Domestic Violence Hotline**
Provides 24/7 confidential, one-on-one support and crisis intervention.
800-799-SAFE (7233) or TTY 800-787-3224
www.thehotline.org

**PFLAG (Parents, Families, Friends, and Allies united with LGTB people)**
Provides resources and support.
202-467-8180
www.pflag.org

**The Trevor Project Helpline**
Provides crisis intervention and suicide prevention services to lesbian, gay, bisexual, transgender, and questioning (LGBTQ) young people ages 13-24.
866-488-7386
www.thetrevorproject.org

**National Suicide Prevention Lifeline**
Trained crisis workers are available to talk 24/7 and provide crisis counseling and mental health referrals.
800-273-TALK (8255)
www.suicidepreventionlifeline.org
Athens Campus

Athens Local Law Enforcement

Ohio University Police Department
*OUPD has the authority to investigate all criminal matters that occur at the Athens campus.*
135 Scott Quadrangle
Athens, OH 45701
740-593-1911 or 911 if an emergency
www.ohio.edu/police

Athens City Police Department
*Contact the Athens City Police Department for criminal matters that occur outside of the Athens campus.*
11 North College Street
740-593-6606 or 911 if an emergency
www.ci.athens.oh.us

Athens County Sheriff
Information on registered sex offenders near the Athens campus can be obtained from the Athens County Sheriff's Office.
13 West Washington Street
(740) 593-6633 or 911 if an emergency
www.athensssheriff.com
Athens Campus Resources

**Counseling and Psychological Services**
*Provides mental health and adjustment services to students and consultation to faculty, administrators, and parents of students.*
Hudson Health Center, 3rd Floor
740-593-1616 (offers 24-Hour Crisis Intervention Service)
[www.ohio.edu/counseling](http://www.ohio.edu/counseling)

**Division of Student Affairs**
*Professional support services, campus engagement opportunities, and co-curricular learning.*
212 Cutler Hall
740-593-2580
[www.ohio.edu/studentaffairs](http://www.ohio.edu/studentaffairs)

**Facilities Management and Safety**
*Information and links for environmental management, occupational health, safety, and safety regulations.*
49 Factory Street
740-593-1666
[www.ohio.edu/facilities/safety](http://www.ohio.edu/facilities/safety)

**Employee Assistance Program**
*Confidential professional assistance, referrals, counseling, and crisis intervention for employees and their family.*
1-800-227-6007 (24-Hour Hotline)
[www.ohio.edu/hr/benefits/employee-assistance-program](http://www.ohio.edu/hr/benefits/employee-assistance-program)

**Health Promotion**
*Information on becoming and staying healthy, including information on safe consumption of alcohol.*
Baker University Center 339
740-593-4742
[www.ohio.edu/involvement/healthpromotion](http://www.ohio.edu/involvement/healthpromotion)

**Campus Care**
*On-campus student health center offering a variety of services.*
2 Health Center Drive
Tel: (740) 593-1660
[www.ohio.edu/medicine/community-health/campus-care/](http://www.ohio.edu/medicine/community-health/campus-care/)

**International Student and Faculty Services**
*Provides support services for international students, faculty, staff, and scholars, and their dependents.*
Walter International Education Center/15 Park Place
740-593-4330
[www.ohio.edu/isfs](http://www.ohio.edu/isfs)

**Office of University Equity and Civil Rights Compliance**
*Information on how to get help with sexual harassment, affirmative action, discrimination, and Title IX compliance.*
006 Lindley Hall
740-593-9140
equity@ohio.edu OR TitleIX@ohio.edu
[www.ohio.edu/equity-civil-rights/](http://www.ohio.edu/equity-civil-rights/)

**Lesbian, Gay, Bisexual, Transgender Center**
*Advances the diversity mission of Ohio University by creating a university environment and community inclusive and supportive of sexual orientation, gender identity/expression, and queerness.*
Baker University Center 354
740-593-0239
[www.ohio.edu/lgbt](http://www.ohio.edu/lgbt)

**Women’s Center**
*Provides students, faculty, and staff with information, services, and programs that address matters of particular concern to women - while exploring the connections among multiple identities.*
Baker University Center 403
740-593-9625
[www.ohio.edu/womens-center](http://www.ohio.edu/womens-center)

**Multicultural Programs (MCP) and Multicultural Center (MCC)**
*Programs, resources, and information that support and promote multicultural awareness.*
Baker University Center 205
740-593-4027 (MCP)
740-593-2110 (MCC)
[www.ohio.edu/culturalcenter](http://www.ohio.edu/culturalcenter)
Office of Dean of Students/ Student Review and Consultation Committee
Information for students and parents; handles referrals for a student whose behavior may appear distressed and may be a cause for concern.
Baker University Center 345
740-593-1800
www.ohio.edu/deanofstudents

Office of Community Standards and Student Responsibility
Information relating to the Student Code of Conduct, disciplinary referrals, and sanctions.
Baker University Center 349
740-593-2629
www.ohio.edu/communitystandards

Housing and Residence Life
Information, contacts and links for on- and off-campus students.
2nd floor Living Learning Center
740-593-4090
www.ohio.edu/housing

Survivor Advocacy Program
Information, advocacy, education, and resources for survivors of sexual assault, stalking, and dating or domestic violence.
038/034 Lindley Hall
740-597-SAFE (7233) – 24/7 Line
www.ohio.edu/survivor
Athens Area Resources

Athens County Prosecutor's Office and Victim Assistance Program
*Information on victim rights, advocacy, court escorts, protection orders, and criminal proceedings.*
Athens County Courthouse, 1 South Court Street
Athens, OH 45701
740-592-3208
[www.athenscountyprosecutor.org](http://www.athenscountyprosecutor.org)

CARELINE
*24-hour crisis hotline, sexual victim assistance, and information/referral services.*
740-593-3344

Health Recovery Services
*Information, programs, and services for those affected with mental illness and alcohol, tobacco, or drug addiction.*
Careline: 1-888-475-8484 (24-Hour Hotline)
740-592-6724 or 1-866-614-9588
[www.hrs.org](http://www.hrs.org)

O'Bleness Memorial Hospital (Sexual Assault Nurse Examiner)
55 Hospital Drive
Athens, OH 45701
740-593-5551
[www.obleness.org](http://www.obleness.org)

My Sister's Place
*Domestic violence agency, outreach counseling, court advocacy, and confidential shelter.*
740-594-8337 or 1-800-443-3402 (24-Hour)
[www.mspathens.org](http://www.mspathens.org)

Planned Parenthood of Southeast Ohio University
*Information, resources, medical and health services.*
1005 East State Street, Suite W
Athens, OH 45701
740-593-6979
[www.plannedparenthood.org](http://www.plannedparenthood.org)

Ohio Department of Alcohol and Drug Addiction, TASC Program
*Treatment Alternatives to Street Crime (TASC) offers both out-patient alcohol and drug treatment counseling.*
86 Columbus Road, Suite 103 A
Athens, OH 45701
740-594-2276
[www.tascofsoutheastohio.org](http://www.tascofsoutheastohio.org)

Tri-County Mental Health and Counseling Services
*Offers a variety of services, including crisis intervention, counseling, sexual abuse prevention, and drug and alcohol programs.*
90 Hospital Drive
Athens, OH 45701
740-592-3091 (24-Hour Crisis Line: 1-888-475-8484)
## Athens Campus - Crime Statistics

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<th>Non-Campus</th>
<th>Public Property</th>
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## Athens Campus – Arrests and Judicial Referrals

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*These statistics were audited as a result of the review of the crimes for 2018. The statistics were updated as a result of the internal audit. Additionally, the 2017 and 2018 Annual Security Reports were corrected to reflect this change.

**These statistics were audited as a result of the review of the crimes for 2018. The statistics were updated as a result of the internal audit. Additionally, the 2017 and 2018 Annual Security Reports were corrected to reflect this change.
## Athens Campus – Additional Hate Crimes

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- The 2017 race-based hate crime of intimidation occurred on campus, not in a residence hall.
- A 2017 sexual-orientation-based hate crime of aggravated assault occurred on campus, not in a residence hall. It is included in the Athens Campus Crime Statistics table.
- The 2016 race-based hate crime of intimidation occurred on campus, not in a residence hall.
Cambridge Center

Information for the Cambridge Center is listed here as a separate section for ease of accessing resources. Crime statistics for the Cambridge Center are reported under the “Non-Campus” section of the Ohio University Zanesville Campus.

Cambridge Center
7077 Glenn Highway
Cambridge, OH 43725
740-432-4404

Cambridge Local Law Enforcement

Guernsey County Sheriff’s Office
The Guernsey County Sheriff’s Office has the authority to investigate all crimes that occur at the Cambridge Center. Information on nearby registered sex offenders can also be obtained from this office.
601 Southgate Parkway
Cambridge, OH 43725
740-439-4455 or 911 if an emergency
www.guernseysheriff.com

Cambridge City Police Department
601 Southgate Parkway
Cambridge, OH 43275
740-439-4431 or 911 if an emergency
www.cambridgeoh.org

Ohio State Highway Patrol
7051 John Glenn Highway
Cambridge, OH 43725
740-439-1388
www.statepatrol.ohio.gov

Cambridge Center Resources

Cambridge Center Director
(740) 432-4404
Cambridge Area Resources

Southeastern Ohio Regional Medical Center
1341 Clark Street
Cambridge, OH 43725
740-439-8000

Cambridge Behavioral Hospital
66755 State Street
Cambridge, OH 43725
740-432-4906

Guernsey County Victim Witness
139 Courthouse Square
Cambridge, OH 43725
740-432-5938

Haven of Hope
927 Wheeling Avenue
Cambridge, OH 43725
740-439-7233
Chillicothe Regional Campus

Chillicothe Campus
101 University Drive
Chillicothe, OH 45601
(740) 774-7200

Chillicothe Local Law Enforcement

Chillicothe City Police Department
28 North Paint Street
Chillicothe, OH 45601
740-773-1191 or 911 if an emergency
www.chillicothepolice.com

Ross County Sheriff's Office
Information on registered sex offenders near the Chillicothe Campus can be obtained from this office.
28 North Paint Street
Chillicothe, OH 45601
740-773-1186 or 911 if an emergency
www.rosssheriff.com

Chillicothe Campus Resources

Director of Facilities Management
Bennett Hall 118
740-774-7243 or 740-703-5461
Please inform this office of campus issues and emergencies.
Director of Student Services
Bennett Hall 270
740-774-7750

Office of the Dean
Bennett Hall 106
740-774-7222
Chillicothe Area Resources

Ross County Prosecutor's Office Victim/Witness Assistance Program
28 North Paint Street
Chillicothe, OH 45601
740-702-3190
www.rossctyvictimassistance.org

Scioto-Paint Valley Mental Health Center
4449 State Route 159
Chillicothe, OH 45601
740-775-1260
740-773-4357 (24-Hour crisis line)
www.spvmhc.org

Adena Regional Medical Center
272 Hospital Road
Chillicothe, OH 45601
740-779-7500
www.adena.org
## Chillicothe Campus - Crime Statistics

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\(^1\)This site does not have any On-Campus Residential facilities.
## Chillicothe Campus – Arrests and Judicial Referrals

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1. This site does not have On-Campus Residential Facilities.

## Chillicothe Campus – Additional Hate Crimes

There were no reported Hate Crimes for the years 2016, 2017 or 2018.
Cleveland Campus

Cleveland Extension Campus
4180 Warrensville Center Road
Warrensville Heights, OH 44122
216-295-7502

Cleveland Area Local Law Enforcement

Warrensville Heights Police
4301 Warrensville Center Rd
Warrensville Heights, OH 44128-2899
Cuyahoga County
216-581-1234

Cleveland Clinic Police Department
9500 Euclid Avenue
Cleveland, OH 44195
216-444-2250

Cleveland Clinic South Pointe Security
20000 Harvard Road
Warrensville Heights, Ohio 44122
216-491-5588

Cuyahoga County Sheriff’s Office
Information on registered sex offenders near the Cleveland Campus can be obtained from the Cuyahoga County Sheriff’s Office.
1215 West 3rd St.
Cleveland, OH 44113
216-443-6000

Cleveland Campus Resources

Cleveland Onsite Administrator
Please inform this office of campus issues and emergencies.
4180 Warrensville Center Rd.
Warrensville Heights, OH 44122
216-295-7519
Cleveland Area Resources

Cleveland/Cuyahoga County Office of Homeless Services
1736 Superior Ave
2nd floor of Cosgrove Building
216-674-6700

Cuyahoga County Prosecutor's Office Victim/Witness Assistance Program
75 Erieview Plaza, 5th Floor
Cleveland, OH 44114
216-443-7800
www.cuyahogacounty.us

Cleveland Health Center
7997 Euclid Ave
Cleveland, OH 44103
216-851-1880

Old Brooklyn Health Center
3311 Broadview Road
Cleveland, OH 44109
216-661-0400

Bedford Heights Health Center
25350 Rockside Road
Bedford Heights, OH 44146
440-232-9732

Cleveland Rape Crisis Center
216-619-6192 (24-hour hotline)
www.clevelandrapecrisis.org

Domestic Violence and Child Advocacy Center
216-391-4357 (HELP) (24-hour hotline)
www.dvcac.org

United Way of Greater Cleveland
1331 Euclid Ave
Cleveland, OH 44115
216-436-2100
www.211.org
Dial “211” to get information about social, health and government resources 24 hours a day, every day.
### Cleveland Campus - Crime Statistics

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1This site does not have On-Campus Residential Facilities.
### Cleveland Campus – Arrests and Judicial Referrals

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\(^1\)This site does not have On-Campus Residential Facilities.

### Cleveland Campus – Additional Hate Crimes

There were no reported Hate Crimes for the years 2016, 2017 or 2018.
Dublin Campus

Dublin Campus Main Office
6775 Bobcat Way
Dublin, OH 43016
(614) 793-5556

Dublin Local Law Enforcement

City of Dublin Police Department
The Dublin Police Department has jurisdiction for the Dublin Campus.
Dublin Justice Center
Dublin, OH 43017
614-410-4800 (Admin) or 911 if an emergency

*Franklin County Sheriff’s Office
Information on registered sex offenders near the Dublin Campus can be obtained from the Franklin County Sheriff’s Office.
370 South Front Street
Columbus, OH 43215
614-525-3333 or 911 if an emergency
https://sheriff.franklincountyohio.gov/

*Union County Sheriff’s Office
Information on registered sex offenders near the Dublin Campus can be obtained from the Union County Sheriff’s Office.
221 West 5th Street
Marysville, OH 43040
937-645-4100
www.co.union.oh.us/Sheriff

*The Dublin campus has property in both Franklin and Union counties.
Dublin Campus Resources

Senior Director, Campus Administration
Dublin Dean’s Suite 350
Medical Education Building 1 (MEB1)
6775 Bobcat Way
Dublin, OH 43016
614-793-5558
Please inform this office of campus issues and emergencies

On-site Administrator
HCOM - Dublin, MEB1-114
Dublin, OH
614-793-555

Campus Student Support Services
(614) 793-5572, (614) 793-5569, or (614) 793-5657
6775 Bobcat Way
Dublin, OH 43016
MEB1 116 Learning Services
MEB1 118 Assistant Director of Inclusion
MEB1 120 Assistant Director of Student Affairs

US Security
(614) 563-6726
Offers a 24 hour 7 days per week unarmed security presence on the Dublin campus
Dublin Area Resources

Franklin County Prosecutor’s Office/Victim Witness Unit
373 South High Street #14
Columbus, OH 43017
614-525-3555
Franklin County Prosecutor's Website

Syntero Inc.
Primary care and behavioral health care services
299 Cramer Creek Court
Dublin, OH 43017
614-889-5722
www.syntero.org

The OhioHealth Sexual Assault Prevention Network of Central Ohio
(614) 267-7020 (24hr Helpline)
(614) 566-4414 (office)
OhioHealth Sexual Assault Prevention Network

Buckeye Region Anti-Violence Organization (BRAVO)
BRAVO offers comprehensive individual and community programs for survivor advocacy and support to LGBTQI survivors of hate and bias violence, intimate partner bias, stalking, and sexual assault.
(614) 294-7867
www.bravo-ohio.org

OhioHealth Dublin Methodist Hospital
Full service medical facility
(614) 544-8000
7500 Hospital Dr.
Dublin, OH 43016

Ohio Domestic Violence Network
Provides referrals to shelters, in addition to providing information about legal resources, housing, and economic support.
1-800-934-9840
1855 E. Dublin-Granville Rd.
Columbus, OH 43229

Legal Aid Society of Columbus
A non-profit organization that provides legal assistance to economically disadvantaged people in Central Ohio through advocacy, education, and empowerment.
(888) 246-4420
1108 City Park Ave.
Columbus, OH 43206
## Dublin Campus - Crime Statistics

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<tr>
<th>Offense</th>
<th>Year</th>
<th>On Campus</th>
<th>On-Campus Residential Facilities(^1)</th>
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\(^1\)This site does not have On-Campus Residential Facilities.
Dublin Campus – Arrests and Judicial Referrals

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</table>

1This site does not have On-Campus Residential Facilities.

Dublin Campus – Additional Hate Crimes

There were no reported Hate Crimes for the years 2016, 2017 or 2018.
Eastern Campus

Eastern Campus
45425 National Roast West
St. Clairsville, OH 43950
(740) 699-1720

Eastern Campus Local Law Enforcement

Ohio State Highway Patrol
The Ohio State Highway Patrol has the responsibility to investigate all crimes that occur on the campus.
St. Clairsville, OH 43950
740-695-0915 or 911 if an emergency
www.statepatrol.ohio.gov

Belmont County Sheriff’s Office
Information on registered sex offenders near the Eastern Campus can be obtained from the Belmont County Sheriff’s Office.
68137 Hammond Road
St. Clairsville, OH 43950
740-695-7933 or 911 if an emergency
www.belmontsheriff.com

Eastern Campus Resources

Dean's Office
Please inform this office of campus issues and emergencies.
303 Shannon Hall
740-699-1720 or 740-699-2353

Campus Security
Between the hours of 5pm and 9pm
740-699-2525

Counseling Services
307A Shannon Hall
740-699-2334
Eastern Campus Area Resources

Belmont County Prosecutor's Office Victim/Witness Assistance Program
147 West Main Street
St. Clairsville, OH 43950
740-699-2771
www.belmontcountyprosecutingattorney.com/victims-assistance

Tri-County Help Center
Links, information and services to help people overcome domestic violence, sexual assault and mental illness.
104.5 North Marietta Street
St. Clairsville, OH 43950
740-695-5441 or 1-800-695-1639 (24/7 Hotline)
www.tricountyhelp.org

St. Clairsville Health Center
51339 National Road E
St. Clairsville, OH 43950
740-695-1210
www.wheelinghospital.org
### Eastern Campus - Crime Statistics

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<th>Offense</th>
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<th>On-Campus Residential Facilities¹</th>
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¹This site has no On-Campus Residential Facilities.
## Eastern Campus – Arrests and Judicial Referrals

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### Eastern Campus – Additional Hate Crimes

There were no reported Hate Crimes for the years 2016, 2017 or 2018.
Lancaster Campus

Lancaster Campus
1570 Granville Pike
Lancaster, OH 43130
740-654-6711

Lancaster Local Law Enforcement

Lancaster City Police Department
130 South Broad Street
Lancaster, OH 43130
740-687-6680 or 911 if an emergency
Lancaster Police Department Website

Fairfield County Sheriff's Office
Information on registered sex offenders near the Lancaster Campus can be obtained from the Fairfield County Sheriff's Office.
221 East Main Street
Lancaster, OH 43130
740-652-7900 or 911 if an emergency
Fairfield County Sheriff's Website

Lancaster Campus Resources
Always notify the Information Office (3rd Floor Brasee) in the event of emergency by calling 740-654-6711, Ext. 0.

Dean's Office
519 Brasee Hall
740-654-6711, Ext. 202

Mental Health Counselor
Brasee Hall
740-687-0835 or 740-687-6711, Ext. 215

Student Review and Consultation Committee
339 Brasee Hall
740-687-6711, Ext. 209
Lancaster Area Resources

Fairfield County Prosecutor’s Office Victim/Witness Assistance Program
239 West Main Street
Lancaster, OH 43130
740-652-7560
www.co.fairfield.oh.us/prosecutor

New Horizons Mental Health Services
1592 Granville Pike
Lancaster, OH 43130
740-687-0835
www.newhorizonsmentalhealth.org

Family Health Services of East Central Ohio- Licking County Rape Crisis Center
1-800-688-3266 (24-hour Hotline)

Crisis/Suicide Prevention Hotline
740-687-8255
## Lancaster Campus - Crime Statistics

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\(^1\)Includes data from the Pickerington Center. \(^2\)Neither Lancaster Campus nor the Pickerington Center has On-Campus Residential Facilities.
## Lancaster Campus – Arrests and Judicial Referrals

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\(^1\)Neither the Lancaster Campus nor the Pickerington Center have On-Campus Residential Facilities
\(^2\)Includes data from the Pickerington Center.

## Lancaster Campus – Additional Hate Crimes

There were no reported Hate Crimes at Lancaster Campus or the Pickerington Center for the years 2016, 2017 or 2018.
Pickerington Center

Information for the Pickerington Center is listed here as a separate section for ease of accessing resources. Crime statistics for the Pickerington Center are reported under the “Non-Campus” section of the Ohio University Lancaster Campus.

Pickerington Center
12933 Stonecreek Drive
Pickerington, OH 43147
740-367-9371

Pickerington Local Law Enforcement

Fairfield County Sheriff’s Office
Information on registered sex offenders near Pickerington Center can be obtained from the Fairfield County Sheriff’s Office.
221 East Main Street
Lancaster, OH 43130
740-652-7900 or 911 if an emergency
www.sheriff.fairfield.oh.us

Pickerington Center Resources
Always NOTIFY the Director’s Office by dialing 673 on a campus phone, or 614-367-9371, in the event of emergency.

Director's Office
614-367-9371, Ext. 670

Mental Health Counselor
740-687-0835 or 740-687-6711, Ext. 215

Student Review and Consultation Committee
339 Brasee Hall
Lancaster, OH 43130
740-687-6711, Ext. 209

Associate Dean’s Office/Harassment Issues
507 Brasee Hall
Lancaster, OH 43130
740-687-6711, Ext. 211
Pickerington Areas Resources

Fairfield County Prosecutor's Office Victim/Witness Assistance Program
239 West Main Street
Lancaster, OH 43130
740-652-7560
www.co.fairfield.oh.us/prosecutor

New Horizons Mental Health Services
437 Hill Road North
Pickerington, OH 43147
614-834-1919
http://www.newhorizonsmentalhealth.org/

Family Health Services of East Central Ohio- Licking County Rape Crisis Center
1-800-688-3266 (24-hour Hotline)

Crisis/Suicide Prevention Hotline
740-687-8255

Lighthouse Shelter for Victims
740-687-4423
Proctorville Center

Information for the Proctorville Center is listed here as a separate section for ease of accessing resources. Crime statistics for the Proctorville Center are reported under the “Non-Campus” section of the Ohio University Southern Campus.

Proctorville Center
111 Private Drive 516
Proctorville, OH 45669
740-886-7655

Proctorville Local Law Enforcement

Lawrence County Sheriff’s Office
Source for information on registered sex offenders near Proctorville Center.
115 South 5th Street
Ironton, OH 45638
740-532-3106 or 740-532-3526 or 911 if an emergency
www.lawcoso.com

Ohio State Highway Patrol
Along with the Lawrence County Sheriff’s Office, has jurisdiction at the Proctorville Center.
141 Township Road 161
South Point, OH 45680
740-377-4311 or 911 if an emergency
www.statepatrol.ohio.gov

Proctorville Police Department
The Proctorville Center is outside the village limits; however, Proctorville Police will respond if needed.
301 State Street
Proctorville, OH 45669
740-886-6366

Proctorville Center Resources

Director’s Office/Counseling Services/Office of Student Services
Greg Smith Hall
740-886-7655
Proctorville Area Resources

Lawrence County Prosecutor's Office Victim/Witness Assistance Program
1 Veterans Square
Ironton, OH 45638
740-533-4360
www.lawrencecountyprosecutor.org

Hope's Place
*Information, referrals, hospital advocacy, and Sexual Assault Nurse Examiner (SANE) program*
1-866-325-4737 (24-hour Hotline)

Shawnee Mental Health Center, Inc.
715 Lane Street & 225 Carlton-Davidson Lane
Coal Grove, OH 45638
740-533-6280 and 740-533-0648
www.shawneemhc.org
Southern Campus

“Non-campus” areas of the Ohio University Southern campus include the Proctorville Center located at 111 Private Drive 516, Proctorville, OH 45669, Ohio Horse Park located at 400 Bobcat Lane, Franklin Furnace, OH 45629, the Child Development Center in Hanging Rock located at 300 Main Street, Ironton, OH 45638 and the Campus & Community Center in Ironton.

Southern Campus
1804 Liberty Ave
Ironton, OH 45638
(740) 553-4600

Southern Campus Local Enforcement

Lawrence County Sheriff’s Office
Information on registered sex offenders near Southern Campus can be obtained from the Lawrence County Sheriff’s Office.
115 South 5th Street
Ironton, OH 45638
740-532-3106 or 740-532-3526 or 911 if an emergency
www.lawcoso.com

Ohio State Highway Patrol
The Ohio State Highway Patrol, along with the Lawrence County Sheriff’s Office, has jurisdiction at the Southern Campus.
141 Township Road 161
South Point, OH 45680
740-377-4311 or 911 if an emergency
www.statepatrol.ohio.gov

Ironton Police Department
301 South 3rd Street
P.O. Box 704
Ironton, OH 45638
740-532-2338 or 911 if an emergency
www.ironton-ohio.com

Scioto County Sheriff’s Office
The Scioto County Sheriff’s Office has jurisdiction for the Ohio Horse Park in Franklin Furnace, a part of Southern’s “non-campus property.” Information on registered sex offenders near the Ohio Horse Park can be obtained from the Scioto County Sheriff’s Office.
1025 Sixteenth Street
Portsmouth, OH 45662
740-354-7566 or 911 if an emergency
www.sciotocountysheriff.com
scso@sciotocountysheriff.com
Southern Campus Resources

Dean's Office
Collins Center
740-533-4611

Facilities Management
740-533-4618 or 740-547-3790
*Please inform this office of campus issues and emergencies.*

Director of Student Services and Coordinator of Diversity and Multiculturalism
Collins Center
740-533-4600

Southern Campus (Ironton) Area Resources

Lawrence County Prosecutor’s Office Victim/Witness Assistance Program
1 Veterans Square
Ironton, OH 45638
740-533-4360
www.lawrencecountyprosecutor.org

Shawnee Mental Health Center, Inc.
715 Lane Street & 225 Carlton-Davidson Lane
Coal Grove, OH 45638
740-533-6280 and 740-533-0648
www.shawneemhc.org

Pathways (Drug Abuse Prevention and Rehabilitation)
3701 Landsdowne Drive
Ashland, KY 41102
606-324-3005
Crisis Line: 606-324-1141 or 800-562-8909
www.pathways-ky.org

Hope's Place
Info, referrals, hospital advocacy, and Sexual Assault Nurse Examiner (SANE) program
1-866-325-4737 (24-hour Hotline)
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<th>Offense</th>
<th>Year</th>
<th>On Campus</th>
<th>On-Campus Residential Facilities(^1)</th>
<th>Non-Campus(^2)</th>
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\(^1\)Neither the Southern Campus nor the Proctorville Center have On-Campus Residential Facilities

\(^2\)Includes data from the Proctorville Center
## Southern Campus – Arrests and Judicial Referrals

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<th>Offense</th>
<th>Year</th>
<th>On Campus</th>
<th>On-Campus Residential Facilities(^1)</th>
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</tbody>
</table>

\(^1\)Neither the Southern Campus nor the Proctorville Center have On-Campus Residential Facilities

\(^2\)Includes data from the Proctorville Center

### Southern Campus – Additional Hate Crimes

There were no reported Hate Crimes at Southern Campus or the Proctorville Center for the years 2016, 2017 or 2018.
Zanesville Campus

Zanesville Campus
1425 Newark Road
Zanesville, OH 43701
(740) 453-0762

Zanesville Local Law Enforcement

Muskingum County Sheriff's Office
Information on registered sex offenders near Zanesville Campus can be obtained from the Muskingum County Sheriff's Office.
1840 East Pike
Zanesville, OH 43701
740-452-3637 or 911 if an emergency
www.ohiomuskingumsheriff.org

Ohio State Highway Patrol
3760 East Pike
Zanesville, OH 43701
740-453-0541 or 911 if an emergency
www.statepatrol.ohio.gov

Zanesville City Police Department
332 South Street
Zanesville, OH 43701
740-45-0700

Zanesville Campus Resources

Zanesville Campus Public Safety Department
470C Campus Center
740-683-3584

Associate Dean's Office
Elson Hall
740-588-1506

Student Review and Consultation Committee
740-588-1397 or 740-588-1506
Zanesville Area Resources

Muskingum County Prosecutor's Office
740-455-7123

Genesis-Good Samaritan Hospital
800 Forest Avenue
Zanesville, OH 43701
740-454-5000
www.genesishcs.org

24-Hour Crisis Line/Emergency Services
740-453-5818

Muskingum Behavioral Health
601 Underwood Street
Zanesville, OH 43701
740-562-4427

Transition Inc. Domestic Violence Shelter
740-454-3213

Response Victim Assistance Program
1175 Newark Road
Zanesville, OH 43701
740-454-6001
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<th>Offense</th>
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<th>On-Campus Residential Facilities</th>
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1Neither the Zanesville Campus nor the Cambridge Center have On-Campus Residential Facilities

2Includes data from the Cambridge Center
### Zanesville Campus – Arrests and Judicial Referrals

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<th>Offense</th>
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<th>On-Campus Residential Facilities</th>
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</tbody>
</table>

1 Neither the Zanesville Campus nor the Cambridge Center have On-Campus Residential Facilities
2 Includes data from the Cambridge Center

### Zanesville Campus – Additional Hate Crimes

There were no reported Hate Crimes at the Zanesville Campus or the Cambridge Center for the years 2016, 2017 or 2018.
Fire Safety Report

From the Safety Department

Thank you for taking the time to read this year’s annual fire safety report. This report, prepared annually by the Safety Department, is provided to meet the requirements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998.

The Safety Department’s mission is to provide, so far as possible, a safe and healthy environment in which to work and conduct teaching, research, and learning. Our health and safety programs provide services and guidance to campus students, faculty, and visitors.

Our department provides a wide array of safety related services including programs in:
- Fire Protection
- Sanitation and Pest Control
- Industrial Hygiene
- Environmental Compliance
- Occupational Safety and Health
- Laboratory and Radiation Safety

Overview

The “Higher Education Opportunity Act” (Public Law 110-315) became law in August, 2008, requiring all United States academic institutions to produce an annual fire safety report outlining fire safety practices, standards, and all fire-related on-campus statistics related to student housing. The following public disclosure report details all information required by this law as it relates to Ohio University as outlined in the initial regulation; subsequent yearly reports will comply with the act as amended.

Scope

The Fire Safety Report is for the main Ohio University campus located in Athens OH.

Definitions

- **On Campus Student Housing Facilities**
  Student housing facilities that are owned or controlled by Ohio University, or are located on property that is owned or controlled by Ohio University, and is within the reasonably contiguous geographic area that makes up the Ohio University campus in Athens, OH.
• **Fire**
  Any instance of open flame or other burning in a place not intended to contain the burning or in an uncontrolled manner.

• **F/A – Fire Alarm System**
  A central, building-wide alarm system that provides fire detection through the use of smoke and heat detectors, monitors fire suppression systems, sounds building-wide evacuation alarms, and is monitored by the Ohio University Police Department.

• **S – Fire Sprinkler System**
  Water based automatic fire suppression system.

• **S/A – Local Smoke Alarm**
  A device that contains a smoke detector and an integrated audible alarm. When activated the local smoke alarm sounds an audible alarm but does not activate the facility fire alarm system and or send an alarm signal the Ohio University Police Department.

**On Campus Housing and Fire Safety Equipment**

At Ohio University, all of our residence halls are protected by fire detection and alarm systems which are centrally monitored 24 hours a day, seven days a week. The buildings are also equipped with either emergency generators or lighting fixtures that incorporate backup batteries which automatically activate to assure adequate egress lighting in hallways and emergency exit stairwells. Fourteen of our residence halls have full sprinkler systems. All fire safety systems and equipment are strictly maintained and tested in accordance with applicable national standards. On the next page, is a chart that details the fire protection systems present in each residence hall.
<table>
<thead>
<tr>
<th>Residence Hall</th>
<th>Address</th>
<th>Fire Alarm System</th>
<th>Fire Sprinkler System</th>
<th>Fire Extinguishers</th>
<th>Standpipe System</th>
<th>Number of Evacuation Drills Conducted Each Academic Year</th>
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All Residence Halls are equipped with room smoke detectors
*Standalone smoke detectors
**Smoke detectors report to fire panel
Fire Safety Education, Training, and Drills

Upon request, all on-campus residents, including those with special needs, receive intensive and comprehensive fire safety training at the beginning of each semester. Each resident is required to review and comply with the requirements outlined in Ohio University Student Housing Handbook, which includes information on fire safety and what appropriate action to take during a fire alarm or fire emergency. There is an emergency evacuation map posted on each floor to direct occupants to primary and secondary exits.

Fire drills are conducted each semester in all of the occupied residence halls in coordination with Ohio University’s Safety Department. Fraternity and sorority houses that are located in Athens must follow the same procedures that apply to residence halls.

Specific Fire Prevention Related Policies and Programs

- **Policy 44.105: Fire Emergencies**
  Affirms procedures that students must evacuate the building upon fire alarm activation and outlines the role of staff members in overseeing evacuation procedures and reentry into the building when authorized. This policy is intended to prevent injury, loss of life, and property damage from fire emergencies. [http://www.ohio.edu/policy/44-105.html](http://www.ohio.edu/policy/44-105.html)

- **Policy 44.109: Safety Management**
  Ensures systematic integration of safety and environmental considerations into all university activities. This policy applies to all members of the university community and also to contractors whose work is directed on a day-to-day basis by university employees. [Policy 44.109: Safety Management Full Text](#)

- **Policy 44.113: Smoking**
  Prohibits smoking in all Ohio University buildings; on appurtenant rooftops and terraces; in public buildings directly and indirectly under the control of Ohio University; and within 10 feet of Ohio University buildings, including windows and ventilation intake openings. This policy provides an Ohio University smoking policy in compliance with Ohio Smoking Law, Chapter 3794 of the Ohio Revised Code, effective date December 7, 2006, and with the Ohio Fire Code provisions on Smoking, Section 310. [Policy 44.113: Smoking Full Text](#)

- **Policy 42.501: Decorations in University Buildings**
  States that all room furnishings and/or decorations and the decorating of public spaces is strictly controlled, additional limitations on the use of flammable and combustible materials for decorations in both residence rooms and common areas. This policy establishes the conditions for safe use of decorations in university buildings, including classroom, administrative, and residence buildings. [Policy 42.501: Decorations in University Buildings Full Text](#)
• **The Ohio University Student Housing Handbook**
  Document which is part of the housing contract, limits the types of electrical appliances allowed in residence halls, establishes expectations for compliance with drills and training, provides for periodic health and safety inspections of residence hall rooms, affirms limitations on materials that may be stored in resident rooms, prohibits open flames without a permit, limits the use of combustible decorations/furnishings, and defines the consequences if students violate university policies and programs. [Student Housing Handbook Full Text](#)

Specifically:

- Electrical appliances such as electric stoves, George Foreman-type grills, toaster ovens, toasters, crock pots, sandwich makers, space heaters, hot plates, and other open coiled appliances are not permitted in residence hall rooms. No extension cords of any type are permitted, and halogen bulb lamps and high intensity lamps are prohibited.

- Items that require an open flame, operate on fuel, or produce heat (such as Bunsen burners, lit candles, incense, and alcohol burners) are prohibited.

- Student rooms, common areas, storage, and mechanical areas are subject to regular inspection by the Ohio Fire Marshal’s Office, Safety Department personnel, and Student Programs staff. In addition, resident room inspections are conducted once per semester by hall staff in order to identify any health or safety concerns. Violations of fire and life safety policies are subject to university judicial action and appropriate sanctions.

- Anyone found causing a false fire alarm, tampering with fire-safety equipment, or not properly evacuating during a fire alarm will face arrest and/or judicial referral.

- Ohio University’s Fire Safety program establishes requirements for periodic fire safety inspections of all university buildings, including residence halls; provides for periodic training for employees and students on basic fire safety; affirms conditions that must be maintained in all university properties to comply with the Ohio Fire Prevention Code; and, establishes requirements for the permitting, approval and inspection of hot work, use of open flames/burning, pyrotechnics and special effects, and temporary facilities, tents and stages.

### Specific Programs and Procedures

- **Residence Life Fire Safety**
  Fire Safety is taken very seriously at Ohio University. It is customary that your hall will conduct a fire drill. Please comply fully with the building evacuation and re-entry procedures during these drills. Any time you hear a fire alarm, pick up your keys and OU ID, lock your door, and leave the building immediately. Never
use the elevator. Take the time to learn where the fire alarms and exit routes are from any room in your building (you won't always be in your own room when the alarm sounds or when you spot smoke or flames). If you encounter smoke or flames in the building, pull the nearest fire alarm, leave the building immediately, and call 911.

- **Residence Life Electrical Safety**
  Very few of our residence hall rooms have a sufficient number of electrical wall outlets to accommodate all of the appliances which you'll have with you or be in locations which will be most convenient to your chosen room layout. Therefore, when you are trying to be creative, please follow the electrical safety "do's" and "don'ts" by referring to the Student Housing Handbook.

- **Space Heaters**
  Ohio University recognizes that individuals have different levels of comfort associated with temperature and heat. The use of electric space heaters as a temporary measure is permitted, if guidelines are followed.

- **Recreational Fires**
  The Safety Department requires a permit for recreational or ceremonial fires. For permits call (740) 593-1666. Please allow ten (10) days to process. Compliance must be met for the Athens City Fire Department Burn Law (effective 8/29/06).

- **Multi-outlet Assemblies (Power Strips)**
  Power strips should be properly secured to a permanent surface, equipped with fuse or circuit breaker, energized from a permanent outlet, grounded 3-wire type, and UL approved.

- **Extinguisher Training**
  Training is offered any time, please contact the Safety Department at (740) 593-1666 if you would like to practice using a fire extinguisher or to set up a training class.

- **Nuisance Fire Alarms**
  Fortunately, the cause of most fire alarms is not fire, but something else. Causes can be accidental (somebody bumping into a fire alarm device, a worker spray painting, sawing/sanding wood, or welding too close to a detector), unintentional (dust or insects the detector sees as smoke, or a smoke detector too close to a kitchen area, or water that leaks into a detector), mechanical (a malfunctioning system--usually when a new system is being installed, an electrical storm, or a faulty wire), or malicious (intentionally setting off the alarm). To learn more, please visit: How To Live With Your Fire Alarm System.

- **Fire Drills**
  Fire drills will be conducted each semester during the academic session. Drills are conducted for each of the 40 residence halls by Ohio University staff. The
Safety Department keeps records of these drills as well as those reported by off-campus in the recognized Fraternity and Sorority Houses.

- **Prevention and Inspection Programs**
  Safety Department conducts a fire drill during the first two weeks of the academic session at each residence hall. Random fire safety inspections are made weekly throughout the Ohio University campus by Residence Life staff. Fraternities and sororities are inspected by the Safety Department.

- **Building Construction and Alarm Systems**
  Some residence halls are equipped with fire department standpipes, hoses, and some have sprinkler systems. Each residence hall is equipped with a fire alarm system that includes manual pull stations, horns and strobe lights. All rooms contain smoke detectors, either single or multi-station (interconnected to the fire alarm panel). The fire alarm and sprinkler systems are inspected and tested according to code requirements and fire extinguishers are scheduled to be inspected monthly per code.

- **Fraternity and Sorority Inspections**
  Ohio University has a special relationship with fraternity and sorority chapters. As part of that special relationship, the university allows sophomore students to be exempted from the on-campus housing policy. In order to maintain this exemption, chapters must comply with certain rules and expectations.

- **Tents, Canopies, Football, and Outdoor Events**
  The state of Ohio requires a permit for all tents and membrane structures (air inflated or frame covered structure) over 200 square feet, and canopies (open sides at least 75%) over 400 square feet. Please visit the following sites for specific requirements.
  - Tent/Canopy Permit Policy
    - A permit is required for tents, canopies, and membrane structures available from the Ohio Department of Commerce. These permits are not processed by Ohio University. For more information please review the BBS Memo.
  - State of Ohio Tent/Canopy Permit
  - Tent/Canopy Application Explanation and Guidelines
  - Assembly Events Inspection Requirements

**Fire Reporting**

The Ohio University Police Department monitors the status of all fire detection and fire suppression systems in residence halls. If a fire occurs, it must be reported to the Ohio University Police Department by calling (740) 593-1911 (non-emergency) or 911 (emergency). The Ohio University campus fire log is available for viewing upon request in the lobby of the Safety Department Monday – Friday, 8:00am to 5:00pm.
Plans for Future Improvement

Ohio University maintains a prioritized list of projects to upgrade older fire systems, enhance the capabilities of existing systems, or install new fire safety systems in existing buildings while providing comprehensive maintenance and testing schedules.

Reporting Fires and Emergencies

Report on-campus fires to 911 and activate the building fire alarm using a manual fire alarm pull-station. Please note: All fires, included those that have been extinguished, must be reported to the Ohio University Police Department.

To report a fire and all other emergencies to the Ohio University Police Department:

- Call (740) 593-1911 from a cellular or off campus phone
- Call 3-1911 from any campus phone
- Use a blue light phone or other emergency telephone

Emergency Procedures

Ohio University has published an Emergency Response Guide to help members of the Ohio University community properly respond to emergencies on campus. The current version of the guide can be found at the Ohio University Emergency Programs web page.

Evacuation Procedures

All persons are required to evacuate from and exit the building any time: the fire or evacuation alarm sounds; an evacuation announcement is made; or a University official orders you to evacuate.

When evacuating, remember to:

- Close any open windows in your room
- Take jackets or clothing needed for protection from the weather
- Feel the top of your door for heat before opening it
- Stay low and open the door slowly checking for signs of smoke or fire in the corridor
- Lock your room door behind you as you leave
- Proceed quickly to the nearest exit
- Move away from the building and to your floor’s meeting location
- If you have information about the emergency then report it to emergency responders
• If you are unable to exit the building due to a disability or fire conditions, take refuge to a safe location and call 911. If possible, signal out a window to emergency responders.

Smoke Detectors

All on-campus student housing rooms are equipped with local smoke alarms that when activated will sound an in-room audible alarm. Many smoke alarms are connected to the building fire alarm system for power and monitoring purposes. Some in-room smoke alarms do not sound a building-wide alarm and do not send an alarm signal to the Ohio University Police Department. In-room smoke alarms are designed to alert room occupants.

Reporting Malfunctioning Local Smoke Alarms

Report malfunctioning smoke alarms to Facilities Management and Safety by calling (740) 593-2911 at any time, day or night.

Never cover, remove, or tamper with smoke alarms or other fire protection equipment.

Ohio University Fire Safety Plan

The current Ohio University Fire Safety Plan is detailed below. This fire safety plan is applicable to all campus facilities, including on-campus student housing facilities.

In Case of a Fire Emergency
Ohio University Policy 44.105: Fire Emergencies

When a Fire Alarm Sounds

1. Evacuate the building immediately via the nearest available exit. Go to a location out of the path of emergency response vehicles, away from fire hydrants, approximately 50 feet away from the building, and account for the people in your group. If you know someone is unable to evacuate the building, you should relay that information to 911.

2. If you cannot evacuate the building due to mobility impairment, the intensity of the fire, or smoke, then "Shelter in Place" by:
   a. closing the doors to the room you are in;
   b. calling 911 to give your location and information;
   c. stopping up cracks (e.g., with wet towels) to block smoke;
   d. open windows to the outside for fresh air; and staying next to the floor to avoid breathing hot gases and smoke.
   e. Wait until help arrives.
3. In order to slow the spread of the fire, doors, and if possible, windows, should be closed as the last person leaves a room or area during the evacuation of the building.

4. Do not use elevators, use the building’s stairwells.

5. Do not return to your room until the all clear signal is given by the Ohio University Police Department ("OUPD"), or the Athens Fire Department, or — in the case of a fire drill — Safety Department Personnel.

If you Discover a Fire

1. Call 911.

2. Assist any person in immediate danger to safety, if that can be accomplished without risk to you or other persons.

3. Do not try to fight the fire yourself; call 911 and be prepared to give your name, location, and fire information. If the fire is small enough and you have been trained, you may use a nearby fire extinguisher to control and extinguish the fire after calling 911.

4. Immediately activate the building fire alarm system by pulling a manual fire alarm pull station on your way out of the building if the building alarm is not already sounding. In all residence halls and many other buildings this will automatically notify OUPD and the fire department and get help on the way. The Stopper II device which covers the pull station will sound a local alarm when opened. Do not mistake this for the actual fire alarm. After opening this cover, the actual pull station must be pulled to sound the fire alarm.

5. If you cannot evacuate the building, then shelter in place, as described in item 2 of subsection I, above.

6. Never reenter a building after a fire without permission from the Athens Fire Department or OUPD.

Fire Statistics

The number and cause of each fire in an individual residence hall are detailed below.
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<th>Classification of Fire</th>
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Appendix: Definitions

I. Sexual Assault (Sex Offense) Definitions
Any sexual act directed against another person, without consent of the victim, including instances where the victim is incapable of giving consent.

A. Sexual Assault Classifications - the following definitions were used to classify reported sexual assaults:

1. Rape
Penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.

2. Fondling
The touching of the private body parts of another person for the purpose of sexual gratification without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or temporary or permanent mental or physical incapacity.

3. Incest
Non-forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

4. Statutory Rape
Non-forcible sexual intercourse with a person who is under the statutory age of consent.

II. Crime Definitions
As per the Clery Act, the following definitions were used to classify reported offenses.

A. Arson
Any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.

B. Aggravated Assault
An unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm. (It is not necessary that injury result from an aggravated assault when a gun, knife, or other weapon is used which could and probably would result in a serious personal injury if the crime were successfully completed.)
C. **Burglary**  
The unlawful entry of a structure to commit a felony or theft. For reporting purposes this definition includes: unlawful entry with the intent to commit a larceny or felony; breaking and entering with the intent to commit a larceny; housebreaking; safecracking; and all attempts to commit any of the aforementioned.

D. **Manslaughter By Negligence**  
The killing of another person through gross negligence.

E. **Murder and Non-Negligent Manslaughter**  
The willful (non-negligent) killing of one human being by another.

F. **Motor Vehicle Theft**  
The theft or attempted theft of a motor vehicle. (All cases where automobiles are taken by persons not having lawful access even though the vehicles are later abandoned, including joyriding, are classified as motor vehicle thefts.)

G. **Robbery**  
The taking or attempting to take anything of value from the care, custody, or control of a person or persons by force or threat of force or violence and/or by putting the victim in fear.

H. **Drug Law Violations**  
The violation of laws prohibiting the production, distribution and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use. The unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation or importation of any controlled drug or narcotic substance. Arrests for violations of state and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing and making of narcotic drugs. The relevant substances include: opium or cocaine and their derivatives (morphine, heroin, codeine); marijuana; synthetic narcotics – manufactured narcotics which can cause true addiction (Demerol, methadone); and dangerous non-narcotic drugs (barbiturates, Benzedrine).
I. Liquor Law Violations
The violations of laws or ordinances prohibiting: the manufacture, sale, transporting, furnishing, or possession of intoxicating liquor; maintaining unlawful drinking places; bootlegging; operating a still; furnishing liquor to a minor or intemperate person; underage possession; using a vehicle for illegal transportation of liquor, drinking on a train or public conveyance; and all attempts to commit any of the aforementioned. (Drunkenness and driving while under the influence are not included in this definition.)

J. Weapon Law Violations
The violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices, or other deadly weapons. This classification encompasses weapons offenses that are regulatory in nature, such as the manufacture, sale, or possession of deadly weapons; carrying deadly weapons, concealed or openly; using, manufacturing, etc. of silencers; furnishing deadly weapons to minors; aliens possessing deadly weapons; and all attempts to commit any of the aforementioned.

III. Violence Against Women Act Offense Definitions
The "Violence Against Women Reauthorization Act of 2013" (VAWA) created amendments to the Clery Act. One such addition was implementing three new types of reportable offenses, seen below. This Annual Security Report provides statistics for these Clery offenses for the years 2013, 2014 and 2015. VAWA also added two categories of bias for the reporting of hate crimes (see section V below).

A. Domestic Violence
The term "domestic violence" includes felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim; by a person with whom the victim shares a child in common; by a person who is cohabitating with, or has cohabitated with, the victim as a spouse or intimate partner; by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred; or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the crime of violence occurred.

B. Dating Violence
The term "dating violence" means violence committed by a person:
(a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and
(b) where the existence of such a relationship shall be determined based on a consideration of the following factors
   (i) The length of the relationship;
   (ii) The type of relationship; and
(iii) The frequency of interaction between the persons involved in the relationship.

C. Stalking
The term "stalking" means engaging in a course of conduct directed at a specific person that would cause a reasonable person to:
(a) fear for his or her safety or for the safety of others; or
(b) suffer substantial emotional distress.

IV. Violence Against Women Act Policy Definitions
A. Awareness Programs
Awareness programs refers to programs, campaigns, or initiatives that increase audience knowledge of the issues of sexual assault, domestic violence, dating violence and stalking and share information and resources to prevent interpersonal violence, promote safety, and reduce perpetration. These efforts can include campus communitywide mobilizations as well as targeted, audience-specific programming (including both students and employees). Awareness month campaigns, “Speak Outs,” rallies or marches, informational poster campaigns or resource websites, and educational programming that focuses on sharing resources and information about these issues are examples of awareness programs.

B. Bystander Intervention
Bystander intervention refers to safe and positive options that may be carried out by an individual or individuals to prevent harm or intervene in situations of potential harm when there is a risk of domestic violence, dating violence, sexual assault, or stalking against a person other than the individual. Effective bystander intervention training prepares participants to recognize situations of potential harm, overcome barriers to intervening, identify safe and effective intervention options, and take action.
C. **Ongoing Prevention and Awareness Campaigns**

Ongoing awareness and prevention campaigns refer to campaigns that are sustained over time focusing on increasing awareness or understanding of topics relevant to sexual assault, domestic violence, dating violence, and stalking prevention. These programs will occur at different levels throughout the institution (i.e. faculty, athletics, incoming students, etc.) and will utilize a range of strategies. Ongoing awareness and prevention campaigns may include information about what constitutes sexual assault, dating violence/intimate partner abuse, and stalking; changing social norms; promoting recognition of perpetrator tactics; enhancing understanding of consent; and advancing prosocial behaviors of individuals and communities. Effective ongoing awareness and prevention campaigns will include developmentally appropriate content for the specific audience and their knowledge and awareness level, and provide positive and concrete ways for individuals to get involved.

D. **Primary Prevention Programs**

Primary prevention refers to programming, initiatives, and strategies intended to stop domestic violence, dating violence, sexual assault, or stalking before it occurs, preventing initial perpetration or victimization through the promotion of positive and healthy behaviors and beliefs. Efforts to change behavior and social norms; promote healthy relationships, healthy sexuality and egalitarian gender roles; understand risk factors and protective factors for bystander inaction; and change social norms around bystander inaction are all examples of primary prevention.

E. **Risk Reduction**

Risk reduction refers to approaches that seek to mitigate risk factors that may increase the likelihood of perpetration, victimization, or bystander inaction. Risk reduction focuses on helping individuals and communities address the institutional structures or cultural conditions that facilitate sexual violence, domestic violence, dating violence, and stalking to increase safety. Examples of risk reduction may include, but are not limited to, general crime prevention education, campus escort programs, programs that educate on how to create individual and community safety plans and strategies, bystander intervention programs that educate the campus on how to recognize and interrupt situations of harm, and communications systems that can notify the entire campus community of immediate threats to security.

V. **Hate Crimes**

Ohio University reports all Hate Crimes that occur. Hate Crimes are reported based on the listed crimes below and are committed intentionally because of **Race, Gender, Gender Identity, Religion, Sexual Orientation, Ethnicity, Disability, or National Origin**.
The following crimes are reported: Murder/Non-Negligent Manslaughter, Negligent Manslaughter, Robbery, Aggravated Assault, Simple Assault, Motor Vehicle Theft, Arson, Burglary, Sexual Assaults (rape, fondling, incest, and statutory rape), VAWA offenses (domestic violence, dating violence, and stalking), Larceny-Theft, Intimidation, and Destruction/Damage/Vandalism of Property. The hate crime statistics for each campus can be found at the bottom of their Campus Statistics table.

VI. Geographic Locations
A. On-Campus
   Defined as (A) Any building or property owned or controlled by an institution within the same reasonably contiguous geographic area and used by the institution in direct support of, or in a manner related to, the institution’s educational purposes, including residence halls; and (B) Any building or property that is within or reasonably contiguous to the area identified in paragraph (A) of this definition, that is owned by the institution but controlled by another person, is frequently used by students, and supports institutional purposes (such as a food or retail vendor).

B. Non-Campus Building or Property
   Defined as (A) Any building or property owned or controlled by a student organization that is officially recognized by the institution; or (B) Any building or property owned or controlled by an institution that is used in direct support of, or in relation to, the institution’s educational purposes, is frequently used by students, and is not within the same reasonably contiguous geographic area of the institution.

C. Public Property
   Defined as all public property, including thoroughfares, streets, sidewalks, and parking facilities, that is within the campus, or immediately adjacent to and accessible from the campus.