

**SHAWNEE STATE UNIVERSITY  
BOARD OF TRUSTEES**

**Meeting Minutes  
May 2, 2014**

**Call to Order**

Chairperson Higgs-Horwell called the meeting to order at 1:15 p.m. noting the meeting was in compliance with RC § 121.22(F).

**Roll Call**

Members Present: Ms. Francesca Hartop, Ms. Melissa Higgs-Horwell, Mr. Robert Howarth, Mr. Jack McCoy, Mr. Gary Paine, Ms. Kay Reynolds, Ms. Elizabeth Seif, Mr. Scott Williams

Members Absent: Ms. Chelsey Ferry

**Approval of the May 2, 2014 Agenda**

Mr. Paine moved and Ms. Seif seconded a motion to approve the May 2, 2014 agenda. Without discussion, the Board unanimously approved said agenda.

**Approval of the March 14, 2014 Board Meeting Minutes**

Mr. Paine moved and Ms. Reynolds seconded a motion to approve the March 14, 2014 Board meeting minutes. Without discussion, the Board unanimously approved said minutes.

**Committee Reports**

**Academic and Student Affairs Committee – Mr. Robert Howarth, Chair**

Mr. Howarth reported on behalf of the Academic and Student Affairs Committee. Mr. Howarth said the Committee had one action item and several information items.

**Action Item**

***Resolution ASA05-14, University Housing Policy 3.02REV***

Mr. Howarth moved and Ms. Hartop seconded a motion to approve Resolution ASA05-14, University Housing Policy 3.02REV. Mr. Howarth said Mr. Bob Trusz, Interim Vice President

for Student Affairs, reported that this policy was part of the systematic review of institutional policies and was reviewed and modified to allow flexibility in certain housing situations.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

### **Information Items**

Dr. David Todt, Provost and Vice President for Academic Affairs, reported on the presentation of the Distinguished Teaching Award by the University Faculty Senate, Academic and Scholarly Affairs Committee, to Mr. James Anthony Ward, Associate Professor, Department of Rehabilitation and Sport Professions, Athletic Training. His nomination indicated his recent student evaluations testified to both the high quality of his instruction and to the respect and esteem to which he is held by his students. Students regard Tony as extremely knowledgeable, personable, and an effective teacher.

Dr. Todt reported on Faculty Promotions. Eight faculty were awarded promotion. Drs. Knutson, Scurlock, Vemsani, Vick, and Whitaker were promoted to Professor; Drs. Denning and Lawson to Associate Professor; and Mr. Turner to Senior Instructor. He also reported to date, four new faculty have been identified: Dr. Devkota, Statistics; Dr. Dunne, Sociology; Dr. Larson, Geology; and Dr. Salinas, Spanish. Faculty hiring will continue through the summer.

Dr. Todt reported on Shawnee State University's Chapter of the National Honor Society Phi Eta Sigma's 2014 Installation. It was held April 8<sup>th</sup> with seventy-three freshman student inducted into the honor society. These outstanding students must have a 3.5 or better overall GPA. Four SSU staff members were also inducted as Honorary Members: Ms. Karen Leach, Dr. Paul Madden, Ms. Jennifer McKinney, and Dr. Stanley Workman.

Dr. Todt reported on the 2014 Women's Center James P. Chapman Service Award, which was recently presented to Ms. Kris Liles, Executive Secretary, Office of the Provost.

Mr. Robert Trusz, Interim Vice President for Student Affairs, presented the SSU Graduation Statistics. The Preliminary Commencement Report indicated 579 degrees will be conferred with 7 Masters Degrees, 338 Bachelor Degrees, and 234 Associate Degrees. This represents an 8.6% increase compared the spring 2013. Total number of graduates for the 2013-2014 academic year is 785.

Ms. Brittany Barta, President of Student Programming Board, reported on the activities of the Student Programming Board. She announced the new SPB president as of the start of the new academic year in fall, 2014, will be Ms. Lynn Gundolph. Ms. Barta gave a brief recap of spring 2014 activities, which included Homecoming Week and Springfest activities.

**Education Item**

Dr. Todt reported on the new Course Evaluation process.

**Finance and Administration Committee – Mr. Gary Paine, Vice Chair**

Mr. Paine reported on behalf of the Finance and Administration Committee. He said the Committee had four action items and several information items.

**Action Items*****Resolution F14-14, Investment Committee Member Reappointment***

Ms. Seif moved and Ms. Reynolds seconded a motion to approve Resolution F14-14, Investment Committee Member Reappointment. Ms. Seif said the adoption of this resolution would extend the appointment of Mr. Will Burke to the SSU Investment Committee for a three-year term

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F15-14, Investment Policy 1.05REV***

Ms. Seif moved and Mr. Paine seconded a motion to approve Resolution F15-14, Investment Policy 1.05REV. Ms. Seif said the change in this policy would establish the ability to transfer funds from the Diversified Investment Pool to the Liquid Investment Pool.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F16-14, Approval to Rescind Outdated Policy 4.01, Blanket Order Release Authorization***

Ms. Seif moved and Mr. Paine seconded a motion to approve Resolution F16-14 Approval to Rescind Outdated Policy 4.01, Blanket Order Release Authorization. Ms. Seif said this policy was outdated as a result of the implementation of automated accounts payables processes and that the University no longer utilized blanket orders.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F17-14, Policy 4.77REV, Retirement and Re-employment of Retirees***

Ms. Seif moved and Mr. McCoy seconded a motion to approve Resolution F17-14, Policy 4.77REV, Retirement and Re-employment of Retirees. Ms. Seif said the University is realizing a high number of retirements of key employees and this policy would allow the University to re-hire retirees for a short-term duration to complete major projects, provide essential transitional support/services, or fill unique and specialized needs of the University.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F18-14, Approval of Policy 4.64REV, Relocation Expense Reimbursement***

Ms. Seif moved and Mr. McCoy seconded a motion to approve Resolution F18-14, Approval of Policy 4.64REV, Relocation Expense Reimbursement. Ms. Seif said there was a need for clarification regarding relocation expense reimbursement for employment contracts when such employment contracts do not include an express provision addressing the reimbursement of relocation expenses.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F19-14, Approval of the FY2015 General Fund Budget***

Ms. Seif moved and Mr. Paine seconded a motion to approve Resolution F19-14, Approval of the FY2015 General Fund Budget. Ms. Seif said revenue projections have been developed based on estimated state share of instruction, state supplement, tuition, and other fees approved by the Board of Trustees and enrollment projections for the upcoming academic year.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F20-14, Approval of the FY2015 Auxiliary and Agency Budget***

Ms. Seif moved and Ms. Reynolds seconded a motion to approve Resolution F20-19, Approval of the FY2015 Auxiliary and Agency Budget. Ms. Seif said revenue projections have been developed based on estimated general fee income, predicted housing occupancy, and approved housing and meal plan rates.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution F21-14, Approval of FY2015 Administrative Staff Salary Increase***

Ms. Seif moved and Mr. McCoy seconded a motion to approve Resolution F21-14, Approval of FY2015 Administrative Staff Salary Increase. Ms. Seif said that due to sustained negative economic factors, the administrative staff did not realize a salary adjustment during fiscal year 2014.

**Information Items**

**Review of Fines and Cost Recovery Charges**

In accordance with Policy 4.90, Taxonomy for the Review and Approval of Tuition and Other Student Fees, Fines, and Charges, a comprehensive list of AY14-15 fees was reviewed and reflected the following changes:

- Postage charge for rush transcript from \$16.75 to current USPS rate for priority mail express
- Housing key replacement (hard key) from \$65 to \$90
- Housing key replacement (swipe card) from \$10 to \$12
- Housing lock core replacement from \$65 to \$90

**FY14 General Operating Budget Update**

An update was given regarding the status of the FY14 general operating budget as of February 28, 2014. Total revenue received is at 86.55% of budget and total expenditures and transfers are 68.29% of budget.

**FY15 Budget Planning Strategy**

The President briefed the Committee regarding her plans to revise strategies for budget reductions for FY15 and FY16. The University is working through the impacts of the severe cuts made last fall. There is value in taking more time to plan for further reductions and to utilize data developed through the program review process to align resources with enrollment and fund future growth.

**FY13 Senate Bill 6 (SB6) Ratio**

The University's Senate Bill 6 (SB6) ratio outcome for FY13 reflects a decrease from 3.4 to 3.1 which is attributable to lower revenue and debt related to the lease-purchase of technology infrastructure and VoIP equipment, entered into January 2013. As of January 2014, the University has paid over 52% of the lease costs with the remaining balance to be paid in equal

payments over the next three years. This slight reduction is within normal fluctuations and the University's overall fiscal status remains strong.

### **University Investment Report**

The University's investment performance report revealed a loss for January and a gain for February. With an overall positive adjustment, the portfolio has realized a 10.25% gain in the amount of \$1,481,926 for the reporting period (July 1, 2013 – February 28, 2014).

### **Capital Projects Report**

- *Founders' Plaza* – Project 95% complete with remaining landscaping to be completed in spring.
- *Massie Hall Cooling Tower Replacement* – Installation scheduled for March 3-9.

### **Education Item**

Dr. Elinda Boyles provided an overview of the recent department (non-academic program) review and organization restructuring of the University's finance services.

### **President's Report**

President Morris reported on the Focused Strategic Planning to Increase Completion and Graduation Rates and introduced Dr. Brenda Haas, Dean, University College, and Mr. Chris Shaffer, Director, Institutional Effectiveness, and acknowledged Dr. Chris Kacir, Chairperson of the Department of Social Sciences, who led the Focused Strategic Planning Process, a copy of which is attached to these minutes.

### **Reports, if any, from Board Liaisons with other Organizations**

None.

### **New Business**

#### ***Resolution E01-14, 2014/2015 Schedule of Meetings – Shawnee State University Board of Trustees and its Committees***

Mr. Paine moved and Ms. Seif seconded a motion to approve Resolution E01-14, 2014/2015 Schedule of Meetings – Shawnee State University Board of Trustees and its Committees. Dr. Morris noted that the Board will hold a retreat following its September 19, 2014 meeting.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution E02-14, Approval of Revision to Policy 1.01REV, Bylaws of the Board of Trustees***

Mr. Paine moved and Ms. Reynolds seconded a motion to approve Resolution E02-14, Approval of Revision to Policy 1.01REV, Bylaws of the Board of Trustees. Dr. Morris said the revision to this policy clarifies the President's relationship with the Board and ensures that a standing committee will have a quorum to conduct committee business for full board consideration.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution E03-14, Approval of Revision to Policy 1.02REV, Presidential Selection***

Mr. McCoy moved and Mr. Reynolds seconded a motion to approve Resolution E03-14, Approval of Revision to Policy 1.02REV, Presidential Selection. Dr. Morris said that a review of the current policy revealed the need to clarify the Board's role and responsibility in the presidential search process and the role of university constituencies.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution E04-14, Approval of Revision to Policy 1.04REV, Honorary Degrees***

Mr. Paine moved and Ms. Seif seconded a motion to approve Resolution E04-14, Approval of Revision to Policy 1.04REV, Honorary Degrees. Dr. Morris said the current policy includes unnecessary restrictions on the eligibility of award recipients and was in need of a more flexible nomination process and the revised policy addresses these issues without compromising the integrity of honorary degrees.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution E05-14, Adoption of Shawnee State University Completion Plan***

Ms. Reynolds moved and Ms. Seif seconded a motion to approve Resolution E05-14, Adoption of Shawnee State University Completion Plan. Dr. Morris said that pursuant to House Bill 153, the Chancellor of the Ohio Board of Regents had implemented the "Chancellor's Plan for Shawnee State University to Improve Course Completion, Retention, and Graduation Rates. She said the SSU Completion Plan fulfills the requirements of House Bill 59, builds upon the Chancellor's Plan and provides a foundation for Shawnee State University's ongoing efforts to improve retention and graduation rates.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution E06-14, Recognition of Services by Dr. Dave Todt, Provost and Vice President Academic Affairs***

Mr. Howarth moved and Ms. Reynolds seconded a motion to approve Resolution E06-14, Recognition of Services by Dr. Dave Todt, Provost and Vice President Academic Affairs. Members of the Board spoke about Dr. Todt's commitment and dedication to the University and thanked him for service. President Morris presented him with a gift from the Board as a token of their appreciation and a round of applause followed.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

**Comments from Constituent Groups (if any) and the Public**

None.

**Other Business**

Mr. Higgs-Horwell reported on the Association of Governing Board's annual Trustees' Conference which she, Ms. Hartop and Mr. Williams attended this year. Ms. Higgs-Horwell said the information they obtained from attending the conference was helpful and informative.

Ms. Higgs-Horwell asked Mr. Paine, Chair of the Nominating Committee, to present the Board's slate of officers for the upcoming year. Mr. Paine said the Nominating Committee nominated Ms. Higgs-Horwell to serve as Chair of the Board of Trustees and Mr. Paine to serve as Vice Chair. Mr. Paine moved and Mr. Howarth seconded a motion to accept these nominations.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

Ms. Higgs-Horwell thanked Ms. Seif for her service to Shawnee State University during her 9-year term on the Board of Trustees. She presented Ms. Seif with flowers and a commemorative chair as tokens of appreciation for her service to the Board and to the University. Ms. Seif thanked the Board and said it had been an honor to serve as a member of the Board of Trustees. A round of applause followed.



**Executive Session**

Mr. McCoy moved and Ms. Seif seconded a motion to enter into Executive Session to consider the employment and compensation of a University employee. Ms. Cheryl Hacker, General Counsel, and Dr. Boyles were asked to participate at the beginning of the Executive Session.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

The Board moved into Executive Session at 2:27 p.m.

The Board exited Executive Session at 3:58 p.m. and returned to public session.

Mr. McCoy introduced two items for Board approval.

***Resolution E07-14, Adoption of Supplemental Qualified Retirement Plan (SQRP) and Supplemental 451(m) Retirement Plan***

Mr. McCoy stated that these supplemental retirement plans are deferred compensation plans designed for public institutions that provide more flexibility for the institution that would be beneficial for the institution as well as the president. Such retirement plans would then be available for President Morris if she desires, but would require an amendment to her current contract. Mr. McCoy moved and Mr. Paine seconded a motion to approve Resolution E07-14, Adoption of Supplemental Qualified Retirement Plan (SQRP) and Supplemental 451(m) Retirement Plan.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

***Resolution E08-14, Approval of Supplemental Deferred Compensation Agreement and Modification of the President's Employment Contract***

Mr. McCoy moved and Ms. Seif seconded a motion to approve Resolution E08-14, Approval of Supplemental Deferred Compensation Agreement and Modification of the President's Employment Contract.

Ayes: Ms. Hartop, Ms. Higgs-Horwell, Mr. Howarth, Mr. McCoy, Mr. Paine, Ms. Reynolds, Ms. Seif, Mr. Williams

Nays: None

**Adjournment**

The Board was adjourned by acclamation at 4:06 p.m.

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Chairperson, Board of Trustees

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Secretary, Board of Trustees

**RESOLUTION ASA 05-14**

**UNIVERSITY HOUSING POLICY 3.20REV**

WHEREAS, University Housing Policy 3.20REV requires updating for flexibility in certain housing situations; and

WHEREAS, there are occasions where special circumstances may apply to student housing; and

WHEREAS, the University needs expanded authority to address the student housing; and

WHEREAS, the President recommends this change;

THEREFORE BE IT RESOLVED, that the Board of Trustees of Shawnee State University hereby approves the attached changes to University Housing Policy 3.20REV.

(May 2, 2014)

and as True and Correct  
*CRH* 6-30-14  
Date

# Shawnee State University

POLICY TITLE:	UNIVERSITY HOUSING
POLICY NO. :	3.20 REV
ADMIN CODE:	3362-3-12
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	5/2/14
NEXT REVIEW DATE:	5/2/17
RESPONSIBLE OFFICER(S):	VPSA
APPROVED BY:	BOT

## 1.0 PURPOSE

Shawnee State University (SSU) has an obligation to ensure that housing policies and programs exist that will maximize the educational potential of the residential life of the University.

## 2.0 RESIDENCE LIFE AS AN EDUCATIONAL EXPERIENCE

2.1 In addition to the other forms of education it practices, Shawnee State University endorses and supports the particular value of higher education as provided by a residential campus community. Residential settings offer students unparalleled opportunities to gain from social interactions and other life experiences that characterize on-campus housing and dining.

2.2 When residential living is part of an organized program, the educational and personal gains from simple access and participation can be substantial. For these reasons, SSU develops and maintains programs that ensure the residential experience contributes insignificant ways to the total education of students.

## 3.0 UNIVERSITY HOUSING REQUIREMENTS, RESTRICTIONS AND PROHIBITIONS

3.1 As a condition of admission and continued enrollment, all freshmen students in their first year of attendance are required to live in University housing, to the extent that space is available, and to take their meals in dining facilities as provided in meal plans approved by the University. Under this policy a freshmen is defined as a student who has not earned college credit beyond high school graduation.

Certified as True and Correct  
*CBT* 6-30-14  
Shawnee State University Board of Trustees Date

3.2 Exceptions to the on-campus housing requirement for freshmen include the following: married students, single parents, veterans, and students over the age of 23, transfer students, students living with their parents, and other extraordinary circumstances as determined by the Vice President for Student Affairs.

### 3.3 Individuals Prohibited From Student Housing

3.3.1 Felons and convicted sex offenders are prohibited from living in and/or visiting University- owned or managed residential facilities.

3.3.2 The University may exclude other individuals from University housing based upon health, safety and/or conduct reasons in accordance with procedures and/or guidelines approved by the President.

## 4.0 TERMS AND CONDITIONS FOR STUDENT RESIDENTS

As a condition to living in student housing, students will be required to agree to requirements established by the University, which may be in the form of a housing contract. Failure to fully and accurately complete the contract may be a reason to exclude a student for university housing. The housing contract form shall be approved by the Vice President for Finance and Administration.

5.0 The Board of Trustees will retain authority for establishing rates for residential housing and meal plans.

## 6.0 GUIDELINES

The University will have a guideline for student housing and residence life that may be produced in electronic form. Such guideline will be approved by the President.

### History

Effective: 5/9/94

Revised: 2/9/07

5/2/14

Reviewed:

I have read and understand this policy as True and Correct  
*CEL* 6-30-14  
Date

## RESOLUTION F14-14

### INVESTMENT COMMITTEE MEMBER REAPPOINTMENT

WHEREAS, on June 30, 2014 Mr. William (Will) Burke will have completed a three-year appointment serving on the Shawnee State University Investment Committee; and

WHEREAS, Mr. Burke has regularly attended committee meetings, demonstrated exemplary service and expertise, and indicated a willingness to continue as a member of the committee; and

WHEREAS, the President recommends reappointment of Mr. Burke; and

WHEREAS, Ms. Melissa Higgs-Horwell, Chairperson of the SSU Board of Trustees, nominates Will Burke for reappointment, and the nomination is supported by Mrs. Kay Reynolds, Chairperson of the Investment Committee; and

WHEREAS, member reappointments by policy are for three years;

THEREFORE BE IT RESOLVED that Mr. Will Burke is appointed to the SSU Investment Committee for a three-year term, effective July 1, 2014 through June 30, 2017;

THEREFORE BE IT FURTHER RESOLVED that the Board of Trustees extends its appreciation to Mr. Burke for his service to the University.

(May 2, 2014)

Accepted as True and Correct  
CRH 6-30-14  
SSU Board of Trustees Date

## RESOLUTION F15-14

### INVESTMENT POLICY 1.05 REV

WHEREAS, Policy 1.05 Rev, Investment Policy, establishes the University's Investment Program that includes, among other provisions, the governing rules relevant to the operation and authority of the Investment Committee; and

WHEREAS, the Policy stipulates that the Investment Committee will "review and recommend revision to the investment policy" to the SSU Board of Trustees through the Board's Finance and Administration Committee; and

WHEREAS, the University has determined that due to extended economic factors negatively affecting cash balances and obligations under Ohio Revised Code, Section 3345.05 (C)(1) for increased allocation in its liquid reserves, the ability to transfer funds from the Diversified Investment Pool to the Liquid Investment Pool is necessary; and

WHEREAS, the Investment Committee has been provided with comprehensive materials, held multiple discussions and examined best practices at other Ohio public universities as well as received expert advice from SSU's investment consultant, Fourth Street Performance Partners, based upon extensive analyses and examples of effective liquidity funding models; and

WHEREAS, at the regular meeting of the Investment Committee held on April 23, 2014, the proposed policy revisions were reviewed and the attached resolution (2014.1) recommending approval of the policy revisions was adopted; and

WHEREAS, the President recommends approval of the Policy revisions;

THEREFORE, BE IT RESOLVED that the Board of Trustees of Shawnee State University accepts the recommendation of the Investment Committee and approves the revised Investment Policy 1.05 Rev, effective May 2, 2014.

(May 2, 2014)

Shawnee State University  
Board of Trustees  
PRH 6-30-14

**SHAWNEE STATE UNIVERSITY INVESTMENT COMMITTEE**

**RESOLUTION 2014-01**

**INVESTMENT POLICY 1.05REV**

WHEREAS, Investment Policy 1.05Rev, establishes the Shawnee State University Investment Committee; and

WHEREAS, section 2.6 provides for the Investment Committee to submit proposed policy revisions through the Finance and Administration Committee for SSU Board of Trustees approval; and

WHEREAS, the Shawnee State University Investment Committee met on April 23, 2014 to examine proposed policy revisions to establish a formula that will allow the University to transfer funds from the Diversified Investment Pool to the Liquid Investment Pool or operating cash;

THEREFORE, the Investment Committee supports the proposed changes and recommends the University Board of Trustees' approval of these changes.

(Approved: April 23, 2014)

I hereby certify that this is True and Correct  
*CRH* *6-30-14*  
\_\_\_\_\_  
Chairman of Trustees Date



# Shawnee State University

POLICY TITLE:	INVESTMENT POLICY
POLICY NO. :	1.05 REV
ADMIN CODE:	3362-1-05
PAGE NO.:	1 OF 5
EFFECTIVE DATE:	05/02/14
NEXT REVIEW DATE:	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

Confirmed as True and Correct  
*CRH* 6-30-14  
Date

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

True and Correct  
CRH 6-30-14  
Board of Trustees Date

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%
	Fixed Income/Bonds	50% +/- 10%
	Total*	100%

\*Including as a percentage of the total portfolio up to:  
20% International Securities  
20% Alternative Investments (as defined in 6.0)

- 4.2.2 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.

I hereby certify that the above is True and Correct

*CRH* 6-30-14

\_\_\_\_\_  
Date

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. Other than for alternative investments (see 6.0 below), 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. Alternative investment categories include: Hedge Funds, Private Equity/Venture Capital, Real Estate, 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.

Classified as True and Correct  
*CRH* 6-30-14  
 Date

## 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. 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: 05/02/14, 06/14/12, 11/18/11, 04/13/07, 04/22/05

Reviewed:

Accepted as True and Correct  
*CEA* 6-30-14  
Date

**RESOLUTION F16-14**

**APPROVAL TO RESCIND OUTDATED  
POLICY 4.01, BLANKET ORDER RELEASE AUTHORIZATION**

WHEREAS, Policy 5.00Rev, Policy on Policies and Procedures, addresses policy subjects appropriate for Board approval and directs the President to establish a process for the regular review of existing Board policies; and

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, as a result of the implementation of automated accounts payables processes, the University no longer utilizes blanket orders making Policy 4.01, Blanket Order Release Authorization unnecessary;

THEREFORE BE IT RESOLVED, that the Board of Trustees of Shawnee State University hereby approves rescission of Policy 4.01, Blanket Order Release Authorization.

(May 2, 2014)

as True and Correct  
*CRA* *6-30-14*  
Board of Trustees Date

**RESOLUTION F17-14**

**POLICY 4.77REV, RETIREMENT AND RE-EMPLOYMENT OF  
RETIREES**

WHEREAS, Shawnee State University is realizing high numbers of retirements of key employees as is being experienced nationally in higher education; and

WHEREAS, the President recommends the establishment of a strategy that will supplement the University's external recruitment efforts through the managed re-employment of retired personnel; and

WHEREAS, re-hiring retirees is intended to be for a short-term duration to complete major projects, provide essential transitional support/services, or fill unique and specialized needs of the University and in accordance with established procedures and/or collectively bargained agreements;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the attached Policy 4.77Rev, Retirement and Re-employment of Retirees, effective May 2, 2014.

(May 2, 2014)

Filed as True and Correct  
CRW 6-30-14

# Shawnee State University

POLICY TITLE:	RETIREMENT AND RE-EMPLOYMENT OF RETIREES
POLICY NO. :	4.77 REV
ADMIN CODE:	3362-4-48
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	5/2/14
NEXT REVIEW DATE:	5/2019
RESPONSIBLE OFFICER(S):	President/VPFA
APPROVED BY:	BOT

This policy applies to employees of Shawnee State University eligible for retirement under an Ohio state sponsored retirement plan (OPERS, STRS, SERS or their successors) or the Shawnee State University Alternative Retirement Plan (ARP).

## 1.0 DEFINITIONS

- 1.1 Retirement – the voluntary act of an employee that severs employment from the University and entitles the employee to subsequent and immediate (after required absence from work) compensation from a state sponsored retirement plan or an ARP.
- 1.2 Public meeting – any meeting held by the Board of Trustees which complies with RC §121.22.

## 2.0 ELIGIBILITY FOR EMPLOYMENT POST-RETIREMENT

- 2.1 Employees who retire, or have applied to retire, and are in good standing with the University are eligible to apply for a position for which s/he meets published qualifications that the University is seeking to fill following established University employment procedures.
  - 2.2 Re-hired retirees are personally responsible for any loss of retirement compensation upon re-employment.
  - 2.3 The University is not required to hold a position open or delay filling a position in order for a retiree to fill the position without loss of retirement compensation.
- 3.0 For a Vice President position (or any other position customarily filled by a vote of the Board of Trustees), re-employment will include compliance with the Ohio Revised Code (O.R.C) Section 145.381 when considering the re-employment of an OPERS retiree in a position that is customarily filled by a vote of the Board of Trustees.
- 4.0 The Board of Trustees may authorize exceptions to applicable provisions of this policy upon adoption of a retirement incentive program.

Accepted as True and Correct

CRH 6-30-14



- 5.0 The President will ensure the development of procedures related to this policy including consistent and systematic processes for the re-employment of retiring or retired SSU employees.
- 6.0 This policy and related procedures do not supersede collectively bargained post-retirement, employment related benefit provisions contained in the applicable labor agreement for unionized faculty and staff members.

History

Effective: 06/22/04

Revised: 05/02/14

Reviewed:

Applicable Procedures: 4.77:1 Post-Retirement Re-employment of Retiring Administrators or Administrative Technical Support Staff (ATSS)

CRH 6-30-14

## INFORMATION ONLY

PROCEDURE TITLE:	POST-RETIREMENT RE-EMPLOYMENT OF RETIRING ADMINISTRATORS OR ADMINISTRATIVE TECHNICAL SUPPORT STAFF (ATSS)
PROCEDURE NO.:	4.77:1
RELATED POLICY:	4.77
PAGE NO.:	1 OF 7
RESPONSIBLE ADMINISTRATOR(S):	HUMAN RESOURCES/VPF&A
EFFECTIVE DATE:	05/02/14
NEXT REVIEW DATE:	05/2019
APPROVED BY:	PRESIDENT

### 1.0 PURPOSE

- 1.1 Shawnee State University is realizing high numbers of retirements of key employees as predicted nationally in higher education. As a result, it is prudent for the University to establish multiple avenues to meet its manpower needs for the future. The ultimate objective is to recruit highly qualified replacements, which requires the concentrated dedication of remaining personnel. Often times this creates potential service problems and impacts initiatives essential for growth. A viable solution is to supplement external recruitment efforts with planned strategic re-employment of retiring personnel that possess essential skills and experience and are willing to continue to work after retirement.
- 1.2 The consideration of re-employing retiring administrators and ATSS post retirement as provided by these procedures will be for the express purposes of: maintaining continuity during organizational transitions; assuring successful completion of major initiatives and significant projects; and development of staff to ensure delivery of essential services. These procedures provide a consistent methodology for considering the re-employment of retiring administrators and ATSS post retirement.
- 1.3 The University has the sole discretion to determine whether re-employment of a retiring employee post retirement is the best solution to sustain and advance the University's operational needs. These procedures are applicable only in instances in which a retiring SSU administrator or ATSS is asked prior to his/her effective retirement date to consider re-employment after retirement.

I am True and Correct

CRH 6-30-14

## INFORMATION ONLY

- 1.4 An SSU retiree who is in retirement status will be subject to these procedures if s/he is re-employed by the University to fill a vacated position without participating in a competitive search.
- 1.5 An SSU retiree, who applies for an approved vacated position through a competitive search process, is governed by the University's standard employment procedures and guidelines. If the retiree is selected through the competitive search process, his/her employment is not subject to these procedures.
- 2.0 RE-EMPLOYMENT OF AN ADMINISTRATOR/ATSS RETIREE INTO THE SAME POSITION THE INDIVIDUAL HELD IMMEDIATELY PRIOR TO RETIREMENT
- 2.1 Administrators and ATSS who retire from the University through a state retirement system or the Alternative Retirement Plan (ARP) may be eligible to be rehired into the same position the individual held immediately prior to retirement without going through a competitive search process, in accordance with the requirements identified below:
- 2.1.1 The recommendation to fill the vacated position must be approved by the President.
- 2.1.2 Approval to re-hire an administrator or ATSS retiree into the same position without a competitive search shall be based upon the continuing availability of the position and the need for the retired employee's particular expertise, skills and knowledge.
- 2.1.3 The Ohio public pension system requires a two-month (full calendar months) break in employment between the retirement date and the re-employment date to prevent forfeiture of retirement benefits for any month worked in Ohio public employment during the first two months of retirement. For example, if a person retires from Shawnee State June 6, s/he becomes a retiree beginning July 1. S/he should not return to work in the University or other Ohio public employment until September 1.
- 2.1.3.1 A retiree who elects to voluntarily return to SSU prior to the completion of the state-mandated two-month period will forfeit retirement benefits in accordance with the applicable pension system. This requirement does not apply to those participating in an Alternative Retirement Plan.

Approved: \_\_\_\_\_  
Date: \_\_\_\_\_  
CRL 6-30-14

## INFORMATION ONLY

2.1.4 The approval to re-hire retiring administrators or ATSS under these procedures will generally be for a short-term duration to complete major projects, provide essential transitional support/services, or fill unique and specialized needs of the University.

2.1.4.1 The re-employment contract will be for the duration of up to one year and may be extended up to an additional year, with the President's prior approval.

2.1.4.2 The hiring unit director must provide written justification to the appropriate vice president with objective supporting evidence for the continuation of employment beyond the second year including a longer-term succession plan (e.g., plan for hiring a new employee in the area, plan for filling a vacated administrative/ATSS position, etc.). Such action shall be due to compelling circumstance and requires the President's prior approval.

2.1.5 The re-employment salary/wage rate in these instances will generally be comparable to the established hiring range for regular appointments and in line with market comparisons.

### 3.0 RE-EMPLOYMENT OF AN ADMINISTRATOR/ATSS RETIREE INTO A POSITION OTHER THAN THE ONE HELD IMMEDIATELY PRIOR TO RETIREMENT

3.1 Administrators and ATSS who retire from the University through a state retirement system or the Alternative Retirement Plan (ARP) are eligible to be hired into a position other than the one the individual held immediately prior to retirement in accordance with University Procedure 5.01:1 and consistent with the requirements identified herein.

3.1.1 In all instances of re-employment (with or without a competitive search), a retiree must adhere to the applicable pension system requirements.

3.1.2 For state pension system participants, a two-month (full calendar months) break in employment is required to prevent forfeiture of retirement benefits for any month worked in Ohio public employment during the first two months of retirement.

3.1.2.1 If a person retires from Shawnee State June 6, s/he becomes a retiree with the systems beginning July 1. S/he should not

I hereby certify that the above is true and correct.  
*RBH* 6-30-14  
Secretary, SSU Board of Trustees Date

## INFORMATION ONLY

return to Ohio public employment/SSU until September 1. (For STRS, additional requirement to have a one-work day break – see Section Four: Additional Considerations).

- 3.1.2.2 If the individual opts to return to SSU prior to the completion of the two-month period and the approvals are granted for such return, the individual will forfeit retirement benefits in accordance with applicable pension system rules.
  - 3.1.2.3 This requirement does not apply to Alternative Retirement Plan participants.
  - 3.1.3 The re-employment salary/wage rate will generally be comparable to the established hiring range for regular appointments and in line with market comparisons.
- 4.0 PROCESS TO INITIATE CONSIDERATION FOR RETIREE RE-EMPLOYMENT
- 4.1 Employees should notify the Human Resource Department in writing at least sixty days (60) prior to the scheduled retirement date. Written notice must include the effective date of retirement.
  - 4.2 Within ten (10) workdays of being notified, the hiring department director should submit a request to rehire a retiree to the appropriate vice president or president. Requests are made using the Request to Rehire Retiree form and should include a rationale for the request.
  - 4.3 The request to rehire a retiree must be approved by the President or designee before an offer of re-employment is extended. The hiring department director should extend the offer of re-employment to the employee within ten (10) workdays of receiving approval. Likewise, the employee's decision to accept a post retirement offer is expected within ten (10) workdays of the offer.
  - 4.4 Post-retirement re-employment will be contingent upon official notification from the state retirement system (if applicable) and sufficient justification addressing the following: the prior-approved continuing availability of the position by the President, the scope and purpose of the position, operational needs that require the individual's specialized skills and experience, possible cost savings, evidence of the individual's exemplary performance and capability, and why the position cannot or should not be filled through a search process.

## INFORMATION ONLY

- 4.5 For a Vice President position (or any other position customarily filled by a vote of the Board of Trustees), re-employment will include compliance with the Ohio Revised Code (O.R.C) Section 145.381 when considering the re-employment of an OPERS retiree in a position that is customarily filled by a vote of the Board of Trustees.
- 4.6 Upon approval of the request for post-retirement re-employment, Human Resources will initiate an appointment letter in accordance with the applicable employment terms and conditions. The appointment letter will address the rules regarding forfeiture of state retirement benefits when re-employment is requested to begin during the first two months of retirement.

## 5.0 ADDITIONAL CONSIDERATIONS

## 5.1 Retirement Benefits

- 5.1.1 Any retiree that returns to the University immediately, without the two month break in service, will forfeit their retirement system benefit for any month worked in Ohio public employment during the first two months of retirement in accordance with the applicable pension system.
- 5.1.2 For STRS retirees only: STRS requires all faculty to have a minimum one-work day break between the last day of employment as a faculty member and the first day of employment as a re-employed retiree. This one-work day break must be the last workday of the month before the service retirement date or the first workday of the retirement month. The one-day break must be a regular workday and cannot be a weekend or holiday. For example:
- 5.1.2.1 Employee retires on Friday, May 31
- 5.1.2.2 Retiree must have a one-day break in employment on a workday, Monday, June 3
- 5.1.2.3 Retiree can be rehired effective Tuesday, June 4.
- 5.1.3 Participants in alternative retirement programs (ARP) are encouraged to check with their vendor to determine whether their separation from the University is a distributable event and any other requirements.

## 5.2 Post-Retirement Contributions

Filed as True and Correct  
*CRH* 6-30-14  
POST-RETIREMENT RE-EMPLOYMENT

## INFORMATION ONLY

- 5.2.1 Members continuing public employment after retirement, and their employers, both contribute to the applicable Ohio public retirement system. Options as a retiree are different from a regular employee. The retiree is responsible for understanding these differences.
- 5.2.2 For STRS retirees only: these contributions fund a benefit that you may collect as a lump-sum payment the first of the month following your last day of service or 12 months after the payment of a previous re-employed retiree benefit payment, whichever is later.
- 5.2.3 Participants in alternative retirement programs (ARP) must continue in the program upon re-employment, unless the employee terminates employment and does not return to employment in any position for at least three hundred sixty-five days after the date of termination.
- 5.3 Medical Coverage
- 5.3.1 Ohio Public Employees Retirement System (OPERS)
- 5.3.1.1 If a person goes back to work in an OPERS-covered position, s/he must enroll in her/his employer's health plan if the employer offers a health plan to other employees in similar positions. S/he cannot waive the employer's plan unless s/he has other health coverage that will pay first, before the OPERS health plan.
- 5.3.1.2 A change in health care eligibility requirements will begin January 1, 2015. This means, if a person's effective date for retirement is January 1, 2015 or later, s/he must have at least 20 years of qualifying service and be age 60 or have 30 or more years of qualifying service at any age to qualify for OPERS health care coverage. Those in Group B (Eligible to retire between January 7, 2018 and January 7, 2023) will need 31 years of service and those in Group C (Eligible to retire after January 7, 2023) will need 32 years of service.
- 5.3.1.3 Changes to applicable service credit for health care eligibility took effect January 1, 2014. This means any noncontributing service a person may have purchased will not apply to the person's health care eligibility nor will it apply in determining

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## INFORMATION ONLY

the person's health care allowance if the effective date for retirement is January 1, 2014 or later.

5.3.1.4 For more information, contact OPERS toll-free at 1-800-222-PERS (7377).

5.3.2 State Teachers Retirement System (STRS)

5.3.2.1 STRS Ohio limits coverage for the STRS Ohio Health Care Program (medical, dental and vision plans) to STRS Ohio retirees who are re-employed in a public or private position. Effective January 1, 2009, STRS Ohio provides only secondary health care coverage to non-Medicare retirees who are re-employed in a public or private position, regardless of their hire date, if they:

5.3.2.1.1 Are eligible for health care coverage through their employer, or

5.3.2.1.2 Hold a position for which other comparable employees are eligible for health care coverage at the same cost as full-time employees.

5.3.2.1.3 For more information, contact STRS Member Services Center toll-free at 1-888-227-7877.

5.4 Vacation Leave Accrual

Re-employed retirees eligible to accrue vacation will accrue vacation based on their post-retirement rehire date. A re-employed retiree's prior service with the University, the State of Ohio, or any political subdivision of the State of Ohio does not count toward service credit.

5.5 Sick Leave

Re-employed retirees that received cash payouts upon 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.

History

Effective: 05/02/14

Revised:

Reviewed:

CRH 6-30-14



**RESOLUTION F18-14**

**APPROVAL OF POLICY 4.64Rev  
RELOCATION EXPENSE REIMBURSEMENT**

WHEREAS, subsequent to the approval of Policy 4.64Rev, Relocation Expense Reimbursement, on January 17, 2014, the need for clarification regarding relocation expense reimbursement for employment contracts executed by the Board of Trustees was identified; and

WHEREAS, the revised language clarifies that Policy 4.64Rev applies to Board of Trustees' executed employment contracts only when such employment contracts do not include an express provision addressing the reimbursement of relocation expenses;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the amended Policy 4.64Rev, Relocation Expense Reimbursement effective May 2, 2014.

(May 2, 2014)

certified as True and Correct  
CRH 6-30-14

# Shawnee State University

POLICY TITLE:	RELOCATION EXPENSE REIMBURSEMENT
POLICY NO.:	4.64 REV
ADMIN CODE:	3362-4-35
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	05/02/14
NEXT REVIEW DATE:	05/2018
RESPONSIBLE OFFICER(S):	PRESIDENT/VPF&A
APPROVED BY:	BOT

## 1.0 POLICY PURPOSE

Shawnee State University recruits for talented faculty and administrators nationally and internationally. In order to generate a competitive recruitment pool, the reimbursement of relocation expenditures may be provided to individuals. The purpose of this policy is to provide for the consistent reimbursement of relocation expenses incurred by eligible employees that are in accordance with IRS regulations.

## 2.0 ELIGIBILITY

- 2.1 Newly hired full-time faculty and administrators from outside the Portsmouth area may be eligible for reimbursement of relocation expenses if accepting a position at the University requires that person to move his/her household to within the Portsmouth area.
- 2.2 The hiring department will determine and recommend when reimbursement is appropriate or necessary. The prior approval of the appropriate vice president or President must be secured before extending relocation expense reimbursement to a prospective employee under this policy. The reimbursement details must be incorporated in the employment offer letter.
- 2.3 Any exception to this policy requires the prior approval of the President.
- 2.4 Board of Trustee executed employment contracts are not subject to this policy and underlying procedure(s). However, this policy and underlying procedure will apply to employees who have Board executed agreements that do not include a provision for university reimbursement for moving or relocation expenses.

## 3.0 GOVERNING REGULATIONS

Benefits provided by this policy have tax implications to the employees receiving the benefits. Employees should refer to the IRS website ([irs.gov](http://irs.gov)) and Publication 521 "Moving Expenses" and consult a tax professional for advice concerning possible income tax implications. The current information is subject to change by the IRS.

Shawnee State University  
CRH 6-30-14  
Board of Trustees

#### 4.0 PROCEDURES

The President will establish procedures that address the parameters for the reimbursement of qualified relocation expenses. Such parameters will include, but not be limited to, the types of expenses that are eligible to be reimbursed, the method to determine the maximum amount to be reimbursed, possible restrictions on the reimbursement and procedures for the University to recoup the reimbursement in certain circumstances.

##### History

Effective: 09/17/90

Revised: 05/02/14, 01/17/14, 07/11/08, 10/08/99

Reviewed:

Applicable Procedure: 4.64:1 Relocation Expense Reimbursement

CRH 6-30-14

## INFORMATION ONLY

PROCEDURE TITLE:	RELOCATION EXPENSE REIMBURSEMENT
PROCEDURE NO.:	4.64:1
RELATED POLICY:	4.64 REV
PAGE NO.:	1 OF 4
RESPONSIBLE ADMINISTRATOR(S):	VPF&A/CONTROLLER/DIRECTOR, HR
EFFECTIVE DATE:	05/02/14
NEXT REVIEW DATE:	05/2018
APPROVED BY:	PRESIDENT

### 1.0 PROCEDURE PURPOSE

This procedure serves to amplify and implement Policy 4.64Rev, Relocation Expense Reimbursement, approved by the Board of Trustees on 5/2/14.

### 2.0 REIMBURSEMENT OF RELOCATION EXPENSES

2.1 Qualified reimbursable relocation expenses (non-taxable) are expenses that meet "time and distance" tests as outlined by the IRS. If the time and distance tests are not met, all reimbursements are taxable and subject to withholding (non-qualified). Such expenses are expected to be reasonable, prudent, and commensurate for the position being filled, and may include:

2.1.1 Payment of charges for packing, crating, and shipping household goods and personal effects, including cost of packing supplies, insurance on such items as furniture and clothing, truck rental if self-moving, travel and lodging expenses for a single trip from the old residence to the new residence for the employee and family members which may include: actual cost of gas, tolls, and parking, based on original itemized receipts, or the current mileage rate for moving, as set periodically by the IRS; lodging while in transit, air fare (coach only) and related ground transportation.

2.1.2 In certain cases the University will agree to direct pay a commercial moving vendor. The Procurement and Payables Department will communicate guidelines to the employee regarding the requirements for the direct payment, including a clear statement that there is no guarantee of payment in excess of the approved moving estimate. All expenses will be reviewed by the Procurement and Payables department and appropriate expenses will be paid. Non-approved expenses will be the responsibility of the employee.

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## INFORMATION ONLY

## 2.2 Non-reimbursable expenses include:

2.2.1 Storage, meals and travel costs exceeding the above limits or that are incurred by laborers, expenses incurred by persons not considered dependents for tax purposes, utility and telephone installation charges, loss of security deposits, real estate expenses, postage costs for realty and mortgage documents, personal communication or entertainment expenses, extraordinary items requiring special handling, bank fees for cashier's checks, storage charges, including in-transit storage and handling charges, expedited moving charges, transportation of animals and pets, transportation of automobiles, boats or trailers, moving building materials, moving property pertaining to commercial enterprise, moving property which is not the property of the individual's immediate family, and real estate commissions.

2.3 The approved amount for reimbursement may be expended over a period of one (1) year from the first day of employment.

2.4 Employees who are employed directly by the Board of Trustees may have relocation expense reimbursement provisions incorporated into their employment contract in lieu of the benefits provided by this policy. Unless expressly excluded or modified by terms stipulated in the employment contract, Section 4.0 (REPA) of this policy shall apply.

## 3.0 LIMITATIONS AND CONTROLS

3.1 The hiring department will determine and recommend up to the maximum amount allowable when reimbursement is appropriate or necessary and must secure the prior approval of the appropriate vice president or president.

3.2 Reimbursement of relocation expenses will be permitted for only one move, at the time of initial employment.

3.3 Eligible expenses will be reimbursed up to, but not exceed, the maximum dollar amount identified on the Controller's office web site that is in effect for the year of hire or the amount approved by the hiring authority prior to the date of hire, whichever is less.

3.4 The maximum amount to be reimbursed must be expressed in writing in the offer of employment. This amount may be expended over the period of one (1) full year from the date of hire.

3.5 Prior to reimbursement, original receipts must support expenditures.

\_\_\_\_\_  
Chairman of the Board of Trustees  
Date  
CRH 6-30-14

## INFORMATION ONLY

- 3.6 The current fiscal year maximum relocation expense reimbursement amount can be found at: <http://www.shawnee.edu/off/controller/perdiem.html>
- 3.7 The Vice President for Finance and Administration, or designee, is authorized to adjust the maximum dollar amount for each fiscal year by a Consumer Price Index inflation series.
- 3.8 Any exception involving maximum amounts or covered expenses must be made before the employee accepts the offer of employment by the express written permission of the President.
- 3.9 Term or Interim Appointments:
- 3.9.1 Under special circumstances where a term or interim appointment is used to fill an interim requirement, reimbursement of relocation expenditures for the move to the Portsmouth area and then a return move to the home location upon successful completion of the contract may be authorized by the President.
- 3.9.2 Reimbursement of eligible expenditures will be permitted as long as the expenditures for both moves do not exceed the maximum relocation reimbursement allowance approved by the hiring authority prior to the date of hire.

## 4.0 RELOCATION EXPENSE REPAYMENT

- 4.1 The employee must sign and submit the *Relocation Expense Repayment Agreement* (REPA) in order to receive reimbursement of relocation expenses. The *Relocation Expense Repayment Agreement* is incorporated by reference as part of the policy.
- 4.2 The REPA will be in effect for up to two (2) years. If the employee chooses to terminate his or her employment at Shawnee State University, or is terminated for cause, then repayment of funds to Shawnee State University will be based on the number of calendar days employed (i.e. number of continuous days on employed status, not number of days physically present for work) as determined by the chart below:
- | 4.2.1 Days Employed | Repayment |
|---------------------|-----------|
| 0 - 365             | 100%      |
| 366 - 485           | 75%       |
| 486 - 605           | 50%       |
| 606 - 730           | 25%       |
- 4.3 If it is found that the employee obtained employment fraudulently (e.g., under falsified credentials) then repayment will be for 100% of relocation costs previously paid by the University regardless of the number of days employed.

Shawnee State University  
 CRH 6-30-14  
 Date

## INFORMATION ONLY

- 4.4 At the University's discretion, the repayment may be paid, in whole or in part, by deduction from amounts otherwise owed by the University to the employee (e.g., final pay). See the *Relocation Expense Repayment Agreement* text for complete details. The REPA should be completed and returned with the employee's acceptance letter.
- 4.5 The President may waive a repayment requirement where a term or interim appointment is less than two (2) years.

History:  
Effective: 01/17/14  
Revised: 05/02/14  
Reviewed:

CRH 4-30-14

**RESOLUTION F19-14**

**APPROVAL OF THE FY2015 GENERAL FUND BUDGET**

WHEREAS, revenue projections have been developed based on estimated state share of instruction, state supplement, tuition, and other fees approved by the Board of Trustees and enrollment projections for the upcoming academic year; and

WHEREAS, planned expenditures have been estimated anticipating operational, personnel, and programmatic needs of the University that include known inflationary factors; and

WHEREAS, the President of the University recommends adoption of the proposed budget;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the proposed General Fund Budget for fiscal year 2015 as summarized in the accompanying exhibit.

(May 2, 2014)

Shawnee State University

CRH 6-30-14



**FY2015 General Fund Budget**

REVENUE	FY2013 ACTUAL	FY2014 BUDGET	FY2014 ACTUAL as of April 23	%	FY2015 BUDGET	Variance from FY2014 BUDGET
<b>STATE FUNDING</b>						
Capital Component <sup>1</sup>	\$64,520	\$64,520	\$48,390	75.00%	\$38,688	-\$25,832
State Share of Instruction (SSI) <sup>2</sup>	\$13,575,997	\$13,062,224	\$10,027,871	76.77%	\$13,200,000	\$237,776
Supplement	\$2,326,097	\$2,326,097	\$1,744,572	75.00%	\$2,326,097	\$0
<b>SUBTOTAL</b>	<b>\$15,966,614</b>	<b>\$15,452,841</b>	<b>\$11,820,833</b>	<b>76.50%</b>	<b>\$15,664,785</b>	<b>\$211,944</b>
<b>TUITION &amp; STUDENT FEES<sup>3</sup></b>						
Course Fees	\$1,185,572	\$1,118,113	\$1,120,667	100.23%	\$1,120,618	\$2,705
General Fee	\$2,904,867	\$2,727,323	\$2,592,299	95.05%	\$2,817,810	\$89,987
Instructional Fee	\$26,188,552	\$25,263,080	\$24,001,897	95.01%	\$26,141,575	\$878,495
Miscellaneous Fees	\$532,067	\$499,132	\$430,209	86.19%	\$439,400	-\$59,732
Non-Resident Surcharge	\$767,429	\$877,155	\$857,731	97.79%	\$934,165	\$57,010
Technology Fee	\$434,727	\$495,371	\$468,454	94.57%	\$513,246	\$17,875
University Center Bond Fee <sup>4</sup>	\$1,196,970	\$1,124,383	\$1,134,443	100.89%	\$1,133,090	\$8,707
<b>SUBTOTAL</b>	<b>\$33,210,184</b>	<b>\$32,104,557</b>	<b>\$30,605,700</b>	<b>95.33%</b>	<b>\$33,099,604</b>	<b>\$995,047</b>
<b>OTHER INCOME</b>						
Indirect Cost Recovery	\$193,416	\$200,000	\$53,002	26.50%	\$200,000	\$0
Miscellaneous Income <sup>5</sup>	\$622,342	\$625,000	\$580,680	92.91%	\$550,000	-\$75,000
<b>SUBTOTAL</b>	<b>\$815,758</b>	<b>\$825,000</b>	<b>\$633,681</b>	<b>76.81%</b>	<b>\$750,000</b>	<b>-\$75,000</b>
<b>TRANSFERS FROM OTHER FUNDS</b>	<b>\$153,903</b>	<b>\$444,769</b>	<b>\$457,769</b>	<b>102.92%</b>	<b>\$156,721</b>	<b>-\$288,048</b>
<b>TOTAL REVENUE</b>	<b>\$50,146,460</b>	<b>\$48,827,167</b>	<b>\$43,517,983</b>	<b>89.13%</b>	<b>\$49,671,110</b>	<b>\$843,943</b>
<b>EXPENDITURES</b>						
<b>COMPENSATION</b>						
Benefits	\$10,839,889	\$10,729,072	\$9,069,044	84.53%	\$10,652,793	-\$36,279
Salaries	\$26,580,219	\$24,716,530	\$19,056,765	77.10%	\$24,523,949	-\$192,581
<b>SUBTOTAL</b>	<b>\$37,420,108</b>	<b>\$35,445,602</b>	<b>\$28,125,809</b>	<b>79.35%</b>	<b>\$35,216,742</b>	<b>-\$228,860</b>
<b>NON-COMPENSATION</b>						
Equipment, Buildings, Property	\$1,034,226	\$1,448,379	\$880,482	60.79%	\$1,592,497	\$144,118
External Professional Services <sup>6</sup>	\$0	\$0	\$100,618	-	\$250,895	\$250,895
Information, Communication, Shipping	\$949,516	\$734,686	\$759,777	103.42%	\$1,147,892	\$383,206
Maintenance, Rentals, Service Contracts	\$1,963,503	\$2,170,809	\$1,591,977	73.34%	\$2,146,346	-\$24,463
Miscellaneous	\$1,298,181	\$937,524	\$255,710	27.28%	\$1,412,636	\$475,112
Scholarships	\$2,835,046	\$2,670,023	\$2,783,059	104.23%	\$2,668,000	-\$2,023
Supplies	\$981,403	\$949,067	\$723,733	76.26%	\$1,003,083	\$54,016
Travel, Entertainment	\$610,786	\$439,070	\$315,845	71.94%	\$447,524	\$8,454
Utilities	\$1,561,744	\$1,570,000	\$1,037,140	66.06%	\$1,521,297	-\$48,703
<b>SUBTOTAL</b>	<b>\$11,234,404</b>	<b>\$10,919,558</b>	<b>\$8,448,342</b>	<b>77.37%</b>	<b>\$12,160,170</b>	<b>\$1,240,612</b>
<b>TOTAL EXPENDITURES</b>	<b>\$48,654,512</b>	<b>\$46,365,160</b>	<b>\$36,574,151</b>	<b>78.88%</b>	<b>\$47,376,912</b>	<b>\$1,011,752</b>
<b>TRANSFERS</b>						
<b>BOND FEE</b>						
Bond Debt Repayment	\$1,196,970	\$1,124,383	\$1,108,725	98.61%	\$1,133,090	\$8,707
<b>SUBTOTAL</b>	<b>\$1,196,970</b>	<b>\$1,124,383</b>	<b>\$1,108,725</b>	<b>98.61%</b>	<b>\$1,133,090</b>	<b>\$8,707</b>
<b>GENERAL FEE</b>						
Agencies	\$144,852	\$139,482	\$138,819	99.52%	\$129,530	\$48
Athletics	\$1,910,301	\$1,860,826	\$1,854,103	99.64%	\$1,746,121	-\$114,705
Other Auxiliaries	\$549,491	\$379,565	\$239,025	62.97%	\$70,706	-\$308,859
Plant Funds	\$259,751	\$259,751	\$259,751	100.00%	\$259,751	\$0
<b>SUBTOTAL</b>	<b>\$2,864,395</b>	<b>\$2,639,624</b>	<b>\$2,491,698</b>	<b>94.40%</b>	<b>\$2,276,108</b>	<b>-\$423,516</b>
<b>GENERAL FUND</b>						
Center for the Arts	\$199,704	\$198,000	\$198,000	100.00%	\$195,000	-\$3,000
Other Auxiliaries	\$14,172	\$0	\$0	-	\$0	\$0
<b>SUBTOTAL</b>	<b>\$213,876</b>	<b>\$198,000</b>	<b>\$198,000</b>	<b>100.00%</b>	<b>\$195,000</b>	<b>-\$3,000</b>
<b>TOTAL TRANSFERS</b>	<b>\$4,275,241</b>	<b>\$3,962,007</b>	<b>\$3,798,423</b>	<b>95.87%</b>	<b>\$3,544,198</b>	<b>-\$417,809</b>
<b>TOTAL EXPENDITURES AND TRANSFERS</b>	<b>\$52,929,753</b>	<b>\$50,327,167</b>	<b>\$40,372,574</b>	<b>80.22%</b>	<b>\$50,921,110</b>	<b>\$593,943</b>
<b>OPERATING SURPLUS (DEFICIT)<sup>7</sup></b>	<b>(\$2,783,293)</b>	<b>(\$1,500,000)</b>	<b>\$3,145,409</b>	<b>-209.69%</b>	<b>(\$1,250,000)</b>	<b>\$250,000</b>

**NOTES**

<sup>1</sup> The Capital Component represents a scheduled distribution of funds from previous capital bills. SSU's allocation decreases in FY2015, but will remain flat in FY2016.

<sup>2</sup> FY15 SSI allocations have not yet been published.

<sup>3</sup> Revenue projections from tuition and student fees reflect steady graduate enrollment and a 1% decline in undergraduate enrollment.

<sup>4</sup> All revenue from the University Center Bond Fee is applied to service on the bond.

<sup>5</sup> Miscellaneous Income includes interest received from the STAR account and Attorney General collections.

<sup>6</sup> External professional services were separated from university salaries during FY2014.

<sup>7</sup> Operating surplus (deficit) reflects General Fund revenue net of expenditures only. It does not include balance sheet adjustments, including the change in investment values booked during the fiscal year. Investment gains are budgeted at zero, as are investment earnings, which are automatically reinvested.

CRH 6-30-14

For the Board of Trustees

## RESOLUTION F20-14

### APPROVAL OF THE FY2015 AUXILIARY AND AGENCY BUDGET

WHEREAS, revenue projections have been developed based on estimated general fee income, predicted housing occupancy, and approved housing and meal plan rates; and

WHEREAS, planned expenditures have been estimated anticipating operational and personnel needs, student academic support, psychological support services, student athletic and campus enrichment activities, and quality residential life programs; and

WHEREAS, the President of the University recommends adoption of the proposed budget;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University adopts the proposed Auxiliary and Agency Budget for fiscal year 2015 as summarized in the accompanying exhibit.

(May 2, 2014)

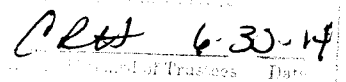
CRH 6-30-14

**FY2015 Auxiliary and Agency Fund Budget**

REVENUE	FY2013 ACTUAL	FY2014 BUDGET	FY2014 ACTUAL as of April 23	%	FY2015 BUDGET	Variance from FY2014 BUDGET
<b>AUXILIARY REVENUE</b>						
Athletics	\$17,339	\$13,000	\$11,932	91.78%	\$13,000	\$0
Bookstore Commission	\$222,807	\$235,000	\$125,602	53.45%	\$235,000	\$0
Center for the Arts	\$466,922	\$485,000	\$360,287	74.29%	\$482,018	-\$2,982
Children's Learning Center	\$247,081	\$229,900	\$211,402	91.95%	\$243,000	\$13,100
Housing	\$4,074,510	\$3,802,557	\$4,021,033	105.75%	\$4,220,182	\$427,625
Senior Citizen Grant	\$40,000	\$40,000	\$27,225	68.06%	\$28,900	-\$11,100
Sports Center	\$13,985	\$15,163	\$14,540	95.89%	\$15,163	\$0
University Center	\$162,793	\$152,000	\$97,992	64.47%	\$148,000	-\$4,000
<b>SUBTOTAL</b>	<b>\$5,245,437</b>	<b>\$4,972,620</b>	<b>\$4,870,014</b>	<b>97.94%</b>	<b>\$5,395,263</b>	<b>\$422,643</b>
<b>AGENCY REVENUE</b>						
Pouring Rights Contract	\$20,000	\$20,000	\$20,000	100.00%	\$20,000	\$0
Student Programming Board	\$20,709	\$15,000	\$15,900	106.00%	\$15,000	\$0
<b>SUBTOTAL</b>	<b>\$40,709</b>	<b>\$35,000</b>	<b>\$35,900</b>	<b>102.57%</b>	<b>\$35,000</b>	<b>\$0</b>
<b>TRANSFERS FROM OTHER FUNDS</b>						
General Fee Support	\$2,642,303	\$2,379,873	\$2,231,947	93.78%	\$1,958,851	-\$423,516
General Fund Support	\$199,704	\$198,000	\$198,000	100.00%	\$198,000	-\$3,000
<b>SUBTOTAL</b>	<b>\$2,842,007</b>	<b>\$2,577,873</b>	<b>\$2,429,947</b>	<b>94.26%</b>	<b>\$2,156,851</b>	<b>-\$426,516</b>
<b>TOTAL REVENUE</b>	<b>\$8,128,153</b>	<b>\$7,585,493</b>	<b>\$7,335,861</b>	<b>96.71%</b>	<b>\$7,581,620</b>	<b>-\$3,873</b>
<b>EXPENDITURES</b>						
	FY2013 ACTUAL	FY2014 BUDGET	FY2014 ACTUAL as of April 23	%	FY2015 BUDGET	Variance from FY2014 BUDGET
<b>ATHLETICS</b>						
Athletic Contingency	\$0	\$2,000	\$0	0.00%	\$0	-\$2,000
Athletic Director	\$564,772	\$525,974	\$440,309	83.71%	\$529,790	\$3,816
Athletic Scholarships	\$631,015	\$618,000	\$613,150	99.22%	\$634,000	-\$84,000
Athletic Trainers	\$137,881	\$134,147	\$67,442	50.27%	\$107,988	-\$26,159
Cheerleading & Dance Team	\$9,762	\$8,200	\$8,589	104.74%	\$5,500	-\$7,700
Men's Baseball	\$74,445	\$62,908	\$77,122	122.59%	\$60,000	-\$2,901
Men's Basketball	\$98,798	\$82,868	\$82,931	100.08%	\$83,515	\$647
Men's Cross Country	\$43,247	\$36,096	\$35,156	97.40%	\$31,093	-\$5,003
Men's Golf	\$29,217	\$24,064	\$20,945	87.04%	\$24,064	\$0
Men's Soccer	\$39,745	\$36,600	\$37,914	103.59%	\$34,035	-\$2,565
Sports Center/Natorium	\$135,004	\$143,177	\$120,768	84.35%	\$140,105	-\$3,072
Women's Basketball	\$91,064	\$66,800	\$78,024	116.80%	\$82,381	\$15,581
Women's Cross Country	\$38,540	\$34,610	\$35,963	103.91%	\$29,775	-\$4,835
Women's Soccer	\$42,538	\$36,200	\$35,886	99.13%	\$35,835	-\$2,365
Women's Softball	\$55,910	\$51,190	\$60,516	118.22%	\$50,000	-\$1,183
Women's Tennis	\$18,182	\$19,458	\$10,363	53.26%	\$19,100	-\$351
Women's Volleyball	\$50,272	\$46,697	\$50,232	107.57%	\$42,982	-\$3,715
<b>SUBTOTAL</b>	<b>\$2,060,392</b>	<b>\$1,928,989</b>	<b>\$1,775,310</b>	<b>92.03%</b>	<b>\$1,803,184</b>	<b>-\$125,805</b>
<b>OTHER AUXILIARIES</b>						
Bookstore Utilities	\$11,455	\$10,000	\$7,514	75.14%	\$10,000	\$0
Center for the Arts	\$642,588	\$683,000	\$510,041	74.68%	\$682,011	-\$89
Children's Learning Center	\$461,379	\$432,400	\$362,978	83.94%	\$445,246	\$12,846
Event & Conference Services/University Center	\$279,682	\$541,785	\$279,368	51.56%	\$627,154	\$85,369
Health Clinic	\$133,340	\$90,000	\$65,278	72.53%	\$99,468	\$9,468
Housing	\$2,404,795	\$2,389,575	\$2,284,751	95.61%	\$2,465,086	\$195,511
Residence Life	\$811,690	\$867,197	\$636,956	73.45%	\$845,955	-\$21,242
Student Engagement*	\$318,308	\$292,065	\$143,622	49.17%	\$0	-\$292,065
<b>SUBTOTAL</b>	<b>\$5,063,237</b>	<b>\$5,306,022</b>	<b>\$4,290,508</b>	<b>80.86%</b>	<b>\$5,285,820</b>	<b>-\$10,202</b>
<b>AGENCIES</b>						
Chronicle	\$10,867	\$15,000	\$10,559	70.39%	\$15,000	\$0
Intramural Sports	\$23,325	\$23,587	\$14,240	60.37%	\$23,635	\$48
Silhouette	\$4,200	\$6,210	\$3,015	48.55%	\$6,210	\$0
Student Government	\$53,239	\$34,685	\$22,855	65.89%	\$34,685	\$0
Student Programming Board	\$138,456	\$95,000	\$72,858	76.69%	\$95,000	\$0
<b>SUBTOTAL</b>	<b>\$230,087</b>	<b>\$174,482</b>	<b>\$123,527</b>	<b>70.80%</b>	<b>\$174,530</b>	<b>\$48</b>
<b>TOTAL EXPENDITURES</b>	<b>\$7,353,716</b>	<b>\$7,409,493</b>	<b>\$6,189,345</b>	<b>83.53%</b>	<b>\$7,273,534</b>	<b>-\$135,959</b>
<b>TRANSFERS TO OTHER FUNDS</b>						
Housing to General Fund	\$140,903	\$0	\$143,721	-	\$143,721	\$143,721
Housing to Plant Funds	\$176,000	\$176,000	\$176,000	100.00%	\$151,365	-\$24,635
University Center to General Fund	\$13,000	\$0	\$13,000	-	\$13,000	\$13,000
<b>SUBTOTAL</b>	<b>\$329,903</b>	<b>\$176,000</b>	<b>\$332,721</b>	<b>189.05%</b>	<b>\$308,086</b>	<b>\$132,086</b>
<b>TOTAL EXPENDITURES AND TRANSFERS</b>	<b>\$7,683,619</b>	<b>\$7,585,493</b>	<b>\$6,522,066</b>	<b>85.98%</b>	<b>\$7,581,620</b>	<b>-\$3,873</b>
<b>SURPLUS (DEFICIT)</b>	<b>\$444,534</b>	<b>\$0</b>	<b>\$813,795</b>	<b>-</b>	<b>\$0</b>	<b>\$0</b>

**NOTE**

\* Beginning in FY2015, this function will be included in the General Operating Budget.

  
 Board of Trustees Date

**RESOLUTION F21-14**

**APPROVAL OF FY2015 ADMINISTRATIVE STAFF  
SALARY INCREASE**

WHEREAS, University administrative staff include the employment categories of administrators, administrative technical support staff (ATSS), and department of public safety personnel; and

WHEREAS, due to sustained negative economic factors, the administrative staff at Shawnee State University did not realize a salary adjustment during fiscal year 2014; and

WHEREAS, the President recommends a salary adjustment for eligible administrative staff that responds to the University's salary strategies and acknowledges relevant market data;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves a 2.0% increase in base salaries and wages for eligible administrative staff in accordance with applicable Board policies, effective July 1, 2014.

(May 2, 2014)

Certified as True and Correct  
*PRH* 6-30-14

Personnel Action	Name	Employment Status		Effective	Salary	Comments
		From	To			
Appointments	Justin Malone		Admission Officer	06/02/14	\$32,000	BS in Natural Science, Temporary Admission Officer - SSU
	Blaine Dudit		Police Sergeant	01/13/14	\$48,000	Ohio Peace Officer, Investigator with Ohio AG Office
	Shannon Lawson		Masters	12/14/13	\$56,326	Advanced degree conferred; step and salary increase (prorated)
Changes in Status	Paul Madden		Interim Dean of CPS	01/01/14	\$116,927	Promotion
	Heather Cantrell		Project Assistant	01/04/14	\$42,008	Interim assignment
	Mistie Spicer		Coordinator, Community Relations	01/18/14	\$50,168	Reclassification without salary adjustment
	Robert Pratt		Police Sergeant, Dept of Public Safety	12/31/13		Resignation
	Mary Ann Malone		Project Director, Student Support Services	01/01/14		Retirement
	Holly Haynes		Admission Officer, Office of Admission	01/17/14		Resignation
Terminations	Valerie Myers		Associate Professor, Teacher Education	02/01/14		Retirement
	Webb, Kathy		Coordinator, Clinic & Field Exp, Teacher Ed	04/04/14		Resignation
	Haider, Rita		Director, CPA	05/01/14		Retirement
	Hagen-Smith, Robin		Senior Instructor, Sports Studies	06/01/14		Retirement
	Swayne, Megan		Visiting Faculty, Athletic Training	05/06/14		Resignation
	Yost, Carlson		Associate Professor, English	06/01/14		Retirement
	Chrisman, Elizabeth		Professor, Dental Hygiene	06/01/14		Retirement
	Raiser, Charles (Lane)		Professor, Art	06/01/14		Retirement

Ref: Policy 5.16Rev, President's Authority University Personnel Actions

True and Correct

Board of Trustees Date

INVESTMENT PORTFOLIO PERFORMANCE

FISCAL YEAR 13:

INVESTMENT COMPANY	VALUE AS OF JUNE 30, 2012	GAIN/(LOSS) JULY	GAIN/(LOSS) AUGUST	GAIN/(LOSS) SEPTEMBER	GAIN/(LOSS) OCTOBER	GAIN/(LOSS) NOVEMBER	GAIN/(LOSS) DECEMBER	GAIN/(LOSS) JANUARY	GAIN/(LOSS) FEBRUARY	GAIN/(LOSS) MARCH	GAIN/(LOSS) APRIL	GAIN/(LOSS) MAY	GAIN/(LOSS) JUNE	TOTAL YTD GAIN/(LOSS)
BNY MELLON COMMON FUND	\$ 6,157,512.62	\$ 73,745.08	\$ 80,858.88	\$ 94,277.64	\$ (56,315.97)	\$ 51,979.03	\$ 74,966.98	\$ 146,777.71	\$ 26,390.36	\$ 100,622.14	\$ 1,086.09	\$ (5,776.24)	\$ (500.83)	\$ 608,110.87
U.S. BANK FIXED INCOME MUTUAL FUNDS	\$ 7,037,262.90	\$ 74,674.88	\$ 121,415.79	\$ 124,230.49	\$ (49,354.17)	\$ 63,502.39	\$ 47,948.80	\$ 218,134.82	\$ 50,868.57	\$ 146,273.04	\$ 21,837.62	\$ (43,093.17)	\$ (102,352.90)	\$ 797,654.61
U.S. BANK EQUITY MUTUAL FUNDS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
U.S. BANK TACTICAL BALANCED MUTUAL FUNDS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
AGINCOURT CAPITAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TAMRO CAPITAL PARTNERS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
MANNING & NAPIER	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Accrued Interest Receivable Adjustment	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>CURRENT MTD TOTAL GAIN/(LOSS)</b>		\$ (10,126.48)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (10,126.48)

INVESTMENT FUND BALANCES:

INVESTMENT COMPANY	VALUE AS OF JUNE 30, 2013	GAIN/(LOSS) JULY	GAIN/(LOSS) AUGUST	GAIN/(LOSS) SEPTEMBER	GAIN/(LOSS) OCTOBER	GAIN/(LOSS) NOVEMBER	GAIN/(LOSS) DECEMBER	GAIN/(LOSS) JANUARY	GAIN/(LOSS) FEBRUARY	GAIN/(LOSS) MARCH	GAIN/(LOSS) APRIL	GAIN/(LOSS) MAY	GAIN/(LOSS) JUNE	TOTAL YTD GAIN/(LOSS)
BNY MELLON MELLON SALE PROCEEDS PENDING REINVESTMENT ON 3/31/2013	\$ 6,231,237.70	\$ -	\$ 6,312,116.58	\$ 6,406,394.22	\$ 6,370,078.25	\$ 6,422,057.28	\$ 6,497,024.26	\$ 6,643,801.97	\$ 6,670,192.33	\$ 5,190.98	\$ 6,277.07	\$ 500.83	\$ -	\$ 120,097.56
COMMON FUND	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,765,633.49	\$ -	\$ -	\$ -	\$ 881,804.66
U.S. BANK FIXED INCOME MUTUAL FUNDS	\$ 7,111,997.78	\$ 7,233,353.57	\$ 7,357,604.06	\$ 7,308,249.89	\$ 7,371,752.28	\$ 7,419,701.08	\$ 7,637,835.90	\$ 7,688,704.47	\$ 7,834,927.51	\$ 2,972,388.62	\$ 2,939,295.45	\$ 2,826,942.55	\$ 5,027,777.01	\$ 142,520.04
U.S. BANK EQUITY MUTUAL FUNDS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
U.S. BANK TACTICAL BALANCED MUTUAL FUNDS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
AGINCOURT CAPITAL	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TAMRO CAPITAL PARTNERS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
MANNING & NAPIER	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>TOTAL</b>	\$ 13,343,195.48	\$ 13,545,470.15	\$ 13,763,998.28	\$ 13,678,328.14	\$ 13,793,809.56	\$ 13,916,735.34	\$ 14,281,537.87	\$ 14,358,896.80	\$ 14,605,741.98	\$ 14,760,517.57	\$ 14,856,095.12	\$ 14,856,095.12	\$ 14,856,095.12	\$ 174,846.16

FISCAL YEAR 14:

INVESTMENT COMPANY	VALUE AS OF JUNE 30, 2013	GAIN/(LOSS) JULY	GAIN/(LOSS) AUGUST	GAIN/(LOSS) SEPTEMBER	GAIN/(LOSS) OCTOBER	GAIN/(LOSS) NOVEMBER	GAIN/(LOSS) DECEMBER	GAIN/(LOSS) JANUARY	GAIN/(LOSS) FEBRUARY	GAIN/(LOSS) MARCH	GAIN/(LOSS) APRIL	GAIN/(LOSS) MAY	GAIN/(LOSS) JUNE	TOTAL YTD GAIN/(LOSS)
U.S. BANK FIXED INCOME MUTUAL FUNDS	\$ 2,826,942.55	\$ 31,910.00	\$ (32,434.87)	\$ 41,414.28	\$ 44,067.90	\$ (5,258.90)	\$ (5,007.21)	\$ 16,097.97	\$ 30,575.86	\$ (1,267.07)	\$ -	\$ -	\$ -	\$ 120,097.56
U.S. BANK EQUITY MUTUAL FUNDS	\$ 5,027,381.30	\$ 243,230.33	\$ (134,360.28)	\$ 234,760.98	\$ 217,981.39	\$ 122,538.88	\$ 127,171.87	\$ (241,808.54)	\$ 272,132.22	\$ 40,337.61	\$ -	\$ -	\$ -	\$ 881,804.66
U.S. BANK TACTICAL BALANCED MUTUAL FUNDS	\$ 1,426,777.01	\$ 32,404.69	\$ (25,307.22)	\$ 21,735.57	\$ 36,845.07	\$ 22,437.20	\$ 19,247.22	\$ (19,566.70)	\$ 37,895.43	\$ 16,828.78	\$ -	\$ -	\$ -	\$ 142,520.04
AGINCOURT CAPITAL	\$ 2,790,149.51	\$ 13,003.09	\$ (16,865.75)	\$ 23,621.16	\$ 28,695.54	\$ (6,411.82)	\$ (19,078.82)	\$ 46,364.18	\$ 16,279.51	\$ (7,883.67)	\$ -	\$ -	\$ -	\$ 77,923.42
TAMRO CAPITAL PARTNERS	\$ 911,013.82	\$ 43,771.31	\$ (14,313.20)	\$ 50,070.05	\$ 21,980.20	\$ 22,948.02	\$ 2,442.37	\$ (40,289.37)	\$ 51,229.61	\$ (11,716.38)	\$ -	\$ -	\$ -	\$ 126,122.61
MANNING & NAPIER	\$ 1,481,384.64	\$ 44,135.95	\$ (16,888.09)	\$ 44,174.18	\$ 31,909.58	\$ 6,089.83	\$ 17,509.56	\$ (10,332.15)	\$ 53,357.70	\$ 4,889.80	\$ -	\$ -	\$ -	\$ 174,846.16
<b>CURRENT MTD TOTAL GAIN/(LOSS)</b>		\$ 408,453.37	\$ (240,169.41)	\$ 415,776.22	\$ 381,479.68	\$ 162,163.21	\$ 142,284.79	\$ (249,534.61)	\$ 461,470.33	\$ 41,389.07	\$ -	\$ -	\$ -	\$ 1,523,314.65

INVESTMENT FUND BALANCES:

INVESTMENT COMPANY	VALUE AS OF JUNE 30, 2013	GAIN/(LOSS) JULY	GAIN/(LOSS) AUGUST	GAIN/(LOSS) SEPTEMBER	GAIN/(LOSS) OCTOBER	GAIN/(LOSS) NOVEMBER	GAIN/(LOSS) DECEMBER	GAIN/(LOSS) JANUARY	GAIN/(LOSS) FEBRUARY	GAIN/(LOSS) MARCH	GAIN/(LOSS) APRIL	GAIN/(LOSS) MAY	GAIN/(LOSS) JUNE	TOTAL YTD GAIN/(LOSS)
U.S. BANK FIXED INCOME MUTUAL FUNDS	\$ 2,858,852.55	\$ 2,856,417.68	\$ 2,867,831.96	\$ 2,911,899.86	\$ 2,906,640.96	\$ 2,901,633.75	\$ 2,917,731.72	\$ 2,948,307.58	\$ 2,947,040.51	\$ -	\$ -	\$ -	\$ -	\$ -
U.S. BANK EQUITY MUTUAL FUNDS	\$ 5,270,611.63	\$ 5,136,251.35	\$ 5,371,012.33	\$ 5,588,993.77	\$ 5,711,352.60	\$ 5,838,524.47	\$ 5,596,715.93	\$ 5,668,848.15	\$ 5,909,185.76	\$ -	\$ -	\$ -	\$ -	\$ -
U.S. BANK TACTICAL BALANCED MUTUAL FUNDS	\$ 1,453,181.70	\$ 1,433,874.48	\$ 1,455,610.05	\$ 1,492,455.12	\$ 1,514,892.32	\$ 1,534,139.54	\$ 1,514,572.84	\$ 1,552,468.27	\$ 1,569,297.05	\$ -	\$ -	\$ -	\$ -	\$ -
AGINCOURT CAPITAL	\$ 2,603,152.60	\$ 2,786,286.85	\$ 2,809,908.01	\$ 2,838,603.55	\$ 2,832,191.73	\$ 2,813,112.91	\$ 2,859,477.09	\$ 2,875,756.60	\$ 2,868,072.93	\$ -	\$ -	\$ -	\$ -	\$ -
TAMRO CAPITAL PARTNERS	\$ 954,785.13	\$ 940,471.93	\$ 990,541.98	\$ 990,541.98	\$ 1,012,522.18	\$ 1,035,470.20	\$ 1,037,912.57	\$ 997,623.20	\$ 1,048,852.81	\$ 1,037,136.43	\$ -	\$ -	\$ -	\$ -
MANNING & NAPIER	\$ 1,525,520.59	\$ 1,508,632.50	\$ 1,552,806.68	\$ 1,584,716.26	\$ 1,590,805.09	\$ 1,608,315.45	\$ 1,597,983.30	\$ 1,651,341.00	\$ 1,656,230.80	\$ -	\$ -	\$ -	\$ -	\$ -
<b>TOTAL</b>	\$ 14,463,648.83	\$ 14,872,104.20	\$ 14,631,934.79	\$ 15,047,711.01	\$ 15,439,190.69	\$ 15,591,353.90	\$ 15,733,638.69	\$ 15,484,104.08	\$ 15,945,574.41	\$ 15,985,963.48	\$ -	\$ -	\$ -	\$ -

## Status of Construction/Renovation Projects through April 30, 2014

Project	Status	Projected Budget	Funding Source
<ul style="list-style-type: none"> <li>• <b>Total renovation of Founder's Plaza</b> - area between the Administration Building and the Athletic Center.</li> <li>• New storm drain system complete; sidewalks, stairs, planters, steel structures, site lighting, and water feature complete.</li> <li>• Only close-out and warranty items remain.</li> </ul>			
<b>Founders Plaza Project</b>		\$1,426,845	State Capital
<ul style="list-style-type: none"> <li>• <b>Replacement of cooling tower.</b></li> <li>• Project complete. Tower started 3/24/14.</li> <li>• Close-out and warranty items remain.</li> </ul>			
<b>Massie Hall Cooling Tower Replacement</b>		\$190,000	State Capital/ Local
<ul style="list-style-type: none"> <li>• <b>5,000 square feet of the newly acquired Hatcher Hall is being renovated to house the Nursing Program.</b></li> <li>• Design and demolition complete.</li> <li>• Renovation project to begin May, 2014.</li> </ul>			
<b>Nursing/Hatcher Hall Renovation</b>		\$700,000.00	Local

(April 11, 2014)

Certified as True and Correct  
 \_\_\_\_\_  
 Board of Trustees

**RESOLUTION E01-14**

**2014/2015 SCHEDULE OF MEETINGS  
SHAWNEE STATE UNIVERSITY BOARD OF TRUSTEES  
AND ITS COMMITTEES**

WHEREAS, the Shawnee State University meets as a public body under Ohio law, with meetings publicized and open to those who wish to attend; and

WHEREAS, a 2014/2015 Shawnee State University Board of Trustees meeting schedule has been developed so that it can be released well in advance, and that schedule of meetings is now being recommended for approval;

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University adopts the 2014/2015 schedule of meetings for the Board and its committees.

(May 2, 2014)

CBH 6-30-14



**2014/2015 SCHEDULE OF MEETINGS  
SHAWNEE STATE UNIVERSITY BOARD OF TRUSTEES  
AND ITS COMMITTEES**

<b>Board of Trustees</b>	<b>Finance &amp; Administration Committee</b>	<b>Academic and Student Affairs Committee</b>
<b>July 11, 2014 (Friday)</b> Selby Board Room 1:15 p.m.	University Center 214 9:00 a.m.	University Center 215 10:15 a.m.
<b>*September 19, 2014 (Friday)</b> Selby Board Room 1:15 p.m.	University Center 214 9:00 a.m.	University Center 215 10:15 a.m.
<b>November 14, 2014 (Friday)</b> Selby Board Room 1:15 p.m.	University Center 214 9:00 a.m.	University Center 215 10:15 a.m.
<b>January 16, 2015 (Friday)</b> Selby Board Room 1:15 p.m.	University Center 214 9:00 a.m.	University Center 215 10:15 a.m.
<b>March 13, 2015 (Friday)</b> Selby Board Room 1:15 p.m.	University Center 214 9:00 a.m.	University Center 215 10:15 a.m.
<b>May 8, 2015 (Friday)</b> Selby Board Room 1:15 p.m.	University Center 214 9:00 a.m.	University Center 215 10:15 a.m.


**Graduation Dates**

<b>December 12, 2014 (Friday)</b> COMMENCEMENT Vern Riffe Center for the Arts 3:00 p.m.	<b>May 9, 2015 (Saturday)</b> COMMENCEMENT Alumni Green 10:00 a.m.
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**\*Board Retreats**

**September 19-20, 2014 (Friday and Saturday)**

Time and Location TBD


 6-30-14

**RESOLUTION E02-14**

**APPROVAL OF REVISION TO  
POLICY 1.01REV,  
BYLAWS OF THE BOARD OF TRUSTEES**

WHEREAS, Ohio Revised Code Section 3362.02 directs the Shawnee State University Board of Trustees to adopt and amend bylaws for the conduct of the board; and

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

WHEREAS, members of the Board of Trustees have reviewed the bylaws and the Board has expressed a desire to revise the bylaws to clarify the President's relationship with the Board and to ensure that a standing committee will have a quorum to conduct committee business for full board consideration.

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the attached revision to Board Policy 1.0, Bylaws of the Board of Trustees of Shawnee State University.

(May 2, 2014)

*PRH* 6-30-14

# Shawnee State University

POLICY TITLE:	BYLAWS OF THE BOARD OF TRUSTEES
POLICY NO.:	1.01 REV
ADMIN. CODE:	3362-1- 01
PAGE NO.:	1 OF 8
EFFECTIVE DATE:	5/2/14
NEXT REVIEW DATE:	5/2/17
RESPONSIBLE OFFICER(S):	BOT
APPROVED BY:	BOT

## 1.0 MEMBERS OF THE BOARD OF TRUSTEES

Shawnee State University is governed by its Board of Trustees and the members of the Board are appointed by the Governor, in accordance with Section 3362.01 of the Ohio Revised Code. In accordance with Ohio law, students do not have voting authority, although their opinions and advice during deliberations are encouraged.

## 2.0 OFFICERS OF THE BOARD OF TRUSTEES AND THEIR DUTIES

- 2.1 At its last regular meeting of each fiscal year, the Board shall elect a Chairperson and Vice Chairperson for the next fiscal year, who shall serve for a term of one year or until their successors are elected whichever occurs later.
- 2.2 The chairperson shall preside at all meetings of the Board and shall decide all questions of order. It shall be the chairperson's duty to see that the Board's bylaws are properly followed and its orders properly executed. The chairperson shall, on behalf and in the name of the University and the Board, sign all instruments authorized by the Board, except as such duties may be delegated to administrative officers.
- 2.3 In the absence of the Chairperson, the Vice Chairperson shall be invested with the powers and discharge the duties of the Chairperson. In the absence of the Chairperson and the Vice Chairperson, the duties of Chairperson will be discharged by the Trustee in the following order: Chairperson of Finance and Administration; Chairperson of Academic and Student Affairs; Vice Chairperson of Finance and Administration; Vice Chairperson of Academic and Student Affairs.

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### 3.0 PRESIDENT'S ROLE AT BOARD OF TRUSTEE MEETINGS

The President is expected to attend all full board and committee meetings, including executive session, unless directed otherwise by the Board. At such meetings, the President will, in an advisory role, have a voice in Board deliberations and have the authority to initiate any subject.

### 4.0 SECRETARY OF THE BOARD

- 4.1 The Chairperson of the Board may appoint a secretary of the board. The Secretary may, if not a member of the Board, hold an administrative position with the University. The Secretary shall be responsible for ensuring that meeting notices are provided in accordance with Ohio law. The Secretary shall also be custodian of all board records and shall attest as required, by his or her signature, all instruments executed by the Chairperson or other authorized person on behalf and in the name of the University and the Board.
- 4.2 The Secretary shall be responsible for accurate minutes of all board meetings and of committee meetings as needed.
- 4.3 The Secretary may, if called upon by the Board Chairperson, serve as board parliamentarian.
- 4.4 The Secretary serves at the pleasure of the Board.

### 5.0 TREASURER OF THE BOARD

The Chairperson of the Board may appoint a treasurer of the Board to take custody and control of all moneys due and owing to the University and to properly account for all moneys coming into his or her care and the expenditures of said moneys on behalf of the University. The Treasurer may, if not a member of the Board, hold an administrative position with the University. The Treasurer's appointment is continuing but may be terminated at any time, with or without cause, by the Board. The Treasurer will be bonded or insured for faithful performance of his or her duties in conformance with Ohio Revised Code Section 3362.02.

### 6.0 BOARD OF TRUSTEES COMMITTEES

- 6.1 Standing committees of the Board consisting of no fewer than three members each shall be appointed yearly, or at any time a vacancy occurs, by the Chairperson of the Board. Committee chairpersons and vice chairpersons shall be appointed by the Chairperson of the Board. Matters considered and recommended by any standing committee for

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board approval, including any board or university policy, shall be brought to the Board in the form of a resolution.

- 6.2 A majority of a committee's voting members constitute a quorum. With the exception of the Executive Committee, in the event a majority of the voting members are not present to take committee action, a quorum may be established with at least one voting member of the committee plus any two additional voting members of the Board. The Board Chairperson, Vice Chairperson or any committee chairperson or vice chairperson has authority to make such temporary appointments and may self-appoint.
- 6.3 Academic and Student Affairs Committee shall consider and make recommendations to the Board on matters pertaining to academic and student affairs programs and resources. Specific matters that may be presented to the Academic and Student Affairs Committee include, but are not limited to, the following: proposed and existing degree programs; awarding of degrees; commencement and other major university events; research and community development; faculty and staff matters including faculty promotions, organizational structures for academics and student affairs; admissions and enrollment; financial aid; student life and housing; and other matters as assigned to the committee by the Board or Chairperson of the Board.
- 6.4 Finance and Administration Committee shall consider and make recommendations to the Board on matters pertaining to financial, business, facilities and administration of the University. Specific matters that may be presented to the Finance and Facilities Committee include, but are not limited to, the following: university capital and operating budgets; submission of appropriation and capital requests; tuition and student fees; annual audits; business organization and practices; borrowing and investment of funds; facilities and grounds, including naming, planning, construction, and maintenance; real property matters; purchasing policies; organization and staffing of Finance and Administration; personnel policies and matters; collective bargaining matters; safety and security; information technology; auxiliary operations and services; and other matters as assigned to the committee by the Board or Chairperson of the Board.
- 6.5 Executive Committee, comprised of the Board Chairperson (serving as chairperson) and Board Vice Chairperson and the chairpersons of the committees on Academic and Student Affairs, and Finance and Administration. In the event either or both the Chairperson and Vice Chairperson of the Board also chairs a committee, the Board Chairperson may appoint an additional Board member(s). The Executive Committee shall consider and make recommendations to

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the board on the following matters: proposed university policies on matters not assigned to another committee; bargaining unit agreements; personnel actions that pertain to any of the vice presidents or other personnel requested by the President or Chairperson of the Board. The Executive Committee shall also have responsibility for: orienting and mentoring new board members; evaluating the performance of the President and make a recommendation to the Board on the President's compensation and benefits package. The Executive Committee shall also act/recommend on behalf of the Board on issues needing immediate attention and report such actions to the Board. To act on behalf of the Board, a quorum of the Executive Committee (three members) must be present. Executive Committee actions taken on behalf of the Board shall be reported to the Board and made a part of the official record by including such action in the record of the next regularly scheduled board meeting. Any meeting of the Executive Committee at which binding action is taken shall adhere to all applicable provisions of Ohio Revised Code 121.22, the Open Meetings law.

- 6.6 The Chairperson of the Board shall be a voting member of the Board, the Executive Committee, and one other standing committee and an ex-officio (non-voting) member of all other committees.
- 6.7 The President will appoint at least one Vice President or other appropriate administrative personnel to staff the Academic and Student Affairs Committee and the Finance and Administration Committee.

## 7.0 MEETINGS OF THE BOARD OF TRUSTEES

- 7.1 The Board of Trustees shall comply with all provisions of the Ohio Open Meetings Law set forth in section 121.22 of the Revised Code. The Secretary shall be responsible for ensuring that all required notifications are issued. Any person desiring specific notification of Board meetings may request copies of board agendas upon providing a self-addressed stamped envelope to the Secretary.
- 7.2 Meetings
  - 7.2.1 The annual organizational meeting of the Board is its first regularly scheduled meeting of the fiscal year. Other regular meetings will be scheduled and posted for public notice at least five days in advance.

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- 7.2.2 Special meetings may be held upon the call of the chairperson or upon written request to the secretary by three board members.
- 7.2.3 A majority of the Board, when duly convened, shall constitute a quorum to do business, and a majority vote of those present shall be sufficient to adopt any motion or resolution, provided that the vote of a majority of all the Board shall be necessary to make or confirm the making of any contract involving the expenditure of money not provided for in the annual budget; to adopt and revise the annual budget; and to amend or repeal previously adopted policies or bylaws of the Board.
- 7.2.4 A roll call vote shall be taken whenever directed by the Chairperson or requested by two members of the Board.
- 7.3 Order of business  
The usual order of business at board meetings shall be as follows:  
Call to order  
Roll call  
Approval of agenda  
Approval of minutes  
Committee reports  
Reports, if any, from board liaisons with other organizations  
President's report  
New business  
Comments from constituent groups (if any) and the public  
Executive session, if necessary  
Other business  
Adjournment
- 7.3.1 Business to be considered.

The President is responsible for development of the agenda for the Chairperson's final approval. Any proposed action or business item by a board member should be presented to other board members and the President at least five days prior to the board meeting.

7.4 Public and constituent participation

It is the policy of the Board to require persons who wish to address the Board in the Comment portion of the Board meeting to limit their remarks to no more than five minutes, or for a length of time determined by the chairperson, and to speak at the appropriate time during the agenda. The Chairperson may institute a sign-in process for

Certified as True and Correct  
CRH 6-30-14  
Secretary, Board of Trustees

persons who wish to speak and also limit the number of speakers commenting on any one subject. The Board may or may not respond to speakers' comments.

#### 7.5 Parliamentary rules

The proceedings of the Board, when not otherwise provided for by its rules, shall be governed by the most current edition of "Robert's Rules of Order." Any motion shall be reduced to writing upon the request of a member.

#### 7.6 Recording Meetings

Members of the public and the news media may record public sessions of board and committee meetings. Use of recording devices may not interfere with the meeting or other attendees' view or hearing of the proceedings. Any recording devices must be fixed to one location in the room throughout the meeting. No flashes or other light enhancing devices may be used. The location of recording devices will be determined by the Chairperson prior to the meeting. Where multiple parties desire to record the meeting, the Chairperson may limit the number of recording devices in the meeting to no more than two.

### 8.0 THE PRESIDENT OF THE UNIVERSITY

8.1 Serving at the pleasure of the Board of Trustees, the President is the Chief Executive Officer of the University.

8.2 The President is responsible for recommending policies to the Board and for implementing those policies approved by the Board. The President must provide leadership in establishing a vision and goals to guide the University in fulfilling its mission. While the Board has the ultimate responsibility for the governance of the institution to ensure its proper maintenance and successful and continuous operation, it is the President's responsibility to execute board policies and administer the University to fulfill its mission. Specific responsibilities of the President include, but are not limited to, the following:

8.2.1 Administer board policies to achieve the institutional mission.

8.2.2 Direct strategic and short-range planning.

8.2.3 Develop, maintain and evaluate academic programs in furtherance of the University's mission.

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- 8.2.4 Develop and maintain an administrative organization and governance structure to facilitate both input into policy development and effective utilization of the resources required to achieve the University's goals and mission.
  - 8.2.5 Develop and maintain a system that will receive, screen and recommend for employment the most qualified personnel required to carry out the mission of the University. In addition, this system must assign, supervise, evaluate and promote all personnel employed by the University.
  - 8.2.6 Plan and develop a process to secure and maintain the resources necessary to achieve the University's mission at the highest level of quality. This responsibility shall include the presentation of these needs before the Board of Regents, the Executive Office, and the legislature.
  - 8.2.7 Prepare and present for Board of Trustees approval the annual operating and capital budgets; in addition, make budgetary allocations and supervise the expenditure of all funds.
  - 8.2.8 Present for Board of Trustees approval matters that are required by law or university policy to be presented to the Board.
  - 8.2.9 Develop and maintain facilities and equipment required to support the mission of the University.
  - 8.2.10 Communicate to the Board the current condition and potential problems facing the University.
  - 8.2.11 Represent the University before external public and private sector constituencies.
- 8.3 The President will be evaluated by the Board according to Policy No. 1.03.

9.0 ADOPTION, AMENDMENT, AND REPEAL OF BYLAWS AND OF UNIVERSITY POLICY AND PROCEDURES

- 9.1 The foregoing bylaws are intended to provide a general framework for the administration, and operation of the University. Detailed policies and procedure for the organization, administration, and operation of the University may be adopted, amended, and repealed by the Board of Trustees.

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- 9.2 New bylaws may be adopted and existing bylaws amended or repealed by a majority vote of the Board of Trustees at any regular meeting of the Board, providing that notice of the meeting specifies that adoption, amendment, or repeal of the bylaws is to be considered.

#### 10.0 TRUSTEE EMERITUS

The Board may grant emeritus status to a board member who's term has ended, about to end or who departed from the Board in good standing and had, during the member's board term, made an exemplary contribution to the Board. Nominations may be made by any current board member in writing to the chairperson of the Board or to the President and should fully describe the reasons for the nomination. A trustee emeritus is an honorary title, without compensation, and, unless compelling circumstances arise that affect the integrity of the institution, the title is a life time honor. A majority of two-thirds of the full board is necessary to remove an emeritus status.

#### History

Effective: 10/16/89

Revised: 05/04/92, 10/15/93, 02/18/95, 12/10/98, 06/10/05, 03/13/09, 01/14/11, 11/18/11, 05/02/14

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**RESOLUTION E03-14**

**APPROVAL OF REVISION TO  
POLICY 1.02REV,  
PRESIDENTIAL SELECTION**

WEHREAS, Ohio Revised Code Section 3362.03 directs the Board of Trustees to employ the University President; and

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

WHEREAS, a review of the current policy revealed the need to clarify the Board's role and responsibility in the presidential search process and the role of university constituencies.

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the attached revision to Board Policy 1.02, Presidential Selection.

(May 2, 2014)

CRH 6-30-14

# Shawnee State University

POLICY TITLE:	PRESIDENTIAL SELECTION
POLICY NO.:	1.02 REV
ADMIN. CODE:	3362-1-02
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	05/02/14
NEXT REVIEW DATE:	05/02/17
RESPONSIBLE OFFICER(S):	BOT
APPROVED BY:	BOT

## 1.0 PURPOSE

1.1 In accordance with Ohio Revised Code, Section 3362.03, the Board of Trustees of Shawnee State University has authority to employ the President. As such, the Board has the responsibility to have an orderly process for the selection of a new president of the University whenever conditions dictate such selection occurs.

## 1.2 PRESIDENTIAL SEARCH COMMITTEE

The Board may establish a committee, of which all or a majority of its members are current board members for the purpose of screening candidates and other board directed tasks related to the presidential search. The Board Chairperson shall make the appointments of this committee, including the committee chairperson.

## 2.0 PRESIDENTIAL SEARCH ADVISORY COMMITTEE AND UNIVERSITY CONSTITUENCIES

2.1 It is recognized that the University's constituencies can enhance the presidential search process. In order to assist the Board in selecting a president, the Board may create a Presidential Search Advisory Committee and/or consult with individuals from University constituencies throughout the search process.

2.2 The members of the Presidential Search Advisory Committee may include representation from faculty, staff, academic and senior administration, students, alumni, and the Shawnee State University Development Foundation. The chairperson of the Presidential Search Committee shall also serve as the chairperson of the Presidential Search Advisory Committee.

CRH 6-30-14  
Date

- 3.0 The Board of Trustees shall establish a budget for the Presidential search and selection process.

History

Effective: 12/10/98

Revised: 05/02/14

Attest as True and Correct

*CBH 6-30-14*

Secretary of the Board

**RESOLUTION E04-14**

**APPROVAL OF REVISION TO  
POLICY 1.04REV, HONORARY DEGREES**

WHEREAS, Policy 1.04, Honorary Degrees, serves to ensure that honorary degrees are awarded only to individuals who are worthy to receive this distinctive award; and

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

WHEREAS, the current policy includes unnecessary restrictions on eligibility of award recipients and is in need of a more flexible nomination process, and that the revised policy addresses these issues without compromising the integrity of honorary degrees.

THEREFORE BE IT RESOLVED that the Board of Trustees of Shawnee State University approves the attached revision to Board Policy 1.4, Honorary Degrees.

(May 2, 2014)

PRH 6-30-14

# Shawnee State University

POLICY TITLE:	HONORARY DEGREES
POLICY NO.:	1.04 REV
ADMIN CODE:	3362-1-04
PAGE NO.:	1 OF 2
EFFECTIVE DATE:	5/2/14
NEXT REVIEW DATE:	5/2/17
RESPONSIBLE OFFICER(S):	BOT

## 1.0 PURPOSE

Awarding an honorary degree indicates the high esteem in which the Shawnee State University Board of Trustees holds the recipient. To assure that only the most worthy or appropriate individuals receive honorary degrees, the following criteria and processes will be followed.

## 2.0 CRITERIA FOR AWARDING HONORARY DEGREES

2.1 The Board of Trustees may award honorary degrees to individuals who have made significant contributions to higher education and scholarship, to the University and its mission, and/or to the State of Ohio. Attributes that nominees shall exhibit should include at least one of the following:

- 2.1.1 The nominee has some attachment or connection to the University and/or the State of Ohio.
- 2.1.2 The nominee has a statewide, national, and/or worldwide recognition.
- 2.1.3 The nominee has made significant contributions to the advancement or promotion of knowledge and/or the University mission.

## 3.0 LIMITATION ON ELIGIBILITY

Current University trustees and employees are not eligible to receive an honorary degree.

## 4.0 DEGREES AWARDED

4.1 The following honorary degrees may awarded:

- 4.1.1 L.L.D. Doctor of Laws

Approved by Trustees  
*RET* 6-30-14

- 4.1.2 Litt. D. Doctor of Letters
- 4.1.3 Sc.D. Doctor of Science
- 4.1.4 L.H.D. Doctor of Humane Letters
- 4.1.5 Ph.D. Doctor of Philosophy

## 5.0 NOMINATIONS

- 5.1 Any university governance body may nominate individuals for an honorary degree. The President may review and recommend nominations to the Board of Trustees.
- 5.2 Nominations must include a detailed description of the nominee and justification for awarding an honorary degree. The Board of Trustees reserves the right to nominate and approve candidates for honorary degrees.

## 6.0 BOARD ACTION

The final decision to award an honorary degree rests with the Board of Trustees.

### History

Effective: 04/02/90  
Revised: 12/10/92, 12/10/98, 05/02/14

CRH 6-30-14



## RESOLUTION E05-14

### ADOPTION OF SHAWNEE STATE UNIVERSITY COMPLETION PLAN

WHEREAS, House Bill 59 of the 130<sup>th</sup> Ohio General Assembly requires the board of trustees of each institution of higher education to adopt an institution-specific strategic completion plan designed to increase the number of degrees and certificates awarded to students and provide a copy of its plan to the Chancellor of the Ohio Board of Regents ; and

WHEREAS, pursuant to House Bill 153 of the 129<sup>th</sup> Ohio General Assembly the Chancellor of the Ohio Board of Regents implemented the “Chancellor’s Plan for Shawnee State University to Improve Course Completion, Retention, and Graduation Rates”; and

WHEREAS, the Shawnee State University is engaged in a focused strategic planning process to further enhance its retention and graduation rates; and

WHEREAS, the Shawnee State University Completion Plan enhances the 2011 Chancellor’s Plan and links it to many of the priorities developed in the campus-based planning process; and

WHEREAS, the Shawnee State University Completion Plan adds goals related to linking Ohio’s workforce needs with university programming; and

WHEREAS, the Shawnee State University Completion Plan fulfills the requirements of HB 59 of the 130<sup>th</sup> Ohio General Assembly and provides a foundation for Shawnee State University’s ongoing efforts to improve retention and graduation rates;

THEREFORE, be it resolved the Shawnee State University Board of Trustees adopts the Shawnee State University Completion Plan and directs the President to transmit the Plan to the Chancellor of the Ohio Board of Regents. Further, the President is directed to establish/implement measures to ensure that the plan is updated and reviewed by the Board of Trustees at least every two years.

(May 2, 2014)

Verified as True and Correct  
*CRH* 4-30-14  
Secretary, SSC Board of Trustees



# Shawnee State University's Completion Plan

In compliance with House Bill 59, Shawnee State University submits to the Ohio Board of Regents the following plan for college completion. This plan is consistent with Shawnee State University's mission and strategic priorities and updates the Chancellor's Plan for Shawnee State University to improve course completion, retention, and graduation rates in 2011.



Certified as True and Correct  
*CRH* 6-30-14  
Secretary, Ohio Board of Regents Date

## **BUILDING UPON THE CHANCELLOR'S PLAN, THE SHAWNEE STATE UNIVERSITY COMPLETION PLAN WILL ACHIEVE THE FOLLOWING THREE GOALS:**

- Goal I (Course Completion & Graduation) Increase persistence to completion and increase degrees conferred
- Goal II (Access) Further SSU's Service to the Appalachian Region through Enhanced Relationships with Regional School Districts
- Goal III (Degrees and Post-Graduation Employment) Further SSU's Service to the Appalachian Region through Enhanced Relationships with Area Employers

### **GOAL I (COURSE COMPLETION & GRADUATION) INCREASE PERSISTENCE TO COMPLETION AND INCREASE DEGREES CONFERRED**

Beginning with first-time college students entering in the fall of 2014, Shawnee State University will increase the number of students earning associate and/or baccalaureate degrees by 1-3% for each class entering in the successive 9-year period. Successful course completion is the key metric to successful progression toward a degree.

Plan to Meet Goals I & II of the Chancellor's Plan: (Course Completion & Graduation) Increase Persistence to completion and increase degrees conferred.

#### **1.1 Require enrollment in the University's Success Curriculum for all underprepared students (based on placement scores).**

- Success Curriculum includes enrollment in: a First Year Experience Course; a Major/Career Exploration course and appropriate developmental English and mathematics courses during their first semester.
- First Year seminars designed to assist all students in topics supporting college success (i.e., time management, financial literacy, note taking skills, life outside the classroom).

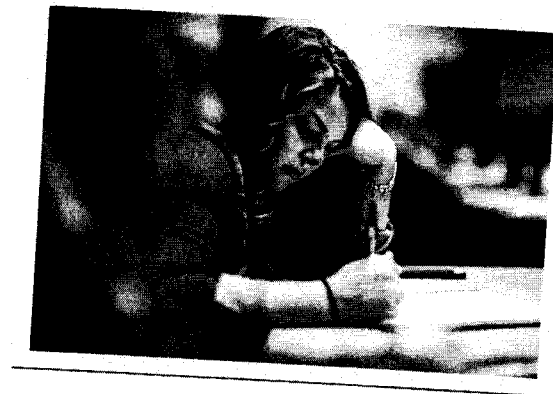
- Associate degree pathway available to students as an incentive to complete the program.

#### **1.2 Accelerate "speed to graduation" by establishing 15 credit hours as the default full-time load for all college-ready students.**

- SSU will provide communication to students, parents and advisors on the importance for students to enroll for a full load of 15 semester hours.
- Beginning in summer of 2014, orientation sessions will provide all entering students information on the need to register for full load of 15 semester hours in order to successfully graduate in two or four years.
- Beginning summer 2014, orientation advisors will work to establish 15-hour default schedule plans for incoming full-time students identified as underprepared or undecided.

#### **1.3 Complete systemic program review of all academic and appropriate non-academic programming focusing on the improvement of course and degree completion.**

- Results of academic and non-academic program reviews will be integrated into a comprehensive planning process.
- A robust, transfer-friendly and flexible GEP focusing on 21st Century workforce needs and skills will be incorporated into each degree program by AY 2015-2016.
- Milestone courses for each program will be identified and offered on a regular schedule.



NET 6-30-14

#### 1.4 Develop flexible degree options.

- SSU will develop and offer a Bachelor of Arts in General Studies.
- SSU will develop and offer a Bachelor of Science in Health Sciences.

#### 1.5 Participate in the Complete College America default guided pathways system model (GPS).

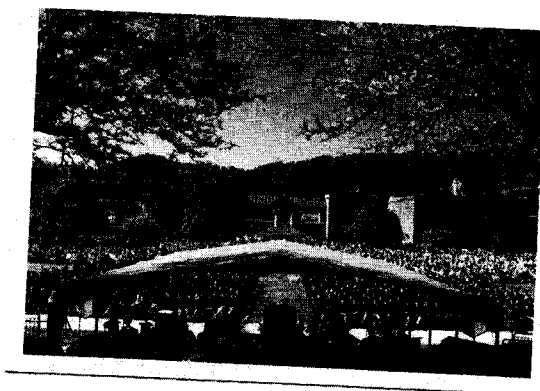
- Six STEM programs will pilot standardized academic pathways to support timely graduation by Fall of 2014.
- The GPS model will be expanded to an additional 12 programs.

#### 1.6 Enhance academic advising through the hiring of professional advisors for the College of Professional Studies and the College of Arts and Sciences

- Full-time academic advisors will focus upon intrusive/proactive advising.
- All university personnel engaged in advising students will participate in Professional Development in utilization of intrusive/proactive advising.
- Effectiveness of advising efforts will be evaluated at least annually.

#### 1.7 Research and implement resources to identify factors, practices and programs of greatest non-graduation risk for students.

- Focus will be upon tools that combine technology, research, and predictive analytics to help positively transform outcomes for at-risk and off-path students.
- The analytical tool needs to focus on specific academic factors – such as courses, credit accumulations, and grades – that are most correlated with success and failure.
- The supportive data-driven tool will support advising efforts and enable proactive, informed interventions with at-risk and off-path students.
- Resources will deliver personalized insight in the majors and courses best suited to each student's unique abilities.



### GOAL II (ACCESS) FURTHER SSU'S SERVICE TO THE APPALACHIAN REGION THROUGH ENHANCED RELATIONSHIPS WITH REGIONAL SCHOOL DISTRICTS

Shawnee State University continues to draw the majority of its student body from the Appalachian Southern Ohio region. SSU will increase its presence on regional school district campuses and provide increased programming to encourage improved college readiness of area high school graduates.

Goal II aligns and further clarifies Goal III of the Chancellor's Plan.

Plan to Meet Goal II: (Access) Further SSU's Service to the Appalachian Region through Enhanced Relationships with Regional School Districts.

#### 2.1 Develop additional collaborative partnerships with key regional secondary schools to develop and strengthen strategies that will prepare students to enter the university prepared to succeed.

- Provide regional school districts with trend data on the performance of their graduates at SSU.
- Design opportunities for the University and regional secondary schools to work on alignment of the common core curriculum with college readiness expectations.
- Continue to offer and expand dual credit offerings, PSEO, and support for AP courses.

Accepted as True and Correct  
*CRH* 6-30-14  
Secretary, SSU Board of Trustees Date

## 2.2 Establish a campus point of contact to coordinate all university P-16 initiatives.

- Pursue external funding for high school/higher educational alignment opportunities.
- Develop programming and materials to make available to schools to assist in increasing the number of college-ready high school graduates.
- Work with area high schools to encourage all high school students to complete a college-entrance examination.

## GOAL III (DEGREES AND POST-GRADUATION EMPLOYMENT) FURTHER SSU'S SERVICE TO THE APPALACHIAN REGION THROUGH ENHANCED RELATIONSHIPS WITH AREA EMPLOYERS

Beginning with graduating seniors in the spring of 2019, SSU will increase the number of graduates obtaining degree leading to employment or graduate school in high demand fields within the state of Ohio by .5 to 1% per year for each graduating class over the successive 5- year period.

Plan to Meet Goal III: (Degrees and Post-Graduation Employment) Further SSU's Service to the Appalachian Region through Enhanced Relationships with Area Employers.

### 3.1 Improve data collection on alumni employment.

- Conduct surveys of alumni and recently graduated seniors focusing on current employment and educational attainment. The survey report, with data analysis, will be shared with the campus community and posted to a campus intranet website.

### 3.2 Designate a university point of contact for practical, applied instructional opportunities for students.

- Work with industry partners to increase the number of internship opportunities.
- Enhance current mentoring programs to encourage early major/career selection and internship experiences.
- Identify funds for commuting and living expenses to enable students to pursue internship opportunities outside the local community.

## 3.3 Expand enrollment in programs leading to careers aligned with Ohio's Job Priorities.

- Increase enrollment in programs leading to careers in high demand fields for the state of Ohio (i.e., Management, Education, Health Care, Computer Specialties, and Community Services) and fields that lead to employment in industries designated as high priority by the State of Ohio (i.e., polymers, STEM,) through intentionally designed major/degree informational forums throughout campus based on current job priorities and data (i.e., Jobs Ohio), focused recruitment material, and communication outreach efforts.
- Academic departments will partner with the offices of Communications and Admission to develop recruitment materials and practices for programs identified with as potential growth to expand enrollment.
- Strategically grow programs with high demand with enhanced recruitment activities, curriculum development and the hiring of new faculty.

## 3.4 Enhance collaboration with regional employers, alumni, and community members to strengthen curricula and increase internship and mentoring opportunities for students.

- Local alumni and community members will be recruited and trained to provide mentoring and major/career awareness and exploration to current and potential SSU college students.
- Alumni Office will expand the use of social media tools to establish and maintain contact with alumni to support the University's efforts to gather employment and post-graduation education information and seek out alumni support to provide mentoring for current students prior to their graduation. The communication will provide information to the alumni on job placement, Ohio workforce initiatives and continue to connect alumni with SSU Career Service activities.
- Enhance Career Services to improve services for alumni.
- Coordinate the efforts of the programmatic advisory committees with the University's comprehensive workforce development agenda.

[www.shawnee.edu](http://www.shawnee.edu)



Printed as True and Correct

CRH 6-30-14

Director of Institutional Planning

**RESOLUTION E06-14**

**RECOGNITION OF SERVICE BY DR. DAVE TODT, PROVOST  
AND VICE PRESIDENT FOR ACADEMIC AFFAIRS**

WHEREAS, Dr. Todt was appointed Provost and Vice President for Academic Affairs by the Shawnee State University Board of Trustees in July 2008 for a period of three years and in September 2009 his appointment was extended for another five years; and

WHEREAS, Dr. Todt has provided exemplary leadership in a number of administrative roles, has exhibited a caring commitment to student success, and has been instrumental in the success of the University's adoption and implementation of the Academic Quality Improvement Process (AQIP) as its accreditation vehicle; and

WHEREAS, Dr. Todt has diligently served the Board of Trustees through the Academic and Student Affairs Committee and has demonstrated a unique appreciation for, and understanding of, quality academic performance; and

WHEREAS, Dr. Todt is a tenured faculty member with rights to return to the faculty and has indicated a desire to exercise that right; and

THEREFORE BE IT RESOLVED that the Board of Trustees recognizes Dr. Todt's many accomplishments in his role as Provost/Vice President for Academic Affairs, thanks him for his years of service, and looks forward to continued accomplishments in the classroom.

THEREFORE BE IT FURTHER RESOLVED, the Board of Trustees directs the President to grant Dr. Todt to an Administrative Leave, pursuant to Policy 4.66 to be effective July 1, 2014 through June 30, 2015, and take appropriate steps to provide for his return to the faculty effective AY15-16.

(May 2, 2014)

True and Correct  
*CRH 6-30-14*  
\_\_\_\_\_  
Board of Trustees

**RESOLUTION E07-14**

**ADOPTION OF SUPPLEMENTAL QUALIFIED RETIREMENT PLAN (SQRP) AND  
SUPPLEMENTAL 415(M) RETIREMENT PLAN**

WHEREAS, the Internal Revenue Code of 1986, as amended (the "Code"), imposes certain limits on contributions that may be made to various qualified retirement plans, including the State Teachers Retirement System ("STRS"), the Ohio Public Employees Retirement System ("OPERS"), the Alternative Retirement Plan, and 403(b) plans (collectively the "Retirement Plans"); and

WHEREAS, the Code also permits Shawnee State University (the "University"), as a governmental employer, to adopt a Supplemental Qualified Retirement Plan (the "SQRP") that will permit the University's Board of Trustees (the "Board") or any person delegated by the Board to make discretionary retirement contributions on behalf of designated University employees; and

WHEREAS, the Code also permits the University, as a governmental employer, to adopt a Supplemental 415(m) Retirement Plan (the "415(m) Plan") that will provide for contributions that otherwise would have been made to the ARP or SQRP had the applicable limits under the Code not been in effect; and

WHEREAS, the Board believes it is in the best interest of the University to adopt an SQRP and a 415(m) Plan.

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

1. Adoption of the Shawnee State University Supplemental Qualified Retirement Plan in substantially the form attached hereto and as may be amended with the advice of counsel.
2. Adoption of the Shawnee State University Supplemental 415(m) Retirement Plan in substantially the form attached hereto and as may be amended with the advice of counsel.
3. That the appropriate University administrative officials to be authorized and empowered to make any changes to the SQRP and 415(m) Plan as may be required to ensure compliance with the provisions of the Code, the Ohio Revised Code, and any related rules and regulations now in effect or as hereafter amended.

Shawnee State University Board of Trustees  
*CRH* 6-30-14  
Date

THEREFORE BE IT FURTHER RESOLVED, that the Board of Trustees directs that the appropriate University administrative officials to take such action as may be necessary, appropriate, or advisable to implement this Resolution and administer the SQRP and 415(m) Plan without further ratification or action by this Board.

THEREFORE BE IT FURTHER RESOLVED, that the Board of Trustees authorizes the Chairperson of the Board of Trustees to execute the newly adopted plans by signing all necessary documents for implementation effective June 1, 2014.

(May 2, 2014)

Attest as True and Correct  
*ORA* 6-30-14  
\_\_\_\_\_  
Secretary, SU Board of Trustees      Date



**SHAWNEE STATE UNIVERSITY**

**SUPPLEMENTAL 415(m) RETIREMENT PLAN**

**PLAN DOCUMENT**

**Effective Date: June 1, 2014**

Accepted as True and Correct  
*RLH* 6-30-14  
Secretary, SSU Board of Trustees Date

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True and Correct  
*CRA* 6-30-14  
 Board of Trustees Day

**SHAWNEE STATE UNIVERSITY**  
**SUPPLEMENTAL 415(m) RETIREMENT PLAN**  
**INTRODUCTION**

**WHEREAS**, Shawnee State University (“the University”) is a governmental organization because it is a public education institution that is an instrumentality of the State of Ohio;

**WHEREAS**, Section 415(m) of the Internal Revenue Code of 1986, as amended, (“IRC”) authorizes a governmental organization to establish a qualified excess benefit plan;

**WHEREAS**, the purpose of the Shawnee State University Supplemental 415(m) Retirement Plan (the “415(m) Plan”) is to provide selected participants in the Shawnee State University Alternative Retirement Plan (“ARP”) and the Shawnee State University Supplemental Qualified Retirement Plan (the “SQRP”) (both hereinafter referred to as the “Retirement Program”) that portion of a Participant’s benefits that would otherwise be payable under the terms of the Retirement Program except for the limitations on benefits imposed by IRC Section 415;

**WHEREAS**, this 415(m) Plan is intended to comply with IRC Section 415(m);

**NOW, THEREFORE**, the University hereby establishes this 415(m) Plan as set forth in this document effective June 1, 2014.

**GENERAL PROVISIONS**

Except as noted herein, this 415(m) Plan shall operate in accordance with the Retirement Program and the policies and procedures adopted hereunder.

**ARTICLE I**  
**DEFINITIONS**

Where the following words and phrases appear in the 415(m) Plan, they shall have the meanings specified below unless a different meaning is clearly required by the context. Capitalized terms used but not defined in this 415(m) Plan shall have the meanings given to them in the Retirement Program.

**1.1 ARP.** The term “ARP” shall mean the Shawnee State University Alternative Retirement Plan, as amended from time to time.

**1.2 Beneficiary.** The term “Beneficiary” means any person designated by a Participant or otherwise entitled to receive benefits that may become payable hereunder after the death of such Participant.

Done as True and Correct  
*CRH* 6-30-14  
\_\_\_\_\_  
Shawnee State University Board of Trustees Date

**1.3 Benefit Commencement Date.** The term "Benefit Commencement Date" shall mean the date upon which benefits are first distributed under the Plan, which shall be as soon as administratively practical following the Participant's Severance from Service Date.

**1.4 Code.** The terms "Code", "Internal Revenue Code", and "IRC" shall mean the Internal Revenue Code of 1986, as amended from time to time, subsequent to the date that this Plan is executed.

**1.5 Compensation.** The term "Compensation" shall mean an individual's compensation as defined in Section 2.6 of the ARP when applicable, and Section 1.07 of the SQRP when applicable.

**1.6 Employer.** The term "Employer" shall mean Shawnee State University.

**1.7 Participant.** The term "Participant" shall have the meaning set forth in Section 2.2 of this 415(m) Plan.

**1.8 Plan.** The term "Plan" refers to the Shawnee State University Supplemental 415(m) Retirement Plan, which is referred to herein as the "Plan" or the "415(m) Plan." The terms "Plan" and "415(m) Plan" may be used interchangeably herein.

**1.9 Plan Administrator.** The term "Plan Administrator" shall mean Shawnee State University.

**1.10 Plan Year.** The term "Plan Year" shall have the meaning given to it in the applicable Retirement Program.

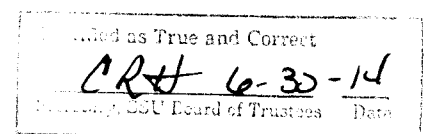
**1.11 Retirement Program.** The term "Retirement Program" shall mean, collectively, the ARP and the SQRP.

**1.12 Severance from Service Date.** The term "Severance from Service Date" shall mean the date on which the Participant quits, retires, is discharged, or dies.

**1.13 SQRP.** The term "SQRP" shall mean the Shawnee State University Supplemental Qualified Retirement Plan.

## ARTICLE II PARTICIPATION

**2.1 Eligible Class.** All employees of the Employer shall be eligible to participate in the 415(m) Plan if they are participants in the Retirement Program and the net amount determined in Sections 3.2, and 3.3 of the 415(m) Plan will exceed zero as of last day of the applicable Plan Year.



**2.2 Participation.** An employee shall be a "Participant" under the 415(m) Plan if (a) the employee is in the Eligible Class described in Section 2.1 above and (b) the employee is designated as a "Participant" by the Employer.

### ARTICLE III CONTRIBUTIONS

**3.1 Commencement of Contributions.** Notwithstanding anything herein to the contrary, contributions made to this 415(m) Plan shall only commence when the contributions to the Retirement Program under Sections 3.2 and 3.3 hereunder, in the aggregate, exceed the contribution limits described in IRC Section 415(c).

**3.2 Employer Contributions.** Employer contributions to the 415(m) Plan shall be determined by subtracting the amount determined under subparagraph (b) from the amount determined under subparagraph (a) herein:

- (a) The employer contribution under Section 4.2 of the ARP and Section 3.03 of the SQRP determined for the Plan Year (as defined in the Retirement Program), in each case disregarding any limitations on employer contributions that would be applicable under the Retirement Program to limit annual additions to the amount defined in IRC Section 415(c).
- (b) The employer contribution under Section 4.2 of the ARP and Section 3.03 of the SQRP actually made for the Plan Year (as defined under the Retirement Program).
- (c) Contributions shall commence under this 415(m) Plan with the first payroll that occurs on or after the date upon which the Participant's annual additions to the Retirement Program are limited by IRC Section 415(c).

**3.3 Employee Pick-Up Contributions.** Employee pick-up contributions to the 415(m) Plan shall be determined by subtracting the amount determined under subparagraph (b) from the amount determined under subparagraph (a) herein:

- (a) The employee pick-up contributions under Section 4.1 of the ARP and Section 3.02 of the SQRP determined for the Plan Year (as defined under the Retirement Program), in each case disregarding any limitations on employee pick-up contributions that would be applicable under the Retirement Program to limit annual additions to the amount defined in IRC Section 415(c).
- (b) The employee pick-up contribution under Section 4.1 of the ARP and Section 3.02 of the SQRP actually made for the Plan Year (as defined under the Retirement Program).
- (c) Contributions shall commence under this 415(m) Plan with the first payroll that occurs on or after the date upon which the Participant's annual additions to the Retirement Program are limited by IRC Section 415(c).

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*CRA 6-30-14*  
Trustee, BSC Bank of Trustees Date

**3.4 Cessation of Contributions.** No contributions to this 415(m) Plan shall be made by or for a Participant after the payment of benefits to those Participants has commenced under this 415(m) Plan.

**ARTICLE IV  
INVESTMENTS**

**4.1** Amounts credited under the Plan may be invested as a Participant elects among the investment options provided under the Retirement Program. Notwithstanding any other provision of this Plan that may be interpreted to the contrary, such investments are to be used for measurement purposes only, and the Participant's election of any investment option and the calculation of additional amounts and the crediting or debiting of such amounts on behalf of a Participant shall not be considered or construed in any manner as an actual investment in any such investment option. The Employer retains the sole discretion to decide (a) whether to invest the amounts deferred, and (b) if such amounts are invested, the actual investment funds. In the event that the Employer decides to invest funds in any or all of the investments elected by a Participant, the Participant shall have no rights in or to such investments themselves.

**4.2** The Employer, its employees, trustees, and officers shall have no responsibility or liability for any investments, investment directions, or investment results of the Participant or the Participant's agent or representative for such investments.

**ARTICLE V  
PAYMENT OF BENEFITS**

**5.1 Benefit Amounts.** The benefits payable to or on behalf of a Participant under this Plan shall be equal to the Participant's vested account balance (which shall be the sum of all vested employer and employee pick-up contributions made under this Plan for the Participant, reduced by plan expenses properly chargeable to the Participant) increased or decreased as appropriate by the Participant's investment factor.

A Participant's investment factor shall be equal to the return that would have been realized on the Participant's account balance had that balance been invested as described in Section 4.1 of this Plan.

**5.2 Commencement of Benefits.** Payment of benefits to a Participant will begin no earlier than the Participant's Benefit Commencement Date. Withdrawals from the 415(m) Plan prior to the Benefit Commencement Date are not permitted under any circumstances.

**5.3 Form of Benefit Payment.** Subject to the limitations of Section 5.4, a Participant may receive payment of benefits in a series of substantially equal annual installments over a period of three, four, or five years (as elected by the Participant).

**5.4 Election of Benefit Payment Form.** Each Participant shall, within thirty days after becoming eligible to participate in the Plan, make an affirmative written election on a form to be provided by the Plan Administrator as to the form of distribution applicable to benefits under the 415(m) Plan. The affirmative written election may be changed thereafter as to form of distribution, but such change must be made at least twelve months in advance of the Participant's Benefit Commencement Date. If a Participant changes his or her affirmative election less than twelve months prior to the Participant's Benefit Commencement Date, the revised election shall be disregarded. In the event that no valid election of benefit payment form is made prior to the date benefits are to be distributed hereunder, distributions from this Plan shall be payable in a series of substantially equal annual installments over a period of five years.

**5.5 Beneficiary Designation.** Upon commencing participation, each Participant shall designate a Beneficiary on forms furnished by the Plan Administrator or its delegate. Such forms shall be maintained in files held by the Plan Administrator or its delegate. From time to time, the Participant may change his Beneficiary by written notice on forms furnished by the Plan Administrator or its delegate given to the Plan Administrator or its delegate. Upon such change, the rights of all previously designated Beneficiaries to receive any benefits under this Plan shall cease.

Further, to the extent there is no beneficiary designation under the 415(m) Plan at the date of death of the Participant, or if the Beneficiary designated has died prior to the death of the Participant, or if the Participant has revoked a prior designation in writing filed with the Plan Administrator without having filed a new designation, then any death benefits which would have been payable to the Beneficiary hereunder shall be payable to the Participant's spouse, if living; if not living, equally to the Participant's children; or if none survive, then to the Participant's estate.

**5.6 Vesting Provisions.** For purposes of determining vested status in this Plan, years of participation as calculated under the Retirement Program shall constitute years of participation in the 415(m) Plan. Therefore, employer contributions and employee pickup contributions under the 415(m) Plan shall be vested to the same extent (as measured by the vesting percentage) as are the employer contributions and employee pick-up contributions in the Retirement Program.

**5.7 Non-Alienation Provisions.** A Participant's right to benefit payments under the Plan is not subject in any manner to anticipation, alienation, sale, transfer, assignment, pledge, encumbrance, attachment or garnishment by creditors of the Participant or the Participant's Beneficiary.

## ARTICLE VI

### LOANS

No loans shall be permitted under this 415(m) Plan.

Reviewed as True and Correct  
*CRH* 6-30-14  
Secretary, SSU Board of Trustees Date



**ARTICLE VII  
TRANSFERS OR ROLLOVERS**

No transfers or rollovers shall be permitted to this 415(m) Plan from another plan or from this 415(m) Plan to another plan.

**ARTICLE VIII  
UNFUNDED STATUS**

Participants and their Beneficiaries will have no right or property interest in any assets held to support the liabilities created hereunder. Participants have the status of general unsecured creditors of the Employer, and this Plan constitutes a mere promise by the Employer to make benefit payments in the future. If the Employer purchases annuity contracts or mutual funds to support the liabilities under this Plan, such annuity contracts and mutual funds will be registered in the name of the Employer and held as general assets of the Employer. Any and all payments made to or on behalf of a Participant pursuant to the 415(m) Plan shall be made from the general assets of the Employer.

**ARTICLE IX  
PLAN ADMINISTRATION**

**9.1 Powers and Duties.** The Plan Administrator shall administer the 415(m) Plan. It shall have the authority to interpret, construe, and implement the 415(m) Plan, to adopt and review rules and regulations relating to the 415(m) Plan, and to make all other determinations relating to the administration of the 415(m) Plan. Any decision or interpretation of any provision of the 415(m) Plan adopted by the Plan Administrator shall be final and conclusive. The Plan Administrator may delegate any of the responsibilities to an appropriate employee or department, provided that no delegate of the Plan Administrator may take action with respect to matters exclusively affecting his or her own benefits under this Plan.

**9.2 Consultants.** The Plan Administrator may employ such counsel, accountants, actuaries, and other agents as it shall deem advisable. The Employer shall pay the compensation of such counsel, accountants, actuaries, and other agents and any other expenses incurred by the Plan Administrator in the administration of the 415(m) Plan not already built into all products purchased to offset the liabilities created by this 415(m) Plan.

**ARTICLE X  
AMENDMENT AND TERMINATION**

**10.1 Amendment.** The University reserves the right to amend or to modify the 415(m) Plan at any time by formal action of its Board of Trustees or its delegate, including the right to amend or to modify the 415(m) Plan retroactively, as long as the amendment or modification does not reduce a Participant's benefits that accrued under this Plan prior to the earlier of the date on which such amendment is authorized or executed.

I certify as True and Correct	
<i>CRH</i>	6-30-14
Secretary, SSU Board of Trustees	Date

**10.2 Termination.** The University reserves the right to terminate the Plan at any time by formal action of its Board of Trustees, as long as the termination does not reduce a Participant's benefits that accrued under the Plan prior to the date of such termination.

**10.3 Distributions Upon Termination.** In the event of a complete or partial termination of the 415(m) Plan, the Participant or the Participant's Beneficiary shall be paid all of the benefits payable under this Plan in accordance with Article V.

## ARTICLE XI GENERAL PROVISIONS

**11.1 Governing Law.** Except to the extent superseded by federal law, the laws of the State of Ohio shall be controlling in all matters relating to this Plan, including the construction and performance hereof, notwithstanding principles of conflicts of laws.

**11.2 Captions.** The captions of Articles and Sections of this Plan are for convenience of reference only and shall not control or affect the meaning or construction of any of its provisions.

**11.3 Facility of Payment.** Any amounts payable hereunder to any person who is under legal disability or who, in the judgment of the Plan Administrator, is unable to manage his financial affairs properly may be paid to the legal representative of such person or may be applied for the benefit of such person in any manner that the Plan Administrator may select, and any such payment shall be deemed to be payment for such person's account.

**11.4 Withholding.** To the extent required by the laws in effect at the time payments are made hereunder, the University shall withhold from such payments, any taxes required to be withheld for federal, state, or local government purposes.

**11.5 Administrative Expenses.** Except as provided in the products used to underwrite liabilities hereunder, all other expenses relating to the Plan and its administration shall be borne by the Employer.

**11.6 Severability.** Any provision of this Plan prohibited by the law of any jurisdiction, shall, as to such jurisdiction, be ineffective to the extent of such prohibition without invalidating the remaining provisions hereof.

**11.7 Liability.** Except as otherwise expressly provided herein, no member of the Board of Trustees of the University, no delegate of the Plan Administrator, and no officer, employee, or agent of the Employer (specifically including, but not limited to an employee of the University acting at the direction of the Plan Administrator) shall have any liability to any person, firm, or corporation based on or arising out of the Plan except in the case of gross negligence or fraud.

**11.8 Release.** Any payment to any Participant shall, to the extent thereof, be in full satisfaction of the claim of such Participant being paid thereby, and the Employer may condition

I hereby certify that the foregoing is a true and correct copy of the Plan as amended.  
*CRH* 6-30-14  
\_\_\_\_\_  
Secretary, SBC Board of Trustees      Date

payment thereof on the delivery by the Participant of the duly executed receipt and release in such form as may be determined by the Employer.

**11.9 Binding Effect.** This Plan shall be binding upon and shall inure to the benefit of the University, its successors, and assigns and each Participant and his heirs, executors, administrators, and legal representatives.

**11.10 Construction.** Any words herein used in the masculine shall be read and construed in the feminine where they would so apply. Words in the singular shall be read and construed as though used in the plural in all cases where they would so apply.

**ARTICLE XII  
ADOPTION OF THE PLAN**

As evidence of its adoption of the Plan, the Board of Trustees of Shawnee State University has caused this instrument to be signed by its chairperson duly authorized this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

THE BOARD OF TRUSTEES OF  
SHAWNEE STATE UNIVERSITY

By: \_\_\_\_\_  
Melissa Higgs-Horwell  
Chairperson

Witnessed as True and Correct
<i>PKH</i> <i>6-30-14</i>
Secretary, SSU Board of Trustees      Date

# SHAWNEE STATE UNIVERSITY

## SUPPLEMENTAL QUALIFIED RETIREMENT PLAN

### PLAN DOCUMENT

Effective Date: June 1, 2014

I hereby certify that this is True and Correct

*CRH 6-30-14*

\_\_\_\_\_  
Shawnee State Board of Trustees

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I hereby certify that the foregoing is True and Correct

CRH 6-30-14

Secretary, SSF Board of Trustees

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<p>Accepted as True and Correct</p> <p><i>CRH</i> 6-30-14</p> <p>_____          Secretary, SSU Board of Trustees      Date</p>
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*CRA* 6-30-17

**SHAWNEE STATE UNIVERSITY**

**SUPPLEMENTAL QUALIFIED RETIREMENT PLAN**

Shawnee State University hereby adopts a tax-qualified discretionary plan, to be known as the Shawnee State University Supplemental Qualified Retirement Plan. The Plan shall be effective June 1, 2014.

The purpose of the Plan is to provide additional retirement benefits to employees not available under the STRS, PERS, or ARP.

Accepted and Approved  
*CRH* 6-30-14  
Shawnee State University Board of Trustees



**ARTICLE I**  
**DEFINITIONS**

The following words or phrases whenever used in this Plan shall have the following meanings unless the context clearly demands otherwise:

**1.01 Account.** Shall mean the sum of all the Participant's individual sub-accounts, including earnings and losses thereon.

**1.02 Annuity Contract(s).** Shall mean any type of annuity contract(s) issued by a Funding Company(ies) to effect the purposes of the Plan.

**1.03 Appropriate Request.** Shall mean a request by a Participant in the form and manner provided by the Plan Administrator that is appropriate for the intended purpose. If the Plan Administrator and the Plan's recordkeeper so agree, an Appropriate Request may be executed over the telephone or internet. To constitute an Appropriate Request, such request must be completed correctly and if required to be in writing, duly executed and delivered to the Plan Administrator or its designated representative.

**1.04 Beneficiary.** Shall mean the Beneficiary or Beneficiaries entitled to any benefits under a Participant's Account upon the death of a Participant.

**1.05 Board.** Shall mean the Board of Trustees of the Employer.

**1.06 Code.** Shall mean the Internal Revenue Code of 1986, as amended from time to time.

**1.07 Compensation.** Shall mean the compensation paid to an Employee by the Employer for a Plan Year, as reported on Internal Revenue Form W-2, Box 1 or such successor box which describes "wage, tips, other compensation", plus any amount which is contributed by the Employer pursuant to a salary reduction agreement and which is not includable in the gross income of the Employee under Sections 125, 132(f), 402(a)(8), 403(b), 414(h)(2), and 457(b) of the Code. Notwithstanding the above, the following shall be excluded from Compensation:

- (a) Reimbursements, expense allowances, and taxable fringe benefits;
- (b) Section 911 of the Code earned income;
- (c) Moving expenses;
- (d) Non-qualified stock options taxable at time of grant or exercise;
- (e) Vesting in Section 83 of the Code property;
- (f) Disqualifying dispositions of qualified stock options;

- (g) Imputed income, including taxable group term life insurance;
- (h) Receipt of deferred compensation; and
- (i) Bonuses paid under long-term compensation plans which are subject to vesting.

In determining the amount or allocation of any contribution that is based on Compensation, only Compensation paid to a Participant for services rendered to the Employer while employed as an Employee of the Employer shall be taken into account. Further, notwithstanding anything to the contrary herein, severance amounts paid after severance from employment shall be excluded from Compensation. For purposes of this Section 1.07, "severance amounts" are any amounts paid after severance from employment, except a payment of regular compensation for services during the Employee's regular working hours, or compensation for services outside the Employee's regular working hours (such as overtime or shift differential), commissions, bonuses, or other similar payments provided such payment would have been made prior to a severance from employment if the Employee had continued in employment with the Employer, provided such amounts are paid by the later of two and one-half (2½) months after, or the end of the year that includes the date of, the Employee's severance from employment with the Employer (as defined in applicable guidance).

For purposes of this Section 1.07, an Employee has a "severance from employment" when the Employee ceases to be an employee of the Employer maintaining the Plan, and an Employee does not have a "severance from employment" if, in connection with a change of employment, the individual's new employer maintains such Plan with respect to the individual. The determination of whether an Employee ceases to be an employee of the Employer maintaining the Plan is based on all of the relevant facts and circumstances.

For purposes of applying the limitation in Article V, Compensation under this Section 1.07 also shall include the following exceptions:

- (i) Compensation shall be based on the amount actually paid or made available to the Participant (or, if earlier, includible in the gross income of the Participant) during the Limitation Year, regardless of the date of participation; and
- (ii) Compensation shall not include amounts paid as compensation to a non-resident alien, as defined in Code Section 7701(b)(1)(B), who is not a Participant in the Plan to the extent the compensation is excludable from gross income and is not effectively connected with the conduct of a trade or business within the United States.

This Plan shall not consider a Participant's Compensation for any Plan Year in excess of the Section 401(a)(17) Limitation.

Notwithstanding any provision of this Plan to the contrary, an individual receiving a differential wage payment, as defined by Code Section 3401(h)(2), shall be treated as an Employee of the Employer making the payment (rather than an Employee who has incurred a

Severance from Employment), and the differential wage payment shall be treated as compensation for Plan purposes, including Code Section 415 and any other Code section that references the definition of compensation under Code Section 415.

If all Employees of the Employer performing service in the uniformed services described in Code Section 3401(h)(2)(A) are entitled to receive differential wage payments (as defined in Code Section 3401(h)(2)) on reasonably equivalent terms and, if eligible to participate in a retirement plan maintained by the Employer, to make contributions based on the payments on reasonably equivalent terms (taking into account Code Sections 410(b)(3), (4), and (5)), then the Plan shall not be treated as failing to meet the requirements of any provision described in Code Section 414(u)(1)(C) by reason of any contribution or benefit which is based on the differential wage payment.

**1.08 Custodial Account.** Shall mean the group or individual account or accounts established for each Participant by the Employer pursuant to a written contract between the Employer and a Funding Company, in a manner consistent with Section 401(f) of the Code.

**1.09 Date of Employment.** Shall mean the first date on which an Employee performs services as an Employee for the Employer.

**1.10 Disability.** Shall mean a physical or mental condition of a Participant which would qualify him for benefits under his Employer's long-term disability plan.

**1.11 Employee.** Shall mean any person who is receiving compensation for personal services rendered in the employment of the Employer.

**1.12 Employer.** Shall mean Shawnee State University.

**1.13 Employer Contributions.** Shall mean contributions made in accordance with Section 3.03.

**1.14 Entry Date.** Shall mean the first day of each month.

**1.15 Funding Company(ies).** Shall mean the entity designated by the Employer to provide funding options under the Plan.

**1.16 Hour of Service.** Shall mean each hour for which an Employee is paid or entitled to payment for the performance of duties for the Employer.

**1.17 Limitation Year.** Shall mean the Plan Year.

**1.18 Married Participant.** Shall mean a Participant who is lawfully married on the date Plan benefits are payable.

**1.19 Normal Retirement Date.** Shall mean the first day of the calendar month coincident with or next following the Participant's 65th birthday.

**1.20 One-Year Period of Severance.** Shall mean a 12 consecutive month period beginning on a Severance From Service Date and ending on the first anniversary of such date, provided the Employee does not perform services as an Employee for an Employer during such period.

**1.21 Participant.** Shall mean any Employee who becomes a Participant pursuant to Article II and continues to be entitled to any benefits under the Plan.

**1.22 Period of Service.** A Period of Service shall commence on an Employee's Date of Employment or Reemployment Commencement Date, whichever is applicable, and end on his Severance From Service Date. All Periods of Service shall be aggregated on a uniform and consistent basis.

Notwithstanding the preceding paragraph of this section, if an Employee severs from service by reason of a quit, discharge, or retirement during an absence from service of 12 months or less, and if such Employee then performs services as an Employee within 12 months of the date on which the Employee was first absent from service, then such Period of Severance shall be taken into account for purposes of vesting.

**1.23 Period of Severance.** The period of time commencing on an Employee's Severance From Service Date and ending on the date on which the Employee again performs an Hour of Service for an Employer.

**1.24 Pick-Up Contributions.** Shall mean contributions made in accordance with Section 3.02. These contributions are intended to be contributions described in Code Section 414(h)(2). Therefore, although designated as Employee contributions, such Employee contributions are being paid by the Employer in lieu of contributions by the Employee.

**1.25 Plan.** Refers to this Plan; and for purposes of the Code this Plan shall be considered and administered as a "profit-sharing plan" that is maintained as a discretionary plan.

**1.26 Plan Administrator.** Shall mean the Employer.

**1.27 Plan Year.** The first Plan Year shall be a short Plan Year commencing June 1, 2014 and ending on December 31, 2014. Thereafter, Plan Year shall mean the 12 month period commencing January 1 and ending on December 31.

**1.28 Reemployment Commencement Date.** Shall mean the first day following a One-Year Period of Severance in which an Employee performs services for an Employer.

**1.29 Severance From Service Date.** Shall mean the earlier of:

- (a) The date on which an Employee quits, retires, is discharged, or dies; or

- (b) (1) The first anniversary of the first day of a period in which an Employee remains absent from service (with or without pay) with the Employer for any reason other than quitting, retirement, discharge, or death, such as vacation, holiday, sickness, disability, leave of absence, or lay-off;
- (2) The second anniversary of the first day of a period in which an Employee remains absent from service (with or without pay) with an Employer by reason of pregnancy, the birth of the Employee's child, the placement of a child with the Employee in connection with the adoption of such child by such Employee, or the need to care for such Employee's child during the period immediately following such child's birth or placement.

For a Participant who is absent from service on account of pregnancy, the birth of the Employee's child, child placement, or child care, the period between the first anniversary of the first day of the absence and the second anniversary of the first day of the absence is neither a Period of Service nor a Period of Severance.

**1.30 Valuation Date.** Shall mean the last day of each Plan Year and any other day determined by the Plan Administrator.

**1.31 Year of Service for Vesting.** An Employee shall be credited with a "Year of Service for Vesting" upon the earlier of: (a) the first anniversary of the 12 consecutive month period beginning on the date the Employee first performs an Hour of Service after the Employee has attained the age of 18 (employment commencement date) and each anniversary thereof; or (b) the completion of the Employee's first full contract year, if less, after the Employee has attained the age of 18.

## ARTICLE II

### ELIGIBILITY AND ENROLLMENT

**2.01 Eligibility for Pick-Up Contributions.** Eligibility to have a Pick-Up Contribution, if any, is limited to those Employees selected by the Plan Administrator and listed by both name and position of employment with the Employer at Appendix A.

Notwithstanding the above paragraph, in order to have Pick-Up Contributions made on a Participant's behalf, the Participant must file an Appropriate Request with the Plan Administrator within 60 days after the time he is initially eligible for Pick-Up Contributions. The Appropriate Request must be in the form of a one-time irrevocable election. If the Participant fails to file an Appropriate Request in a timely manner, the Participant will be treated as having forever waived the right to have Pick-Up Contributions made on his behalf.

The Plan Administrator may, at its discretion, add employees to, or delete employees from, Appendix A. Eligibility for Pick-Up Contributions shall begin after all of the mandatory employee contributions to ARP, PERS, or STRS are made each year.

**2.02 Eligibility for Employer Contributions.** Eligibility for an allocation of the Employer Contribution, if any, is limited to those Employees selected by the Plan Administrator and listed by both name and position of employment with the Employer in Appendix A. Eligibility for an Employer Contribution may vary from year to year and the fact that an Employee receives such contribution one year does not mean that he is entitled to such contribution in any future year.

**ARTICLE III  
CONTRIBUTIONS AND ALLOCATIONS**

**3.01 Types of Contributions.** Contributions to the Plan shall consist solely of the following:

- (a) Pick-Up Contributions; and
- (b) Employer Contributions.

**3.02 Pick-Up Contributions.** Each Employee, within 60 days after becoming eligible to receive an allocation of Pick-Up Contributions, must file a one-time irrevocable election in the form of an Appropriate Request with the Plan Administrator which shall direct that the Employer withhold a specific percentage of Compensation from the Employee's paycheck. The Participant's elections of such percentage of Compensation shall be subject to the approval of the Employer.

Pick-Up Contributions shall be allocated to the Pick-Up Contribution sub-account of each Participant's Account in an amount equal to the amount withheld by the Employer from the Participant's Compensation for the purpose of contributing such amount to this Plan.

**3.03 Employer Contributions.** The Employer may make an Employer Contribution to the Plan at the Employer's discretion. The Employer has discretion as to the amount of the contribution.

The Employer Contribution, if any, shall be allocated to the Employer Contribution sub-account of each Participant's Account in an amount equal to the amount determined annually by the Plan Administrator and stated in Appendix A.

The Employer shall designate the Plan Year for which each Employer Contribution is made and shall make such Employer Contribution not later than the time prescribed by Section 404 of the Code or any successor statute or guidance.

**3.04 Prohibition Against Assets Returning to the Employer.** The assets of the Plan shall never inure to the benefit of an Employer. Notwithstanding the prior sentence, Plan assets may revert to the Employer in the following situations:

In the case of an Employer Contribution which in the sole opinion of the Plan Administrator is made by virtue of a mistake of fact, the contribution may be returned to the Employer within one (1) year after the payment of the contribution.

If an Employer Contribution is conditioned upon initial qualification of the Plan under Section 401(a) of the Code, or any successor provision thereto, and if the Plan does not so qualify, then any contributions made to the Plan may be returned to the Employer within one (1) year after the date of denial of qualification of the Plan but only if such application is filed by the end of the applicable remedial amendment period under Section 401(b) of the Code.

## ARTICLE IV PARTICIPANT ACCOUNTS

**4.01 Annuity Contracts and Custodial Accounts.** Plan assets shall be held in an Annuity Contract(s) or Custodial Account(s), or both. The administration of the Annuity Contracts and Custodial Accounts shall be subject to an agreement between the Employer and the Funding Company(ies) that satisfies the requirements of Section 401(f) of the Code. Annuity Contracts and Custodial Accounts shall conform to all provisions of the Plan.

**4.02 Separate Accounts.** The recordkeeper shall maintain a separate Account for each Participant, which Account shall reflect the Participant's interest in the Annuity Contract(s) or Custodial Account(s), as applicable. Within each Participant's Account, sub-accounts shall be established to reflect the contributions made by the Employer under Article III.

**4.03 Valuation of Separate Accounts.** As of each Valuation Date, the Funding Company(ies) shall adjust the Accounts to reflect contributions, earnings, gains, losses, and withdrawals.

**4.04 Assumption of Risk by Participant.** Each Participant (or his Beneficiary) assumes the risk in connection with any decrease in value of his Account, and such Account shall be the sole source of payments to be made to each Participant (or his Beneficiary) under the Plan.

**4.05 Election of Investment Fund.** Each Participant shall have the exclusive authority to direct the investment of his Account among the investment funds designated by the Employer. Such directions shall be made in accordance with procedures adopted by the Plan Administrator. If a Participant fails to designate an investment fund, all contributions allocable to his Account shall be placed in the investment fund selected by the Plan Administrator until Participant direction is received. A Participant shall be permitted to change his investment directions in accordance with procedures adopted by the Plan Administrator.

**ARTICLE V**  
**LIMITATIONS ON CONTRIBUTIONS**

**5.01 Annual Addition Limitation.**

- (a) Notwithstanding any provisions of the Plan, the Annual Additions which a Participant is entitled to under the Plan, shall not, in any Limitation Year, exceed the applicable limitations of Section 415 of the Code. Such Section is hereby incorporated by reference.
- (b) If the Annual Addition allocable under this Plan (but for this Section) would exceed the limitations of Section 415(f) of the Code, the Annual Additions under this Plan shall be reduced prior to the reduction of any Annual Additions under any other defined contribution plan; provided, however, that such a reduction shall be made in a manner that is compliant with the Employee Plan Compliance Resolution System, or any successor thereto.
- (c) If the Annual Addition allocable under this Plan (but for this Section) would exceed the limitations of Section 415(c) of the Code, the excess Annual Addition under this Plan shall be allocated pursuant to Treasury Regulation Section 1.415-6(b)(6)(iii).

Notwithstanding the foregoing, in correcting an amount that exceeds the limitations of Section 415(c) of the Code, the Employer may use a correction method as set forth under the Employee Plans Compliance Resolution System, or any successor thereto, but may not use any other correction method.

- (d) For purposes of this Section, Annual Addition shall mean:
  - (1) Employer contributions;
  - (2) Employee contributions;
  - (3) Forfeitures;
  - (4) Amounts allocated to individual medical accounts as described in Sections 415(l)(1) of the Code which is part of a defined benefit plan maintained by the Employer; and
  - (5) Amounts derived from contributions paid or accrued, which are attributable to post-retirement medical benefits allocated to the separate account of a key employee under Section 419A(d)(2) of the Code in a welfare benefit plan maintained by the Employer.

Restorative payments allocated to a Participant's Account, which include payments made to restore losses to the Plan resulting from actions (or a failure to act) by a fiduciary for which there is a reasonable risk of liability under applicable federal or state law, where similarly



situated participants are similarly treated do not give rise to an "Annual Addition" for any Limitation Year.

**ARTICLE VI**  
**VESTING**

**6.01 Pick-Up Contributions.** A Participant shall at all times have a one hundred percent (100%) non-forfeitable interest in the value of his Account attributable to Pick-Up Contributions.

**6.02 Employer Contributions.** A Participant shall have a one hundred percent (100%) non-forfeitable interest in the value of his Account attributable to Employer Contributions.

**6.03 Forfeitures.** If a Participant's employment is terminated and he receives a distribution of his vested Account, any nonvested portion of his Account shall be forfeited, and the amount forfeited shall be applied towards the Employer Contribution or to pay Plan expenses in the current Plan Year.

**ARTICLE VII**  
**DISTRIBUTIONS**

**7.01 Time of Distribution.** Distribution of a Participant's vested Account may begin as soon as administratively possible after the date the Participant terminates employment, retires on or after his Normal Retirement Date, dies, or becomes Disabled.

**7.02 Methods of Distribution.** A Participant or Beneficiary may elect that his benefit be paid in the form of a lump sum or an annuity, subject to the terms of the Annuity Contract(s) or Custodial Account(s) issued by the Funding Company which is selected by the Plan Administrator.

**7.03 Distributions After Death.** If the distribution of a Participant's interest has begun in the form of an annuity and the Participant dies before his entire interest has been distributed to him, the remaining portion of such interest shall be distributed as provided in the Annuity Contract or Custodial Account.

If a Participant dies before he has begun to receive any distributions from his Account, his death benefit shall be distributed to his Beneficiary in the form of a lump sum no later than December 31 of the calendar year following the calendar year in which the Participant died, or, if the Beneficiary so elects, in the form of an annuity available from the annuity provider selected by the Plan Administrator, with the first payment being made no later than December 31 of the calendar year following the calendar year in which the Participant died. If the Beneficiary fails to make any election, he will be treated as if he elected a lump sum distribution.

In the case of a death or disability occurring on or after January 1, 2007, if a Participant dies while performing qualified military service (as defined in Code Section 414(u)), the survivors of the Participant are entitled to any additional benefits (other than benefit accruals relating to the period of qualified military service) provided under the Plan as if the Participant had resumed and then terminated employment on account of death.

**7.04 Direct Rollovers of Eligible Distributions.**

- (a) Notwithstanding any provision of the Plan to the contrary that would otherwise limit a Distributee's election under this Section, a Distributee may elect, at the time and in the manner prescribed by the Plan Administrator, to have any portion of an Eligible Rollover Distribution paid directly to an Eligible Retirement Plan specified by the Distributee in a Direct Rollover.
- (b) For purposes of this Section, the following definitions apply:
  - (1) Eligible Rollover Distribution - An Eligible Rollover Distribution is any distribution of all or any portion of the balance to the credit of the Distributee, except that an Eligible Rollover Distribution does not include: any distribution that is one of a series of substantially equal periodic payment (not less frequently than annually) made for the life (or life expectancy) of the Distributee or the joint lives (or joint life expectancies) of the Distributee and the Distributee's Beneficiary, or for a specified period of 10 years or more; any distribution to the extent such distribution is required under Section 401(a)(9) of the Code; the portion of any distribution that is not includable in gross income (determined without regard to the exclusion for net unrealized appreciation with respect to Employer securities); and any hardship distribution described in Section 401(k)(2)(B)(i)(IV) of the Code made after December 31, 1998.
  - (2) Eligible Retirement Plan - An Eligible Retirement Plan is an individual retirement account described in Section 408(a) of the Code, an individual retirement annuity described in Section 408(b) of the Code, an annuity plan described in Section 403(a) of the Code, a qualified trust described in Section 401(a) of the Code, an annuity contract described in Section 403(b) of the Code, and an eligible plan under Section 457(b) of the Code which is maintained by a state, political subdivision of a state, or any agency or instrumentality of a state or political subdivision of a state and which agrees to separately account for amounts transferred into such plan from this Plan, that accepts the Distributee's Eligible Rollover Distribution. An Eligible Retirement Plan shall also apply in the case of a distribution to a surviving spouse, or to a spouse or former spouse who is an alternate payee under a Qualified Domestic Relations Order, as defined in Section 414(p) of the Code.

Notwithstanding any provision of this Plan to the contrary, a Participant or Beneficiary may elect to roll over directly an Eligible Rollover Distribution to

a Roth IRA described in Code Section 408A(b).

- (3) Distributee - A Distributee includes an Employee or former Employee. In addition, the Employee's or former Employee's surviving spouse and the Employee's or former Employee's spouse or former spouse who is the alternate payee under a Qualified Domestic Relations Order, as defined in Section 414(p) of the Code, are Distributees with regard to the interest of the spouse or former spouse.
- (4) Direct Rollover - A Direct Rollover is a payment by the Plan to the Eligible Retirement Plan specified by the Distributee.
- (5) Non-spouse Beneficiary Rollover - A non-spouse Beneficiary who is a "designated beneficiary" under Code Section 401(a)(9)(E) and the regulations thereunder, may, by a direct trustee-to-trustee transfer ("direct rollover"), roll over all or any portion of his or her distribution to an individual retirement account or annuity described in Code Section 408(a) or 408(b) ("IRA") that is established on behalf of the beneficiary and that will be treated as an inherited IRA pursuant to Code Section 402(c)(11).

In order to be able to roll over the distribution, the distribution must otherwise satisfy the definition of an Eligible Rollover Distribution. A non-spouse Beneficiary may not roll over an amount which is a required minimum distribution ineligible for rollover, as determined under applicable Treasury Regulations and other Internal Revenue Service guidance, including Q&A 17 and 18 of Notice 2007-7, 2007-5 Internal Revenue Bulletin 395. If a Participant dies before his or her required beginning date, then the non-spouse designated Beneficiary may deposit into such IRA all or any portion of the distribution that is deemed to be an Eligible Rollover Distribution. In determining the portion of such distribution that is considered to be a required minimum distribution that must be made from the IRA, the Beneficiary may elect to use either the 5-year rule or the life expectancy rule, pursuant to Treasury Regulation Section 1.401(a)(9)-3, Q&A-4(c).

Although a non-spouse Beneficiary may roll over directly a distribution as provided above, the distribution if made prior to January 1, 2010 is not subject to the direct rollover requirements of Code Section 401(a)(31), the notice requirements of Code Section 402(f), or the mandatory withholding requirements of Code Section 3405(c). If a non-spouse Beneficiary receives a distribution from the Plan, the distribution is not eligible for a "60-day" rollover.

If the Participant's named Beneficiary is a trust, the Plan may make a direct rollover to an individual retirement account on behalf of the trust, provided the trust satisfies the requirements to be a designated beneficiary within the meaning of Code Section 401(a)(9)(E).

**7.05 Acceptance of Transfers or Rollovers.** No transfers or rollovers (direct or otherwise) shall be permitted to this Plan from another plan or annuity.

**7.06 Alternate Payees Under Qualified Domestic Relations Orders.** Notwithstanding anything in the Plan to the contrary, if a domestic relations order directs the Plan to make a distribution prior to the Participant's earliest retirement age as defined in Section 414(p)(4) of the Code to an alternate payee and if the domestic relations order satisfies Section 414(p)(11) of the Code, the Plan shall comply with such Order. Notwithstanding the foregoing, a domestic relations order that otherwise satisfies the requirements of a Qualified Domestic Relations Order will not fail to be a Qualified Domestic Relations Order: (i) solely because the order is issued after, or revises, another domestic relations order or Qualified Domestic Relations Order; or (ii) solely because of the time at which the order is issued, including issuance after the annuity starting date or after the Participant's death. Such a domestic relations order is subject to the same requirements and protections that apply to Qualified Domestic Relations Orders.

## ARTICLE VIII MINIMUM DISTRIBUTION REQUIREMENTS

### 8.01 General Rules.

- (a) **Effective Date.** The provisions of this Article will apply for purposes of determining required minimum distributions.
- (b) **Precedence.** The requirement of this Article will take precedence over any inconsistent provisions of the Plan.
- (c) **Requirements of Treasury Regulations Incorporated.** All distributions required under this Article will be determined and made in accordance with the Treasury regulations under Section 401(a)(9) of the Code.

### 8.02 Time and Manner of Distribution.

- (a) **Required Beginning Date.** The Participant's entire interest will be distributed, or begin to be distributed, to the Participant no later than the Participant's required beginning date.
- (b) **Death of Participant Before Distributions Begin.** If the Participant dies before distributions begin, the Participant's entire interest will be distributed, or begin to be distributed, no later than as follows:
  - (1) If the Participant's surviving spouse is the Participant's sole Designated Beneficiary, then distributions to the surviving spouse will begin by December 31 of the calendar year immediately following the calendar year in which the Participant died, or by December 31 of the calendar year in which the

Participant would have attained age 70½, if later.

- (2) If the Participant's surviving spouse is not the Participant's sole Designated Beneficiary, then distribution to the Designated Beneficiary will begin by December 31 of the calendar year immediately following the calendar year in which the Participant died.
- (3) If there is no Designated Beneficiary as of September 30 of the year following the year of the Participant's death, the Participant's entire interest will be distributed by December 31 of the calendar year containing the fifth anniversary of the Participant's death.
- (4) If the Participant's surviving spouse is the Participant's sole Designated Beneficiary and the surviving spouse dies after the Participant but before distributions to the surviving spouse begin, this Section 8.02(b), other than Section 8.02(b)(1), will apply as if the surviving spouse were the Participant.

For purposes of this Section 8.02(b) and Section 8.04, unless Section 8.02(b)(4) applies, distributions are considered to begin on the Participant's required beginning date. If Section 8.02(b)(4) applies, distributions are considered to begin on the date distributions are required to begin to the surviving spouse under Section 8.02(b)(1). If distributions under an annuity purchased from an insurance company irrevocably commence to the Participant before the Participant's required beginning date (or to the Participant's surviving spouse before the date distributions are required to begin to the surviving spouse under Section 8.02(b)(1)), the date distributions are considered to begin is the date distributions actually commence.

- (c) **Forms of Distribution.** Unless the Participant's interest is distributed in the form of an annuity purchased from an insurance company or in a single sum on or before the required beginning date, as of the first distribution calendar year distributions will be made in accordance with Sections 8.03 and 8.04 of this Article. If the Participant's interest is distributed in the form of an annuity purchased from an insurance company, distributions thereunder will be made in accordance with the requirements of Section 401(a)(9) of the Code and the Treasury regulations.

### **8.03 Required Minimum Distributions During Participant's Lifetime.**

- (a) **Amount of Required Minimum Distribution For Each Distribution Calendar Year.** During the Participant's lifetime, the minimum amount that will be distributed for each distribution calendar year is the lesser of:
  - (1) The quotient obtained by dividing the Participant's Account Balance by the distribution period in the Uniform Lifetime Table set forth in Section 1.401(a)(9)-9 of the Treasury regulations, using the Participant's age as of the Participant's birthday in the distribution calendar year; or

- (2) If the Participant's sole Designated Beneficiary for the distribution calendar year is the Participant's spouse, the quotient obtained by dividing the Participant's Account Balance by the number in the Joint and Last Survivor Table set forth in Section 1.401(a)(9)-9 of the Treasury regulations, using the Participant's and spouse's attained ages as of the Participant's and spouse's birthdays in the distribution calendar year.
- (3) Lifetime Required Minimum Distributions Continue Through Year of Participant's Death. Required minimum distributions will be determined under this Section 8.03 beginning with the first distribution calendar year and up to and including the distribution calendar year that includes the Participant's date of death.

#### **8.04 Required Minimum Distributions After Participant's Death.**

(a) Death On or After Date Distributions Begin.

- (1) Participant Survived by Designated Beneficiary. If the Participant dies on or after the date distributions begin and there is a Designated Beneficiary, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account Balance by the longer of the remaining life expectancy of the Participant or the remaining life expectancy of the Participant's Designated Beneficiary, determined as follows:
  - (i) The Participant's remaining life expectancy is calculated using the age of the Participant in the year of death, reduced by one for each subsequent year.
  - (ii) If the Participant's surviving spouse is the Participant's sole Designated Beneficiary, the remaining life expectancy of the surviving spouse is calculated for each distribution calendar year after the year of the Participant's death using the surviving spouse's age as of the spouse's birthday in that year. For distribution calendar years after the year of the surviving spouse's death, the remaining life expectancy of the surviving spouse is calculated using the age of the surviving spouse as of the spouse's birthday in the calendar year of the spouse's death, reduced by one for each subsequent calendar year.
  - (iii) If the Participant's surviving spouse is not the Participant's sole Designated Beneficiary, the Designated Beneficiary's remaining life expectancy is calculated using the age of the Beneficiary in the year following the year of the Participant's death, reduced by one for each subsequent year.
- (2) No Designated Beneficiary. If the Participant dies on or after the date

distributions begin and there is no Designated Beneficiary as of September 30 of the year after the year of the Participant's death, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account Balance by the Participant's remaining life expectancy calculated using the age of the Participant in the year of death, reduced by one for each subsequent year.

(b) Death Before Date Distributions Begin.

- (1) Participant Survived by Designated Beneficiary. If the Participant dies before the date distributions begin and there is a Designated Beneficiary, the minimum amount that will be distributed for each distribution calendar year after the year of the Participant's death is the quotient obtained by dividing the Participant's Account Balance by the remaining life expectancy of the Participant's Designated Beneficiary, determined as provided in Section 8.04(a).
- (2) No Designated Beneficiary. If the Participant dies before the date distributions begin and there is no Designated Beneficiary as of September 30 of the year following the year of the Participant's death, distribution of the Participant's entire interest will be completed by December 31 of the calendar year containing the fifth anniversary of the Participant's death.
- (3) Death of Surviving Spouse Before Distributions to Surviving Spouse Are Required to Begin. If the Participant dies before the date distributions begin, the Participant's surviving spouse is the Participant's sole Designated Beneficiary, and the surviving spouse dies before distributions are required to begin to the surviving spouse under Section 8.02(b)(1), this Section 8.04(b) will apply as if the surviving spouse were the Participant.

**8.05 Definitions.**

- (a) Designated Beneficiary. The individual who is designated as the Beneficiary under Section 1.04 of the Plan and is the Designated Beneficiary under Section 401(a)(9) of the Code and Section 1.401(a)(9)-1, Q&A-4, of the Treasury regulations.
- (b) Distribution calendar year. A calendar year for which a minimum distribution is required. For distributions beginning before the Participant's death, the first distribution calendar year is the calendar year immediately preceding the calendar year which contains the Participant's required beginning date. For distributions beginning after the Participant's death, the first distribution calendar year is the calendar year in which distributions are required to begin under Section 8.02(b). The required minimum distribution for the Participant's first distribution calendar year will be made on or before the Participant's required beginning date. The required minimum distribution for other distribution calendar years, including the

required minimum distribution for the distribution calendar year in which the Participant's required beginning date occurs, will be made on or before December 31 of that distribution calendar year.

- (c) Life expectancy. Life expectancy as computed by use of the Single Life Table in Section 1.401(a)(9)-9 of the Treasury regulations.
- (d) Participant's Account Balance. The Account Balance as of the last Valuation Date in the calendar year immediately preceding the distribution calendar year (valuation calendar year) increased by the amount of any contributions made and allocated or forfeitures allocated to the Account Balance as of dates in the valuation calendar year after the Valuation Date and decreased by distributions made in the valuation calendar year after the Valuation Date.
- (e) Required beginning date. The required beginning date is April 1 of the calendar year following the calendar year in which the Participant attains age 70½ or retires, whichever is later.

## ARTICLE IX BENEFICIARIES

**9.01 Designation of Beneficiary.** Each Participant may designate a Beneficiary to receive benefits under the Plan upon the Participant's death by filing with the Employer written notice identifying the Beneficiary. The spouse of a Married Participant shall automatically be his Beneficiary unless the Participant designates another Beneficiary pursuant to Section 9.02. The estate of a single Participant shall automatically be his Beneficiary unless the single Participant has designated a Beneficiary. A Participant may revoke or change such Beneficiary designation by written notice filed with the Employer without the consent of the Beneficiary. However, a Married Participant shall only change his Beneficiary designation in accordance with Section 9.02

If there is any doubt as to the right of any Beneficiary to receive any amount, the Employer may retain such amount until the rights to the amount are determined, or it may pay such amount into any court of appropriate jurisdiction, in either of which events neither the Employer nor the Funding Company(ies) shall be liable for any interest on such amount, or shall be under any liability to any person in respect of such amount. In the event that such amount is retained by the Employer, the entire amount shall be invested in an investment selected by the Plan Administrator.

**9.02 Change in Designation: Married Participant.** In the case of a Married Participant, any designation of a Beneficiary or any revocation or change in Beneficiary which has the effect of designating a person as Beneficiary who is not such Married Participant's spouse will not be valid unless the spouse consents in writing to such designation, revocation, or change.

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The terms of such consent must acknowledge the effect of the consent and the consent must be witnessed by a notary public or plan representative. The designation of a non-spouse Beneficiary must specify whether the spouse consents to a designation of a Beneficiary that can be changed without further consent on the part of the spouse or the spouse is only consenting to a designation of a specific Beneficiary that cannot be changed without the spouse's consent. A consent that permits designations by the Participant without any requirements of further consent by the spouse must acknowledge that the spouse has the right to limit consent to a specific Beneficiary and the spouse voluntarily relinquishes said right. The provisions of this Section shall not be applicable if the Employer is satisfied that the required consent cannot be obtained because the Participant does not have a spouse, because the spouse cannot be located, or because of such other circumstances as the Secretary of the Treasury may prescribe by regulations.

Any consent by a spouse, or the establishment that the consent of a spouse cannot be obtained, shall only be effective with respect to such spouse.

## ARTICLE X AMENDMENT AND TERMINATION

**10.01 Amendment of Plan.** The Plan may be amended in accordance with the following rules.

- (a) The Board shall have the right to amend this Plan in any and all respects at any time and from time to time; provided, however, that no such amendment shall:
  - (1) Increase the duties or liabilities of the Funding Company(ies) without their written consent;
  - (2) Deprive any Participant of any of the accrued vested benefits to which he is entitled under this Plan; or
  - (3) Provide for the use of funds or assets held by the Plan other than for the benefit of Participants and their Beneficiaries and no funds held by the Plan shall ever revert to or be used or enjoyed by the Employer prior to the satisfaction of all liabilities hereunder to its Participants and their beneficiaries.
  
- (b) An appropriate officer of the Employer shall have the right to amend this Plan in any and all respects at any time and from time to time; provided, however, that no such amendment shall:
  - (1) Increase the duties or liabilities of the Funding Company(ies) without their written consent;
  - (2) Deprive any Participant of any of the accrued vested benefits to which he is entitled under this Plan;

- (3) Provide for the use of funds or assets held by the Plan other than for the benefit of Participants and their Beneficiaries and no funds held by the Plan shall ever revert to or be used or enjoyed by the Employer prior to the satisfaction of all liabilities hereunder to its Participants and their beneficiaries; or
- (4) Change by a material amount either the amount of accrued vested benefits to which Participants are entitled under the Plan or the cost of administration of the Plan.

**10.02 Termination of Plan.** The Employer reserves the right to terminate the Plan at any time. In the event of termination of the Plan or a partial termination of the Plan or a complete discontinuance of contributions, the Accounts of affected Participants shall become 100% vested and shall not thereafter be subject to forfeiture.

## ARTICLE XI ADMINISTRATION OF THE PLAN

**11.01 Authority.** The Employer shall be the Plan Administrator. Specific duties shall be delegated to fiduciaries including the Plan Administrator. The Employer shall maintain, or cause to be maintained, records on the employment and compensation history of each Participant in sufficient detail to permit an accurate determination of any benefits to which the Participant may be entitled under the Plan. The Plan Administrator and any delegates shall direct their duties with respect to the Plan (a) solely in the interest of the Plan's Participants and Beneficiaries and (b) for the exclusive purpose of providing benefits to the Plan's Participants and Beneficiaries and defraying reasonable expenses of administering the Plan.

**11.02 Payment of Plan Expenses.** The Employer may determine that certain expenses will be borne by Participants.

**11.03 Plan Administrator's Right to Administer and Interpret the Plan.** The Plan Administrator shall have the absolute power, authority, and discretion to administer and interpret the Plan and to adopt such rules and regulations as in the opinion of the Plan Administrator are necessary or advisable to implement, administer, and interpret the Plan, or to transact its business. Such rules and regulations as are adopted by the Plan Administrator shall be binding upon any persons having an interest in or under the Plan.

**11.04 Claims Procedure.** A claim for benefits under the Plan must be made to the Plan Administrator in writing. The Plan Administrator shall provide adequate notice in writing to any Participant or Beneficiary whose claim for benefits under the Plan has been denied, setting forth the specific reasons for such denial, written in a manner calculated to be understood by the Participant or Beneficiary. If a claim is denied, in whole or in part, the Plan Administrator shall send the claimant a notice of denial explaining the reasons for denial of the claim. A claimant whose claim has been denied, or his authorized representative, may request a review of the

denial, but such a request must be in writing, and must be submitted to the Plan Administrator within 60 days after the claimant's receipt of the notice of denial. The review of a claim which has been denied shall be made by the Plan Administrator within 90 days of the receipt of the request for review, unless the Plan Administrator determines that special circumstances require additional time, in which case a decision shall be rendered not later than 120 days after receipt of the request for review. The decision on the review shall be in writing and shall include specific reasons for the decision, written in a manner calculated to be understood by the claimant, and specific reference to the pertinent Plan provisions on which the decision is based. The Plan Administrator shall have the absolute authority, power, and discretion to adjudicate claims.

## ARTICLE XII

### MISCELLANEOUS PROVISIONS

**12.01 Employees' Plan.** This Plan is created for the exclusive benefit of the Employees of the Employer and shall be interpreted in a manner consistent with its being an Employees' plan as defined in Section 401(a) of the Code. Subject to Section 3.04, no funds contributed to this Plan nor any assets of this Plan shall ever revert to or be used or enjoyed by the Employer, nor shall any such funds or assets ever be used other than for the exclusive benefit of Employees of the Employer and their Beneficiaries and defraying reasonable Plan expenses.

**12.02 Additional Limitations on Liability.** Neither the Employer, its Employees, trustees, and officers, nor the Plan Administrator in any way guarantees this Plan against loss or depreciation, nor do they guarantee the payment of any benefit which may become due hereunder to any present or former Participant.

**12.03 General Undertaking of All Parties.** All parties to this Plan and all persons claiming any interest whatsoever hereunder agree to perform any and all acts and execute any and all documents and papers which may be necessary or desirable for the carrying out of this Plan or any of its provisions.

**12.04 Agreement to Bind Heirs, Etc.** This agreement shall be binding upon the heirs, executors, administrators, successors, and assigns, as such terms shall apply, of any and all parties hereto present and future.

**12.05 Invalidity of Certain Provisions.** If any provision of this Plan shall be held invalid or unenforceable, such invalidity or unenforceability shall not affect any other provision hereof and this Plan shall be construed and enforced as if such provision had not been included.

**12.06 Right to Employment.** Nothing contained in the Plan or any modification hereof, or the creation of any fund or account for the payment of any benefit, shall be construed to give any Employee, Participant, or Beneficiary any right to employment or continued employment with the Employer which he would not have had, had the Plan not been created.

**12.07 Incapacity.** In the event that any Participant is unable to care for his affairs because of illness or accident, any payment due may be paid to the Participant's spouse, parent,

brother, sister, or other person deemed by the Plan Administrator to have incurred expenses for the care of such Participant, unless a duly qualified guardian or other legal representative has been appointed.

**12.08 Governing Law.** The Plan shall be construed, administered and enforced in accordance with the laws of the State of Ohio other than such laws as are specifically preempted by federal law.

**12.09 Tax Qualification.** This Plan has been adopted, based upon the condition precedent that it be approved and qualified by the Internal Revenue Service as meeting the requirements of the Code and regulations issued thereunder with respect to qualified retirement plans. Notwithstanding any other provision in this Plan, if the Commissioner of the Internal Revenue Service or his delegate determines that the Plan, or the Plan as it may be amended by the Employer in an effort to receive such approval, does not qualify under the applicable provisions of the Code, the Employer will make such changes required to so qualify the Plan.

**12.10 Number of Counterparts.** This Plan may be executed in any number of counterparts, each of which when duly executed by the Employer shall be deemed to be an original, but all of which shall together constitute but one instrument, which may be evidenced by any counterpart.

**12.11 Masculine, Feminine, Singular and Plural.** The masculine shall include the feminine and the singular shall include the plural and the plural the singular wherever the person or entity or context shall plainly so require.

**12.12 Withholding Taxes.** The Plan Administrator may make any appropriate arrangements to deduct from all amounts paid under the Plan any taxes required to be withheld by any government or government agency. Each Participant and/or Beneficiary shall bear all taxes on amounts paid under the Plan to the extent that no taxes are withheld, irrespective of whether withholding is required.

**12.13 Prevention of Escheat.** If the Funding Company(ies) is unable to make payment to any Participant or other person to whom a payment is due under the Plan because it cannot ascertain the identity or whereabouts of such Participant or other person after reasonable efforts have been made to identify or locate such person (including a notice of the payment so due mailed to the last known address of such Participant or other person as shown on the records of the Employer), such payment and all subsequent payments otherwise due to such Participant or other person shall be treated as forfeited three (3) years after the date such payment first became due; provided, however, that such payment and any subsequent payments shall be reinstated retroactively no later than 60 days after the date on which the Participant or person is identified or located.

**12.14 Uniformed Service Employment and Reemployment Rights Act of 1994.** Notwithstanding any provision of this Plan to the contrary, service credits and contributions with respect to qualified military service will be provided in accordance with Section 414(u) of the Code.

**ARTICLE XIII**  
**ADOPTION OF THE PLAN**

As evidence of its adoption of the Plan, the Board of Trustees of Shawnee State University has caused this instrument to be signed by its chairperson duly authorized this \_\_\_\_ day of \_\_\_\_\_, 2014.

THE BOARD OF TRUSTEES OF  
SHAWNEE STATE UNIVERSITY

By: \_\_\_\_\_  
Melissa Higgs-Horwell  
Chairperson

\_\_\_\_\_  
*MH* 6-30-14  
\_\_\_\_\_  
Date

## APPENDIX A

**Pick-Up Contributions:** The following Participants shall have employee contributions subject to pick-up under Section 414(h)(2) of the Code.

<u>Position of Employment</u>	<u>Name of Participant</u>	<u>Plan Year Ending</u>	<u>Amount of Contribution*</u>
N/A	N/A	N/A	N/A
N/A	N/A	N/A	N/A
N/A	N/A	N/A	N/A

**Employer Contributions:** The Participants listed below shall receive an allocation of the Employer Contribution to be made to the Plan for the Plan Years ending on the following dates and in the following amounts:

<u>Position of Employment</u>	<u>Name of Participant</u>	<u>Plan Year Ending</u>	<u>Amount of Contribution*</u>
President	Dr. Rita Rice Morris	December 31, 2014	\$781,021.34
		December 31, 2015	\$200,000

Notwithstanding the foregoing, if Dr. Morris's employment as President of the Employer terminates before any of the above-listed contributions have been made to the Plan, no amount shall be contributed after the date of such termination.

\*In no event will the contributions made herein be in excess of the applicable Code Section 415(c) limit.

It is the Employer's intent that this Plan continue on a permanent basis, and the Employer shall update this Appendix from time to time to reflect the terms of the Employer's contribution obligations.

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*CRH* 6-30-14

**RESOLUTION E08-14**

**APPROVAL OF SUPPLEMENTAL DEFERRED COMPENSATION AGREEMENT  
AND MODIFICATION OF THE PRESIDENT'S EMPLOYMENT CONTRACT**

WHEREAS, the Board of Trustees of Shawnee State University approved Resolution E07-14 adopting a Supplemental Qualified Retirement Plan (SQRP) and Supplemental 415(m) Retirement Plan effective June 1, 2014; and

WHEREAS, the University and Dr. Morris previously entered into the current deferred compensation agreement effective July 1, 2011 (the "Deferred Compensation Agreement"), which provides for a deferred compensation arrangement under Sections 457(f) and 409A of the Internal Revenue Code and Statutes; and

WHEREAS, the Deferred Compensation Agreement is also incorporated in the University's current employment contract with Dr. Morris (Presidential Employment Contract (2011-2015)); and

WHEREAS, the Board and Dr. Morris desire to terminate the Deferred Compensation Agreement in order to assist the financial well-being of the University and replace it with a supplemental deferred compensation agreement that provides for contributions under Section 415(m) of the Internal Revenue Code; and

WHEREAS, the Board intends for the same and full value of the current deferred compensation arrangement provided by Dr. Morris' employment contract to be credited to the supplemental deferred compensation plan; and

WHEREAS, the Board and Dr. Morris desire to modify the University's employment contract to reflect these changes;

THEREFORE BE IT RESOLVED, the Board of Trustees approves the termination of the July 1, 2011 Deferred Compensation Agreement to be replaced with a supplemental deferred compensation agreement, effective June 1, 2014 and for the University's employment agreement with Dr. Morris to be modified as necessary to reflect these actions.

THEREFORE BE IT FURTHER RESOLVED, the Board of Trustees authorizes the Chair, in consultation with university counsel, to execute such agreements consistent with Board of Trustees approved actions.

(May 2, 2014)

*CRH 6-30-14*

# Focused Strategic Planning

## Next Steps in the Shawnee State University Completion Agenda

Brenda Haas

Chris Kacir

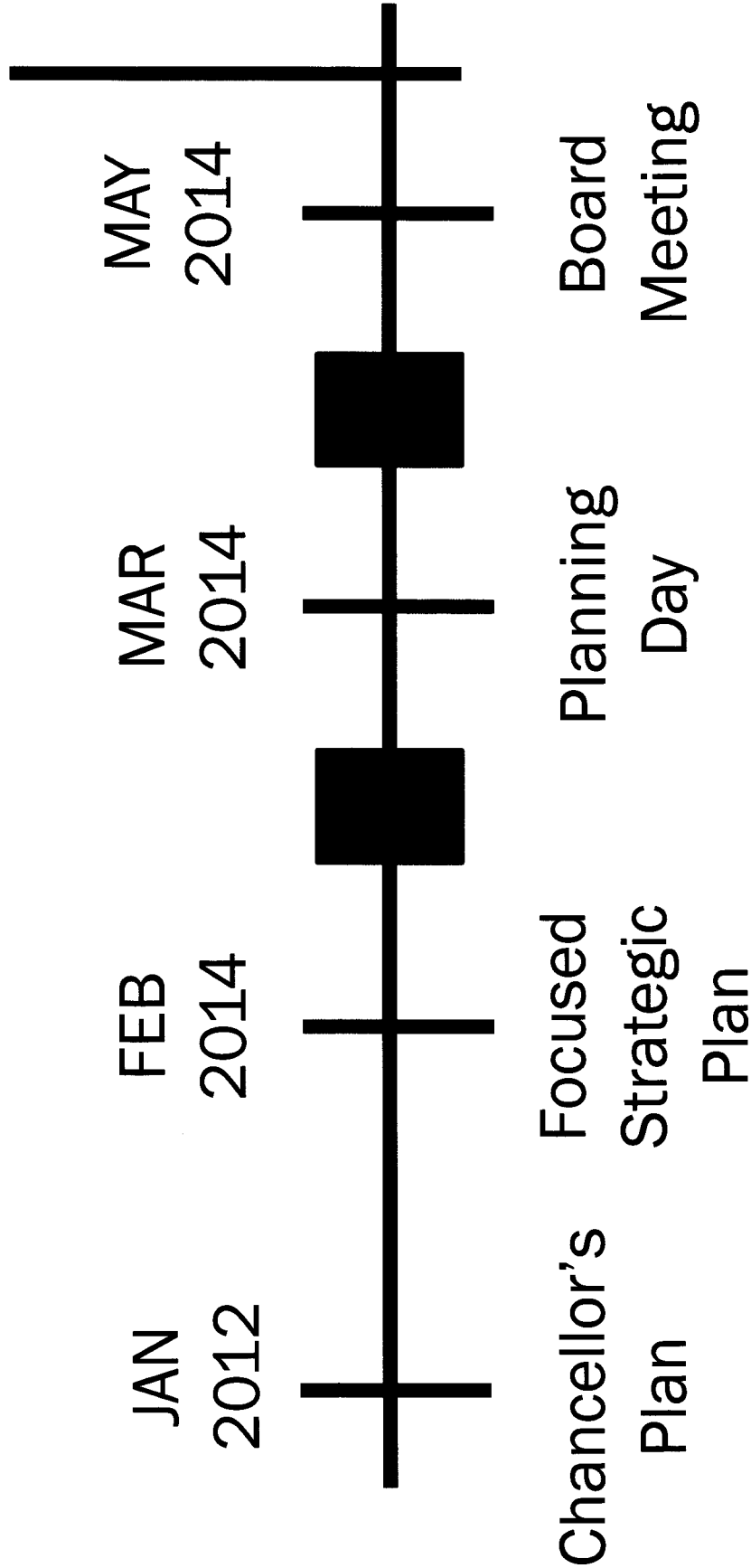
Chris Shaffer

Certified as True and Correct  
CRH 6-30-14  
Secretary, SSU Board of Trustees Date

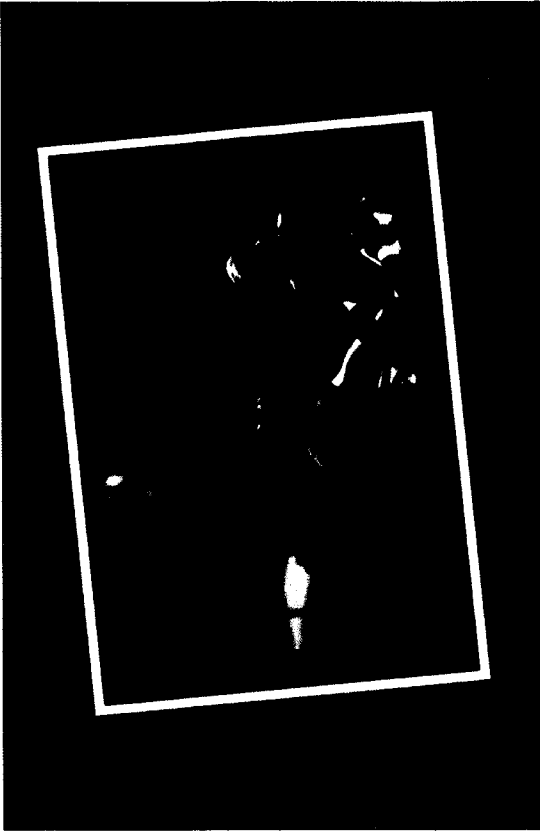


# Recap

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As True and Correct  
*CRA* 6-30-14  
Secretary, SSU Board of Trustees Date



### Goal 1

Beginning with first-time in college students entering in the fall of 2013, Shawnee State University will improve the rate of successfully completed courses, as compared to the AY11-12 (both semesters) course completion rate, by 1-3%\* for each class entering for the next ten years.

### Goal 2

Beginning with first-time in college students entering in the fall of 2013, Shawnee State University will increase the number of students earning associate and/or baccalaureate degrees, as defined by IPEDS\*\*, by 1-3%\* for each class entering in the successive 10-year period.

### Goal 3

Shawnee State University will further its service to the Appalachian region by strengthening relationships with key regional employers and school districts.

The Chancellor's Plan for



to Improve Course Completion, Retention, and Graduate Rates

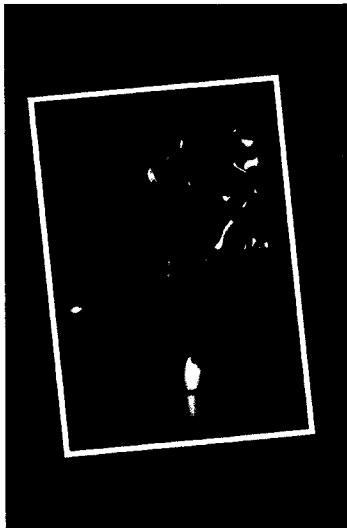
Ohio  
University System of Ohio  
Board of Regents

OhioHigherEd.org

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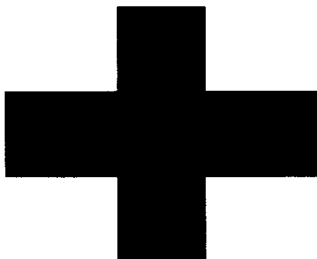
The Chancellor's Plan for



to Improve Course Completion, Retention, and Graduate Rates



OhioHigherEd.org



March 26, 2014

# Planning to Graduate More SSU Students

## March 26, 2014 - Completion Plan Draft Available for Review

Thank you to all who submitted comments to the review and participated in the March 11, 2014 strategic planning session. Based on your feedback, the Chancellor's Plan for Improving Course Completion, Retention, and Graduate Rates has been updated. The Chancellor's Plan for Improving Course Completion, Retention, and Graduate Rates is available for review.

View the Draft of the Completion Plan

Learn more about the Completion Plan

### Planning Process

- 1. Review the draft plan
- 2. Review the draft plan
- 3. Review the draft plan
- 4. Review the draft plan

### Planning Goals

- 1. Increase course completion rates
- 2. Increase retention rates
- 3. Increase graduate rates

### Planning Objectives

- 1. Increase course completion rates
- 2. Increase retention rates
- 3. Increase graduate rates

### Planning Strategies

- 1. Increase course completion rates
- 2. Increase retention rates
- 3. Increase graduate rates

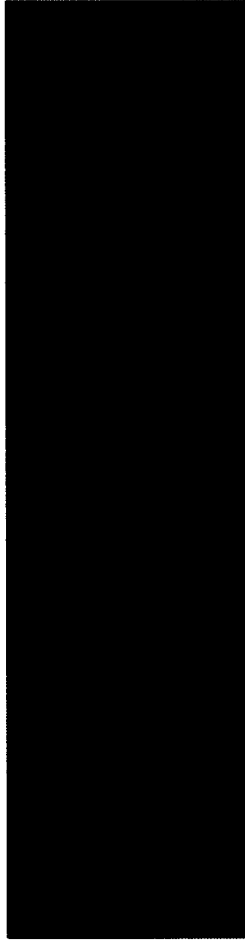
### Planning Outcomes

- 1. Increase course completion rates
- 2. Increase retention rates
- 3. Increase graduate rates



The completion plan is a strategic document that outlines the university's goals and objectives for improving course completion, retention, and graduate rates. It is a key component of the university's strategic plan and will guide the university's efforts to improve student success over the next five years.

True and  
CRH 6-30-14

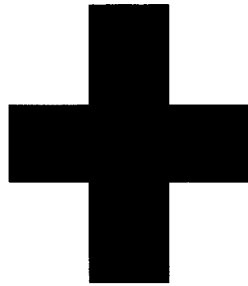
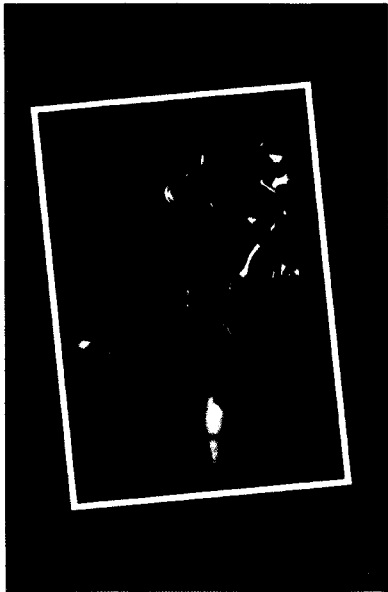


In compliance with House Bill 59, Shawnee State University submits to the Ohio Board of Regents the following plan for college completion. This plan is consistent with Shawnee State University's mission and strategic priorities and updates the Chancellor's Plan for Shawnee State University to improve course completion, retention, and graduation rates in 2011.



Approved: \_\_\_\_\_  
Date: 6-30-14  
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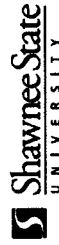


The Chancellor's Plan for



to Improve Course Completion, Retention, and Graduate Rates

In compliance with House Bill 59, Shawnee State University submits to the Ohio Board of Regents the following plan for college completion. This plan is consistent with Shawnee State University's mission and strategic priorities and updates the Chancellor's Plan for Shawnee State University to improve course completion, retention, and graduation rates in 2011.



# 64 Tasks

CRH 6-30-14

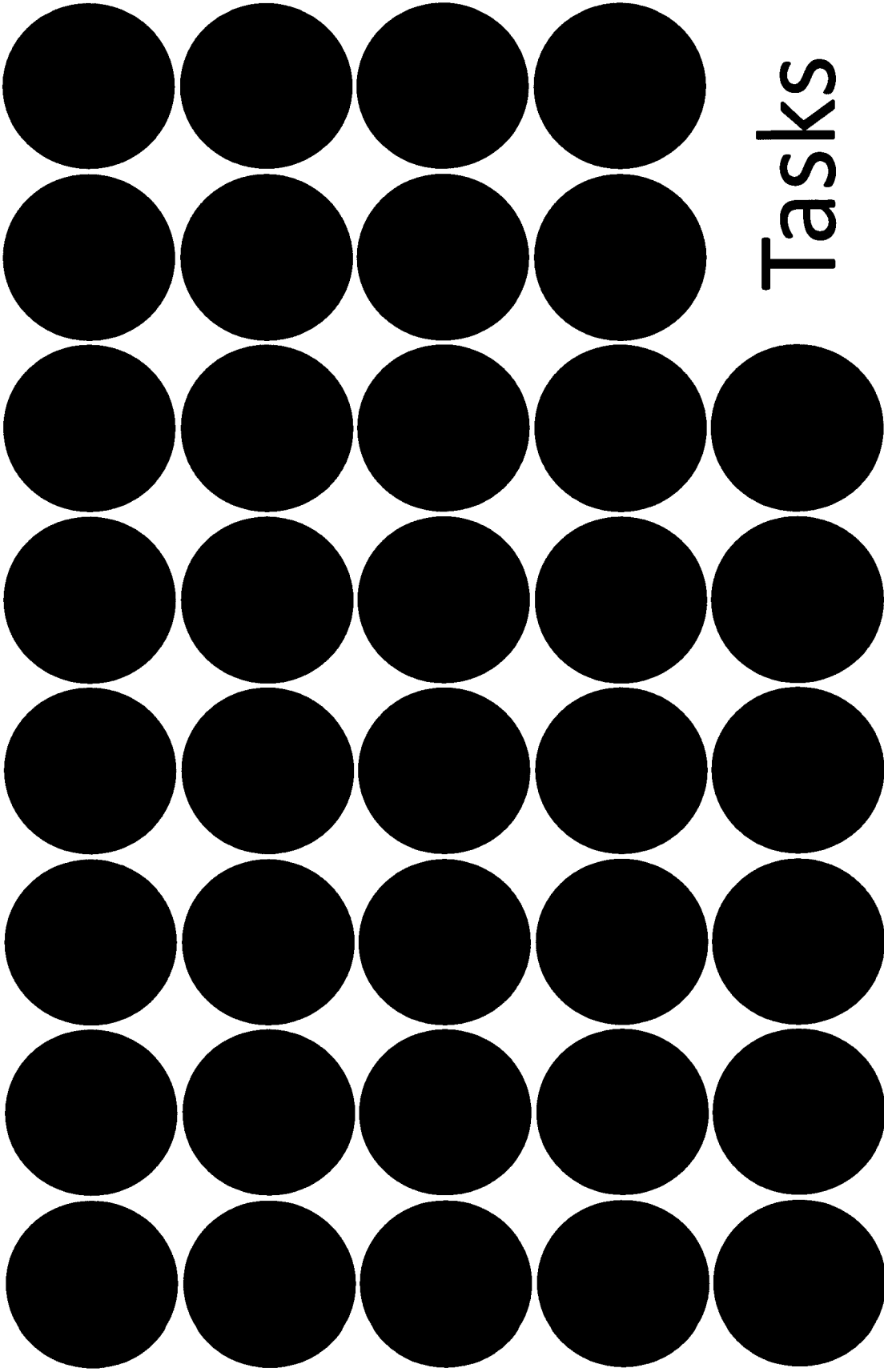
**BUILDING UPON THE CHANCELLOR'S PLAN,  
THE SHAWNEE STATE UNIVERSITY COMPLETION  
PLAN WILL ACHIEVE THE FOLLOWING THREE  
GOALS:**

- Goal I (Course Completion & Graduation): Increase persistence to completion and increase degrees conferred

- Goal II (Access) Further SSU's Service to the Appalachian Region through Enhanced Relationships with Regional School Districts

- Goal III (Degrees and Post-Graduation Employment) Further SSU's Service to the Appalachian Region through Enhanced Relationships with Area Employers

CRH 6-30-14  
Secretary, SSU Board of Trustees



38 Tasks

13 Sub-Goals

3 Goals

Require enrollment in the University's Success Curriculum for all underprepared students (based on placement scores):

Accelerate "speed to graduation" by establishing 15 credit hours as the default full-time load for all college-ready students.

Complete systemic program review of all academic and appropriate non-academic programming focusing on the improvement of course and degree completion.

Develop flexible degree options.

Participate in the Complete College America default guided pathways system model (GPS).

Enhance academic advising through the hiring of professional advisors for the College of Professional Studies and the College of Arts and Sciences

Research and implement resources to identify factors, practices and programs of greatest non-graduation risk for students.

Develop additional collaborative partnerships with key regional secondary schools to develop and strengthen strategies that will prepare students to enter the university prepared to succeed.

Establish a campus point of contact to coordinate all university P-16 initiatives

Improve data collection on alumni employment.

Designate a university point of contact for practical, applied instructional opportunities for students.

Expand enrollment in programs leading to careers aligned with Ohio's Job Priorities.

Enhance collaboration with regional employers, alumni, and community members to strengthen curricula and increase internship and mentoring opportunities for students.

CRH 6-30-14 Goal 1

Goal 2

Goal 3



Cross Walk with the Chancellor's Plan	State Plan Goal	State Plan Sub-Goal Number	State Plan Sub-Goal Description
<b>1.1</b>	Goal 1	1.3	Complete systemic program review of all academic and appropriate non-academic programming focusing on the improvement of course and degree completion.
<b>1.2 &amp; 3.1</b>	Goal 2	2.1	Develop additional collaborative partnerships with key regional secondary schools to develop and strengthen strategies that will prepare students to enter the university.
<b>2.2 &amp; 3.2</b>	Goal 3	3.4	Enhance collaboration with regional employers, alumni, and community members to strengthen curricula and increase internship and mentoring opportunities for students.
<b>2.4</b>	Goal 1	1.2	Accelerate "speed to graduation" by establishing 15 credit hours as the default full-time load for all college-ready students.
<b>3.3</b>	Goal 3	3.1	Improve data collection on alumni employment.
	Goal 1	1.1	Require enrollment in the University's Success Curriculum for all underprepared students (based on placement scores):
		1.4	Develop flexible degree options.
		1.5	Participate in the Complete College America default guided pathways system model (GPS).
		1.6	Enhance academic advising through the hiring of professional advisors for the College of Professional Studies and the College of Arts and Sciences
		1.7	Research and implement resources to identify factors, practices and programs of greatest non-graduation risk for students.
	Goal 2	2.2	Establish a campus point of contact to coordinate all university P-16 initiatives
	Goal 3	3.2	Designate a university point of contact for practical, applied instructional opportunities for students.
		3.3	Expand enrollment in programs leading to careers aligned with Ohio's Job Priorities.

**New**

CRD 6-30-14

## State Sub-Goal Tasks

**State Plan Goal**  
**State Plan Sub--**  
**State Plan Sub-Goal**  
**Description**

Require enrollment in the University's Success Curriculum for all underprepared students (based on placement score).

Associate degree pathways available to students as an incentive to complete the program.  
 First Year seminars designed to assist all students in topics supporting college success (i.e., time management, financial literacy, note taking skills, life outside the classroom).  
 Success Curriculum includes enrollment in: a First Year Experience Course; a Major/Career Exploration course and appropriate developmental English and mathematics courses during their first semester.

1.4 Develop flexible degree options.

SSU will develop and offer a Bachelor of Arts in General Studies.  
 SSU will develop and offer a Bachelor of Science in Health Sciences.

1.5 Participate in the Complete College America default guided pathways system.

Six STEM programs will pilot standardized academic pathways to support timely graduation by Fall of 2014.  
 The GPS model will be expanded to an additional 12 programs.

1.6 Enhance academic advising through the hiring of professional advisors for the College of Professional Studies and the College of ..

All university personnel engaged in advising students will participate in Professional Development in utilization of intrusive/proactive advising.  
 Effectiveness of advising efforts will be evaluated at least annually.  
 Full-time academic advisors will focus upon intrusive/proactive advising.  
 Resources will deliver personalized insight in the majors and courses best suited to each student's unique abilities.

1.7 Research and implement resources to identify factors, practices and programs of greatest non-graduation risk for students.

Focus will be upon tools that combine technology, research, and predictive analytics to help positively transform outcomes for at-risk and off-path students.  
 The analytical tool needs to focus on specific academic factors – such as courses, credit accumulations, and grades – that are most correlated with success and failure.  
 The supportive data-driven tool will support advising efforts and enable proactive, informed interventions with at-risk and off-path students.

**Goal 2**  
 2.2 Establish a campus point of contact to coordinate all university P-16 initiatives

Develop programming and materials to make available to schools to assist in increasing the number of college-ready high school graduates.  
 Pursue external funding for high school/higher educational alignment opportunities.  
 Work with area high schools to encourage all high school students to complete a college-entrance examination.

3.2 Designate a university point of contact for practical, applied instructional opportunities for students.

Identify funds for commuting and living expenses to enable students to pursue internship opportunities outside the local community.  
 Enhance current mentoring programs to encourage early major/career selection and internship experiences.  
 Work with industry partners to increase the number of internship opportunities.

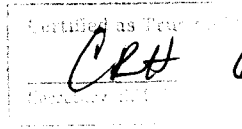
3.3 Expand enrollment in programs leading to careers aligned with Ohio's Job Priorities.

Academic departments will partner with the offices of Communications and Admission to develop recruitment materials and practices for programs identified with as potential growth to expand enrollment.  
 Increase enrollment in programs leading to careers in high demand fields for the state of Ohio (i.e., Management, Education, Health Care, Computer Specialties, and Community Services) and fields that lead to employment in industries designated as high priority.  
 Strategically grow programs with high demand with enhanced recruitment activities, curriculum development and the hiring of new faculty.

**Goal 3**  
 [Signature] 6-27-14  
 Secretary, SSU Board of Trustees

# Chancellor's Plan Not in the Completion Plan

- 1.3 Institute a First Year Experience Program.
- 1.4 Develop and expand courses and programs that allow for distance education options.
- 1.5 Implement the "Beginning College Survey of Student Satisfaction," to be administered to all first-time in college students.
- 2.5 Assess the viability of developing a "Success Roadmap" to degree completion, including:
  - Recognize completion of 30 hours of study (1-year) with the granting of a certificate focused on career readiness.
  - Recognize completion of 60 hours (2-years) of study and a core curricula completion with the granting of an associate degree.
  - Focus on expanding co-operative education and internship programs to provide employment experiences.





# Questions

*CRD* 6-30-14