

**SHAWNEE STATE UNIVERSITY
BOARD OF TRUSTEES**

**Meeting Minutes
October 14, 2016**

Swearing-in of New Board Members

Chairperson Howarth administered the oath of office to newly appointed Board member, Dr. George White and newly appointed Student Board member, Ms. Mykalley Detty. Chairperson Howarth presented each with a Shawnee State University lapel pin and congratulated them on their appointment.

Call to Order

Chairperson Howarth called the meeting to order at 1:20 p.m. noting the meeting was in compliance with RC § 121.22(F).

Roll Call

Members Present: Mr. Evans, Mr. Furbee, Ms. Hartop, Ms. Hash, Ms. Higgs-Horwell, Mr. Howarth, Mr. Watson, Dr. White, Mr. Williams, Ms. Detty and Mr. Stiers

Members Absent: None

Approval of the August 19, 2016 Board Meeting Minutes

Mr. Watson moved and Ms. Higgs-Horwell seconded a motion to approve the August 19, 2016 minutes.

Without discussion, the Board unanimously approved said minutes.

Approval of the October 14, 2016 Agenda

Mr. Evans moved and Ms. Hash seconded a motion to approve the October 14, 2016 agenda.

Without discussion, the Board unanimously approved said agenda.

Consent Agenda

1. Resolution ASA08-16, Approval of Policy 5.01Rev, Non-Discrimination/Sexual Harassment
2. Resolution F25-16, Acceptance of Shawnee State University's 2016 Financial Audit
3. Resolution F27-16, Policy 4.52Rev, Administrative Leaves Correction
4. Resolution F28-16, Policy 1.05Rev, Investment Policy
5. Resolution F29-16, Administration of Capital Facilities Projects

Chair Howarth directed the Board to review the action items on the Consent Agenda and asked if anyone wished to remove any items from the Consent Agenda.

There being no objection, the consent agenda was unanimously approved.

Academic and Student Affairs Committee Report

Ms. Higgs-Horwell reported on behalf of the Academic and Student Affairs Committee:

1. Academic Affairs Executive Report - Dr. Bauer reported on campus events, the Clark Memorial Library, the Academic Quality Improvement Program, the Summer Bridge Program, and an equipment donation to the Plastics Engineering Technology program. In addition, he reported on SSU's \$1.9 million Title III grant that will be used to expand advising, tutoring, supplemental instruction, and career coaching.
2. Fall Enrollment Report - Ms. Jennifer Hammonds, Acting Registrar, reported on Fall 15-day enrollment numbers and 5 year enrollment comparison.
3. Housing and Residence Life Report - Ms. Monique Harmon, Director, Housing & Residence Life reported the Fall housing occupancy numbers.
4. Enrollment Management & Student Affairs Executive Report - Dr. Anne Marie Gillespie, reported on recent activities in Enrollment Management & Student Affairs regarding outreach, activities and student engagement. An EMSA Newsletter highlights recent activities and updates.
5. Student Government Association - Ms. Abby Brinkman, SGA President, reported on the activities of the Student Government Association.
6. Education - Dr. Bauer, Dr. Gillespie, and Ms. Elizabeth Blevins, Director of Marketing and Communications, presented an update on development and marketing of our signature programs.

Finance and Administration Committee Report

Mr. Williams reported on behalf of the Finance and Administration Committee:

1. Resolution F26-16 adopts post-issuance compliance policy and procedures strongly recommended by the Internal Revenue Code so as to ensure the preservation of the tax-exempt status of the Series 2016 Bonds issuance.

Mr. Williams moved and Mr. Watson seconded a motion to approve Resolution F26-16, A Resolution Adopting Post-Issuance Compliance Procedures Relating to the Issuance of Federally Tax-Exempt Bonds.

Without discussion, the Board unanimously approved Resolution F26-16.

2. Status of the 2016 Series Bond Issuance – A presentation was made to Moody's representatives on October 6, 2016; the resulting rating should be known by October 18, 2016; the schedule is on track for pricing the week of October 31, 2016.
3. Oracle ERP Implementation Status – implementation of the marketing and recruitment systems is nearly complete; the next phase which includes comprehensive financial and human resources modules is on track to meet a "go-live" date of June 30, 2017; this transformational effort within a compressed timeline requires a substantial commitment, dedication and creativity from all participants while fulfilling normal duties.

4. University Capital Projects – phase I of the Health Sciences/STEMM construction is underway with expectation of meeting scheduled completion date of 12/1/16; phase II has been advertised with the expected completion of fall 2017.
5. Personnel Actions (May – September 2016) – this report covered personnel transactions that have occurred for the period of May through September 2016 reflecting a significant amount of activity due to the start of the academic year.
6. Education - A discussion was held regarding the efforts underway to develop a more strategic and flexible general fund reserves policy that incorporates risk assessments, aligns with the institution's strategic plan, and establishes a general fund reserves threshold.

Reports from Board Liaisons with other Organizations

None.

President's Report

President Kurtz extended a welcome to new Board of Trustees members White and Detty, thanking them for their commitment to serve SSU.

President Kurtz described his vision for an expanded role that the Trustees can and will need to play as advocates for the institution. Friendraising and fundraising is increasingly important in the spheres of government relations, traditional development, and non-traditional development to create new and diverse revenue streams. Shawnee State will increasingly promote a message for hand-up support rather than handouts, in an effort to make material progress toward the goal of the Governor and Lumina Foundation of 65% post-secondary attainment by 2025. Sons and daughters of college graduates are already attending post-secondary institutions at record high levels; therefore, for Ohio to meet the 65% goal by 2025, first generation student attendance and completion is absolutely necessary. The costs of educating these first generation students are substantially higher and thus Shawnee State has a legitimate need in seeking addition state funding toward that end.

President Kurtz also shared information about the upcoming Department of Higher Education Trustees Conference and encouraged trustee attendance as a sign of support for the state agency.

New Business

None.

Comments from Constituent Groups and the Public

None.

Faculty Senate Report

Dr. Feight reviewed the purpose of Faculty Senate and presented an overview of FY17 projects including revision of the Intellectual Property policy, revision of shared governance agreement, and revision of the student academic conduct code.

Executive Session

Mr. Williams moved and Mr. Watson seconded a motion to move into Executive Session to confer with the University's General Counsel concerning pending litigation; to prepare for collective bargaining negotiations; and to review the employment of a University employee.

Ayes: Mr. Evans, Mr. Furbee, Ms. Hartop, Ms. Hash, Ms. Higgs-Horwell, Mr. Howarth, Mr. Watson, Dr. White, Mr. Williams

Nays: None

The Board moved into Executive Session at 1:57 p.m.

Mr. Williams moved and Mr. Watson seconded a motion to exit Executive Session. The Board unanimously agreed to exit Executive Session and returned to public session at 2:58 p.m.

Other Business

None.

Adjournment

The Board was adjourned by acclamation at 3:00 p.m.

Chairperson, Board of Trustees

Secretary, Board of Trustees

RESOLUTION ASA08-16

**APPROVAL OF POLICY 5.01REV
NON-DISCRIMINATION/SEXUAL HARASSMENT POLICY**

WHEREAS, a systematic review of institutional policies has been undertaken in accordance with Policy 5.00, Policy on Policies and Procedures; and

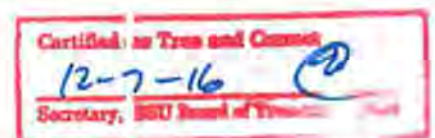
WHEREAS, Policy 5.01REV, Equal Opportunity and Non-Discrimination/Harassment, along with the procedures that address sexual harassment and reporting discrimination have undergone an extensive review; and

WHEREAS, the U.S. Department of Education has, since the last revision of this Policy, issued final rules for the Violence Against Women Act and has issued other guidance for prevention of sex discrimination; and

WHEREAS, the provision of Policy 5.10REV that addresses equal opportunity for employment is undergoing a separate review and it is intended that such review will result in a separate University policy on equal opportunity to ensure compliance with federal regulations;

THEREFORE BE IT RESOLVED, that the Board of Trustees of Shawnee State University hereby approves revision of Policy 5.01REV and for this policy to be renamed to Non-Discrimination/Sexual Harassment Policy.

(October 14, 2016)



Shawnee State University

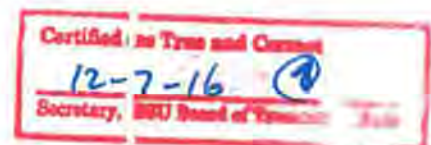
<u>POLICY TITLE:</u>	EQUAL OPPORTUNITY & NON-DISCRIMINATION/ <u>SEXUAL HARASSMENT POLICY</u>
POLICY NO. :	5.01 <u>REV</u>
ADMIN CODE:	3362-5-02
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	10/14/16
NEXT REVIEW DATE:	10/2019
RESPONSIBLE OFFICER(S):	VPFA & VPMSA .

1.0 POLICY PURPOSE

- 1.1 Shawnee State University is committed to having an educational and working environment ~~that provides an equal opportunity~~ for students and employees ~~and that~~ is without unlawful or prohibited discrimination and harassment.
- 1.2 This policy serves to ensure that there are University structures and processes in place that ~~promote equal opportunity for students and employees and~~ prohibit discrimination against any individual because of race, color, genetic information, religion, age, disability, national origin, ancestry, sex, pregnancy, sexual orientation, gender identity, veteran status or military status.

2.0 UNIVERSITY RESOURCES AND PROCESSES

- 2.1 The University will have processes and resources in place to protect students, employees and visitors from prohibited discrimination and harassment and to ensure the following:
 - 2.1.1 Compliance with applicable state and federal laws that address discrimination and harassment;
 - 2.1.2 Complaints of discrimination and harassment are adequately reviewed and resolved; and
 - 2.1.3 Training and education, designed to prevent discrimination and harassment, is conducted throughout the University.
- 2.2 There will be University employees who have the requisite authority and responsibility to ensure compliance with laws and ~~u~~University policies and procedures that address discrimination, ~~equal employment opportunities and affirmative action.~~



- 2.2.1 There will be a Title IX Coordinator and deputy coordinators who have overall responsibility for matters addressing sexual harassment and sexual misconduct. The Title IX officers will have responsibility to ensure that the University has clear processes in place for sexual harassment complaints from students, employees and visitors; and that sexual harassment and sexual misconduct complaints are appropriately investigated and resolved.
- 2.2.2 There will be at least one ~~ADA~~ Coordinator for disability issues whose responsibility will be to address allegations of discrimination based upon disability, to ensure compliance ~~of~~with applicable state and federal laws and related University policies and procedures, and to review and appropriately respond to accommodation and access requests for students, employees and visitors.
- 2.3 There will be a system(s) in place to track all reports and complaints of discrimination. An annual report shall be prepared and submitted to the President and other senior officials from each University office or unit that is responsible for discrimination compliance that documents the number and type of discrimination complaints and reports filed with the University within the previous year, along with the resulting resolution or outcome.
- ~~2.4 There will be an adequate and regularly updated affirmative action plan in place to promote equal opportunity for employment and is compliant with the University's obligations as a federal contractor or subcontractor, and is compliant with applicable federal, state and local laws.~~

3.0 PROCEDURES

- 3.1 There will be procedures in place, approved by the President, to amplify this policy. Such procedures will include, but not be limited to, the following topics or areas:
- 3.1.1 Sexual harassment procedure(s) that applies to students, employees and visitors that includes definitions and identifies forms of sexual harassment and misconduct, and addresses consent and consensual relationships, notification and reporting, the investigative process, confidentiality, discipline and consideration of the classroom and instructional settings;
- 3.1.2 Disability procedure(s) that applies to students, employees and visitors and addresses equal access to University programs, activities and services and process(es) for reasonable accommodations;
- 3.1.3 An investigation and complaint procedure(s) that addresses a clear process for initiating a complaint of prohibited/unlawful discrimination/or harassment or retaliation that applies to students, employees and visitors, process for notification and reporting, an and adequately describes the



description of the investigative process, confidentiality, and discipline and other corrective measures; ~~retaliation and consideration of the classroom and instructional settings;~~

- ~~3.1.4~~ — Affirmative action and equal opportunity procedure that applies to the employment setting that addresses: recruitment, selection and promotion processes for identifying the most qualified applicants, while providing a strong emphasis on reaching out to underrepresented groups; leadership development initiatives that includes inclusiveness and diversity; and employee development processes to ensure equal opportunity for all employees.

History

Effective: 09/13/13; Policies 5.02, 5.03 and 5.05 converted to interim procedures

Revised: 10/14/16

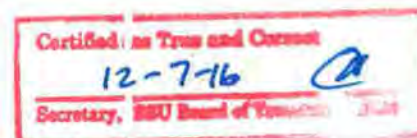
Applicable Procedures: 5.01:2 Reporting and Investigating Sexual Assault, Sexual Misconduct & Other Forms of Discrimination ~~Complaints of Discrimination, Sexual Harassment/ & Retaliation~~

~~5.01:3 Affirmative Action Program for Vietnam-Era and Disabled Veterans~~

~~5.01:4 Sexual Harassment/Misconduct~~

5.01:5 Accommodation for Employees with Disabilities

5.01:6 Accommodation for Students with Disabilities



Shawnee State University

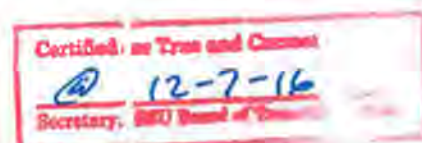
POLICY TITLE:	NON-DISCRIMINATION/ SEXUAL HARASSMENT POLICY
POLICY NO. :	5.01REV
ADMIN CODE:	3362-5-02
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	10/14/16
NEXT REVIEW DATE:	10/2019
RESPONSIBLE OFFICER(S):	VPFA & VPEMSA .
APPROVED BY:	BOARD OF TRUSTEES

1.0 POLICY PURPOSE

- 1.1 Shawnee State University is committed to having an educational and working environment for students and employees that is without unlawful or prohibited discrimination and harassment.
- 1.2 This policy serves to ensure that there are University structures and processes in place that prohibit discrimination against any individual because of race, color, genetic information, religion, age, disability, national origin, ancestry, sex, pregnancy, sexual orientation, gender identity, veteran status or military status.

2.0 UNIVERSITY RESOURCES AND PROCESSES

- 2.1 The University will have processes and resources in place to protect students, employees and visitors from prohibited discrimination and harassment and to ensure the following:
 - 2.1.1 Compliance with applicable state and federal laws that address discrimination and harassment;
 - 2.1.2 Complaints of discrimination and harassment are adequately reviewed and resolved; and
 - 2.1.3 Training and education, designed to prevent discrimination and harassment, is conducted throughout the University.
- 2.2 There will be University employees who have the requisite authority and responsibility to ensure compliance with laws and University policies and procedures that address discrimination.
 - 2.2.1 There will be a Title IX Coordinator and deputy coordinators who have overall responsibility for matters addressing sexual harassment and sexual misconduct. The Title IX officers will have responsibility to ensure that the University has clear processes in place for sexual harassment complaints



from students, employees and visitors; and that sexual harassment and sexual misconduct complaints are appropriately investigated and resolved.

2.2.2 There will be at least one Coordinator for disability issues whose responsibility will be to address allegations of discrimination based upon disability, to ensure compliance with applicable state and federal laws and related University policies and procedures, and to review and appropriately respond to accommodation and access requests for students, employees and visitors.

2.3 There will be a system(s) in place to track all reports and complaints of discrimination. An annual report shall be prepared that documents the number and type of discrimination complaints and reports filed with the University within the previous year, along with the resulting resolution or outcome.

3.0 PROCEDURES

3.1 There will be procedures in place, approved by the President, to amplify this policy. Such procedures will include, but not be limited to, the following topics or areas:

3.1.1 Sexual harassment that applies to students, employees and visitors that includes definitions and identifies forms of sexual harassment and misconduct, and addresses consent and consensual relationships, and consideration of the classroom and instructional settings;

3.1.2 Disability procedure(s) that applies to students, employees and visitors and addresses equal access to University programs, activities and services and process(es) for reasonable accommodations;

3.1.3 An investigation and complaint procedure(s) that addresses a clear process for initiating a complaint of prohibited discrimination/ harassment or retaliation that applies to students, employees and visitors, process for notification and reporting, an description of the investigative process, confidentiality, and discipline and other corrective measures.

History

Effective: 06/05/01

Revised: 10/14/16; 09/13/13 (Replaced Policies 5.02, 5.03, 5.04 and 5.05. Policies 5.02, 5.03, and 5.05 converted to interim procedures)

Applicable Procedures: 5.01:2 Reporting and Investigating Sexual Assault, Sexual Misconduct & Other Forms of Discrimination
5.01:5 Accommodation for Employees with Disabilities
5.01:6 Accommodation for Students with Disabilities



INFORMATION ONLY

PROCEDURE TITLE:	REPORTING & INVESTIGATING SEXUAL ASSAULT, SEXUAL MISCONDUCT & OTHER FORMS OF DISCRIMINATION
PROCEDURE NO.:	5.01:2REV
RELATED POLICY:	5.01REV
PAGE NO.:	1 OF 16
RESPONSIBLE ADMINISTRATOR(S):	TITLE IX COORDINATOR, DEAN OF STUDENTS, HR DIRECTOR
EFFECTIVE DATE:	10/14/16
NEXT REVIEW DATE:	10/2019
APPROVED BY:	PRESIDENT

1.0 INTRODUCTION AND PURPOSE STATEMENT

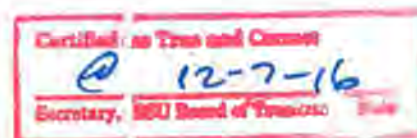
- 1.1 This procedure serves to implement the investigation and complaint provisions of Policy 5.01, Non-Discrimination/Sexual Harassment, by identifying University pathways for students, employees and campus visitors to report sexual violence, sexual misconduct (sexual harassment), other unlawful discrimination, and retaliation, and to ensure that all discrimination complaints received by the University are reviewed and responded to promptly and in a fair and equitable manner.
- 1.2 This procedure further serves to provide additional focus on sexual misconduct and to ensure compliance with laws that serve to prevent sexual violence, including the Jeanne Clery Act and the Violence Against Women Reauthorization Act.
- 1.3 The terms “Complainant” and “Respondent” are used throughout this procedure. These terms are defined in Section 18, Definitions, along with terminology associated with sex and gender discrimination.

2.0 JURISDICTION AND APPLICATION

- 2.1 This procedure applies to complaints of sexual misconduct and other prohibited discrimination that take place at the following locations, events and circumstances:
 - 2.1.1 On property that is owned, leased or managed by the University, including student housing and athletic fields.



- 2.1.2 At academic and non-academic University-sponsored events, and activities sponsored or conducted by student organizations.
 - 2.1.3 That occur off-campus when the Title IX Coordinator or other administrator responsible for this procedure determines that the alleged off-campus conduct could reasonably create a hostile environment or be detrimental to the University.
 - 2.2 This procedure applies to all aspects of the University's programs and operations and applies to all employees, students, visitors, agents and volunteers.
- 3.0 EMPLOYEE DUTY TO REPORT
- 3.1 All University employees, except those exempted by legal privilege of confidentiality, such as University counselors, have an obligation under Ohio law to report incidents of a known sexual or other felonious assault to Public Safety or other law enforcement authority immediately.
 - 3.2 Mandatory Reporters. The following University employees by virtue of their position are considered "mandatory reporters" and have an obligation to report a violation of the Non-Discrimination/Harassment policy when they become aware of information that would lead a reasonable person to believe that prohibited discrimination may have occurred involving anyone covered under this procedure:
 - 3.2.1 Human Resources professionals
 - 3.2.2 Student Affairs professionals, and para-professionals (resident advisors)
 - 3.2.3 Supervisors
 - 3.2.4 Academic department chairs, program directors, program coordinators, clinical coordinators and developmental directors
 - 3.2.5 Faculty members, including adjuncts
 - 3.2.6 Athletics coaches, assistant coaches, and trainers
 - 3.2.7 Public Safety personnel
 - 3.3 Any person obligated to report under this section and who fails to report or take appropriate action, is subject to discipline.
 - 3.4 Any other person with knowledge or belief that sexual misconduct or other prohibited discrimination has occurred should report the alleged acts immediately



to a University official identified in Section 5, Reporting Pathways, of this procedure.

3.5 The following employees are exempt from reporting:

3.5.1 University employees who serve as counselors in the University's Counseling and Psychological Services; and

3.5.2 University employees in the SSU Health Clinic who have a professional license requiring confidentiality or are supervised by a person with such professional license are exempt from the duty to report.

4.0 FALSE ALLEGATIONS

4.1 It is a violation to knowingly make a false allegation or report of sexual misconduct, other discrimination or retaliation. Any employee or student found to knowingly or recklessly have made a false report or allegation is subject to discipline.

4.2 A University finding that sexual misconduct or other prohibited discrimination did not occur or that there was a lack of sufficient evidence to prove a claim of sexual misconduct/discrimination does not necessarily mean that a false allegation or report has been made.

5.0 REPORTING PATHWAYS

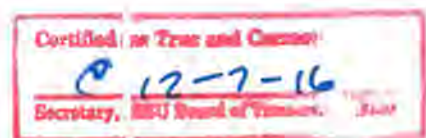
5.1 Any individual, student, employee or contractor or other campus visitor who has experienced, witnessed, or has a been made aware of an incident of sexual misconduct/harassment, unwelcome sexual behavior, discrimination or retaliation, is encouraged to report it, even if the individual is uncertain whether discrimination, harassment or retaliation has occurred. Any victim, witness or other person, who wishes to consult with someone about an incident without making an official complaint may also contact a University official identified in the Reporting Pathways section of this procedure.

5.2 Reports of sexual misconduct/harassment, other discrimination and retaliation may be through the University's Online Complaint Form <http://www.shawnee.edu/offices/title-IX/complaint.aspx>

Reports may also be directed to any of the below-identified University administrators or officials:

5.2.1 Sexual and Non-sexual Assault, and other crimes of violence

Individuals who experience or witness incidents that involve sexual assault, physical assault, or other violence or threatening behavior



should immediately contact law enforcement. The SSU Department of Public Safety should be contacted for criminal incidents that occur at a University-sanctioned event or on University-owned, leased or managed property, including student housing. The Department of Public Safety can be reached at by calling 740-351-3232. You may also call 911.

5.2.2 Sexual Misconduct

Any person (student, employee, contractor or visitor) may report a violation of sexual misconduct to the Title IX Coordinator or any Deputy Title IX Coordinator. For contact information see:

<http://www.shawnee.edu/offices/title-IX/coordinator.aspx>

5.2.3 Other Forms of Discrimination

5.2.3.1 Students may report any discrimination violation to the Director of Housing and Residence Life or Dean of Students. For contact information see:

<http://www.shawnee.edu/offices/dean-students/>

5.2.3.2 Employees may report any discrimination violation to the Director of Human Resources, a supervisor or higher ranking administrator. For contact information see:

<http://www.shawnee.edu/offices/human-resources/compliance.aspx#eoo>

5.2.3.3 Campus visitors may report a violation to the Director of Human Resources. For contact information see:

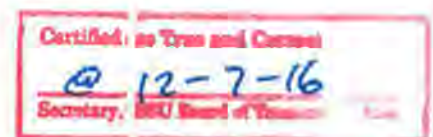
<http://www.shawnee.edu/offices/human-resources/compliance.aspx#eoo>

5.3 Making a report to one of the above listed University offices does not preclude an individual from also filing a complaint with an external agency, such as the Ohio Civil Rights Commission (OCRC), the Equal Employment Opportunity Commission (EEOC), or the Office for Civil Rights in the U.S. Department of Education (OCR). Nor does it extend time limits with those agencies. Information regarding filing charges with an outside agency may be obtained by contacting the agency directly or from Human Resources.

5.4 Anonymous Complaints and Requests for Anonymity

5.4.1 Anonymous complaints will be accepted, however, the University's ability to fully and effectively investigate may be limited.

5.4.2 In situations where a complainant requests anonymity or declines to participate in an investigation, the University will honor that request, if it is possible to do so while also protecting the health and safety of the



complainant and the University community. In such circumstances, the University may take other appropriate steps designed to eliminate the reported conduct, prevent its recurrence, and remedy its effects on the complainant and the University community.

- 5.4.3 In all circumstances, a complainant has a right not to participate in an investigation.

6.0 CONFIDENTIALITY AND PRIVACY

In order to protect all parties, every effort will be made to handle the matter throughout the investigative process as discreetly as possible, but it is not possible to guarantee absolute confidentiality. Information received during the course of the investigation will be treated as confidential, except to the extent it is necessary to disclose information in the investigation process or when required by law.

7.0 RETALIATION

The University will not tolerate retaliation in any form against any person who makes an allegation, reports, serves as a witness, assists a complainant or participates in the University's investigation. Any employee or student determined to have committed retaliation, is subject to discipline in accordance with the applicable University process. Any visitor found to have retaliated is subject to a campus ban and other available legal remedies.

8.0 ROMANTIC AND SEXUAL RELATIONSHIPS IN SUPERVISORY AND INSTRUCTIONAL SETTINGS

- 8.1 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.
- 8.2 Therefore, persons with direct supervisory, evaluative, grading, coaching, counseling, 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.
- 8.3 Shawnee State 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.



9.0 CLASSROOM AND INSTRUCTIONAL SETTINGS

The classroom and other instructional setting may provide special circumstances since academic freedom protects the expression of ideas, even if controversial or offensive. However, conduct will not be exempt merely because it occurs in an instructional setting. The investigation relating to alleged offensive conduct will consider the legitimate pedagogical context and appropriate deference will be afforded to the presentation or discussion in an instructional setting of sexual topics that are mature, controversial, graphic or explicit and not considered sexual harassment, even if some persons find these topics offensive.

10.0 INTERIM MEASURES

10.1 Upon receipt of a report of a violation of the Non-Discrimination/Sexual Harassment Policy, the University will work with the complainant to take or identify measures for support in order to ensure equal access to the University's education and employment programs and activities. Such support may be available before the final outcome of the investigation and may even be made without a formal investigation.

10.2 Student Interim measures include, but are not limited to:

- 10.2.1 No contact order
- 10.2.2 Change in housing assignment
- 10.2.3 Availability of off-campus resources
- 10.2.4 Counseling
- 10.2.5 Health services
- 10.2.6 Safety resources, including safety escort service
- 10.2.7 Academic support
- 10.2.8 Change in work or class schedule and/or location

10.3 Employee Interim measures include, but are not limited to:

- 10.3.1 No contact order
- 10.3.2 Availability of off-campus resources
- 10.3.3 Employee Assistance Program (EAP)
- 10.3.4 Safety resources, including safety escort service
- 10.3.5 Change in work schedule and/or location



11.0 INFORMAL RESOLUTION

- 11.1 An informal process to resolve a sexual misconduct/discrimination complaint may be appropriate in some circumstance when all parties agree. Informal or early resolution is encouraged when the parties desire to resolve the situation cooperatively and/or when a formal resolution is not likely to yield a satisfactory outcome. Participation in the informal resolution process is voluntary.
- 11.2 The University will not offer the informal process in cases of sexual violence or felonious assault.
- 11.3 If the University deems the matter appropriate for informal resolution, a University conduct officer (for students) or designated administrator will work with the parties towards a mutually agreed upon resolution.
- 11.3.1 The process may include an inquiry into the facts, informal discussion with the parties, mediation, and/or referral to counseling.
- 11.3.2 The resolution may include educational and training programs for either or both parties and specific remedies for the individual harmed by the offense.
- 11.3.3 Any party may end the early resolution process at any time and may choose to either begin the formal complaint process or to not further pursue the matter.

12.0 UNIVERSITY OFFICES RESPONSIBLE FOR CONDUCTING DISCRIMINATION INVESTIGATIONS

The University will investigate all reports of sexual misconduct and discrimination. Reports of sexual misconduct or other discrimination will be assessed and investigated by the following offices:

12.1 Sexual Misconduct.

The Title IX Coordinator or assigned deputy is responsible for the assessment and investigation of all reports of sexual misconduct. The Title IX Coordinator is responsible for monitoring all sexual misconduct investigations.

12.2 Other Discrimination

- 12.2.1 Reports made against a student will be assessed and investigated by the Director of Housing and Residence Life or Student Affairs Conduct Officer. The Director of Housing and Residence Life is also responsible for monitoring the investigation.



12.2.2 Reports made against an employee will be assessed and investigated by the Director of Human Resources or designee.

12.2.3 Reports made against an outside vendor, contractor or other visitor will be assessed and investigated by Public Safety or Human Resources.

13.0 COMPLAINT ASSESSMENT

13.1 In determining whether to pursue a formal investigation, an assessment will be made by the responsible official identified in Section 12 to determine whether the allegations are sufficiently specific and credible and what office(s) should be involved in the investigatory process.

13.2 The assessment will typically include a meeting with the complainant to clarify the complaint. Such meeting may also be an opportunity to assess whether the matter is appropriate for an informal resolution. (See Section 11, Informal Resolution.)

14.0 INVESTIGATION PROCESS

14.1 General Approach and Information

14.1.1 All parties will be informed of the investigative process and allegations being investigated.

14.1.2 The investigation generally will include interviews with the parties, interviews with other witnesses as determined by the investigator, and a review of relevant documents.

14.1.3 In cases of alleged sexual assault, relationship violence, or stalking, parties will be given timely and equal access to information that will be used during disciplinary meetings and hearings. In cases of non-violent sexual misconduct and other forms of discrimination, the investigator may, if deemed appropriate, equitably share information with all parties.

14.2 Interfering with an Investigation

14.2.1 Any party, witness, or other individual who interferes with a University investigation will be in violation of Policy 5.01 and this procedure, and is subject to discipline in accordance with the applicable University process. Interfering with an investigation includes, but is not limited to, the following:

14.2.1.1 Falsification, distortion, and/or misrepresentation of information at any point during the investigation or resolution process;



14.2.1.2 Attempting to discourage an individual's participation in the investigation or resolution process;

14.2.1.3 Attempting to influence the impartiality of an investigator or decision-maker.

14.3 Support Person.

Parties may have one individual (example: friend, family member, union representative or student ombudsman) present during any investigation meeting, student hearing, or other disciplinary proceeding that the party is noticed to attend. The support person does not serve as a spokesperson and may not unreasonably interject or interfere during any interview, meeting or hearing. If a support person is determined to be unreasonably interfering with the meeting or proceeding, that individual may be asked to leave.

14.4 Standard of Review.

The investigator and decision-maker will apply the "preponderance of evidence" standard to determine whether a violation of this policy has occurred. Therefore, if a violation of Policy 5.01, Non-Discrimination/Sexual Harassment, is found, the behavior is more likely than not to have occurred.

14.5 Investigation Timeframe.

14.5.1 A typical investigation will take approximately 60 calendar days following receipt of the complaint. This will vary depending on the complexity of the investigation and the severity and extent of the alleged discriminatory violation.

14.5.2 The process may also be extended if necessary due to holidays and academic breaks, illness, and unavailability of parties or witnesses.

15.0 INVESTIGATIVE FINDINGS

The investigator will report to the decision-making administrator of the investigative finding and may, if advised by the decision-making administrator, include recommended corrective actions. If the respondent is a student, the final report will be directed to the Dean of Students. If the respondent is an employee, the final report will be directed to the appropriate department or administrator responsible for the supervision and discipline of the employee. A written summary report will be provided to the parties.



16.0 RESOLUTION, CORRECTIVE ACTION AND OTHER REMEDIES

- 16.1 If the investigative report concludes that no violation of the discrimination policy occurred, the disciplinary process will not be initiated, no corrective action will be taken and the parties will be notified in writing.
- 16.2 If the investigative report concludes that a violation may have or has likely occurred, the matter will follow a University disciplinary review process described below. Corrective actions may include formal reprimand, suspension and termination.

16.2.1 If respondent is a University employee:

- 16.2.1.1 Full-time regular faculty member. The disciplinary review process for a full time regular faculty member is described in the article titled "Complaint Resolution and Disciplinary Process" in the collective bargaining agreement between the University and the Shawnee Education Association (SEA). The matter will be reviewed by the College Dean. This process provides a pathway for appeal.

Link to collective bargaining agreement:

<http://www.shawnee.edu/offices/human-resources/media/SEA-Contract.pdf>

- 16.2.1.2 Administrative and Administrative Technical Support Staff (ATSS), which includes managerial, supervisory, administrative and Public Safety employees, are subject to SSU Policy 4.51, which addresses "corrective action." The matter will be reviewed by either the Vice President for the employee's division or other senior level administrator.

Link to University policy:

<http://www.shawnee.edu/leadership/policies/media/policy-451rev.pdf>

- 16.2.1.3 Hourly employees (non-administrative). The disciplinary review process for full-time and regular part-time hourly employees is described in the article titled "Discipline" in the collective bargaining agreement between the University and the Communications Workers of America (CWA). The matter will be reviewed by either the Vice President for the employee's division or other senior level administrator.

Link: <http://www.shawnee.edu/offices/human-resources/media/CWA-Contract-2013-2016.pdf>



16.2.1.4 Security officers. The disciplinary review process for security officers is addressed in Policy 4.85, Corrective Action. Link: <http://www.shawnee.edu/leadership/policies/media/policy-485.pdf>

16.2.2 If the respondent is a student, the judicial hearing process in the Student Conduct Code will be followed. Potential sanctions under the Student Conduct Code include official warnings, remedial sanctions, disciplinary probation, deferred suspension, suspension, dismissal, and other educational sanctions deemed appropriate. The Conduct Code provides a pathway for an appeal.

<http://www.shawnee.edu/offices/dean-students/media/student-conduct-code.pdf>

16.2.3 When the respondent is not affiliated with the University, the recommendations will be implemented by the appropriate office. The University response may include a permanent ban from campus.

16.3 In all cases of alleged violation of the policy, the respondent student or employee will be informed in writing of the finding and any recommendation for sanctions or corrective action. The complainant will be informed in writing of the finding, any actions taken to resolve the complaint that are directly related to the complainant, and any disciplinary action or sanction imposed when the complainant needs to be aware of the sanction for it to be fully effective (e.g., restrictions on communication or contact with the complainant).

16.4 In cases of sexual assault, relationship violence, or stalking, parties will receive notice of findings simultaneously, in writing, including notice of all sanctions or corrective actions imposed.

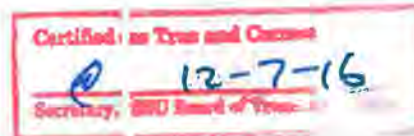
17.0 OTHER REMEDIES

When the University makes a finding of a policy violation it will take steps, whether individual or systemic, to stop the alleged sexual misconduct or other discrimination, prevent its recurrence, eliminate any hostile environment, and remedy the discriminatory effects on the complainant and others, as appropriate.

18.0. DEFINITIONS

18.1 Complainant The individual who files a report or on whose behalf a report is filed.

18.2 Respondent The individual against whom a report has been filed.



18.3 Sex and Gender Based Discrimination Negative or adverse treatment based on sex (including sexual harassment, sexual violence, sexual misconduct, relationship violence (domestic violence or dating violence) or stalking), gender, gender identity, sexual orientation, or pregnancy, and the treatment denies or limits the individual's ability to obtain the benefits of Shawnee State's programs or activities.

18.4 Gender Identity A person's innermost concept of self as male or female or both or neither—how individuals perceive themselves and what they call themselves. One's gender identity can be the same or different than the sex assigned at birth.

18.5 Sexual Orientation A person's sexual identity in relation to the gender to which they are attracted; the fact of being heterosexual, homosexual, or bisexual.

18.6 Sexual Harassment

18.6.1 Sexual harassment includes sexual advances, requests for sexual favors, and other physical or verbal conduct of a sexual nature that is unwelcome and sufficiently severe or pervasive from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint.

18.6.2 Sexual harassment can take two forms - quid pro quo or hostile environment:

18.6.2.1 Quid pro quo sexual harassment exists when:

18.6.2.1.1 There are unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature; and

18.6.2.1.2 Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic status; or

18.6.2.1.3 Submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions adversely affecting such individual.

18.6.2.2 Hostile environment in the employment context includes any situation in which there is harassing conduct that is sufficiently severe, persistent, or pervasive that it unreasonably interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment; hostile environment in the education context includes any situation in



which there is harassing conduct that limits, interferes with or denies educational benefits or opportunities, from both a subjective (the complainant's) and an objective (reasonable person's) viewpoint. The determination of whether an environment is "hostile" is based on a totality of circumstances. These circumstances may include:

- 18.6.2.2.1 The degree to which the conduct interfered with complainant's educational or work performance;
- 18.6.2.2.2 The type, frequency, and duration of the conduct;
- 18.6.2.2.3 The identity of and relationship between the accused and the complainant(s);
- 18.6.2.2.4 The number of individuals involved;
- 18.6.2.2.5 The age and sex of the accused and the complainant(s);
- 18.6.2.2.6 The location of the incident(s) and the context in which it occurred;
- 18.6.2.2.7 The nature and severity of the conduct;
- 18.6.2.2.8 Whether the conduct was physically threatening;
- 18.6.2.2.9 Whether the conduct was humiliating;
- 18.6.2.2.10 The effect of the conduct on the complainant's mental or emotional state;
- 18.6.2.2.11 Whether the conduct arose in the context of other discriminatory conduct;
- 18.6.2.2.12 Whether the speech or conduct deserves the protections of academic freedom or the first amendment.

18.6.3 A single or isolated incident of sexual harassment (e.g., rape) may be severe enough to create a hostile environment. All such acts of sexual harassment are forms of sexual misconduct covered under this policy.

18.7 Sexual Misconduct is conduct of a sexual nature or conduct based on sex or gender that is non-consensual or has the effect of threatening, intimidating, or coercing a person.

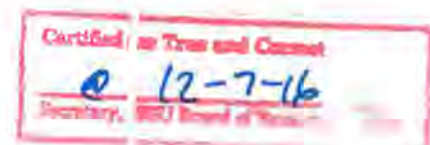


- 18.8 Sexual Violence refers to physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent due to the person's use of drugs or alcohol. An individual also may be unable to give consent due to an intellectual or other disability. A number of different acts fall into the category of sexual violence, including: rape, sexual assault, and sexual coercion. All such acts of sexual violence are forms of sexual harassment covered under Title IX. Gender-based violence may be directed at a person because of the person's gender, gender identity or perceived gender/gender identity.
- 18.9 Sexual Assault is any type of sexual contact or behavior that meets the definition of non-consensual sexual intercourse or of non-consensual sexual contact.
- 18.9.1 Non-consensual sexual contact is any intentional sexual touching, however slight, with any body part or object, by any individual upon another individual that is without consent and/or by force or coercion.
- 18.9.2 Sexual contact includes: intentional contact with the breasts, buttocks, groin, or genitals, or touching another with any of these body parts or object, or making another touch you or themselves with or on any of these body parts; any intentional bodily contact in a sexual manner, though not involving contact with/of/by breasts, buttocks, groin, genitals, mouth, or other orifice. All such acts of non-consensual sexual contact are forms of sexual assault, and therefore sexual misconduct, covered under this policy.
- 18.9.3 Non-consensual sexual intercourse is any sexual penetration, however slight, with any body part or object, by any individual upon another individual that is without consent and/or by force or coercion.
- 18.9.4 Sexual penetration includes: vaginal penetration by a penis, object, tongue or finger; anal penetration by a penis, object, tongue, or finger; and oral copulation (mouth to genital contact or genital to mouth contact); no matter how slight the penetration or contact. All such acts of non-consensual sexual intercourse are forms of sexual assault, and therefore sexual misconduct, covered under this policy.
- 18.10 Relationship Violence includes dating violence and domestic violence. All such acts of relationship violence are forms of sexual misconduct covered under this procedure.
- 18.10.1 Domestic Violence is that which would meet the definition of a felony or misdemeanor crime of violence committed by the complainant's current or former spouse or intimate partner, a person with whom the complainant shares a child in common, a person who is or has cohabitated with the complainant as a spouse or intimate partner, or individual similarly situated to a spouse under domestic or family



violence law, or anyone else protected under the domestic or family violence law of the jurisdiction in which the offense occurred. An individual need not be charged with or convicted of a criminal offense to be found responsible for domestic violence pursuant to this policy.

- 18.10.2 Dating violence is violence or threat of violence by an individual who has been in a social relationship of a romantic or intimate nature with the complainant. Whether there was such relationship will be determined based on the reporting party's statement and with consideration of the length and type of relationship, and the frequency of interaction of the persons involved in the relationship.
- 18.11 Consent is permission that is clear, knowing, voluntary, and expressed prior to engaging in and during an act. Consent is active, not passive. Silence, in and of itself, cannot be interpreted as consent. Consent can be given by words or actions, as long as those words or actions create mutually understandable clear permission regarding willingness to engage in (and the conditions of) sexual activity.
- 18.11.1 Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity.
- 18.11.2 Consent may be withdrawn at any time.
- 18.11.3 Previous relationships or prior consent cannot imply consent to future sexual acts; this includes "blanket" consent (i.e., permission in advance for any/all actions at a later time/place).
- 18.11.4 Consent cannot be given by an individual who one knows to be – or based on the circumstances should reasonably have known to be – substantially impaired (e.g., by alcohol or other drug use, unconsciousness or blackout, etc.).
- 18.11.5 Substantial impairment is a state when an individual cannot make rational, reasonable decisions because she/he lacks the capacity to give knowing consent (e.g., to understand the "who, what, when, where, why, or how" of their sexual interaction).
- 18.11.6 This policy also covers individuals whose substantial impairment results from other physical or mental conditions including mental disability, sleep, involuntary physical restraint, or from the consumption of alcohol or other drugs.
- 18.11.7 Being impaired by alcohol or other drugs will never function as a defense for any behavior that violates this policy.



- 18.11.8 An individual cannot consent who has been coerced, including being compelled by force, threat of force, or deception; who is unaware that the act is being committed; or who is coerced by a supervisory or disciplinary authority.
- 18.12 Stalking is a course of conduct directed at a specific individual that would cause a reasonable person under similar circumstances and with similar identities to the complainant to fear for her, his, or others' safety, or to suffer substantial emotional distress. A course of conduct includes two or more acts, including but not limited to, those in which the alleged perpetrator directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about the complainant, or interferes with the complainant's property.

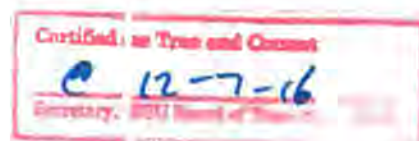
History

Effective: 01/19/91

Revised: 10/14/16, Merges Procedures 5.01:2 and 5.01:4

09/13/13, Replaced Interim Procedure 5.01:2

01/10/06, Policy 5.03, Unlawful and Prohibited Discrimination, Converted to Interim Procedure 5.01:2



RESOLUTION F25-16

**ACCEPTANCE OF SHAWNEE STATE UNIVERSITY'S
FY2016 FINANCIAL AUDIT**

WHEREAS, pursuant to O.R.C. 117.11 the financials of Shawnee State University must be audited every year by an independent firm; and

WHEREAS, the University's designated independent firm of Plante & Moran, PLLC completed the required audit issuing an "unmodified" report; and

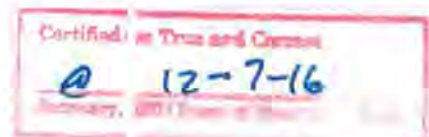
WHEREAS, the financial audit has been approved by the Auditor of State; and

WHEREAS, the 2016 financial audit has been reviewed with the Board of Trustees' Finance and Administration Committee;

THEREFORE BE IT RESOLVED that the Board of Trustees accepts the Shawnee State University 2016 financial audit;

BE IT FURTHER RESOLVED that the Board of Trustees extends its appreciation to University employees, representatives of Plante & Moran, and the Office of the Auditor of State for their collaboration in expediting this major undertaking in order to meet the University's unique timing needs for the 2016 financial audit.

(October 14, 2016)



RESOLUTION F27-16

POLICY 4.52REV, ADMINISTRATIVE LEAVES CORRECTION

WHEREAS, as part of the University's systematic review of policies, Policy 4.52Rev, Administrative Leaves was updated and approved by the Board of Trustees by Resolution F20-16 (copy attached) on August 19, 2016; and

WHEREAS, subsequent to this approval a review of the policy identified that Section 3.5 contained a substantive error and did not accurately convey the intended meaning; and

WHEREAS, Section 3.5 has been corrected to state: *"An employee may accumulate a maximum of two (2) times the accrued days of vacation earned in one year. This amount may be carried over from year to year. With approval of the division vice president, an additional amount may be carried over when vacation cannot be taken due to operational needs outside the employee's control;"* and

WHEREAS, all other provisions of the approved Policy 4.52Rev remain unchanged;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the correction to Section 3.5 of Policy 4.52Rev, Administrative Leaves.

(October 14, 2016)



RESOLUTION F20-16

REVISION OF POLICY 4.52REV, ADMINISTRATIVE LEAVES

WHEREAS, a systematic review of institutional policies has been undertaken at the direction of the President in order to remove outdated policies, and to modify and update policies; and

WHEREAS, Policy 4.52Rev, Leaves of Absence, Holidays, and Vacation for Administrative Staff/ATSS, was approved by the Board of Trustees on September 19, 2014; and

WHEREAS, the provisions of this policy were reviewed for consistency with other employee groups, updated to reflect current operations, and modified the pro-rated vacation leave for 9 and 10 month employees to two personal leave days, retaining flexibility for unexpected business day matters for these employees; and

WHEREAS, these revisions are recommended by the President;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University hereby approves Policy 4.52Rev, Administrative Leaves, effective August 19, 2016.

(August 19, 2016)



Shawnee State University

POLICY TITLE:	ADMINISTRATIVE LEAVES
POLICY NO. :	4.52REV
ADMIN CODE:	3362-4-23
PAGE NO.:	1 OF 13
EFFECTIVE DATE:	08/19/2016
NEXT REVIEW DATE:	08/2019
RESPONSIBLE OFFICER(S):	VPF&A
APPROVED BY:	BOARD OF TRUSTEES

1.0 PURPOSE

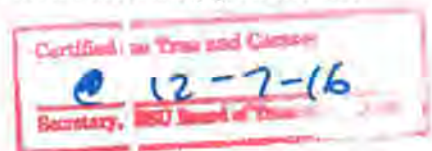
The University is committed to providing administrators and administrative technical support staff (ATSS) with appropriate avenues for employees to take time away from work assignments and for the University to remain fully compliant with applicable regulatory provisions for various forms of leaves that are essential to the health and wellbeing of University employees. This policy identifies the holidays that are observed by the University, provides for the accrual and use of vacation, and defines the various forms of leaves of absences (LOAs) that are available.

2.0 HOLIDAYS

2.1 The following are designated University holidays:

<u>Holiday</u>	<u>Date</u>
New Year's Day	January 1
Martin Luther King Day	Third Monday in January
President's Day*	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Columbus Day*	Second Monday in October
Veteran's Day	November 11
Thanksgiving Day	Fourth Thursday in November
Christmas Day	December 25

2.2 The University will develop a schedule each year that will allow for designated holidays to be observed. The two holidays marked with an asterisk (*) on the list



will be observed on the Friday after Thanksgiving and on the day before Christmas Day.

- 2.3 If any of the holidays as provided herein falls on Saturday, the Friday immediately preceding shall be observed as the holiday. If any of the holidays as provided herein falls on Sunday, the Monday immediately succeeding shall be observed as the holiday.

3.0 VACATION LEAVE AND PERSONAL LEAVE

- 3.1 The University regards a vacation as a period of rest and relaxation earned for past service. Since the annual vacation is important to the wellbeing of employees and their families, employees are encouraged to utilize all earned vacation.
- 3.2 The vacation year upon which accrual is based is July 1 through June 30.
- 3.3 Full-time employees accrue vacation leave based upon the schedule below. Part time employees who work twelve months will receive pro-rated vacation.

<u>Years of Service</u>	<u>Days of Vacation/Employment Year</u>
Less than 3 years	20
3 – 5 years	21
6 – 8 years	22
9 – 11 years	23
12 – 14 years	24
15 years or more	25

- 3.4 Employees working less than twelve months per year will not accrue vacation. Instead they will receive two personal days per year on July 1st which may be used with sufficient notice to arrange coverage and supervisor approval. Unused personal days will not carry over from year to year. These days will be added to the employee's leave balance upon hire and will expire each year on June 30th.
- 3.5 An employee may accumulate a maximum of two (2) times the accrued days of vacation earned in one year. This amount may be carried over from year to year. With approval of the division vice president, an additional amount may be carried over when vacation cannot be taken due to operational needs outside the employee's control. An employee may carry over unused vacation leave from year to year as required by operational needs.



- 3.6 A newly hired employee's vacation accrual rate may include previous full time service with a State of Ohio state agency or political subdivision with the following conditions:
- 3.6.1 The employee must inform and provide written documentation to the Department of Human Resources within ninety (90) days of employment that s/he has full time service with a state agency or political subdivision of the State of Ohio. In such case, the employee's accrual will be adjusted to the appropriate rate from the date of employment with the University.
 - 3.6.2 Notification by the employee to the Department of Human Resources received after ninety (90) days of employment with the University will be applied to the employee's accrual rate beginning the next full pay period in which the request and required documentation are received by Human Resources.
 - 3.6.3 The employee's adjusted accrual balance (whether retroactive to the employment date or a later date) will be reflected on the pay records beginning with the next full pay period after receipt of required documentation.
 - 3.6.4 A year of full time service with a state agency or political subdivision is considered as twenty-six (26) biweekly periods.
- 3.7 Employees requesting vacation leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.
- 3.8 Consistent, excessive vacation leave requests (over 3 weeks in a single instance) may have a negative impact on the operation and will be considered only as an exception with accompanying extenuating circumstances. Requests of this nature will require a written rationale with supervisor approval, as well as the approval of the division vice president.
- 3.9 When an official University observed holiday falls within an employee's vacation that day will not be charged as vacation.
- 3.10 All accrued vacation must be exhausted before an unpaid leave of absence commences.



- 3.11 Employees who retire or resign will be paid for earned but unused vacation up to a maximum of two times the accrued days of vacation in one year at the time of his/her departure. In the event of the death of an employee, vacation pay for vacation earned but not taken up to a maximum of two times the accrued days of vacation in one year will be paid to the estate of the employee.
- 3.12 The Department of Human Resources will maintain an up-to-date record of vacation for each employee. Any questions concerning vacation record-keeping should be directed to Human Resources.

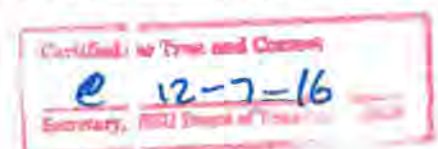
4.0 SICK LEAVE

- 4.1 Sick leave shall be used for an absence from work because of illness, medical, dental or optical examination or treatment of the employee or immediate family member or death of a member of the employee's immediate family. The definition of an immediate family member includes: grandparents, brother, sister, brother-in-law, sister-in-law, daughter-in-law, son-in-law, father, father-in-law, mother, mother-in-law, spouse, child, grandchild, legal guardian, or other person who stands in the place of a parent.
- 4.2 Upon hire, a full-time Administrator or ATSS employee will receive one hundred and twenty (120) hours of sick leave credited to his/her leave account.
- 4.3 After the first year of employment and thereafter, sick leave will accrue for full-time Administrators and ATSS pro-rated each pay period for a maximum of 120 hours per year.
- 4.4 Upon hire, the part-time Administrator or ATSS employee will receive a pro-rated amount of sick leave credited to his/her leave account, based upon the employee's full-time equivalency (FTE) percentage determined at the time of hire. For example, a half-time employee (.50 FTE) will be eligible for a credit of sixty (60) hours of sick leave, etc.
- 4.5 After the first year of employment and thereafter, sick leave shall accrue for part-time administrators and ATSS at a pro-rated amount based upon the employee's FTE for each day in any given pay period.
- 4.6 An Administrator or ATSS may transfer into their University sick leave account any accumulated, documented, and verified sick leave balance that has been



accumulated by a school system, government agency, department or institution of the government of the State of Ohio. If the employee elects to do so and informs the Department of Human Resources within ninety (90) days of his/her employment date, he/she may elect to transfer any unused and unpaid sick leave balance above one-hundred and twenty (120) hours to their Shawnee State University sick leave account. This amount will be in addition to the University credited amount. For example, if the employee had six hundred and twenty (620) hours of unused and unpaid sick leave from a prior state of Ohio employer, then five hundred (500) hours could be transferred to Shawnee State University.

- 4.7 There is no maximum applied to the amount of sick leave that may be accumulated during active employment.
- 4.8 The sick leave account balance will be reduced an hour for each hour of sick leave used. As an alternative to using up sick leave hours, the employee and supervisor may use flexible scheduling (working less hours of the normal schedule and making those hours up another time or day) to account for time off for medical appointments or other reasons which would otherwise be used as sick leave hours. For ATSS, hours must be made up within the same week, or if not, the sick leave account will be reduced an hour for each hour of sick leave used.
- 4.9 Sick leave may be utilized for an authorized absence from scheduled duties due to illness, accident, exposure to contagious disease, family emergencies requiring the attendance of the employee, dental or optical examination or treatment, pregnancy and/or childbirth and related conditions, or death in the immediate family.
- 4.10 Employees requesting sick leave (including leave that qualifies under the Family and Medical Leave Act – FMLA) must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs, thirty (30) days in advance of the need, if foreseeable and such notice is practicable. If it is not possible for the leave request form to be submitted in advance of the leave, it must be approved by supervision and submitted to Human Resources upon return from the absence. Time on approved sick leave will run concurrent with an approved leave under FMLA (refer to section 5.0 below).
- 4.11 If an employee is expected to be off more than five (5) consecutive work days, a signed or official doctor's statement must be submitted in advance to the supervisor or Human Resources. If an employee does not have advance warning, the doctor's statement must be provided to the supervisor or Human Resources as



soon as practicable after the employee knows he/she will be off more than five (5) consecutive days and in no event any later than the date the employee returns to work (unless more time is granted by the Director of Human Resources or designee).

- 4.12 In situations involving Family and Medical Leave, or leave involving less than five (5) consecutive work days, and there are habitual absences, a doctor's statement may be required upon the request of the supervisor or Human Resources. All doctors' statements shall be in the form of a signed or official statement from the attending physician, stating the general nature of the illness, date of medical treatment, and the conditions under which the employee is released to return to work or a statement from the attending physician verifying the illness or injury of the employee's immediate family. The failure to submit doctor's statements, or the failure to submit proper leave forms to Human Resources, may result in delay of payment for the time missed.
- 4.13 The Administrator or ATSS, upon official state retirement from active service or upon separation of employment by an ARP participant who meets the eligibility requirements under the OPERS or STRS retirement systems and with ten or more years of full-time service with the University (including predecessor institutions), will be paid in cash for one-fourth of the value of their sick leave balance, up to one hundred sixty days (320 hours). Payment will be based upon the employee's rate of pay at the time of retirement. Any unpaid leave remaining on the Shawnee State sick leave account will be available for use upon rehire (unless hired into a position that does not provide sick leave). In the event of an employee's death, the estate is not entitled to unused sick leave.
- 4.14 The cash payout of sick leave balance as provided in section 4.13 will be made only once to any Administrator or ATSS. An employee, who received such cash payout rehired by the University after retirement, may accrue and use sick leave while actively employed but shall not convert to cash any unused sick leave balance at the time of a second retirement.
- 4.15 Intentional misuse of the sick leave provision herein may be considered grounds for disciplinary action. Non-compliance with sick leave rules and regulations may result in the Administrator or ATSS not receiving pay for the requested sick leave.

5.0 FAMILY AND MEDICAL LEAVE POLICY

5.1 SCOPE



Employees with one year of service with the University and who have worked for 1,250 hours in the previous 12 month period are eligible for up to twelve weeks of paid (existing sick leave and/or vacation) and/or unpaid leave for qualifying events, in a twelve month period (rolling year, see CFR 29, Part 825.200).

Qualifying events are:

- 5.1.1 Childbirth (due to the birth or to care for the newborn child) – within twelve months following the birth of the employee’s child.
- 5.1.2 Adoption or foster care – within twelve months of the adoption or placement of a child for foster care.
- 5.1.3 Serious personal illness –
 - 5.1.3.1 A serious health condition that results in a period of incapacity for more than three days during which the employee is unable to work, or
 - 5.1.3.2 A chronic condition requiring a regimen of ongoing care by a health care provider that intermittently (less than three days) renders the employee unable to work while seeking treatment or while recovering from the condition.
- 5.1.4 Serious illness of a member of the employee’s immediate family – a serious health condition (as defined in 5.1.1.3 above) which requires the employee to provide care. Immediate family is: father, mother, spouse and child (under 18 or over 18 if incapable of self-care.)
- 5.1.5 Qualifying exigency arising out of the fact that the employee’s spouse, child, or parent is a covered military member on active duty, or has been called to active duty, in support of a contingency operation.
- 5.1.6 Care for a covered service member with a serious injury or illness if the employee is the spouse, child, parent or next of kin of the service member.

5.2 LENGTH OF LEAVE/PAID OR UNPAID

Family and Medical Leave provides an eligible employee to take up to twelve workweeks of leave per rolling twelve-month period. Employees will first use sick leave, where appropriate, prior to vacation and any unpaid leave. Employees will use vacation and any comp time prior to any unpaid leave after sick leave is



exhausted or for events where sick leave is inappropriate. Family Medical Leave coordinates and runs concurrently with other paid and unpaid leaves.

5.3 CHILDBIRTH AND ADOPTION TIMEFRAME

Leave under this policy which pertains to care for a newborn, adopted, or foster child may only be taken within twelve months of the child's birth or placement into the employee's home.

5.4 CERTIFICATION FOR HEALTH LEAVE

If an employee requires leave for a serious health condition for himself/herself or a spouse, parent, or child a health care provider's certification shall be required stating the commencement date and probable duration of the condition and the medical facts substantiating the condition. The University may require an independent examination at no cost to the employee.

5.5 NOTICE OF THE LEAVE

Employees must provide at least thirty days' advance notice if the leave is foreseeable. If the leave must begin within fewer than thirty days, the employee must provide notice as soon as practicable.

5.6 EMPLOYMENT AND BENEFITS PROTECTION

Any employee who takes leave under the provisions of this policy, on return from such leave shall be restored by the University to the position of employment held by the employee when the leave commenced or be restored to an equivalent position with equivalent employment benefits, pay, and other terms and conditions of employment.

5.7 CONTINUATION OF HEALTH PLAN COVERAGE

If after the exhaustion of all forms of paid leave, a period of unpaid leave is required to complete the twelve week leave given through this policy, the University shall maintain the coverage under the group health plan for this period under the conditions coverage would have been provided if the employee had continued in employment continuously for the duration of the leave. Upon return to work, the employee must make arrangements with the Department of Human



Resource to make up the employee contributions missed for insurance coverage while on unpaid leave.

5.8 RETURN FROM LEAVE

If the employee fails to return from Family and Medical Leave, the University may recover the premium that the employer paid for maintaining coverage for the employee under the group health plan during any period of unpaid leave.

6.0 DISABILITY LEAVE

6.1 APPLICATION

6.1.1 Full-time Administrators and ATSS may be granted a disability leave of absence in the event of a disabling illness or injury (except work related in which case workers' compensation rules will apply) that extends beyond leave provided under FMLA.

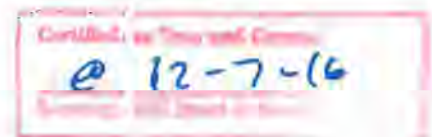
6.1.2 Approval of such leave is contingent upon the employee submitting a satisfactory written physician's statement attesting that the essential functions of the assigned position cannot be performed.

6.1.3 The University can request that an examination be completed by a physician of its choosing. In such case, the University will pay for the cost of the examination.

6.1.4 Written application to the Department of Human Resources should be made as early as possible and must include a statement from the attending physician with a projected return date.

6.2 DURATION AND RETENTION

6.2.1 The duration of disability leave will be based on the projected return date provided by the attending physician. An initial request for disability leave may be for one year or less. A disability leave may be extended one additional year with a request for such extension to be made no later than sixty (60) days prior to the originally scheduled return date. The total amount of time on such leave, paid or unpaid, for the same injury or illness, may not exceed two years. The amount of time shall be reduced by family medical leave used for the same injury or illness.

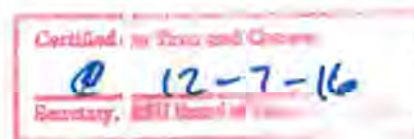


- 6.2.2 In order to be paid leave, the employee will use earned but unused sick, vacation, or comp time. All types of paid leave must be used prior to unpaid leave.
- 6.2.3 Prior to returning to work, the employee must provide the University with the attending physician's release attesting to his/her ability to perform the essential job duties. The University may request an independent examination as identified in 6.1.3 above.
- 6.2.4 The employee will retain reinstatement rights to his/her current position if the disability leave is six (6) months or less. If such leave time exceeds six (6) months, up to a maximum of twelve (12) months, the University will place such employee in the same or similar position in which the employee possesses the required qualifications necessary to perform the essential responsibilities. The University will make every effort to reinstate an employee to the same or similar position if such leave exceeds one year.

6.3 INSURANCE COVERAGE

- 6.3.1 The University will continue group health insurance throughout the period of an approved paid leave.
- 6.3.2 The University will continue group health insurance throughout the period of an approved unpaid leave for a maximum of six (6) months.
- 6.3.3 While on an approved unpaid leave (other than FMLA), the employee must timely remit the established insurance contribution payments for the duration of the leave. If the employee payment contributions are not timely remitted, the employee will forfeit University-provided health plan coverage and may elect health plan continuation under COBRA at 102% of the full cost of the University's health plan.
- 6.3.4 The University will continue group health insurance as provided in the Family and Medical Leave Act (FMLA) of 1993 as currently amended, and offer group health continuation and conversion benefits as provided under the Consolidated Omnibus Reconciliation Act (COBRA).

6.4 DISABILITY RETIREMENT REINSTATEMENT



In the case of an employee who has been granted a disability retirement through OPERS or STRS, the period of reinstatement shall be in accordance with the prevailing rules of the state retirement system. An employee who wishes to be reinstated from disability retirement must make written application to the appropriate Vice President and must complete a "fit to return to duty" examination showing recovery from the disability or injury and attest that the essential functions of the position can be performed. The physical examination shall be given by a licensed physician designated by the University or in the case of disability retirement, by a physician designated by the state retirement system. The cost of such examination will be borne by the individual. No application for reinstatement will be valid if filed after the date that an employee is eligible for service retirement with the state retirement system. The University will consider an application submitted under this provision, however, reinstatement is not guaranteed.

- 6.5 Employees requesting disability leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.

7.0 WORKERS' COMPENSATION LEAVE

Workers' compensation leave will be provided as set forth in the Ohio statutes (ORC Chapter 4123) for workplace injuries and/or occupational diseases. Additional information may be found on the University website at the [Office of Human Resources](#) webpages.

8.0 COURT/JURY DUTY LEAVE

- 8.1 An employee who is required to report for jury duty or is subpoenaed to appear before any court, commission board, or other legally constituted body, where the employee is not a party to the action, shall be entitled to leave with pay for the scheduled work hours lost as the result of such duty. For ATSS employees, the employees will be compensated by the University in an amount equal to his/her straight-time (non-overtime) rate of pay. For both Administrators and ATTS employees, their normal pay will be paid to them while on jury duty, less the amount received by the employee from the government for such appearance. An employee who reports for such duty and is excused shall immediately contact his/her immediate supervisor and report for work, if requested. In order to be paid by the University for such leave the employee must submit to Human Resources written proof, executed by the administrator of the court showing the duration of such duty and the amount of compensation received for such duty.



- 8.2 Employees requesting court/jury duty leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.

9.0 MILITARY LEAVE

- 9.1 An employee who is unable to report for regularly scheduled work because the employee is required to report for duty as an active duty member of the armed forces, a reserve member of the armed forces, or as a member of the Ohio National Guard shall be compensated in accordance with Ohio law.
- 9.2 The University will adhere to any federal or state laws enacted during the term of this Agreement regarding employer responsibilities toward active employees who are members of the armed forces.
- 9.3 To be eligible for this leave and in accordance with federal and state law, the employee is expected to provide the order or written statement from the appropriate military commander to his/her supervisor which shall be forwarded to Human Resources.
- 9.4 Employees requesting military leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.

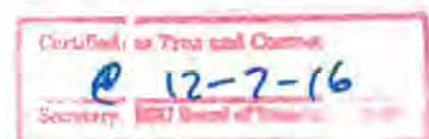
10.0 REQUIRED LEAVE FORMS/OTHER REQUIREMENTS

- 10.1 Employees are required to complete [Request for Leave Forms](#) to document leaves of absence as indicated in the above sections. These forms must be completed by the employee, signed by the supervisor and turned in to Human Resources by the end of the pay period in which the absence occurs.
- 10.2 The Department of Human Resources may provide for additional guidelines and requirements which may be found on the [Office of Human Resources](#) webpages.

History

Effective: 09/19/14 (Replaces 4.55REV; 4.56REV; 4.57REV; 4.65 and 4.68)

Revised: 08/19/16



Shawnee State University

POLICY TITLE:	ADMINISTRATIVE LEAVES
POLICY NO. :	4.52REV
ADMIN CODE:	3362-4-23
PAGE NO.:	1 OF 13
EFFECTIVE DATE:	10/14/16
NEXT REVIEW DATE:	10/2019
RESPONSIBLE OFFICER(S):	VPFA
APPROVED BY:	BOARD OF TRUSTEES

1.0 PURPOSE

The University is committed to providing administrators and administrative technical support staff (ATSS) with appropriate avenues for employees to take time away from work assignments and for the University to remain fully compliant with applicable regulatory provisions for various forms of leaves that are essential to the health and wellbeing of University employees. This policy identifies the holidays that are observed by the University, provides for the accrual and use of vacation, and defines the various forms of leaves of absences (LOAs) that are available.

2.0 HOLIDAYS

2.1 The following are designated University holidays:

<u>Holiday</u>	<u>Date</u>
New Year's Day	January 1
Martin Luther King Day	Third Monday in January
President's Day*	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Columbus Day*	Second Monday in October
Veteran's Day	November 11
Thanksgiving Day	Fourth Thursday in November
Christmas Day	December 25

2.2 The University will develop a schedule each year that will allow for designated holidays to be observed. The two holidays marked with an asterisk (*) on the list



will be observed on the Friday after Thanksgiving and on the day before Christmas Day.

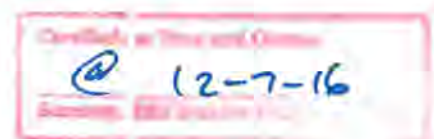
- 2.3 If any of the holidays as provided herein falls on Saturday, the Friday immediately preceding shall be observed as the holiday. If any of the holidays as provided herein falls on Sunday, the Monday immediately succeeding shall be observed as the holiday.

3.0 VACATION LEAVE AND PERSONAL LEAVE

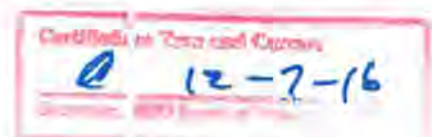
- 3.1 The University regards a vacation as a period of rest and relaxation earned for past service. Since the annual vacation is important to the wellbeing of employees and their families, employees are encouraged to utilize all earned vacation.
- 3.2 The vacation year upon which accrual is based is July 1 through June 30.
- 3.3 Full-time employees accrue vacation leave based upon the schedule below. Part time employees who work twelve months will receive pro-rated vacation.

<u>Years of Service</u>	<u>Days of Vacation/Employment Year</u>
Less than 3 years	20
3 – 5 years	21
6 – 8 years	22
9 – 11 years	23
12 – 14 years	24
15 years or more	25

- 3.4 Employees working less than twelve months per year will not accrue vacation. Instead they will receive two personal days per year on July 1st which may be used with sufficient notice to arrange coverage and supervisor approval. Unused personal days will not carry over from year to year. These days will be added to the employee's leave balance upon hire and will expire each year on June 30th.
- 3.5 An employee may accumulate a maximum of two (2) times the accrued days of vacation earned in one year. This amount may be carried over from year to year. With approval of the division vice president, an additional amount may be carried over when vacation cannot be taken due to operational needs outside the employee's control.



- 3.6 A newly hired employee's vacation accrual rate may include previous full time service with a State of Ohio state agency or political subdivision with the following conditions:
- 3.6.1 The employee must inform and provide written documentation to the Department of Human Resources within ninety (90) days of employment that s/he has full time service with a state agency or political subdivision of the State of Ohio. In such case, the employee's accrual will be adjusted to the appropriate rate from the date of employment with the University.
 - 3.6.2 Notification by the employee to the Department of Human Resources received after ninety (90) days of employment with the University will be applied to the employee's accrual rate beginning the next full pay period in which the request and required documentation are received by Human Resources.
 - 3.6.3 The employee's adjusted accrual balance (whether retroactive to the employment date or a later date) will be reflected on the pay records beginning with the next full pay period after receipt of required documentation.
 - 3.6.4 A year of full time service with a state agency or political subdivision is considered as twenty-six (26) biweekly periods.
- 3.7 Employees requesting vacation leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.
- 3.8 Consistent, excessive vacation leave requests (over 3 weeks in a single instance) may have a negative impact on the operation and will be considered only as an exception with accompanying extenuating circumstances. Requests of this nature will require a written rationale with supervisor approval, as well as the approval of the division vice president.
- 3.9 When an official University observed holiday falls within an employee's vacation that day will not be charged as vacation.
- 3.10 All accrued vacation must be exhausted before an unpaid leave of absence commences.



- 3.11 Employees who retire or resign will be paid for earned but unused vacation up to a maximum of two times the accrued days of vacation in one year at the time of his/her departure. In the event of the death of an employee, vacation pay for vacation earned but not taken up to a maximum of two times the accrued days of vacation in one year will be paid to the estate of the employee.
- 3.12 The Department of Human Resources will maintain an up-to-date record of vacation for each employee. Any questions concerning vacation record-keeping should be directed to Human Resources.

4.0 SICK LEAVE

- 4.1 Sick leave shall be used for an absence from work because of illness, medical, dental or optical examination or treatment of the employee or immediate family member or death of a member of the employee's immediate family. The definition of an immediate family member includes: grandparents, brother, sister, brother-in-law, sister-in-law, daughter-in-law, son-in-law, father, father-in-law, mother, mother-in-law, spouse, child, grandchild, legal guardian, or other person who stands in the place of a parent.
- 4.2 Upon hire, a full-time Administrator or ATSS employee will receive one hundred and twenty (120) hours of sick leave credited to his/her leave account.
- 4.3 After the first year of employment and thereafter, sick leave will accrue for full-time Administrators and ATSS pro-rated each pay period for a maximum of 120 hours per year.
- 4.4 Upon hire, the part-time Administrator or ATSS employee will receive a pro-rated amount of sick leave credited to his/her leave account, based upon the employee's full-time equivalency (FTE) percentage determined at the time of hire. For example, a half-time employee (.50 FTE) will be eligible for a credit of sixty (60) hours of sick leave, etc.
- 4.5 After the first year of employment and thereafter, sick leave shall accrue for part-time administrators and ATSS at a pro-rated amount based upon the employee's FTE for each day in any given pay period.
- 4.6 An Administrator or ATSS may transfer into their University sick leave account any accumulated, documented, and verified sick leave balance that has been



accumulated by a school system, government agency, department or institution of the government of the State of Ohio. If the employee elects to do so and informs the Department of Human Resources within ninety (90) days of his/her employment date, he/she may elect to transfer any unused and unpaid sick leave balance above one-hundred and twenty (120) hours to their Shawnee State University sick leave account. This amount will be in addition to the University credited amount. For example, if the employee had six hundred and twenty (620) hours of unused and unpaid sick leave from a prior state of Ohio employer, then five hundred (500) hours could be transferred to Shawnee State University.

- 4.7 There is no maximum applied to the amount of sick leave that may be accumulated during active employment.
- 4.8 The sick leave account balance will be reduced an hour for each hour of sick leave used. As an alternative to using up sick leave hours, the employee and supervisor may use flexible scheduling (working less hours of the normal schedule and making those hours up another time or day) to account for time off for medical appointments or other reasons which would otherwise be used as sick leave hours. For ATSS, hours must be made up within the same week, or if not, the sick leave account will be reduced an hour for each hour of sick leave used.
- 4.9 Sick leave may be utilized for an authorized absence from scheduled duties due to illness, accident, exposure to contagious disease, family emergencies requiring the attendance of the employee, dental or optical examination or treatment, pregnancy and/or childbirth and related conditions, or death in the immediate family.
- 4.10 Employees requesting sick leave (including leave that qualifies under the Family and Medical Leave Act – FMLA) must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs, thirty (30) days in advance of the need, if foreseeable and such notice is practicable. If it is not possible for the leave request form to be submitted in advance of the leave, it must be approved by supervision and submitted to Human Resources upon return from the absence. Time on approved sick leave will run concurrent with an approved leave under FMLA (refer to section 5.0 below).
- 4.11 If an employee is expected to be off more than five (5) consecutive work days, a signed or official doctor's statement must be submitted in advance to the supervisor or Human Resources. If an employee does not have advance warning, the doctor's statement must be provided to the supervisor or Human Resources as



soon as practicable after the employee knows he/she will be off more than five (5) consecutive days and in no event any later than the date the employee returns to work (unless more time is granted by the Director of Human Resources or designee).

- 4.12 In situations involving Family and Medical Leave, or leave involving less than five (5) consecutive work days, and there are habitual absences, a doctor's statement may be required upon the request of the supervisor or Human Resources. All doctors' statements shall be in the form of a signed or official statement from the attending physician, stating the general nature of the illness, date of medical treatment, and the conditions under which the employee is released to return to work or a statement from the attending physician verifying the illness or injury of the employee's immediate family. The failure to submit doctor's statements, or the failure to submit proper leave forms to Human Resources, may result in delay of payment for the time missed.
- 4.13 The Administrator or ATSS, upon official state retirement from active service or upon separation of employment by an ARP participant who meets the eligibility requirements under the OPERS or STRS retirement systems and with ten or more years of full-time service with the University (including predecessor institutions), will be paid in cash for one-fourth of the value of their sick leave balance, up to one hundred sixty days (320 hours). Payment will be based upon the employee's rate of pay at the time of retirement. Any unpaid leave remaining on the Shawnee State sick leave account will be available for use upon rehire (unless hired into a position that does not provide sick leave). In the event of an employee's death, the estate is not entitled to unused sick leave.
- 4.14 The cash payout of sick leave balance as provided in section 4.13 will be made only once to any Administrator or ATSS. An employee, who received such cash payout rehired by the University after retirement, may accrue and use sick leave while actively employed but shall not convert to cash any unused sick leave balance at the time of a second retirement.
- 4.15 Intentional misuse of the sick leave provision herein may be considered grounds for disciplinary action. Non-compliance with sick leave rules and regulations may result in the Administrator or ATSS not receiving pay for the requested sick leave.

Certified as True and Correct
12-7-16
Secretary, HRIS Group of Services

5.0 FAMILY AND MEDICAL LEAVE POLICY

5.1 SCOPE

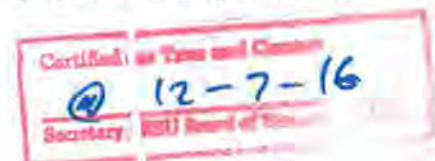
Employees with one year of service with the University and who have worked for 1,250 hours in the previous 12 month period are eligible for up to twelve weeks of paid (existing sick leave and/or vacation) and/or unpaid leave for qualifying events, in a twelve month period (rolling year, see CFR 29, Part 825.200).

Qualifying events are:

- 5.1.1 Childbirth (due to the birth or to care for the newborn child) – within twelve months following the birth of the employee's child.
- 5.1.2 Adoption or foster care – within twelve months of the adoption or placement of a child for foster care.
- 5.1.3 Serious personal illness –
 - 5.1.3.1 A serious health condition that results in a period of incapacity for more than three days during which the employee is unable to work, or
 - 5.1.3.2 A chronic condition requiring a regimen of ongoing care by a health care provider that intermittently (less than three days) renders the employee unable to work while seeking treatment or while recovering from the condition.
- 5.1.4 Serious illness of a member of the employee's immediate family – a serious health condition (as defined in 5.1.1.3 above) which requires the employee to provide care. Immediate family is: father, mother, spouse and child (under 18 or over 18 if incapable of self-care.)
- 5.1.5 Qualifying exigency arising out of the fact that the employee's spouse, child, or parent is a covered military member on active duty, or has been called to active duty, in support of a contingency operation.
- 5.1.6 Care for a covered service member with a serious injury or illness if the employee is the spouse, child, parent or next of kin of the service member.

5.2 LENGTH OF LEAVE/PAID OR UNPAID

Family and Medical Leave provides an eligible employee to take up to twelve



workweeks of leave per rolling twelve-month period. Employees will first use sick leave, where appropriate, prior to vacation and any unpaid leave. Employees will use vacation and any comp time prior to any unpaid leave after sick leave is exhausted or for events where sick leave is inappropriate. Family Medical Leave coordinates and runs concurrently with other paid and unpaid leaves.

5.3 CHILDBIRTH AND ADOPTION TIMEFRAME

Leave under this policy which pertains to care for a newborn, adopted, or foster child may only be taken within twelve months of the child's birth or placement into the employee's home.

5.4 CERTIFICATION FOR HEALTH LEAVE

If an employee requires leave for a serious health condition for himself/herself or a spouse, parent, or child a health care provider's certification shall be required stating the commencement date and probable duration of the condition and the medical facts substantiating the condition. The University may require an independent examination at no cost to the employee.

5.5 NOTICE OF THE LEAVE

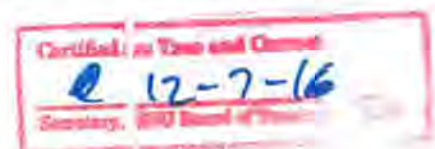
Employees must provide at least thirty days' advance notice if the leave is foreseeable. If the leave must begin within fewer than thirty days, the employee must provide notice as soon as practicable.

5.6 EMPLOYMENT AND BENEFITS PROTECTION

Any employee who takes leave under the provisions of this policy, on return from such leave shall be restored by the University to the position of employment held by the employee when the leave commenced or be restored to an equivalent position with equivalent employment benefits, pay, and other terms and conditions of employment.

5.7 CONTINUATION OF HEALTH PLAN COVERAGE

If after the exhaustion of all forms of paid leave, a period of unpaid leave is required to complete the twelve week leave given through this policy, the University shall maintain the coverage under the group health plan for this period under the conditions coverage would have been provided if the employee had



continued in employment continuously for the duration of the leave. Upon return to work, the employee must make arrangements with the Department of Human Resource to make up the employee contributions missed for insurance coverage while on unpaid leave.

5.8 RETURN FROM LEAVE

If the employee fails to return from Family and Medical Leave, the University may recover the premium that the employer paid for maintaining coverage for the employee under the group health plan during any period of unpaid leave.

6.0 DISABILITY LEAVE

6.1 APPLICATION

6.1.1 Full-time Administrators and ATSS may be granted a disability leave of absence in the event of a disabling illness or injury (except work related in which case workers' compensation rules will apply) that extends beyond leave provided under FMLA.

6.1.2 Approval of such leave is contingent upon the employee submitting a satisfactory written physician's statement attesting that the essential functions of the assigned position cannot be performed.

6.1.3 The University can request that an examination be completed by a physician of its choosing. In such case, the University will pay for the cost of the examination.

6.1.4 Written application to the Department of Human Resources should be made as early as possible and must include a statement from the attending physician with a projected return date.

6.2 DURATION AND RETENTION

6.2.1 The duration of disability leave will be based on the projected return date provided by the attending physician. An initial request for disability leave may be for one year or less. A disability leave may be extended one additional year with a request for such extension to be made no later than sixty (60) days prior to the originally scheduled return date. The total amount of time on such leave, paid or unpaid, for the same injury or



illness, may not exceed two years. The amount of time shall be reduced by family medical leave used for the same injury or illness.

- 6.2.2 In order to be paid leave, the employee will use earned but unused sick, vacation, or comp time. All types of paid leave must be used prior to unpaid leave.
- 6.2.3 Prior to returning to work, the employee must provide the University with the attending physician's release attesting to his/her ability to perform the essential job duties. The University may request an independent examination as identified in 6.1.3 above.
- 6.2.4 The employee will retain reinstatement rights to his/her current position if the disability leave is six (6) months or less. If such leave time exceeds six (6) months, up to a maximum of twelve (12) months, the University will place such employee in the same or similar position in which the employee possesses the required qualifications necessary to perform the essential responsibilities. The University will make every effort to reinstate an employee to the same or similar position if such leave exceeds one year.

6.3 INSURANCE COVERAGE

- 6.3.1 The University will continue group health insurance throughout the period of an approved paid leave.
- 6.3.2 The University will continue group health insurance throughout the period of an approved unpaid leave for a maximum of six (6) months.
- 6.3.3 While on an approved unpaid leave (other than FMLA), the employee must timely remit the established insurance contribution payments for the duration of the leave. If the employee payment contributions are not timely remitted, the employee will forfeit University-provided health plan coverage and may elect health plan continuation under COBRA at 102% of the full cost of the University's health plan.
- 6.3.4 The University will continue group health insurance as provided in the Family and Medical Leave Act (FMLA) of 1993 as currently amended, and offer group health continuation and conversion benefits as provided under the Consolidated Omnibus Reconciliation Act (COBRA).

Certified as True and Correct
12-7-16
Secretary, SPU Board of Trustees

6.4 DISABILITY RETIREMENT REINSTATEMENT

In the case of an employee who has been granted a disability retirement through OPERS or STRS, the period of reinstatement shall be in accordance with the prevailing rules of the state retirement system. An employee who wishes to be reinstated from disability retirement must make written application to the appropriate Vice President and must complete a "fit to return to duty" examination showing recovery from the disability or injury and attest that the essential functions of the position can be performed. The physical examination shall be given by a licensed physician designated by the University or in the case of disability retirement, by a physician designated by the state retirement system. The cost of such examination will be borne by the individual. No application for reinstatement will be valid if filed after the date that an employee is eligible for service retirement with the state retirement system. The University will consider an application submitted under this provision, however, reinstatement is not guaranteed.

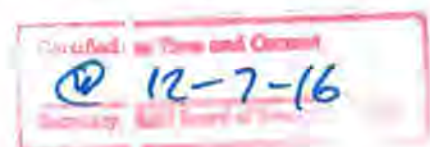
- 6.5 Employees requesting disability leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.

7.0 WORKERS' COMPENSATION LEAVE

Workers' compensation leave will be provided as set forth in the Ohio statutes (ORC Chapter 4123) for workplace injuries and/or occupational diseases. Additional information may be found on the University website at the [Office of Human Resources](#) webpages.

8.0 COURT/JURY DUTY LEAVE

- 8.1 An employee who is required to report for jury duty or is subpoenaed to appear before any court, commission board, or other legally constituted body, where the employee is not a party to the action, shall be entitled to leave with pay for the scheduled work hours lost as the result of such duty. For ATSS employees, the employees will be compensated by the University in an amount equal to his/her straight-time (non-overtime) rate of pay. For both Administrators and ATTS employees, their normal pay will be paid to them while on jury duty, less the amount received by the employee from the government for such appearance. An employee who reports for such duty and is excused shall immediately contact his/her immediate supervisor and report for work, if requested. In order to be paid



by the University for such leave the employee must submit to Human Resources written proof, executed by the administrator of the court showing the duration of such duty and the amount of compensation received for such duty.

- 8.2 Employees requesting court/jury duty leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.

9.0 MILITARY LEAVE

- 9.1 An employee who is unable to report for regularly scheduled work because the employee is required to report for duty as an active duty member of the armed forces, a reserve member of the armed forces, or as a member of the Ohio National Guard shall be compensated in accordance with Ohio law.
- 9.2 The University will adhere to any federal or state laws enacted during the term of this Agreement regarding employer responsibilities toward active employees who are members of the armed forces.
- 9.3 To be eligible for this leave and in accordance with federal and state law, the employee is expected to provide the order or written statement from the appropriate military commander to his/her supervisor which shall be forwarded to Human Resources.
- 9.4 Employees requesting military leave must complete and sign a [Request for Leave Form](#), obtain the signature of their supervisor and send the original form to Human Resources prior to the end of the pay period in which the leave occurs.

10.0 REQUIRED LEAVE FORMS/OTHER REQUIREMENTS

- 10.1 Employees are required to complete [Request for Leave Forms](#) to document leaves of absence as indicated in the above sections. These forms must be completed by the employee, signed by the supervisor and turned in to Human Resources by the end of the pay period in which the absence occurs.
- 10.2 The Department of Human Resources may provide for additional guidelines and requirements which may be found on the [Office of Human Resources](#) webpages.

History

Effective: 09/19/14 (Replaces 4.55REV; 4.56REV; 4.57REV; 4.65 and 4.68)

Revised: 10/14/16; 08/19/16



RESOLUTION F28-16

REVISION OF POLICY 1.05REV INVESTMENT

WHEREAS, the University's Investment Policy was approved by the Board of Trustees on May 2, 2014; and

WHEREAS, the transition of the management of the University's diversified portfolio to TIAA is nearly complete; and

WHEREAS, the University's Investment Committee and TIAA representatives exchanged relevant materials and met on October 5, 2016 to complete a comprehensive review of the University' Investment policy to ensure a smooth transition to TIAA management; and

WHEREAS, after careful consideration, the University Investment Committee recommends the proposed revisions reflected on the attached Policy;

THEREFORE, the Shawnee State University Board of Trustees approves the revised Policy 1.05REV Investment, effective upon adoption.

(October 14, 2016)



Shawnee State University

POLICY TITLE:	INVESTMENT POLICY
POLICY NO. :	1.05-REV
ADMIN CODE:	3362-1-05
PAGE NO.:	1 OF 5
EFFECTIVE DATE:	10/14/2016 05/02/14
NEXT REVIEW DATE:	10/2019 05/2017
RESPONSIBLE OFFICER(S):	INVESTMENT COMMITTEE
APPROVED BY:	BOT

1.0 PURPOSE

- 1.1 The Shawnee State University Board of Trustees has title to University investments and these funds are held in trust. The investments are to be made consistent with this investment policy as stipulated below.
- 1.2 All fiduciaries implementing this investment policy are required to discharge their duties with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in like capacity and familiar with such matters would use in the conduct of an enterprise of like character and with like aims.

2.0 MEMBERSHIP

- 2.1 Effective beginning July 1, 2002, the Shawnee State University Investment Committee is established.
- 2.2 Chair: A member of the Board of Trustees Finance and Administration Committee as appointed by the Chair, Shawnee State University Board of Trustees. Term: A fiscal year appointment, renewable, at the discretion of the Chair, Shawnee State University Board of Trustees.
- 2.3 Member: The Shawnee State University Vice President for Finance and Administration or delegate.
- 2.4 Members: Three members nominated by the Chair, Shawnee State University Board of Trustees and approved by the Shawnee State University Board of Trustees. Term: Initial appointments of one, two and three years respectively. Thereafter, appointments are for three fiscal years or parts thereof.
- 2.5 The Investment Committee shall meet at least quarterly.
- 2.6 The Investment Committee shall review and recommend revision to this



investment policy and shall advise the Shawnee State University Board of Trustees through its Finance and Administration Committee on its investments.

- 2.7 The Investment Committee is authorized to retain an investment advisor that meets the credential criteria as outlined in law.
- 2.8 Each Investment Committee member must sign an agreement indicating that they will avoid conflicts of interest in performing their duties as committee members.

3.0 INVESTMENT OBJECTIVE

- 3.1 The primary objectives of the University's investment activities shall be:
- 3.1.1 Safety: Assets of the University shall be undertaken in a manner that diversifies its investments mitigating the magnitude of potential capital loss inherent in investment risk.
- 3.1.2 Return on Investment: To have, over time, return net-of-fees that at least equals common indexes in capital markets in which the University's assets are invested.

4.0 INVESTMENT ALLOCATION

- 4.1 Liquid pool and diversified investment pool are established.
- 4.1.1 The liquid pool investments can only be made in securities of the United States Government or of its agencies or instrumentalities, the treasurer of state's pooled investment program, obligation of this state or any political subdivision of this state, certificates of deposit of any national bank located in this state, written repurchase agreements with any eligible Ohio financial institution that is a member of the federal reserve system or federal home loan bank, money market funds, or bankers acceptances maturing in two hundred seventy days or less which are eligible for purchase by the federal reserve system, as a reserve.
- 4.1.1.1 A minimum of 25% of the prior fiscal year's average investment portfolio will be invested in eligible liquid pool securities. The actual percentage may be higher than this figure dependent upon anticipated cash flow needs with some buffer for unanticipated needs as determined by Section 4.4 of this Policy.
- 4.1.1.2 The administration of this pool is to remain with the Shawnee State University Finance Office as an agent of the Investment



Committee. Returns will be reported quarterly to the Investment Committee, in-turn to the Board of Trustees.

4.2 The diversified investment pool will be invested in publicly traded securities with the following ranges of asset allocation within that pool:

		<u>Range</u>
4.2.1 Equities	50% +/- 10%	40% to 60%
Fixed Income/Bonds	50% +/- 10%	40% to 60%
Total*	100%	

~~*Including as a percentage of the total portfolio up to:~~

~~20% International Securities~~

~~20% Alternative Investments (as defined in 6.0)~~

4.2.1 Total Equity	54%	45% to 65%
Total Fixed Income	45%	35% to 55%
Cash	1%	0% to 10%
Total Alternative Assets	0%	0% to 5%

4.2.2 The Vice President for Finance and Administration or delegate has authority to allocate funds between these pools.

4.3 The University may transfer a portion of the Diversified Investment Pool to the Liquid Investment Pool if the following conditions exist:

4.3.1 The University may transfer up to 2.5% times the Diversified Investment Pool's previous twelve quarter moving average of market value from the Diversified Investment Pool to the Liquid Investment Pool.

4.3.2 This calculation will be applied to the twelve quarters ending on December 31 of the current fiscal year so the level of additional funding will be available during the subsequent year's budgeting process.

4.3.3 The amount eligible to be transferred may be moved as a lump sum or periodically during the fiscal year but the total of the transfer(s) may not exceed the original calculated amount (other than for exceptions noted in other sections of the Investment Policy).

4.3.4 The Vice President for Finance and Administration will recommend the amount (and the related investment accounts from which the funds will be withdrawn) of eligible funds to be transferred from the Diversified Investment Pool to the Liquid Investment Pool based on the University's



anticipated cash needs and consultation with the University's Investment Consultant. The transfer will require the approval of the University President and subsequently reported to the Investment Committee and the Board of Trustees at their respective meetings following the transfer.

- 4.4 The Vice President for Finance and Administration may request a transfer from the Diversified Investment Pool to either the Liquid Investment Pool or the University's Main Operating checking account outside of the formula restrictions noted in Section 4.3 based on unanticipated cash needs of the University. Based upon the amount of the request, the recommendation will require the approval of:

4.4.1	<u>Requested Transfer Amount:</u> \$1 to \$1,000,000	<u>Requires Approval From:</u> Vice President of Finance & Administration
	\$1,000,001 to \$2,500,000	University President
	\$2,500,001 to \$5,000,000	Chair-Shawnee State University Board of Trustees

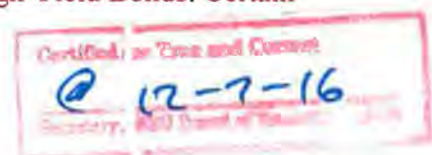
- 4.4.2 The transfer will also be reported to the Investment Committee and the Board of Trustees at their respective meetings following any transfer.

5.0 INVESTMENT SECURITIES DIVERSIFICATION AND QUALITY

- 5.1 No more than 5% of the Diversified Investment Pool portfolio can be invested in any single issue except U. S. government securities.
- 5.2 Investment in fixed income securities shall be limited to government and agency issues and other issues in the top four quality ratings of recognized credit services. ~~and other issues in the top four quality ratings of recognized credit services. Other than for alternative investments (see 6.0 below), p~~Prohibited investments include bonds rated below investment grade and derivatives which comprise a substantial part of an investment fund. ~~Again, other than for alternative investments, investments are prohibited in: the purchase or sale of futures or options for speculation or leverage, purchase or sale of commodities, commodity contracts, or illiquid interest in real estate or mortgages.~~

6.0 ALTERNATIVE INVESTMENTS

Inclusion of alternative investments ~~has the effect of improving the return versus risk outlook of the portfolio, over time is at the discretion of the investment committee.~~ Alternative investment categories may include: ~~Hedge Funds, Private Equity/Venture Capital, gold and other Real Estate, C~~ commodities ~~and High Yield Bonds.~~ Certain



~~alternative investments invest in assets with limited liquidity and may also use derivatives such as futures and/or options to achieve their objectives. Accordingly, some of these alternative investment vehicles themselves may have limited liquidity. Additionally, some alternative investment vehicles may invest in fixed income investments with below-investment grade (not in the top four quality ratings of recognized credit services) bond ratings.~~

7.0 MARKET BENCHMARKS

7.1 Given short-term market fluctuations, it is intended investment manager(s) will achieve the following performance objectives over a 5-year moving period, net of investment fees. It is understood that performance evaluation will occur in shorter intervals, the results of which may cause the Investment Committee to make an investment manager change.

7.2 ~~Liquid pool return will exceed the 3-month U.S. Treasury bills return. Policy Benchmarks are: 45% Barclays Capital U.S. Aggregate Bond Index, 36% Russell 3000 Index, 18% MSCI ACWI, and 1% Lipper Money Market Fund. Diversified investment pool return will exceed a balanced index composed of: 30% S&P 500 Index, 6% S&P Mid Cap 400 Index, 4% S&P Small Cap 600 Index, 10% MSCI EAFE Index, 50% Barclays Capital U.S. Aggregate Bond Index.~~

8.0 EVALUATION OF INVESTMENT MANAGERS

8.1 Investment managers will be reviewed quarterly based upon the following criteria:

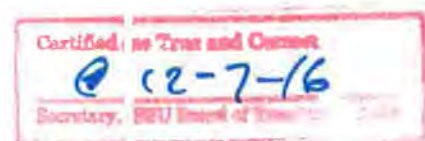
- 8.1.1 Ability to exceed the performance objectives stated in this policy.
- 8.1.2 Adherence to the philosophy and style that were articulated to the Investment Committee at, or subsequent to, the time an investment manager was retained.
- 8.1.3 Ability to exceed the investment performance (net of fees) of other investment managers who adhere to the same or similar style.
- 8.1.4 Continuity of personnel and practices at the firm.

History

Effective: 10/11/02

Revised: 10/14/16, 05/02/14, 06/14/12, 11/18/11, 04/13/07, 04/22/05

~~Reviewed:~~



Shawnee State University

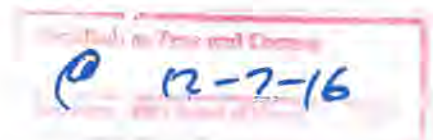
POLICY TITLE:	INVESTMENT POLICY
POLICY NO. :	1.05REV
ADMIN CODE:	3362-1-05
PAGE NO.:	1 OF 5
EFFECTIVE DATE:	10/14/2016
NEXT REVIEW DATE:	10/2019
RESPONSIBLE OFFICER(S):	INVESTMENT COMMITTEE
APPROVED BY:	BOT

1.0 PURPOSE

- 1.1 The Shawnee State University Board of Trustees has title to University investments and these funds are held in trust. The investments are to be made consistent with this investment policy as stipulated below.
- 1.2 All fiduciaries implementing this investment policy are required to discharge their duties with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in like capacity and familiar with such matters would use in the conduct of an enterprise of like character and with like aims.

2.0 MEMBERSHIP

- 2.1 Effective beginning July 1, 2002, the Shawnee State University Investment Committee is established.
- 2.2 Chair: A member of the Board of Trustees Finance and Administration Committee as appointed by the Chair, Shawnee State University Board of Trustees. Term: A fiscal year appointment, renewable, at the discretion of the Chair, Shawnee State University Board of Trustees.
- 2.3 Member: The Shawnee State University Vice President for Finance and Administration or delegate.
- 2.4 Members: Three members nominated by the Chair, Shawnee State University Board of Trustees and approved by the Shawnee State University Board of Trustees. Term: Initial appointments of one, two and three years respectively. Thereafter, appointments are for three fiscal years or parts thereof.
- 2.5 The Investment Committee shall meet at least quarterly.
- 2.6 The Investment Committee shall review and recommend revision to this



investment policy and shall advise the Shawnee State University Board of Trustees through its Finance and Administration Committee on its investments.

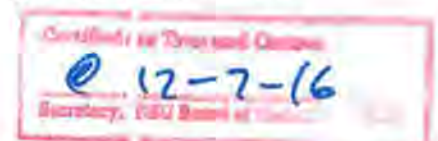
- 2.7 The Investment Committee is authorized to retain an investment advisor that meets the credential criteria as outlined in law.
- 2.8 Each Investment Committee member must sign an agreement indicating that they will avoid conflicts of interest in performing their duties as committee members.

3.0 INVESTMENT OBJECTIVE

- 3.1 The primary objectives of the University's investment activities shall be:
- 3.1.1 Safety: Assets of the University shall be undertaken in a manner that diversifies its investments mitigating the magnitude of potential capital loss inherent in investment risk.
- 3.1.2 Return on Investment: To have, over time, return net-of-fees that at least equals common indexes in capital markets in which the University's assets are invested.

4.0 INVESTMENT ALLOCATION

- 4.1 Liquid pool and diversified investment pool are established.
- 4.1.1 The liquid pool investments can only be made in securities of the United States Government or of its agencies or instrumentalities, the treasurer of state's pooled investment program, obligation of this state or any political subdivision of this state, certificates of deposit of any national bank located in this state, written repurchase agreements with any eligible Ohio financial institution that is a member of the federal reserve system or federal home loan bank, money market funds, or bankers acceptances maturing in two hundred seventy days or less which are eligible for purchase by the federal reserve system, as a reserve.
- 4.1.1.1 A minimum of 25% of the prior fiscal year's average investment portfolio will be invested in eligible liquid pool securities. The actual percentage may be higher than this figure dependent upon anticipated cash flow needs with some buffer for unanticipated needs as determined by Section 4.4 of this Policy.
- 4.1.1.2 The administration of this pool is to remain with the Shawnee State University Finance Office as an agent of the Investment



Committee. Returns will be reported quarterly to the Investment Committee, in-turn to the Board of Trustees.

- 4.2 The diversified investment pool will be invested in publicly traded securities with the following ranges of asset allocation within that pool:

		<u>Range</u>
4.2.1	Total Equity	54% 45% to 65%
	Total Fixed Income	45% 35% to 55%
	Cash	1% 0% to 10%
	Total Alternative Assets	0% 0% to 5%

- 4.2.2 The Vice President for Finance and Administration or delegate has authority to allocate funds between these pools.

- 4.3 The University may transfer a portion of the Diversified Investment Pool to the Liquid Investment Pool if the following conditions exist:

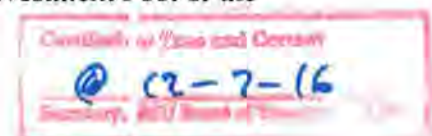
4.3.1 The University may transfer up to 2.5% times the Diversified Investment Pool's previous twelve quarter moving average of market value from the Diversified Investment Pool to the Liquid Investment Pool.

4.3.2 This calculation will be applied to the twelve quarters ending on December 31 of the current fiscal year so the level of additional funding will be available during the subsequent year's budgeting process.

4.3.3 The amount eligible to be transferred may be moved as a lump sum or periodically during the fiscal year but the total of the transfer(s) may not exceed the original calculated amount (other than for exceptions noted in other sections of the Investment Policy).

4.3.4 The Vice President for Finance and Administration will recommend the amount (and the related investment accounts from which the funds will be withdrawn) of eligible funds to be transferred from the Diversified Investment Pool to the Liquid Investment Pool based on the University's anticipated cash needs and consultation with the University's Investment Consultant. The transfer will require the approval of the University President and subsequently reported to the Investment Committee and the Board of Trustees at their respective meetings following the transfer.

- 4.4 The Vice President for Finance and Administration may request a transfer from the Diversified Investment Pool to either the Liquid Investment Pool or the



University's Main Operating checking account outside of the formula restrictions noted in Section 4.3 based on unanticipated cash needs of the University. Based upon the amount of the request, the recommendation will require the approval of:

4.4.1	<u>Requested Transfer Amount:</u>	<u>Requires Approval From:</u>
	\$1 to \$1,000,000	Vice President of Finance & Administration
	\$1,000,001 to \$2,500,000	University President
	\$2,500,001 to \$5,000,000	Chair-Shawnee State University Board of Trustees

4.4.2 The transfer will also be reported to the Investment Committee and the Board of Trustees at their respective meetings following any transfer.

5.0 INVESTMENT SECURITIES DIVERSIFICATION AND QUALITY

- 5.1 No more than 5% of the Diversified Investment Pool portfolio can be invested in any single issue except U. S. government securities.
- 5.2 Investment in fixed income securities shall be limited to government and agency issues and other issues in the top four quality ratings of recognized credit services. Prohibited investments include bonds rated below investment grade and derivatives which comprise a substantial part of an investment fund.

6.0 ALTERNATIVE INVESTMENTS

Inclusion of alternative investments is at the discretion of the investment committee. Alternative investment categories may include: gold and other commodities.

7.0 MARKET BENCHMARKS

- 7.1 Given short-term market fluctuations, it is intended investment manager(s) will achieve the following performance objectives over a 5-year moving period, net of investment fees. It is understood that performance evaluation will occur in shorter intervals, the results of which may cause the Investment Committee to make an investment manager change.
- 7.2 Policy Benchmarks are 45% Barclays Capital U.S. Aggregate Bond Index, 36% Russell 3000 Index, 18% MSCI ACWI Index, and 1% Lipper Money Market Fund.

8.0 EVALUATION OF INVESTMENT MANAGERS

- 8.1 Investment managers will be reviewed quarterly based upon the following criteria:

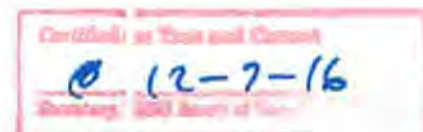


- 8.1.1 Ability to exceed the performance objectives stated in this policy.
- 8.1.2 Adherence to the philosophy and style that were articulated to the Investment Committee at, or subsequent to, the time an investment manager was retained.
- 8.1.3 Ability to exceed the investment performance (net of fees) of other investment managers who adhere to the same or similar style.
- 8.1.4 Continuity of personnel and practices at the firm.

History

Effective: 10/11/02

Revised: 10/14/16, 05/02/14, 06/14/12, 11/18/11, 04/13/07, 04/22/05



RESOLUTION F29-16

ADMINISTRATION OF CAPITAL FACILITIES PROJECTS

WHEREAS, Shawnee State University received appropriations for capital facilities projects from the General Assembly pursuant to SB 310; and

WHEREAS, for state appropriations under \$4 million, Ohio Revised Code Section 3345.50 requires the Board of Trustees to notify the Chancellor of the Ohio Department of Higher Education in writing of its intent to locally administer the capital facilities project; and

WHEREAS, the University's capital facilities project is also subject to procedures developed in accordance with Ohio Revised Code Section 153.16 for the selection of consultants, preparation and approval of contract documents, receipt of bids, and award of contracts with respect to such projects;

THEREFORE BE IT RESOLVED, the Shawnee State University Board of Trustees will ensure compliance with O.R.C. Section 153.16 and directs the Vice President for Finance and Administration to submit the written notification of the University's intent to locally administer the capital facilities projects, as required.

(October 14, 2016)



**15TH DAY ENROLLMENT REPORT
FALL SEMESTER 2016**

<i>Headcount</i>	FALL 2016	FALL2015	Up/Down	Change %
Undergraduate	3366	3452	-86	-2.4
Graduate	169	152	+17	+11.2
Total	3535	3604	-69	-1.9
College Credit Plus	237	277	-40	-14.4
University Total	3772	3881	-109	-2.8

<i>FTE</i>	FALL 2016	FALL2015	Up/Down	Change %
Undergraduate	3237	3266	-29	-0.8
Graduate	138	140	-2	-1.4
Total	3375	3404	-31	.9

FTE calculations include all registered students regardless of classification/program.

<i>Student Credit Hours</i>	FALL 2016	FALL 2015	Up/Down	Change %
Undergraduate	48555	48990	-435	-.8
Graduate	1680	1650	+30	+1.8
Total	50235	50640	-405	.7

SCH -the course credit value multiplied by the number enrolled in the course and include all registered students

<i>Enrollment by Student Type</i>	Females	Males	FALL 2016	FALL2015	Up/Down	Change %
First-Time Freshmen	437	427	864	869	-5	-.6
Transfers	90	85	175	218	-43	-19.7
Freshmen	193	187	380	373	+7	+1.9
Sophomores	321	256	577	620	-43	-6.9
Juniors	336	264	600	583	+17	+2.9
Seniors	439	330	769	783	-14	-1.8
Graduate New	34	7	41	42	-1	-2.4
Graduate Continuing	95	33	128	110	+18	+16.4
Non-Degree	0	1	1	6	-5	-83.3
Total	1945	1590	3535	3604	-69	-1.9

<i>Graduate Enrollment by Division/Dept</i>	Females	Males	FALL 2016	FALL2015	Up/Down	Change %
EDUC	34	11	45	51	-6	-11.7
MATH	14	9	23	26	-3	-11.5
RSPP	67	17	84	75	+9	+12.0
OTHER	14	3	17	0	+17	+100



<i>Undergraduate Enrollment by Division/Dept</i>	Females	Males	FALL 2016	FALL2015	Up/Down	Change %
Arts & Sciences	659	518	1177	1137	+40	+3.5
ARTS	119	178	297	273	+24	+8.7
HUMA	48	44	92	63	+29	+46.0
MATH	20	19	39	30	+9	+30.
NSCI	258	145	403	391	+12	+3.0
SSCI	215	132	346	380	-34	-8.9
Professional Studies	828	745	1573	1622	-49	-3.0
BUSI	177	186	363	367	-4	-1.0
EDUC	161	32	193	217	-24	-11.0
ENGT	31	333	364	348	+16	+4.5
HSCI	135	34	169	145	+24	+16.5
NURS	182	42	224	262	-38	-14.5
RSPP	142	118	260	283	-23	-8.1
University College	328	287	615	689	-74	-10.7
University College	328	287	615	689	-74	-10.7

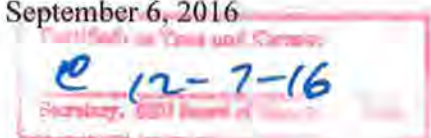
Undergraduate Residency	FALL 2016	FALL2015	Up/Down	Change %
Ohio	2925	3034	-109	-3.5
Kentucky	282	270	+12	+4.4
Other US States 1	159	148	+11	+7.4
International 2	33	36	-3	-8.3

¹ Undergraduates represent 20 states and the District of Columbia.

² Undergraduate international students represent 18 countries.

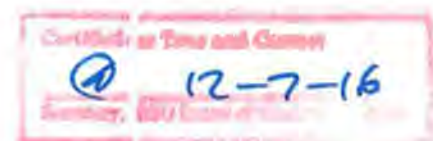
Undergraduate County of Origin³	FALL2016	FALL 2015	Up/Down	Percent
Southern Ohio				
Scioto	1195	1271	-76	-5.9
Lawrence	110	111	-1	-.9
Adams	187	193	-6	-3.1
Pike	246	247	-1	-.4
Total	1738	1822	-84	-4.6
Central Ohio				
Franklin	125	117	+8	+6.8
Licking	19	19	+/-0	+/-0
Delaware	13	18	-5	-27.7
Madison	20	15	+5	+33.3
Pickaway	30	34	-4	-11.7
Fairfield	36	33	+3	+9.0
Union	7	4	+3	+75.0
Ross	126	119	+7	+5.8
Total	376	359	+17	+4.7
Southwestern Ohio/Northern Kentucky				
Brown	43	52	-9	-17.3
Butler	26	23	+3	+13.0
Clermont	36	41	-9	-21.9
Clinton	20	15	+5	+33.3
Hamilton	70	68	+2	+2.9
Highland	45	39	+6	+15.3
Kenton (KY)	2	1	+1	+100.0
Warren	29	31	-2	-6.4
Total	267	270	-3	-1.1

³ Undergraduates represent 79 of Ohio's 88 counties, 27 Kentucky counties, and 7 West Virginia counties.



Undergraduate Demographics	FALL 2016	FALL 2015	Up/Down	Change %
<i>Age</i>				
Under 19	692	652	+40	+6.1
19 to 25	223	2254	-31	-1.3
Over 25	451	546	-95	-17.3
<i>Ethnicity</i>				
American Indian/Alaskan	27	33	-6	-18.1
Asian	17	16	+1	+6.2
Black/African American	202	195	+7	+3.5
Hispanic/Puerto Rican	26	22	+4	+18.1
Native Hawaiian/Pacific	4	6	-2	-33.3
White	2885	2971	-86	-2.8
Two or more races	80	66	+14	+21.2
Non-Citizen	39	43	-4	-9.3
Unknown/Other	86	100	-14	-14.0

Non-Degree	FALL 2016	FALL 2015	Up/Down	Change %
College Credit Plus/Non-Degree (PSEO and Dual Credit)	237	277	-40	-14.4



15TH DAY ENROLLMENT REPORT 5 YEAR COMPARISON

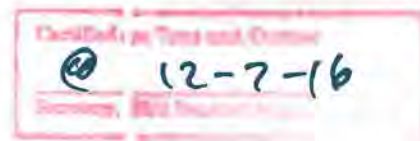
<i>Headcount</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
Undergraduate	4472	4162	3812	3452	3366
Graduate	98	86	133	152	169
Total	4570	4248	3945	3604	3535
College Credit Plus/Non-degree	135	137	353	277	237
University Total	4705	4385	4298	3881	3772

<i>FTE</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
Undergraduate	4037	3803	3537	3266	3237
Graduate	85	84	113	138	140
Total	4122	3888	3650	3404	3377

FTE calculations include all registered students regardless of classification/program.

<i>Enrollment by Student Type</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
First-Time Freshmen	1119	1086	905	869	864
Transfers	33	230	230	218	175
Freshmen	605	493	441	373	380
Sophomores	751	709	692	620	577
Juniors	650	659	605	583	600
Seniors	967	916	867	783	769
Graduate New	30	28	41	42	41
Graduate Continuing	68	58	92	110	128
Non-degree	2	4	4	6	1
Total	4495	4183	3877	3604	3535

<i>Graduate Enrollment by Division/Dept</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
EDUC	24	21	34	51	45
MATH	NA	NA	25	26	23
RSPP	63	62	72	75	84
Other (Math/NSCI Wksp)	11	3	2	0	17



 Faculty & Staff
 12-7-16
 Registrar, Office of the Registrar

<i>Undergraduate Enrollment by Division/Dept</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
Arts & Sciences	1417	1805	1380	1137	1177
ARTS	315	297	253	273	297
HUMA	126	105	82	63	92
MATH	56	38	35	30	39
NSCI	315	808	545	391	403
SSCI	605	557	465	380	346
Professional Studies	2073	2018	1758	1622	1573
BUSI	572	569	415	367	363
EDUC	285	269	241	217	193
ENGT	340	337	358	348	364
HSCI	876	160	165	145	169
NURS	0	313	281	262	224
RSPP	0	370	298	283	260
University College	907	274	605	689	615
University College	907	274	605	689	615

<i>Undergraduate Residency</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
Ohio	3877	3616	3298	3034	2925
Kentucky	382	328	385	270	282
Other US States 1	107	153	116	148	159
International 2	28	36	42	36	33

¹ Undergraduates represent 20 states and the District of Columbia.

² Undergraduate international students represent 18 countries.

<i>Undergraduate Demographics</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
<i>Age</i>					
Under 19	800	820	659	652	692
19 to 25	2701	2507	2405	2254	2223
Over 25	896	770	680	546	451
<i>Ethnicity</i>					
American Indian/Alaskan	33	29	23	33	27
Asian	16	16	13	16	17
Black/African American	250	232	212	195	202
Hispanic/Puerto Rican	25	25	25	22	26
Native Hawaiian/Pacific	3	6	1	6	4
White	3729	3526	3242	2971	2885
Two or more races	55	57	58	66	80
Non-Citizen	33	37	46	43	39
Unknown/Undisclosed	253	169	124	100	86



<i>Undergraduate County of Origin³</i>	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
Southern Ohio					
Scioto	1758	1637	1472	1271	1195
Lawrence	114	109	119	111	110
Adams	204	206	194	193	187
Pike	305	280	238	247	246
Total	2381	2232	2023	1822	1738
Central Ohio					
Franklin	132	131	115	117	125
Licking	29	20	21	19	19
Delaware	11	19	18	18	13
Madison	17	27	20	15	20
Pickaway	57	49	42	34	30
Fairfield	37	40	40	33	36
Union	4	5	5	4	7
Ross	189	161	132	119	126
Total	476	452	393	359	376
Southwestern Ohio/Northern Kentucky					
Brown	77	78	60	52	43
Butler	17	17	11	23	26
Clermont	59	45	56	41	32
Clinton	20	13	11	15	20
Hamilton	91	97	73	68	70
Highland	52	53	55	39	45
Kenton (KY)	4	2	0	1	2
Warren	20	23	34	31	29
Total	340	328	300	270	267
Kentucky Reciprocity					
Mason	9	10	14	10	9
Lewis	68	67	59	53	58
Boyd	48	26	30	31	35
Greenup	236	196	155	146	144
Carter	7	10	12	14	11
Elliott	0	0	0	0	0
Lawrence	2	2	4	5	4
Fleming	3	2	0	1	1
Rowan	0	1	1	1	2
Total	373	314	275	261	264

³ Undergraduates represent 79 of Ohio's 88 counties, 27 Kentucky counties, and 7 West Virginia counties.

Mean ACT COMP	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
Mean ACT COMP FF's	20.04	20.36	20.74	20.77	21.43
Number of FF's who previously earned college credit	NA	NA	NA	NA	328

FF's with earned hours to be accumulated Fall 2016.

Non-Degree Enrollment	FALL 2012	FALL 2013	FALL 2014	FALL2015	Fall 2016
College Credit Plus/Non-Degree	135	137	353	277	237



Housing Occupancy Report
 Board of Trustees Meeting
 October 14, 2016

Revised 9-20-2016
Housing Occupancy
Fall Quarters/Semesters

Fall	SSU Owned Capacity	Campus View; Tanner Place; Bridgeview Court Capacity	Residents On Campus	Percentage Of Occupancy	Men Living On Campus	Women Living On Campus
2016	174 ⁵	760 ⁶	893	95.6%	498	395
2015	170 ³	777 ⁴	884	93.3%	476	408
2014	180 ²	785	922	96%	478	444
2013	176 ¹	785	970	101%	477	493
2012	179	785	998	103.5%	483	515
2011	178	723	962	107%	456	506

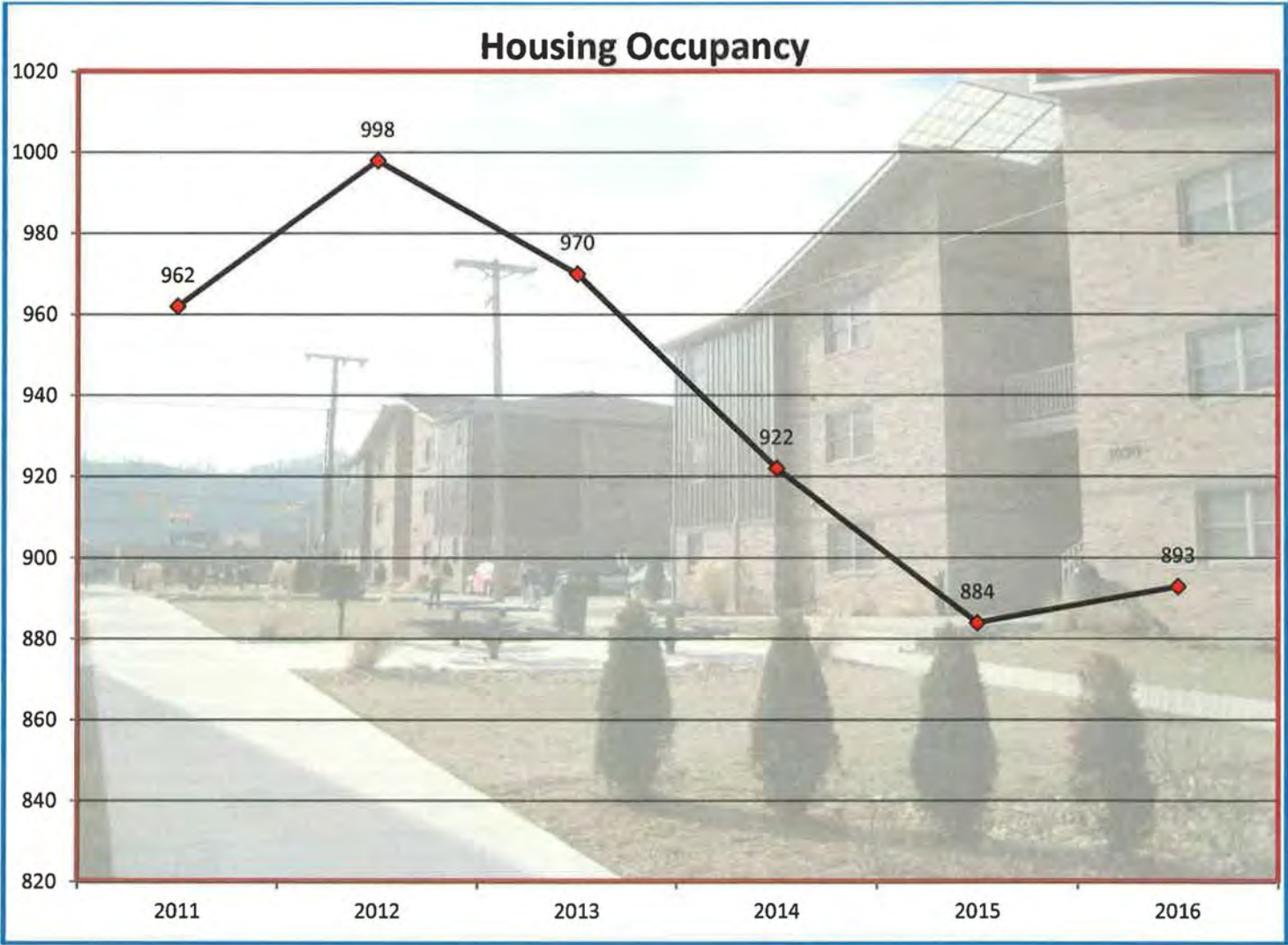
NOTES:

- ¹Decrease due to Cedar 12 being converted to HRL Office space.
- ²Increase due to Cedar 12 being converted into a housing unit.
- ³Decrease due to Cedar 12 housing—CIR, visiting faculty placed in Carriage House.
- ⁴Decrease due to graduate student single housing option in Bridgeview Court.
- ⁵174 attributed to placing Carriage House back online that that had been used for visiting faculty.
- ⁶760 attributed to accommodation request buyouts and utilizing CV 304 for Director of Housing & Residence Life living on campus/Admission Tour House. Graduated students also increased having single-occupancy apartments. In addition, we have two buy outs in the ADA rooms.

Number of students/capacity in Developer owned properties	728/760
Occupancy percentage for Developer owned properties	95.8%
Number of students/capacity in SSU owned properties	164/174
Occupancy percentage for SSU owned properties	94.3%

Certified as True and Correct
 @ 12-7-16
 Secretary, SSU Board of Trustees

Housing Occupancy 2011 – 2016 Fall Terms



Certified in Trust and Good Faith
12-7-16
Secretary, ESU Board of Trustees

Student Government Association Report
Board of Trustees Meeting
October 14, 2016

Current Projects

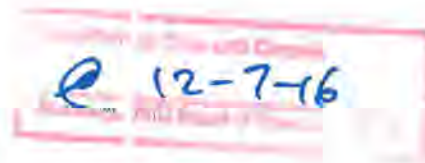
- Collaborating with the office of the President and Communications to continue the campus legacy project.
- Addressing specific student concerns such as internet issues, cafeteria food quality, smoking on campus, a twenty-four hour study space, and campus parking.

Student Organizations

- Thirty-two (32) organizations/clubs approved for status.
- Each funded \$200 (Fall 2016)

Committee Projects

- **Student Life**
 - Working with David Thoroughman to better parking on campus.
 - Working with Rachel Steele to address student concerns with Sodexo.
 - Addressing student concerns regarding Wi-Fi on campus.
- **Academic Affairs**
 - Working with Provost Jeff Bauer to move towards having a 24 hour study space.
 - Working with Provost Jeff Bauer to try and regulate the use of the Blackboard system by professors.
 - Working with Provost Jeff Bauer to encourage professors to use letter grades for students instead of the current system which involves satisfactory or unsatisfactory grading.
- **Budget and Financing**
 - Campus Legacy Project
 - New "Stand Out" banners on light posts
 - Cleaning the paint on and around the Greenhouse
 - Putting in place more directions signs on campus with names of building with the current and updated logo.
 - Paving the dirt walkway near the library into a sidewalk.
 - Grills at Townhouses be replaced
 - Bike racks be put in place at Townhouses
 - Basic landscaping around the teacher education building.
- **Inter-Club Council**
 - October Club Showcase
 - Club corn hole tournament



**Student Government Association Report
Board of Trustees Meeting
October 14, 2016**

Approved Student Organizations

Psi Chi	History Club
Psychology Club	IGDA
Society of Plastics Engineers	College Democratic Club
Delta Phi Epsilon	Student Physical therapy assistants
Fantanime	Student Occupational Therapy Association
Theta Phi Alpha	Masters of Occupational Therapy Association
Tau Kappa Epsilon	Student Nurses Association
Phi Mu Delta	Early Childhood Education Club
GSSA	Athletic Training Club
WISE	SSU Jedi Order
KICKS	Zombie educational defense
Student Veterans of America	Floppy disks
Chemistry Club	Political Science Club
Pre-med club	Shawnee Students for Liberty
Beta Beta Beta	International Forum
Alpha Phi Omega	SSU College Republicans



RESOLUTION F26-16

**A RESOLUTION ADOPTING POST-ISSUANCE COMPLIANCE PROCEDURES
RELATING TO THE ISSUANCE OF FEDERALLY TAX-EXEMPT BONDS**

WHEREAS, the Board of Trustees (the "Board") of Shawnee State University (the "University") is authorized by Sections 3345.11 and 3345.12 of the Ohio Revised Code to issue obligations to pay costs of University facilities and to refund obligations previously issued to pay costs of University facilities; and

WHEREAS, pursuant to the provisions of the Internal Revenue Code of 1986, as amended (the "Code"), and the regulations promulgated thereunder (the "Regulations"), the Internal Revenue Service (the "IRS") strongly recommends that issuers establish written requirements and procedures to ensure compliance with the applicable provisions of the Code and the Regulations; and

WHEREAS, desires to adopt the below described procedures (the "Post-Issuance Compliance Procedures") in order to ensure compliance with the provisions of the Code and the Regulations;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the following effective upon adoption:

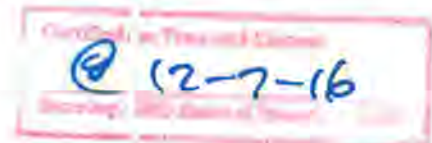
Adoption of Post-Issuance Compliance Procedures

The Board hereby adopts the following Post-Issuance Compliance Procedures, the purpose of which is to establish written directives and procedures in connection with Bonds issued so as to ensure that all applicable post-issuance requirements of the Code and Regulations needed to preserve the tax-exempt status of Bonds are met. In addition, the University hereby adopts policies and procedures to assist it in complying with Rule 15c2-12 of the Securities and Exchange Commission ("SEC"). The University reserves the right to use its discretion, as necessary and appropriate, to make exceptions or establish additional requirements as it may from time to time reasonably determine. The University also reserves the right to change the directives and procedures herein set forth from time to time, without prior notice to any party to the Bonds, *provided*, any material changes to such directives and procedures shall be approved and documented as an amendment or supplement to this Resolution.

General

The University is the issuer of the Bonds and will bear full responsibility for all ongoing tax compliance matters relating to the Bonds.

The University expects to use a corporate trustee (the "Trustee") to administer all Bonds. The Trustee will in each case be assigned certain document retention requirements in compliance with the University's document retention policy. The University retains the right to inquire of the Trustee for any documentation regarding any issue of Bonds.



The University shall execute a continuing disclosure agreement in connection with the Bonds.

Designation of Responsible Person(s)

The Board hereby designates its Vice President for Finance and Administration (the "*Compliance Officer*") as the officer with responsibility to oversee compliance herewith. The Compliance Officer may seek the advice of any other officer of the University as may be necessary to comply herewith.

Post-Issuance Compliance Requirements

Bond Closing Documentation

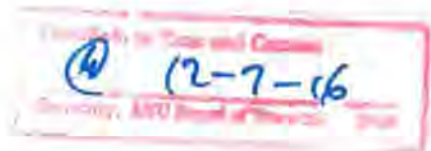
The Compliance Officer shall consult with bond counsel and other legal counsel and advisors, as needed, during the Bond issuance process to identify requirements and to establish procedures necessary or appropriate so that Bonds which are intended to be tax-exempt will continue to qualify for tax-exempt status. Those requirements and procedures shall be documented in the tax certificates and/or other documents finalized at or before issuance of the Bonds. Those requirements and procedures shall include actions to be taken in connection with future compliance with applicable arbitrage rebate requirements by both the University and the Trustee and all other applicable post-issuance requirements of federal tax law throughout (and in some cases beyond) the term or maturity of the Bonds.

External Advisors

The University shall consult with bond counsel and other legal counsel and advisors, as needed, following issuance of the Bonds to ensure that all applicable post-issuance requirements in fact are met. This shall include, without limitation, consultation in connection with the use of proceeds, as well as future contracts with respect to the use of Bond-financed or refinanced assets.

The University shall engage expert advisors, accountants or consultants (each a "*Rebate Analyst*") to assist in the calculation of arbitrage rebate payable in respect of the investment of Bond proceeds, unless the tax certificate documents that arbitrage rebate will not be applicable to an issue of Bonds.

Unless otherwise provided by the indenture, tax certificates or other authorizing documents relating to the Bonds, unexpended Bond proceeds shall be held by the Trustee, and the investment of Bond proceeds shall be managed by the University. The University shall prepare (or cause the Trustee to prepare) regular, periodic statements regarding the investments and transactions involving Bond proceeds and such statements shall be delivered to the University if it so requests.



Arbitrage Rebate and Yield

Unless the tax certificate documents state that arbitrage rebate will not be applicable to an issue of Bonds, the Board directs the Compliance Officer to be responsible for:

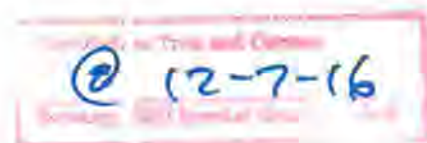
- engaging the services of a Rebate Analyst and, prior to each rebate calculation date, causing the Trustee or other account holder to deliver periodic statements concerning the investment of Bond proceeds to the Rebate Analyst;
- providing to the Rebate Analyst additional documents and information reasonably requested by the Rebate Analyst;
- monitoring efforts of the Rebate Analyst;
- assuring payment of required rebate amounts, if any, no later than 60 days after each 5-year anniversary of the issue date of the Bonds, and no later than 60 days after the last Bond of each issue is redeemed;
- during the construction period of each capital project financed in whole or in part by Bonds, monitoring the investment and expenditure of Bond proceeds and consulting with the Rebate Analyst to determine compliance with any applicable exceptions from the arbitrage rebate requirements during each 6-month spending period up to 6 months, 18 months or 24 months, as applicable, following the issue date of the Bonds; and
- retaining copies of all arbitrage reports and account statements as described below under "Record Keeping Requirements".

The University, in the tax certificate relating to the Bonds and/or other documents finalized at or before the issuance of the Bonds, shall agree to undertake the tasks listed above (unless the tax certificate documents that arbitrage rebate will not be applicable to an issue of Bonds).

Use of Bond Proceeds and Bond-Financed or Refinanced Assets:

The Board directs the Compliance Officer to be responsible for:

- monitoring the use of Bond proceeds and the use of Bond-financed or refinanced assets (e.g., facilities, furnishings or equipment) throughout the term of the applicable Bonds to ensure compliance with covenants and restrictions set forth in the tax certificate relating to the Bonds;
- maintaining records identifying the assets or portion of assets that are financed or refinanced with proceeds of each issue of Bonds, including a final allocation of Bond proceeds as described below under "Record Keeping Requirements";
- consulting with bond counsel and other legal counsel and advisers in the review of (i) any



unrelated trade or business income generated by the University's use of Bond-financed or refinanced assets and (ii) any contracts, research agreements or other arrangements with private persons involving the use of Bond-financed or refinanced assets, all in order to ensure compliance with all covenants and restrictions set forth in the tax certificate relating to the Bonds;

- maintaining records of any contracts or arrangements involving the use of Bond-financed or refinanced assets as described below under "Record Keeping Requirements";
- conferring at least annually with personnel responsible for the use and/or operation of Bond-financed or refinanced assets to identify, discuss and review any existing or planned use of Bond-financed or refinanced assets, to ensure that such uses are consistent with all covenants and restrictions set forth in the tax certificate relating to the Bonds; and
- to the extent that the Compliance Officer discovers that any applicable tax restrictions regarding use of Bond proceeds and Bond-financed or refinanced assets will or may be violated, consulting promptly with bond counsel and other legal counsel and advisers to determine a course of action to remediate all nonqualified uses and all nonqualified use of Bond proceeds, if any (including, if necessary, utilization of the IRS's voluntary closing agreement program), if such counsel or adviser advises that remedial action is necessary.

The University, in the tax certificate relating to the Bonds and/or other documents finalized at or before the issuance of the Bonds, shall agree to undertake the tasks listed above.

All relevant records and contracts shall be maintained as described below.

Record Keeping Requirements

The Board directs the Compliance Officer to be responsible for maintaining the following documents for the term of each issue of Bonds (including refunding Bonds, if any) plus at least six years:

- a copy of the Bond closing transcript(s) and other relevant documentation delivered to at or in connection with closing of the issue of Bonds, including any elections made by the University in connection therewith and, if any, all post-issuance amendments or other modifications thereto;
- a copy of all material documents relating to capital expenditures financed or refinanced by Bond proceeds, including (without limitation) construction contracts, purchase orders, invoices, Trustee requisitions and payment records, draw requests for Bond proceeds and evidence as to the amount and date for each draw down of Bond proceeds, as well as documents relating to costs paid or reimbursed with Bond proceeds and records identifying the assets or portion of assets that are financed or refinanced with Bond proceeds, including a final allocation of Bond proceeds;
- a copy of all contracts and arrangements involving the use of Bond-financed or refinanced



assets; and

- a copy of all records of investments, investment agreements, swaps, arbitrage reports and underlying documents, including Trustee statements, in connection with any investment agreements, and copies of all related bidding documents, if any.

The University, in the tax certificate relating to the Bonds and/or other documents finalized at or before the issuance of the Bonds, shall agree to the foregoing records retention requirements and procedures.

Modification of Bond Terms and Provisions

The Board directs the Compliance Officer to be responsible for identifying any events resulting in (i) changes or modifications of any of the contractual terms of Bonds (including without limitation modifications of the bond interest rates, maturity dates or payment schedule), (ii) changes to any credit enhancement of or liquidity facility for Bonds, (iii) changes in the nature of the security for Bonds, (iv) purchase of Bonds by the University, or (v) any deferral or default of payment of principal and interest due on Bonds. The Compliance Officer shall consult with bond counsel and other legal counsel and advisors, as needed, prior to authorizing or undertaking any of the events described in the preceding sentence.

IRS Correspondence and Audits

The Board directs the Compliance Officer to consult with bond counsel and other legal counsel and advisors, as needed, in connection with any correspondence received from the IRS or the opening of any IRS examination of any type with respect to Bonds. The Compliance Officer designated as the responsible person for these Post-Issuance Compliance Procedures shall be named (or shall designate a person to be named) on any Form 8038 for any issue of Bonds as the person whom the IRS is to contact regarding matters connected with the Bonds.

Post-Issuance Securities Law Requirements

In each year that has Bonds or taxable obligations outstanding subject to SEC Rule 15c2-12, no later than the date 210 days after the end of the University's fiscal year (the "Annual Report Filing Date"), the Compliance Officer shall file, or cause its dissemination agent, if applicable, to file, its annual audited financial statements in addition to other financial and operating data (the "Annual Report") with the Municipal Securities Rulemaking Board (the "MSRB") through its Electronic Municipal Market Access facility for municipal securities disclosure ("EMMA"). In preparing its Annual Report, the Compliance Officer shall review each of its outstanding Continuing Disclosure Certificates (individually, the "Certificate", and collectively, the "Certificates") to determine the financial information and operating data which, together with the University's annual audited financial statements, shall constitute the content of the Annual Report. Each Certificate shall be included as an Exhibit to this document.

For its Certificates with respect to bonds or other obligations issued on or after December 1, 2010, the Compliance Officer shall monitor the following events and provide notice of

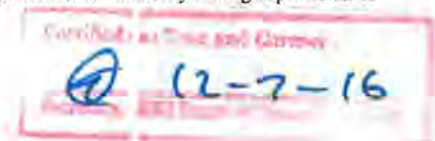


such events to the MSRB through EMMA as required by the applicable Certificate, but not later than ten (10) business days after occurrence:

- i. Principal and interest payment delinquencies;
- ii. Nonpayment related defaults;
- iii. Unscheduled draws on debt service reserves reflecting financial difficulties;
- iv. Unscheduled draws on credit enhancements reflecting financial difficulties;
- v. Substitution of credit or liquidity providers, or their failure to perform;
- vi. Adverse tax opinions, the issuance by the Internal Revenue Service of proposed or final determinations of taxability, Notices of Proposed Issue (IRS Form 5701 TEB) or other material notices or determinations with respect to the tax status of the security, or other material events affecting the tax status of the security;
- vii. Modifications to rights of security holders;
- viii. Bond calls, except for mandatory scheduled redemptions not otherwise contingent upon the occurrence of an event;
- ix. Defeasances;
- x. Release, substitution or sale of property securing repayment of the securities;
- xi. Rating changes;
- xii. Bankruptcy, insolvency, receivership or similar event¹;
- xiii. The consummation of a merger, consolidation or acquisition;
- xiv. Appointment of a successor or additional trustee or the change of name of a trustee if material; and
- xv. Tender offers.

The SEC requires the listing of (i) through (xv) although some of such events may not be applicable to the Bonds.

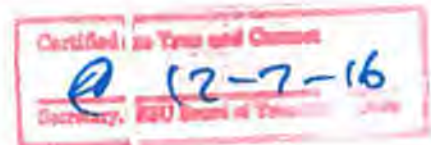
¹ This event is considered to occur when any of the following occur: the appointment of a receiver, fiscal agent or similar officer in a proceeding under the U.S. Bankruptcy Code or in any other proceeding under state or federal law in which a court or governmental authority has assumed jurisdiction over substantially all of the assets or business of the University, or if such jurisdiction has been assumed by leaving the existing governing body and officials or officers in possession but subject to the supervision and orders of a court or governmental authority, or the entry of an order confirming a plan of reorganization, arrangement or liquidation by a court or governmental authority having supervision or jurisdiction over substantially all of the assets or business of the University.



Successor Responsible Person(s)

The Board directs the Compliance Officer as the responsible person to inform any successor of the requirements set forth in these Post-Issuance Compliance Procedures. The Compliance Officer may undertake such training of the University employees as is necessary to accomplish these Post-Issuance Compliance Procedures.

(October 14, 2016)

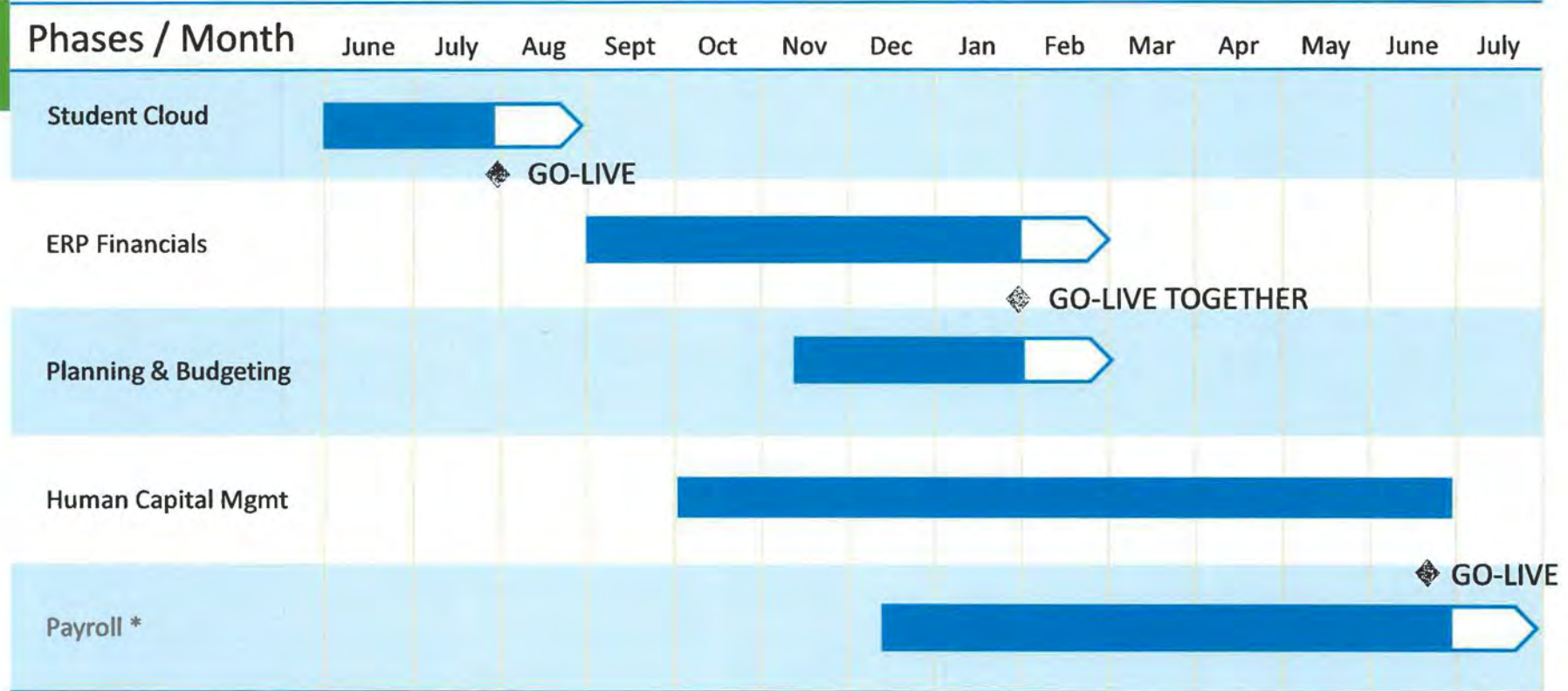


Certified / no True and Output
 12/7/16
 Secretary, 2007 Board of Trustees

Resources & Timeline

Practical Path to the Modern Campus

Project Roadmap Timeline – Phase 1



IMPLEMENTATION
 POST PRODUCTION SUPPORT



Status of Construction/Renovation Projects through September 30, 2016

Project	Status	Projected Budget	Funding Source
Health Sciences Program Expansion (STEMM) Phase 1	<ul style="list-style-type: none"> • Kricker Hall, Health Science, and ATC Buildings space programming complete. • Phase I ATC & Kricker Hall scheduled for completion 12/1/16. This will renovate approximately 6,000 square feet to house the Business Faculty and includes 13 new office spaces, a 20 seat conference room, group study areas, and teacher student collaboration spaces all conveniently located on the first floor of the ATC Building. All Kricker classrooms will be re-configured to house the M.O.T., P.T., and Sports Profession Classrooms and Laboratories. This will provide over 20,000 square feet of space to allow growth in all 3 programs. • All underground piping complete. All ductwork, framing, and drywall 50% complete in both the ATC and Kricker Building. 	\$4,000,000 \$350,000	State Capital Local Funds
Health Sciences Program Expansion (STEMM) Phase 2	<ul style="list-style-type: none"> • The space that will be vacated by the M.O.T., P.T., and Sports Professions will be renovated to add additional space for both ADN and BSN programs. This includes a new zoned air handling unit, central vacuum and compressed air for the labs, and all new finishes. This project will also allow all Nursing Faculty to have offices in the space as well as classrooms sized for the larger enrollment.. • Project advertised 		



APPOINTMENTS

Eff	Name	Position	Salary	Comments
FACULTY				
08/22/16	Richard Bayless	Visiting Faculty, Natural Sciences	\$43,724	Masters in Geology / Hydrogeology, Teaching at collegiate level since 1981
08/22/16	Aaron Bruewer	Assistant Professor, Teacher Education	\$51,582	PhD in Educational Studies, 7 years teaching experience at collegiate level
08/22/16	Jeffrey Curley	Assistant Professor, Rehab & Sport Professions	\$53,056	Masters in Athletic Training, CAT since 1989, has taught several AT course at collegiate level
08/22/16	Vincent George	Visiting Faculty, Natural Sciences	\$44,973	Masters in Physics, 4 years teaching experience at collegiate level
08/22/16	Kassiani Kotsidou	Assistant Professor, Engineering Technologies	\$53,056	PhD in Electrical & Computer Engineering, more than 10 years teaching undergraduate courses
08/22/16	Bastien Lecouffe	Visiting Faculty, Fine Digital & Performing Arts	\$48,634	Masters in Fine Arts, Worked as an Adjunct at SSU since 2012
08/22/16	Margaret Lehman	Assistant Professor, Teacher Education	\$53,056	PhD in Education & Literacy, 7 years teaching experience at collegiate level
08/22/16	Diana Liu	Visiting Faculty, Social Sciences	\$47,161	PhD in Political Science, 5 years teaching experience
08/22/16	Cybele Lotti	Visiting Faculty, Engineering Technologies	\$53,056	PhD Materials Engineering/Polymeric Materials, undergraduate teaching experience, 15 years engineering experience
08/22/16	Randall Mills	Senior Instructor, University College	\$44,973	Masters in Arts in Mathematics, 14 years teaching experience
08/22/16	Sherri Powell	Visiting Faculty, University College	\$39,976	Masters in Education with an emphasis in Higher Education, 19 years experience teaching at collegiate level
08/22/16	Shane Shope	Visiting Faculty, Teacher Education	\$53,056	PhD in Education, 3 years teaching at collegiate level
08/22/16	Jeffrey Spriggs	Instructor, Engineering Technology	\$45,441	Bachelors in Applied Science/Plastics Engineering, 10 years teaching experience at collegiate level
08/22/16	Mikel Stone	Visiting Faculty, Rehab & Sport Professions	\$53,056	Masters in Occupational Therapy, 5 years teaching experience at collegiate level
08/22/16	Jessica Winck	Senior Instructor, English & Humanities	\$41,225	PhD in in Rhetoric and Composition with specialization in Developmental/Basic Writing, 8 years of experience teaching at collegiate level.

Certified in Texas and Online
 (2-7-16)
 Secretary, (650) Board of Regents

APPOINTMENTS

Eff	Name	Position	Salary	Comments
ADMINISTRATIVE				
04/25/16	Courtney Hayward	Grant Writer & Institutional Analyst, Institutional Research & Sponsored Programs	\$46,408	Masters in Public Administration, 4 years grant writing experience.
06/01/16	Danielle Cline	Fellowship, Development	\$24,000	SSU Graduate- Associate in Applied Business & Bachelors in Social Science & Legal Assisting
06/01/16	Kelcie Cook	Fellowship, Development	\$24,000	SSU Graduate- Bachelors in Business Administration
06/01/16	Aubrey Sherman	Fellowship, Development	\$24,000	SSU Graduate- Bachelors in Chemistry
06/20/16	Marla Beebe	Research & Instruction Librarian, Clark Memorial Library	\$51,500	Masters in Library Science & Master in Music Education, 6 years experience reference/research instruction librarian
07/01/16	Timothy Davis	Coordinator Clinical & Field Experience, Teacher Education	\$50,000	Masters of Science in Education & Applied Professionals, 16 Years exp as Elementary/Highschool Administrator
07/06/16	Amber Montavon	Fellowship, Marketing & Communications	\$24,000	SSU Graduate- Associate in Communications & Bachelors in Business Administration
08/17/16	Taryn McCauley	Classroom Teacher, Children's Learning Center	\$25,715	Bachelors of Science in Early Childhood Education, 6 Years elementary teaching experience. Change from LTC to Hired FT
09/01/16	Monique Harmon	Director, Housing & Residence Life/Title IX Coordinator	\$60,000	Master in Public Administration, 7 years experience in higher Ed, 9 years exp investigations
09/15/16	Jonathon Loughridge	Coordinator, Athletic Events & Sports Information	\$37,000	Bachelors in History/Sports Administration, 6 years experience with College Athletics

91-7-16
 12-7-16
 Department of Human Resources

CHANGE OF STATUS

		From	To	Salary	Comments
FACULTY					
07/01/16	Andrew Napper	Dean, College of Arts & Sciences	Professor, Natural Sciences	\$70,388	Acting Appointment ended
08/22/16	Sarah Clausing	Visiting Faculty, Business Administration	Assistant Professor, Business Administration	\$50,108	Promotion
08/22/16	Matt Cram	Associate Professor, Fine, Digital, & Performing Arts	Professor, Fine, Digital, & Performing Arts	\$72,521	Promotion
08/22/16	Jodi Dunham	Visiting Faculty, Teacher Education	Assistant Professor, Teacher Education	\$51,582	Promotion
08/22/16	Timothy Hamilton	Associate Professor, Physics/Plantarium	Professor, Physics/Plantarium	\$68,255	Promotion
08/22/16	Andrew Holbrook	Senior Instructor, Gaming	Visiting Faculty, Gaming	\$42,985	Position Reassignment
08/22/16	Linda Hunt	Assistant Professor, Matematics	Associate Professor, Mathematics	\$71,301	Promotion
08/22/16	Derek Jones	Assistant Professor, Chemistry	Associate Professor, Chemistry	\$55,543	Promotion
08/22/16	Georgeann Kamer	Senior Instructor, Dental Hygeine	Assistant Professor, Dental Hygeine	\$47,161	Promotion
08/22/16	Ann Linden	Assistant Professor, English & Humanities	Associate Professor, English & Humanities	\$55,543	Promotion
08/22/16	Sarah Minter	Assistant Professor, Natural Sciences	Associate Professor, Natural Sciences	\$55,543	Promotion
08/22/16	Kimberly Moore	Assistant Professor, Occupational Therapy	Associate Professor, Occupational Therapy	\$55,543	Promotion
08/22/16	Jennifer Napper	Assistant Professor, Biology & Philology	Associate Professor, Biology & Philology	\$55,543	Promotion
08/22/16	Mich Nyawalo	Assistant Professor, English & Humanities	Associate Professor, English & Humanities	\$55,543	Promotion
08/22/16	Marc Scott	Assistant Professor, English & Humanities	Associate Professor, English & Humanities	\$55,543	Promotion
08/22/16	Barbara Warnock	Assistant Professor, Masters Occupational Therapy	Associate Professor, Masters of Occupational Therapy	\$55,543	Promotion

Capital Hill Training and Education
 (2-7-16)
 Secretary, Board of Trustees

CHANGE OF STATUS

		From	To	Salary	Comments
ADMINISTRATIVE					
05/09/16	Xiaodan Huang	Faculty Chair, Teacher Education	Administrative Chair, Teacher Education	\$100,822	Position Repurposed
05/16/16	Jaime Madden	ITS Project Manager	ITS Project Manager	\$52,657	FTE change from .5 to .75
07/01/16	Jeffrey Bauer	Acting Provost & VP for Academic Affairs	Provost & VP for Academic Affairs	\$158,000	Acting Appointment ended
07/01/16	Kara Bobo-Stump	Secretary, Communications	Coordinator, Promotions & Marketing Coordinator	\$44,813	Position Reclassification
07/01/16	Eric Braun	Executive Director, Advancement & External Affairs	VP for Advancement & External Affairs	\$128,000	Internal Promotion
07/01/16	Cheryl Hacker	General Counsel	General Counsel	\$123,000	Term Appointment
07/01/16	Amanda Hedrick	Acting Director, Children's Learning Center	Director, Children's Learning Center	\$60,573	Acting appointment ended
07/01/16	Malonda Johnson	Associate Director, Human Resources	Director, Human Resources	\$64,203	Internal Promotion
07/01/16	Roberta Milliken	Professor, English & Humanities	Acting Dean, College of Arts & Sciences	\$106,869	Acting Appointment
07/01/16	Astra Ng	Coordinator, Communications	Coordinator, Communications	\$38,380	FTE change from .5 to 1
07/01/16	Becky Thiel	Associate Provost, Academic Affairs	Acting Dean, Graduate Studies & Assessment	\$94,000	Position Repurposed
07/01/16	Aimee Welch	Project Coordinator, Development Foundation	Operations Manager, Development Foundation	\$44,813	Position Reclassification
07/01/16	Dave Zender	Director, Human Resources	Director, Labor & Organizational Development	\$93,636	Lateral Reassignment
08/18/16	Jeanna Heresh	Acting Head Teacher, Children's Learning Center	Head Teacher, Children's Learning Center	\$29,974	Acting appointment ended
09/06/16	Jennifer Hammonds	Associate Registrar, Enrollment Management & Student Affairs	Acting Registrar	\$58,669	Acting Appointment
09/06/16	Mark Moore	Registrar, Enrollment Management & Student Affairs	Enterprise Resource Planning Transition Manager, Budget & Financial Analysis	\$72,512	Position Reassignment
09/19/16	Janet Stewart	Librarian, Systems & Digital Initiatives, Clark Memorial Library	Acting Dean, Library Services	\$79,000	Acting Appointment

Approved by Finance and Admin Committee
 12-7-16

TERMINATIONS

Eff	Name	Position	Comment
05/06/16	Dan O'Connor	Assistant Professor, Fine, Digital, & Performing Arts	Resigned
05/10/16	Erik Larson	Assistant Professor, Natural Science	Resigned
05/10/16	Justin Rex	Assistant Professor, Social Science	Resigned
05/10/16	Deborah Risner	Assistant Professor, Teacher Education	Resigned
05/31/16	Patric Leedom	Associate Professor, Teacher Education	Retired
06/01/16	Carl Hilgarth	Professor, Engineering Technology	Retired
06/30/16	Joanne Charles	Associate VP for Finance & Administration	End of Contract
06/30/16	Jacob Snyder	Coordinator, Sports Information	Resigned
07/01/16	Denise Gregory	Coordinator, Veterans Affairs	Retired
07/01/16	Deborah Weber	Director, Pre-professional Services	Retired
07/29/16	Ryan Boggs	Trainer, Athletics	Resigned
08/01/16	Hoai Tran	Senior Instructor, Mathematics	Resigned
08/04/16	Jerry Ross	Assistant Professor, Physics	Resigned
08/20/16	Valerie Long	Assistant Professor, Mathematics	Resigned

