



**BOARD OF TRUSTEES
MEETING**

June 27, 2018

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING AGENDA**

Wednesday, June 27, 2018

4:30 p.m. BH238

| | | Action ¹ | Discussion | Information |
|-----|--|---------------------|------------|-------------|
| 1. | CALL TO ORDER | | | |
| 2. | RECOGNITION OF GUESTS | | | X |
| 3. | PUBLIC COMMENT | | | |
| 4. | APPROVAL OF AGENDA (Consent Agenda: Agenda items of a routine nature will be marked with an asterisk [*] located immediately before the item. Unless a Board member requests an item be removed for discussion, the agenda will be approved upon a motion and a second of the Board and unanimously adopted and shall have the same validity as if each action were separately moved, seconded and adopted. Any item removed upon request of a Board member will be taken up in its regular place on the agenda.) | 4 Votes | | |
| 5. | *APPROVAL OF MINUTES | 4 Votes | | |
| 6. | TREASURER'S REPORT AND FINANCIAL REPORT | Simple Majority | | |
| 7. | APPROVAL OF BIDS | 4 Votes | | |
| 8. | CULINARY PROGRAM RE-ACCREDITATION UPDATE | | | X |
| 9. | STRATEGIC PLANNING CONSULTANT | 4 Votes | | |
| 10. | RENEWAL OF LEASES | 4 Votes | | |
| 11. | VENDING CONTRACT | 4 Votes | | |
| 12. | PREAUTHORIZATION OF GRANT FUNDED PURCHASES | 4 Votes | | |
| 13. | INSURANCE BROKER | 4 Votes | | |
| 14. | PROFESSIONAL SERVICE AGREEMENTS | 4 Votes | | |
| 15. | EXTENSION OF MEMORANDUM OF UNDERSTANDING – CENTRAL METHODIST UNIVERSITY | 4 Votes | | |
| 16. | USDA GRANT APPLICATION | 4 Votes | | |
| 17. | BUDGET/STAFFING PLAN UPDATE | | | X |
| 18. | JOHNSON CONTROLS CONTRACT UPDATE | | | X |
| 19. | *PERSONNEL A. Appointments B. Adjunct Faculty – Summer 2018 | 4 Votes | | |
| 20. | BOARD PRESIDENT'S REPORT | | | X |
| 21. | REPORTS A. Faculty Association B. ECC-NEA C. Professional Staff Association D. Classified Staff Association | | | X |

| | | | | |
|-----|---|-----------------|--|---|
| 22. | PRESIDENT'S REPORT | | | X |
| 23. | EXECUTIVE SESSION – REVISED STATUTES OF MISSOURI 2004, SECTION 610.21 (3) PERSONNEL | 4 Votes | | |
| 24. | ADJOURNMENT | Simple Majority | | |

¹RSMo Section 178.830 states, in part: "...A majority of the Board constitutes a quorum for the transaction of business, but no contract shall be let, teacher employed or dismissed, or bill approved unless a majority of the whole Board votes therefor."

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 1: CALL TO ORDER

The regular meeting of the Board of Trustees will be called to order by Board President Ann Hartley.

6/27/2018

Section 1, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084

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FAX (636) 583-6602

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 2: RECOGNITION OF GUESTS

Guests will be recognized by Mr. Jay Scherder.

6/27/2018

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Section 2, Page 1

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 3: PUBLIC COMMENT

The Board will hear comments from members of the public in attendance at the meeting who registered to speak.

6/27/2018

Section 3, Page 1

East Central College

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**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 4: APPROVAL OF AGENDA

Recommendation: To **approve** the agenda for the June 27, 2018, Board of Trustees meeting.

6/27/2018

East Central College

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Section 4, Page 1

Agenda Item 4: Approval of Agenda

Consent Agenda Items for June 27, 2018:

Personnel
Approval of Minutes

Matters to be brought before the Board of Trustees at such meeting of which the President has been notified in accordance with the bylaws and upon which consideration and action may be taken by the Board are included in the agenda for the meeting. Any matters not on the agenda of a regular meeting may be considered unless objected to by any Board member present.

Such items of a routine nature placed on the agenda will be marked with an asterisk (*) located immediately before the item on the agenda. When Item 3, Consent Agenda, is reached at a meeting, the President of the Board will read all items so marked, and all items not requested to be removed shall, upon a single motion of any Board member, seconded by any other Board member, and unanimously adopted, be deemed to have been duly adopted with the same validity as if each action were separately moved, seconded, and duly adopted.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 5: *APPROVAL OF MINUTES

Recommendation: To **approve** the minutes of the May 7, 2018 regular meeting of the Board of Trustees.

Attachment

6/27/2018

East Central College

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Section 5, Page 1

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
Monday, May 7, 2018**

CALL TO ORDER: The regular meeting of the Board of Trustees was called to order at 5:30 p.m. by Board President Ann Hartley. Other Board members present for the meeting were Joseph Stroetker, Prudence Fink Johnson, Cookie Hays, Eric Park and Audrey Freitag. Also present were President of the College Jon Bauer; Administrators –Vice President of External Relations Joel Doepker, Vice President of Academic Affairs Tia Robinson, and Vice President of Finance and Administration Phil Pena; Other Staff – Director of Human Resources Wendy Hartmann, Director of Financial Services Annette Moore, Director of Developmental Education Programs Michelle Branton, Director of Facilities and Grounds Tot Pratt, Director of the Learning Center Erin Anglin, Director of Public Relations Jay Scherder, Technical Support Technician Dee Gibbs, Testing Center Clerk Justin Kavanaugh, Campus Police Officer Tommie Lowe, NEA President Tom Fitts, Faculty Association President Sarah Havens, Professional Staff President Karen Klos, Classified Staff Association Secretary Amy DeMiere, Faculty Members Stephanie Buchholz, Judy Bieker, Sean Barton, Leigh Kolb, Linda Follis, Sue Henderson, Nancy Mitchell, Jenifer Goodson and Bob Mahon, and Executive Assistant to the President Bonnie Gardner.

RECOGNITION OF GUESTS: Mr. Scherder introduced Kavahn Mansouri from the *Missourian*. John Follis, spouse of Linda Follis, was also in attendance.

PUBLIC COMMENT: There were no public comments.

APPROVAL OF AGENDA: Each item on the consent agenda shall be deemed to have been duly approved with the same validity as if each action were separately moved, seconded and adopted.

Motion: To **approve** the agenda for the May 7, 2018 meeting of the Board of Trustees.

Motion by Eric Park; Seconded by Cookie Hays; Carried Unanimously

***APPROVAL OF MINUTES:** The Board approved the minutes of the April 2, 2018 regular meeting of the Board of Trustees.

TREASURER’S REPORT AND FINANCIAL REPORT: Vice President Pena reviewed the year-to-date financials. In response to questions posed by Dr. Park related to large year-to-year variations, Dr. Pena noted that the change in receivables was related to calendar timing of the report and delay in the start of registration this year, the total operating revenue change was the result of a capital bond that the College no longer has, and the change in investments is due to the bond refunding that occurred last year. Dr. Park also noted the increase in pension liability, which is a number provided from the state retirement system.

Motion: To **approve** the treasurer’s report, the financial report and the payment of bills subject to the annual audit.

Motion by Prudence Fink Johnson; Seconded by Joseph Stroetker; Carried Unanimously

PROPOSED COURSE FEES: Vice President Joel Doepker reported that ECC pays Four Rivers Area School \$1,538 per course for each student enrolled in partner programs. The College subsidizes each student's cost by \$1,214. This year the cost for 33 students was \$105,353. The recommended fees are based on a market analysis of similar programs at community colleges and technical schools in the state.

For auto technology, the average course fee charged by other community colleges is \$129 per class; the recommended fee for ECC is \$125 per course.

The welding program is very expensive to operate due to equipment and material costs. The average fee charged by other community colleges is \$278 per class; the recommendation is a \$250 fee per class.

Not many institutions offer a building construction program in a similar way to ECC's program. Also, enrollment in this program is low since many people are entering the workforce and learning on the job. The average fee charged by other community colleges is \$100 per class and that is the recommendation for ECC.

Based on past enrollment, these fees will recoup about \$10,000 which means the college will continue to subsidize these programs by approximately \$70,000 from Perkins funds and operating funds. Upon a question by Ms. Hays, it was clarified that students in these programs pay in-district tuition and general fees. All the Perkins money allocated for this purpose, as well as money from the general operating budget, is being used to cover costs. There is not a program offered by the College where tuition covers the entire cost.

Motion: To **approve** course fees for career and technical programs offered in conjunction with the Four Rivers Area School as follows:

| | |
|-----------------------|------------------|
| Automotive Technology | \$125 per course |
| Building Construction | \$100 per course |
| Welding | \$250 per course |

Motion by Prudence Fink Johnson; Seconded by Cookie Hays; Carried Unanimously

PROPOSED BOARD POLICY – 1.36 SHARED GOVERNANCE: Dr. Bauer noted that the policy presented has not been changed from what was presented last month. It is the result of work by the HLC Task Force and sub-committees and reflects the statement of shared governance developed by that group. It calls for a shared governance council to provide for more effective decision making. Upon adoption, the council will be formed and begin its work. Ms. Hartley noted that the shared governance group was very methodical and paid great attention to the input of members attending the meetings.

Motion: To **approve** Board Policy 1.36 Shared Governance as attached with the current Board Policy 1.36 being renumbered as Board Policy 1.37.

Motion by Joseph Stroetker; Seconded by Cookie Hays; Carried Unanimously

UPDATE ON HIGHER LEARNING COMMISSION ACCREDITATION: Dr. Bauer, Vice President Robinson and Board members Ann Hartley and Cookie Hays attended the Institutional Actions Council (IAC) hearing on April 24. Informal notice was received last week on the hearing outcome and the actual report was received today. The recommendation is to move from probation to notice. Probation means out of compliance due to not meeting one or more criteria; notice means the College is in compliance but at risk of not meeting one or more criteria if concerns are not addressed. The IAC's recommendation will go to the Higher Learning Commission Board at their June 28/29 meeting. ECC needs to file a written response by May 21. Dr. Bauer stated that both probation and notice are sanctions and the plan of response has not changed. The actions taken to this point have served the College well, but a lot of work remains. The HLC Board will make the final determination on the sanction; if they agree with the recommendation, there will be a notice visit in fall of 2019 and the College will be placed on the standard pathway for accreditation.

The actions taken and plans made following the site team visit were seen as responsive to the issues. This reflects a great deal of work by a lot of people involved on the HLC Task Force and various committees. The work will continue – proposals have been received for strategic planning and the Institutional Effectiveness director position is advertised. The Institutional Actions Council report was received today and shared with the Board; it will be shared with the campus as well.

***PERSONNEL:** The Board **accepted** the resignations of Shelli Allen, Vice President, Student Development and Dr. Tia Robinson, Vice President, Academic Affairs, effective June 29, 2018. The Board **approved** the reappointment of Joel Doepker, Vice President, External Relations, and Dr. Philip Pena, Vice President, Finance and Administration for the 2018-19 fiscal year and the reappointment of professional staff for the 2018-19 fiscal year as listed on the attached memorandum. The Board also **approved** the appointment of Julie Chirban as Nursing Instructor effective August 14, 2018 with a nine-month salary of \$51,500.

REPORTS:

- A. FACULTY ASSOCIATION REPORT:** Faculty Association President Sarah Havens introduced herself as the newly elected president and Jenifer Goodson as the new vice president. She noted that the faculty representatives to the new Shared Governance Council will be the faculty association president and the president of ECC-NEA.
- B. ECC-NEA:** ECC-NEA President Tom Fitts noted that the faculty agreed to have the two presidents as their representatives for the Shared Governance Council in order to be ready to move forward as soon as possible.

The inspiring excellence awards were presented to 30 area high school faculty with 19 attending the recognition ceremony.

Mr. Fitts noted he had been contacted about security concerns by a Rolla North faculty member who stated the classroom doors at that facility have hollow cores and there is no process for easily locking them down. In addition, a faculty member at the Business and Industry Center reported some of the lab doors have large glass windows that could be broken and provide easy access for an intruder. He asked that these concerns be addressed.

Mr. Fitts cited examples of items that were mentioned in Board meetings over the past several years for which the Board did not request additional information or did not hold the president accountable for providing follow up. The most recent example being the energy savings contract signed with Johnson Controls; no follow up report on the savings realized (or lack thereof) has been presented to the Board.

Mr. Fitts indicated that the move from a recommendation of probation to a recommendation of notice is not good news; the College should not have been in this situation in the first place. He contended that if appropriate follow up had occurred over the past several years, the College would now be reaccredited and in good standing. The timeline for making corrections is now truncated to one year; these concerns began in 2009.

Sue Henderson, former NEA president, provided a presentation regarding employee satisfaction surveys and noted that within the last five years employee faith in the institution has decreased precipitously. She indicated that the Workplace Dynamics survey and the Chronicle survey are two standardized surveys taken by all employees and that in 2013 the Higher Learning Commission expressed the hope that the new leadership would address these survey concerns. In 2017 the HLC team indicated these concerns have still not been addressed.

In June 2017 the faculty gave a letter outlining their concerns to Dr. Bauer and in November 2017 provided the same letter to the Board, including several comments from the HLC feedback report. Of the 52 faculty (out of a total of 66) who responded, 78% supported sending the Board a letter and 21% did not support the letter. In the past week an employee vote was conducted through an anonymous e-mail link that asked “Do you believe Dr. Jon Bauer is capable of the kind of decision-making and action needed to not only lead ECC off sanctions but navigate these challenging times?” Of the 166 respondents, 27.11% had confidence and 65.66% had no confidence; 7.23% did not wish to express an opinion.

- C. PROFESSIONAL STAFF ASSOCIATION REPORT:** Professional Staff Association President Karen Klos noted that Saturday’s commencement will be followed by the AEL graduation at 2 p.m. with over 70 students being recognized. The AEL graduation will include the first induction into the National Adult Education Honor Society; 15 students will be inducted. Arnie Sallaberry of Clemco will be the keynote speaker.
- D. CLASSIFIED STAFF ASSOCIATION REPORT:** Classified Staff Association Secretary Amy DeMiere reported the association will be conducting officer elections on May 10.
- E. STUDENT GOVERNMENT ASSOCIATION:** SGA President Michail Ratcliff was unable to attend so there was no report.

BOARD PRESIDENT’S REPORT: Board President Ann Hartley noted she had asked for this item to be added to the regular agenda each month. She asked Cookie Hays to share information from the Higher Learning Commission hearing in Chicago. Ms. Hays read the statement she provided to the hearing committee, noting that as a result of involvement with the HLC process the Board now realizes its role is deeper than hiring and supporting the president and monitoring the budget. The Board embraces shared governance and better understands it.

Ms. Hartley stated that this Board wants the best for ECC. The role and expectations for boards are changing. Board members will not be involved in day to day operations of the College, but they are

responsible for staying informed on major issues. Cookie Hays will serve on the Shared Governance Council and Ann Hartley will serve on the Strategic Planning Committee; they will act as liaisons and will not vote. The Board will also establish ECC email addresses. Each future Board meeting will include a Board President’s report, and Dr. Bauer and the Board will ask for and expect reports on projects as well as decisions that are made.

PRESIDENT’S REPORT: Dr. Bauer reported that work is occurring in conference committee this week on the state budget. It is anticipated that the core appropriation will be the same as the current year; job training funds and a few other items are still in negotiation.

Melanie Dixon received a ten-year advisor pin for her service to Phi Theta Kappa; Kevin Dixon was recognized at the recent international convention for continued excellence as a PTK advisor.

There are several student recognition ceremonies this week, culminating with the Nursing pinning and commencement ceremony on Saturday along with the HiSET ceremony. Ann Schroeder will be the commencement speaker and will focus on the early days of the institution.

Regarding the HLC report, Dr. Bauer agreed that notice is not good news; however, the College is in a better position even though there is so much work to be done. He stated he is committed to the success of this institution and the work that is needed. The issues are significant but addressable, and working collaboratively those issues can be addressed to make ECC a stronger institution.

EXECUTIVE SESSION - REVISED STATUTES OF MISSOURI 2004, SECTION 610.021 (3) PERSONNEL:

Motion: To **enter** into executive session per RSMo 2004, Section 610.021(3) Personnel at 6:44 p.m.

Motion by Joseph Stroetker; Seconded by Prudence Fink Johnson

The following roll call vote was taken, and the motion carried.

| | | | | | |
|---------------|--------------|---------------|------------|---------------|------------|
| <u> </u> yes | A. Hartley | <u> </u> yes | P. Johnson | <u> </u> yes | E. Park |
| <u> </u> yes | J. Stroetker | <u> </u> yes | C. Hays | <u> </u> yes | A. Freitag |

No action was taken during the executive session.

Motion: To **resume** open session at 8:24 p.m.

Motion by Eric Park; seconded by Cookie Hays

The following roll call vote was taken, and the motion carried.

| | | | | | |
|---------------|--------------|---------------|------------|---------------|------------|
| <u> </u> yes | A. Hartley | <u> </u> yes | P. Johnson | <u> </u> yes | E. Park |
| <u> </u> yes | J. Stroetker | <u> </u> yes | C. Hays | <u> </u> yes | A. Freitag |

ADJOURNMENT:

Motion: To adjourn the May 7, 2018 public Board of Trustees meeting at 8:24 p.m.

Motion by Eric Park; Seconded by Cookie Hays; carried unanimously.

President, Board of Trustees

Secretary, Board of Trustees

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 6: TREASURER'S REPORT AND FINANCIAL REPORT

Recommendation: To **approve** the treasurer's report, the financial report, and the payment of bills subject to the annual audit.

Attachment

6/27/2018

Section 6, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
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East Central College
Statement of Net Assets for all Funds
As of April 30, 2018 and April 30, 2017

| ASSETS | <u>4/30/18</u> | <u>04/30/17</u> |
|---|--------------------------|--------------------------|
| Current | | |
| Cash | 7,226,654 | 6,386,823 |
| Investments | 833,774 | 1,590,087 |
| Receivables, net | | |
| Student | 2,275,570 | 2,915,170 |
| Federal & State agencies | 608,090 | 937,565 |
| Other | 111,327 | 13,395 |
| Inventories | 222,779 | 274,451 |
| Prepaid expenses | 206,410 | 192,148 |
| Total Current Assets | <u>11,484,604</u> | <u>12,309,639</u> |
| Non-Current Assets | | |
| Other Assets | 769,007 | 1,085,606 |
| Capital Assets (net) | 43,100,290 | 44,064,149 |
| Total Non-Current Assets | <u>43,869,297</u> | <u>45,149,755</u> |
| Total Assets | <u>55,353,901</u> | <u>57,459,394</u> |
| DEFERRED OUTFLOW OF RESOURCES | | |
| Deferred pension outflows | <u>7,971,713</u> | <u>4,901,303</u> |
| Total Assets and Deferred Outflow of Resources | <u>63,325,614</u> | <u>62,360,697</u> |
| LIABILITIES | | |
| Current Liabilities | | |
| Accounts Payable | 181,735 | 12,909 |
| Accrued Wages & Benefits | 241,360 | 259,658 |
| Unearned Revenue | 1,981,110 | 2,168,795 |
| Due to Agency Groups | 88,213 | 92,283 |
| Accrued Interest | 66,384 | - |
| Total Current Liabilities | <u>2,558,802</u> | <u>2,533,645</u> |
| Non-Current Liabilities | | |
| USDA Loan | 858,333 | 958,333 |
| Bonds Payable | 12,730,000 | 13,046,600 |
| Premium on Sale of Bonds | 848,965 | 951,362 |
| Net Pension Liability | 15,053,065 | 11,753,832 |
| Compensated Absences | 511,560 | 528,581 |
| Post Employment Benefit Plan Payable | 601,100 | 538,600 |
| Johnson Control Performance Contract | 1,258,583 | 1,258,583 |
| Total Non-Current Liabilities | <u>31,861,606</u> | <u>29,035,891</u> |
| Total Liabilities | <u>34,420,408</u> | <u>31,569,536</u> |
| DEFERRED INFLOW OF RESOURCES | | |
| Deferred pension inflows | <u>3,726,851</u> | <u>3,463,193</u> |
| NET ASSETS | | |
| Investment in Capital Assets, net | 37,304,000 | 34,669,980 |
| Restricted for Debt Service | 41,034 | 258,659 |
| Board Restricted | 1,760,000 | 1,760,000 |
| Unrestricted: | | |
| General Fund | 6,335,814 | 6,393,371 |
| All other Funds | -20,262,493 | -15,754,042 |
| Total Net Assets | <u>25,178,355</u> | <u>27,327,968</u> |
| Total Liabilities, Deferred Inflow of Resources and Net Assets | <u>63,325,614</u> | <u>62,360,697</u> |

East Central College
Statement of Activities
General Fund

As of April 30, 2018 and April 30, 2017

| | For the Fiscal Year Ending June 30, 2018 | | | For the Fiscal Year Ended June 30, 2017 | | | |
|------------------------------|---|-------------------------|----------------------------|--|-------------------------|--------------------------|-------------------|
| | Current FY Budget | April 2018 Month end | Current FY Year-To-Date | Prior FY Budget | April 2017 Month end | Prior FY Year-To-Date | Prior FYE |
| Revenues: | | | | | | | |
| Local Revenue | 6,313,000 | 90,610 | 6,433,329 | 6,284,527 | 73,045 | 6,279,080 | 6,340,852 |
| State Revenue* | 5,306,645 | 428,548 | 4,285,486 | 5,880,000 | 386,371 | 4,472,689 | 5,345,756 |
| Federal Revenue | 5,000 | - | 7,130 | - | - | 515 | 7,810 |
| Tuition and Fees | 6,852,940 | 87,312 | 5,549,953 | 6,238,166 | 25,224 | 5,686,863 | 5,687,024 |
| Interest Income | 50,000 | 8,802 | 61,027 | 50,000 | 10,258 | 56,794 | 67,793 |
| Gifts and Grants | 45,000 | 990 | 112,389 | 45,000 | - | 41,000 | 40,000 |
| Miscellaneous Revenue | 80,519 | 3,813 | 60,806 | 50,000 | 16,170 | 68,647 | 80,528 |
| Transfers-Interfund & Indire | - | - | 10,322 | - | - | 13,413 | 17,780 |
| Transfer Federal Programs | - | - | - | - | - | - | - |
| Total Revenues | 18,653,104 | 620,075 | 16,520,442 | 18,547,693 | 511,068 | 16,619,001 | 17,587,543 |
| Expenses: | | | | | | | |
| Salaries | 10,468,339 | 817,540 | 8,196,630 | 10,738,313 | 854,034 | 8,640,885 | 10,957,847 |
| Benefits | 3,170,393 | 250,520 | 2,666,436 | 3,264,288 | 262,283 | 2,742,935 | 3,806,639 |
| Contractual Services | 615,370 | 35,705 | 734,952 | 908,496 | -16,308 | 701,831 | 857,128 |
| Current Expenses | 1,361,919 | 98,173 | 657,784 | 1,011,581 | 38,606 | 716,957 | 891,559 |
| Travel | 218,087 | 19,773 | 155,850 | 231,215 | 14,241 | 165,964 | 188,900 |
| Property & Casualty Insuran | 205,000 | - | 202,061 | 205,000 | - | 199,359 | 199,359 |
| Vehicle Expense | 3,450 | 1,297 | 9,651 | 11,650 | 808 | 6,557 | 9,338 |
| Utilities | 708,599 | 42,766 | 431,162 | 758,889 | 39,251 | 550,485 | 709,456 |
| Tele/Communications | 219,201 | 20,911 | 179,223 | 177,219 | 17,336 | 190,395 | 225,184 |
| Miscellaneous** | 1,210,844 | 4,875 | 248,449 | 1,113,842 | 17,268 | 228,509 | 592,470 |
| Clearing Account | - | 719 | -185 | - | 230 | -16 | - |
| Scholarship Expense | 74,500 | 750 | 60,237 | 70,700 | 578 | 73,296 | 74,411 |
| Faculty Development | 25,000 | 2,303 | 6,873 | 30,000 | - | 28,900 | 30,100 |
| Instit. Match for Grants | 309,722 | - | 63,257 | - | - | - | 272,609 |
| Commitment to ABE | 20,000 | - | - | 20,000 | - | 1,318 | 20,000 |
| Instit. Commit.to Fine Arts | 6,500 | - | - | 6,500 | - | - | 6,500 |
| Instit. Commit.to Word & M | 3,200 | - | - | - | - | - | - |
| Capital | 32,980 | - | 21,928 | - | - | 32,244 | 36,968 |
| Interfund Transfers | - | - | - | - | - | - | 1,637,456 |
| Interest on Debt | - | - | - | - | - | - | - |
| Total Expenses | 18,653,104 | 1,295,332 | 13,634,308 | 18,547,693 | 1,228,327 | 14,279,619 | 20,515,924 |
| Revenue over Expenses | - | -675,257 | 2,886,134 | - | -717,259 | 2,339,382 | -2,928,381 |

*2017 State projection changed after budget was approved

** 2017 Misc Expense(contingency) reduced by the amount of the change in state revenue

East Central College
Statement of Revenue, Expenses & Changes in Net Assets
(All Funds)
As of April 30, 2018 and April 30, 2017

| | For the Fiscal Year Ending June 30, 2018 | | For the Fiscal Year Ended June 30, 2017 | |
|--|---|-------------------------|--|-------------------------|
| | April 2018 | FY 2018 Year-To-Date | April 2017 | FY 2017 Year-To-Date |
| Operating Revenues: | | | | |
| Student Tuition & Fees | 106,032 | 6,658,133 | 31,999 | 6,952,890 |
| Federal Grants & Contracts | 293 | 6,650,126 | 1,871 | 8,170,169 |
| State Grants & Contracts | 31,098 | 452,289 | 217,329 | 2,310,789 |
| Auxiliary Services Revenue | 47,669 | 1,614,337 | 103,914 | 1,940,011 |
| Other Operating Revenue | 7,140 | 217,567 | 10,242 | 151,868 |
| Total Operating Revenue | 192,232 | 15,592,452 | 365,355 | 19,525,727 |
| Operating Expenses: | | | | |
| Salaries | 911,865 | 9,125,557 | 948,665 | 9,610,630 |
| Benefits | 273,521 | 2,892,003 | 285,974 | 2,977,041 |
| Purchased Services | 60,375 | 1,267,532 | 61,922 | 1,431,018 |
| Supplies & Current Expenses | 177,879 | 2,186,681 | 224,686 | 2,377,963 |
| Travel | 25,428 | 204,172 | 25,148 | 235,080 |
| Insurance | - | 218,382 | - | 213,581 |
| Utilities | 73,869 | 699,069 | 69,564 | 810,017 |
| Other | -315 | 121,940 | 9,924 | 91,177 |
| Depreciation | 175,050 | 1,742,507 | 153,893 | 1,446,276 |
| Financial Aid & Scholarship | 7,540 | 6,684,168 | 1,285 | 7,661,399 |
| Total Operating Expenses | 1,705,212 | 25,142,011 | 1,781,061 | 26,854,182 |
| Operating (Loss)/Gain | -1,512,980 | -9,549,559 | -1,415,706 | -7,328,455 |
| Non-Operating Revenues (Expenses): | | | | |
| State Appropriations | 428,548 | 4,285,486 | 386,371 | 4,472,689 |
| Tax Revenue | 111,864 | 7,942,369 | 90,179 | 7,751,999 |
| Interest Income | 10,247 | 71,416 | 12,268 | 88,822 |
| Gain/Loss on asset disposal | 60 | 14,317 | - | - |
| Principal & Interest on Debt | -22,622 | -456,916 | - | -562,238 |
| Total Non-Operating Revenue (Expense) | 528,097 | 11,856,672 | 488,818 | 11,751,272 |
| Increase in Net Assets | -984,883 | 2,307,113 | -926,888 | 4,422,817 |

**East Central College
Investments
As of April 30, 2018**

| <u>CD Number</u> | <u>Date</u> | <u>Maturity</u> | <u>Term</u> | <u>Rate</u> | <u>Total</u> |
|---|-------------|-----------------|-------------|-------------|----------------------|
| <u>Citizens Bank</u> | | | | | |
| 272419 | 11/10/2017 | 5/10/2018 | 6 months | 1.60% | \$ 377,352.88 |
| 272421 | 11/10/2017 | 5/10/2018 | 6 months | 1.60% | \$ 377,352.91 |
| ECC Total Invesments | | | | | \$ 754,705.79 |
| <u>Private CDs Owned by the P. A. Hearst Account</u> | | | | | |
| Farmers & Merchants Bank - CD | | | | | |
| #132982028 | 11/13/2017 | 8/13/2019 | 21 months | 1.50% | \$ 81,672.62 |
| United Bank of Union - CD #1024012663 | | | | | |
| | 4/14/2017 | 4/14/2018 | 12 months | 0.40% | \$ 6,085.19 |
| Total Investments | | | | | \$ 87,757.81 |

2018

| | |
|-------------------------|------------------------|
| Total Cash Accounts | \$ 7,226,654.00 |
| Certificates of Deposit | \$ 754,705.79 |
| | \$ 7,981,359.79 |

2017 (December)

| | |
|-------------------------|------------------------|
| Total Cash Accounts | \$ 3,694,298.00 |
| Certificates of Deposit | \$ 754,705.79 |
| | \$ 4,449,003.79 |

**East Central College
Pledged Securities
As of April 30, 2018**

Farmers & Merchants

| SECURITY DESCRIPTION | MATURITY DATE | CUSIP NO. | PAR AMOUNT |
|----------------------|------------------|-----------|----------------------|
| FDIC Insurance | | | \$ 250,000.00 |
| TOTAL | | | <u>\$ 250,000.00</u> |

United Bank of Union

| SECURITY DESCRIPTION | MATURITY DATE | CUSIP NO. | PAR AMOUNT |
|-----------------------------------|------------------|-----------|------------------------|
| FEDERAL FARM CREDIT BANK | 02/20/18 | 3133ECFQ2 | \$ 750,000.00 |
| FEDERAL FARM CREDIT BANK | 03/19/18 | 3133EAW61 | \$ 50,000.00 |
| FEDERAL FARM CREDIT BANK | 05/01/18 | 3133EAB72 | \$ 750,000.00 |
| FEDERAL FARM CREDIT BANK | 05/09/18 | 3133EAH43 | \$ 1,000,000.00 |
| FEDERAL HOME LOAN BANK | 07/30/18 | 313381W27 | \$ 600,000.00 |
| FEDERAL HOME LOAN BANK | 04/05/19 | 313382H97 | \$ 1,000,000.00 |
| FEDERAL NATIONAL MORTGAGE ASSN | 04/26/19 | 3136G0R45 | \$ 1,560,000.00 |
| FEDERAL NATIONAL MORTGAGE ASSN | 10/23/19 | 3135G0QM8 | \$ 800,000.00 |
| FEDERAL HOME LOAN BANK | 01/17/20 | 313381T88 | \$ 1,000,000.00 |
| MARION CO MO SCHL DIST MUNI | 3/1/2024 | 569101GS1 | \$ 400,000.00 |
| STRAFFORD MO REORG SCHL DIST MUNI | 03/01/26 | 862682CD5 | \$ 250,000.00 |
| FRANKLIN CO REORG SCHL DIST MUNI | 03/01/27 | 35310DGK0 | \$ 25,000.00 |
| GRANDVIEW MO MUNI | 03/01/27 | 386748LQ8 | \$ 585,000.00 |
| TOTAL | | | <u>\$ 8,770,000.00</u> |

United Bank of Union

| SECURITY DESCRIPTION | MATURITY DATE | CUSIP NO. | PAR AMOUNT |
|---|------------------|-----------|----------------------|
| FRANKLIN COUNTY SCHOOL DISTRICT, R-XI UNION MO | 3/1/2021 | 353100GU8 | \$ 540,000.00 |
| TOTAL | | | <u>\$ 540,000.00</u> |

* ALL SECURITIES ARE HELD WITH OUR SAFEKEEPING AGENT - COMMERCE BANK N.A., 1000 WALNUT STREET, KANSAS CITY, MO 64106

** ALL PLEDGED SECURITIES ARE IN COMPLIANCE WITH SECTION 1823 (E) OF THE FDIC REGULATIONS AND HAVE BEEN APPROVED BY THE BANK'S LOAN COMMITTEE. THE APPROVAL IS REFLECTED WITHIN THE MINUTES OF THE COMMITTEE.

**East Central College
Warrant Check Register
As of April 30, 2018**

The Treasurer of the Board confirms for the month ending April 30, 2018 that the check payments officially filed have been issued in accordance with the policies and procedures of East Central College (Junior College District), in compliance with the appropriation granted by the Board of Trustees as defined in the FY18 budgets and that there are sufficient balances in each fund and sub-fund available for the expenditures for which approval is hereto requested.

Total amount of checks dispersed from April 3, 2018 through April 30, 2018, is reported at \$727,585.45.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 7: APPROVAL OF BIDS

Recommendation: To **approve** the purchase of 20 Veeam Backup Software Licenses from the state negotiated Dell purchasing contract in the amount of \$22,620 to be funded 75% from technology fees and 25% from the Information Technology operating budget.

Attachments

6/27/2018

Section 7, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601



Interoffice Memorandum

To: Dr. Jon Bauer
From: Doug Houston
Subject: Purchase of Veeam
Date: May 21, 2018

It is my recommendation that the Board of Trustees accepts and approves software purchase from the state negotiated Dell purchasing contract in the amount of \$22,620.00 for 20 server licenses. The cost would be split between Tech Fees and IT budgets as follows; 75% out Tech Fees (25-46041-5355-00) and 25% from IT (10-64041-5355-00).

This software will streamline and solidify our backup solution, giving us more robust and reliable backups as well as providing data compression which will allow us to store more backups in less physical space.

The installation and configuration of the software will be performed by the ECC Network Administration team.

| Item | | College Outlay |
|-----------------------------------|-------------|--------------------|
| Veeam Backup Software 20 Licenses | \$22,620.00 | |
| 10-64041-5355-00 (25%) | \$5,655.00 | |
| | \$16,965.00 | |
| Total | | \$22,620.00 |

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 8: CULINARY ARTS PROGRAM RE-ACCREDITATION UPDATE

Chef Mike Palazzola will provide information regarding the recent accreditation visit by the American Culinary Federation.

6/27/2018

Section 8, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 9: STRATEGIC PLANNING CONSULTANT

Recommendation: To **approve** a contract with CampusWorks, Bradenton, Florida, to serve as the consultant for development of a comprehensive strategic plan at a cost of \$75,000 plus travel expenses.

Attachment

6/27/2018

Section 9, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601

BOARD MEMORANDUM

TO: BOARD OF TRUSTEES
FROM: DR. JON BAUER
SUBJECT: STRATEGIC PLANNING CONSULTING
DATE: JUNE 25, 2018
CC:

This memorandum serves as a recommendation for the Board of Trustees to approve a contract with CampusWorks Inc., Bradenton, Florida, to serve as the consultant for the development of a new Strategic Plan for the institution. The price for the services is \$75,000, plus travel expenses that will be billed as incurred.

CampusWorks was one of nine firms that responded to ECC's Request for Proposals. The Strategic Planning Committee narrowed the field to two firms, which were then interviewed on June 13. Following the interviews, the committee reconvened and CampusWorks was the unanimous choice for this project. Discussions with colleges with whom CampusWorks has provided similar services have been very positive.

The firm works exclusively with higher education clients, and has extensive experience with community colleges. Approximately 60% of its clients are community or technical colleges. The firm was founded in 1999.

If approved by the board, we would begin working immediately to begin the process of developing a new Strategic Plan. Much of the work over the summer will involve planning the project and reviewing existing data. The main kick-off on campus would take place during in-service week in August, with a "Futures Summit" that will provide context to stakeholders regarding the higher education climate, as well as gather input to inform the planning process.

I have included a segment from the firm's proposal in which the Plan of Action is described.

Representatives serving on the Strategic Planning Committee include: Christina Ayres, Michelle Branton, Amy DeMiere, Coreen Derifield, Tim Derifield, Joel Doepker, Tom Fitts, Parvatha Govindaswamy, Ann Hartley, Sarah Havens, Courtney Henrichsen, Bethany Lohden and Phil Pena.

I will discuss the proposal in more detail at the board meeting. In the meantime, please review the attached document and feel free to contact me if you have any questions. We are eager to begin the work on this project and feel CampusWorks is perfectly suited to assist us with the development of the Strategic Plan.

D. Plan of action describing the approach to the development of the Strategic Plan. Include at a minimum:

- a. Proposed timeline of activities necessary to meet the schedule outlined above.
- b. Ability to meet the proposed deadline included in the RFP.
- c. Plan for stakeholder engagement, internal and external.
- d. Plan for the use of SWOT analysis, environmental scans, and other tools to aid in the development of the plan.

In CampusWorks' experience, too many strategic planning processes start without contemplating where the institution wants to go. As the Cheshire Cat said to Alice in *Alice in Wonderland* "If you don't know where you want to go then it doesn't matter which road you take." Our methodology begins with the end in mind by working to understand the institutional goals, the economic needs of the community and the education requirements of current and future students. This approach engages community and business leaders, students, faculty and staff and any other stakeholders interested in contributing to the discussion. After a thorough review of existing documentation and historical circumstances, CampusWorks experts lead a series of events designed to assist East Central College with defining where it wants to go. From *Trends in Higher Education* and *Student Experience* workshops, detailed below, to Board engagement and community forums, CampusWorks engages the community and develops alignment across all institutional constituents. CampusWorks uses a Listen, Look and Learn methodology to ensure that we are leaving no voice unheard or opportunity unidentified in the community engagement process.

From there, the strategic planning process focuses on the current state of institutional engagement with students, the community and business leaders and drives an integrated, holistic and tailored process rooted in the needs and culture of the college we are serving. Our framework includes a broad look across the institution and a candid review of the "as is" and the "possible" as seen by the experienced, objective observer. In events like the *Internal Scan* and *External Environment Scan*, the CampusWorks planning team moves adeptly throughout the institution conversing, probing, discussing, and observing how people are interacting, how processes are conducted, and how East Central College is focused to achieve its current strategic objectives. Facilitation provided by senior higher education professionals with strong business acumen results in measurable and actionable recommendations for next steps and touches everyone in the institution and the broader community.

William Bridges in his book *Managing Transitions* says before you can have a new beginning you must have an ending. *Managing Transitions* is a cornerstone for all the engagements CampusWorks conducts. All the work we do requires engagement of a broad range of constituents. We recognize that the value we bring to our clients is only as good as its ability to be sustained. So we have made it our business to position our clients for sustainable change. We do this by:

- Encouraging and maintaining clear, open, frequent communication
- Acknowledging that all persons go through transitions at their own pace and that pace must be respected if these individuals are not to be left aside

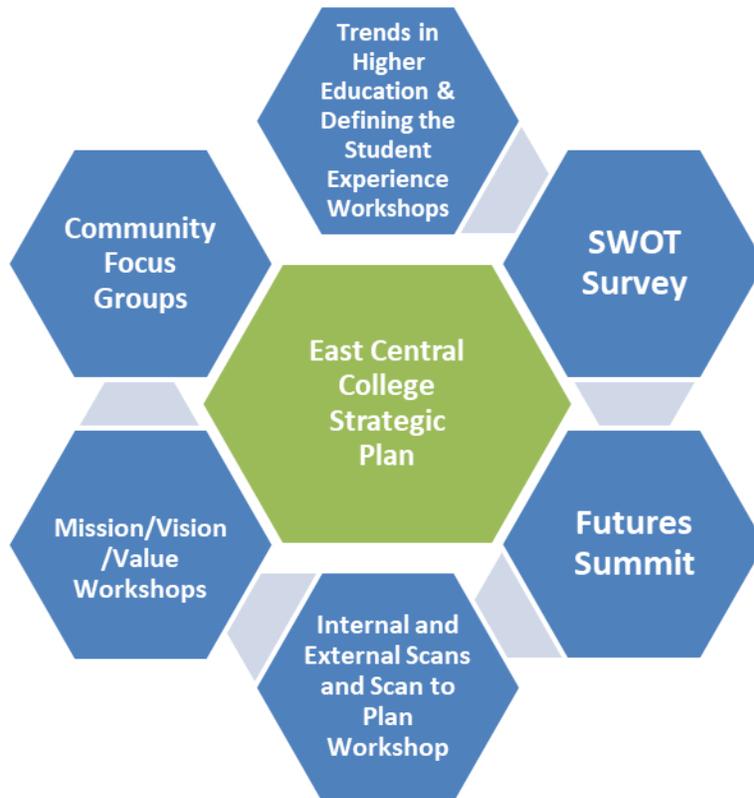


- Creating numerous opportunities for individuals to participate
- Engaging in appreciative inquiry
- Listening, synthesizing, engaging, and listening some more

Once the current needs and future opportunities are detailed, CampusWorks experts work with identified stakeholders to review the vision, mission and values of East Central College and determine if changes need to be accommodated to support the long-term horizon strategic plan. CampusWorks consultants then co-author drafts of the strategic plan and work through an iterative process that encapsulates a review, refine and revise process while seeking key stakeholder input from College senior staff and board members. CampusWorks also works to show all participants in the process who assisted in lending their voice how their ideas get incorporated. CampusWorks encourages the College to establish a portal site where information, notices and documents can be accessible to the College community. In addition, CampusWorks will provide status reports to College leadership on the progress of the engagement.

CampusWorks’ philosophy is collaborative. We inculcate a sense of professional pride and accountability in the work effort on the part of all members. Our goal is for staff and consultants alike to realize a sense of ownership for delivering results as an interdependent, highly functioning team: each member of the team recognized as an indispensable, valued and trusted resource.

Strategic Planning Approach – Establishing the Big Picture

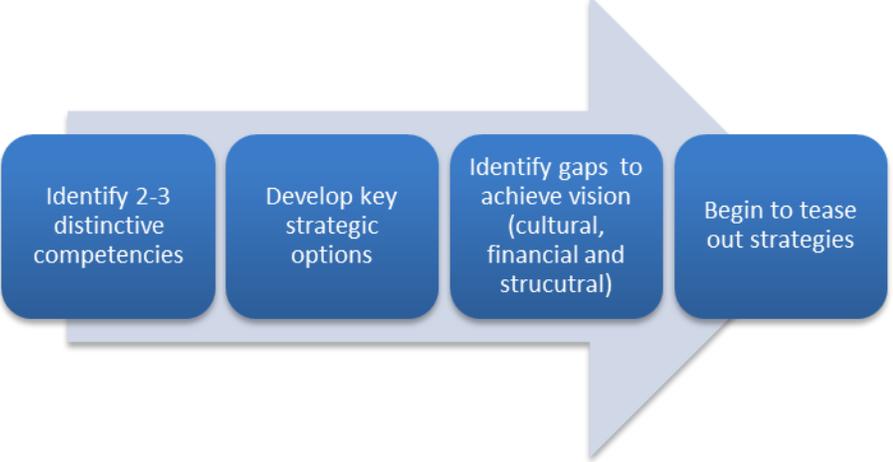


| Project Activity | Description |
|---|---|
| Schedule/Planning | CampusWorks will assign a Team Lead who will lead the discussion with the East Central College leadership and Strategic Planning Committee to plan the effort, align with the proposed specific project schedule, select committees and identify focus groups. |
| Analysis of Available Documentation (Analysis and review of documents occurs prior to the onsite visit) | <p>The CampusWorks Team Lead will work with the College on a list of material to review in advance of the onsite visit. CampusWorks suggests the following documents be included:</p> <ul style="list-style-type: none"> • Current Strategic Planning Documents • Enrollment Plan • Master Plan • Foundation Capital Campaign plans • Accreditors' reports • Assessments, reports, and planning documents • Report to the Community • Audit reports and accompanying management letters from the past three years • Latest financial aid FISOP • College catalogs • Board minutes for last 12 months • Listing of top 10 major off-campus partnerships • Listing of high schools served • List of major businesses served through workforce development services • Institutional Research Plan and other existing reports from the Office of Institutional Research including Fact Books and Research Briefs • Organizational documents such as the College budget, capital projects plan and organizational chart • Local economic growth data related to current and future industry needs |
| All-Campus Kickoff and Constituent Communication re Strategic Planning Process | CampusWorks recommends an initial session with selected members of the East Central College community so the appropriate members of the leadership team can set the stage for the project and introduce the CampusWorks team. The CampusWorks Team Lead will provide a brief presentation on the scope and methodology of the project, introduce the project team, and confirm the project schedule. Communication from the President's office would be sent out prior to CampusWorks arrival. This session can also be extended to serve as an early feedback collection session. |
| Workshop Series | <p>CampusWorks facilitates a number of visioning workshops for an institution-wide audience, as described below.</p> <p>Trends in Higher Education</p> <ul style="list-style-type: none"> • Facilitated discussion on trends, best practices and future changes in higher education and specifically community colleges • Open minds to the broader higher education environment and stimulate thinking |

| | |
|---|--|
| | <p>Defining the Student Experience</p> <ul style="list-style-type: none"> • Student and faculty engagement in this workshop is of paramount importance. • Workshop designed to develop and document a consistent student experience throughout the institution. The student experience vision statement will become the charter for the development of the strategic plan • CampusWorks develops a 1-page description of the desired student experience. This document is foundational in the further development of the strategic plan. The workshop is both a unifying and catalyzing event for the organization. |
| Board Workshop | This facilitated discussion with the Board of Trustees will set the stage for the strategic planning process and engage the Board. The Board is encouraged to participate in the internal and public events that will be held throughout the process as well. |
| SWOT Survey | <p>CampusWorks will develop a survey to be distributed college-wide. The survey results will contribute to the SWOT analysis that is a building block for developing a strong vision and strategic objectives. CampusWorks will compile the results of the SWOT survey and work with the Planning Committee to identify key themes/topics for the Futures Summit.</p> <p>Surveys are used throughout the strategic planning process to ensure maximum participation from constituents. It may be difficult for individuals to participate in all in-person activities and the survey process allows the College to hear many voices that might otherwise be silent.</p> |
| Community Presentation | <p>These presentations will prepare community groups (Rotary, associations, business/industry, municipalities, school districts, community groups, etc.) for the Futures Summit and generate interest. Businesses and associations will learn about East Central College's approach to strategic planning and be invited to participate in the Futures Summit. CampusWorks will draft a presentation that can be given by the President, Cabinet and/or Strategic Planning Committee members.</p> <p>Organizations with new leadership or stale relationships with key community organizations often leverage this “road show” to advertise the Future Summit and to engage external constituents in their thinking about the inextricable ties from their organizations to the College.</p> |
| Reading and/or engaging activity | Keeping the community engaged during the strategic planning process is essential to their ultimate buy in of the strategic plan. Education is essential to move from present-day notions to ideation. These reading and engaging activities are designed to keep information flowing and create “learning shots” for the internal community. |
| Future Summit Planning (signature event) | CampusWorks will lead an orientation for focus group facilitators. This video training meeting will prepare the group facilitators to support focus group sessions at the Futures Summit. |
| Future Summit (signature event) | This signature event will bring together internal and external constituents to be educated on future trends associated with key opportunities identified in the SWOT and early focus groups. In a large conference-type session these |

| | |
|----------------------------------|---|
| | <p>constituents will be engaged in “Ed Talks” to garner baseline knowledge on the hottest topics to be considered by ECC as they look toward the future. Participants in the Summit will then break into small workgroups to apply their learnings to ECC as it relates to the College’s future vision and develop 2-3 impact statements that will feed the strategy development process.</p> <p>The outcomes of the signature event include engagement of all constituent groups, enhanced corporate engagement in workforce development and planning with East Central College, shared vision among constituents for the challenges and opportunities that face the College and the region.</p> <p>CampusWorks collaborates with East Central College’s Strategic Planning Committee and does as much of the heavy lifting for this event as the College deems appropriate, following are the tasks CampusWorks typically undertakes as part of our engagement with the Strategic Planning Committee:</p> <ul style="list-style-type: none"> • Identification of topics for Future Summit (final selections by the Strategic Planning Committee) • Assistance in identification and recruitment of speakers • Collaboration with College marketing personnel to “get the word out” • Recommendations to ensure maximum internal participation • Preparation of speakers • Training/orientation of College facilitators for breakout sessions during the Summit • Program/agenda development for the day’s events, including onsite and at-a-distance considerations • Discussion and development of satellite events associated with the signature event • Collaboration and readying of the Board and President for their participation in the Summit • Coordination with College logistics personnel to ensure a smooth, quality event • Post-event survey |
| The Scan | <p>Following the Future Summit, CampusWorks will synthesize the impact statements developed in the Future Summit breakout sessions, as well as other information collected to date and develop a list of topics in collaboration with the Planning Committee for further research. We refer to this part of the process as the Scan. Following is our typical scan approach.</p> |
| LISTEN: Internal Scan | <p>Assess those things within the College’s control that can be allocated to achieve goals & objectives</p> <p>Internal committee meetings & focus groups</p> <ul style="list-style-type: none"> ▪ Review College -wide survey results ▪ Facilitated group discussions with key College committees of internal & external stakeholders <ul style="list-style-type: none"> – Faculty, staff, alumni, business professionals, trustees – Student focus groups |

| | |
|---|---|
| <p>LOOK: External Environmental Scan</p> | <p>Assess forces outside the College that present opportunities or threats External scan teams meet, given charters, orientation External scanning research conducted</p> <ul style="list-style-type: none"> ▪ College performance against industry benchmarks ▪ Review of key competitors ▪ Trends in higher education both in and outside the peer group <ul style="list-style-type: none"> – Community College trends – Student services/experiences – Instruction & delivery – Programs – Missouri economic forecast – Enrollment trends – Student learning – Student satisfaction & retention ▪ Workforce demands in the geographic service area <p>Method:</p> <ul style="list-style-type: none"> ▪ Institutional teams assigned to conduct the research and present their findings to committee ▪ Teams to recommend 2-4 “impact” areas for the College |
| <p>Presentation of Impact Statements</p> | <p>Objectives:</p> <ul style="list-style-type: none"> ▪ Engagement of constituents ▪ Information “download” to inform development of strategic objectives ▪ All background documents/research to be saved in repository ▪ Highlight key considerations in the development of strategies for 2025 <p>Method:</p> <ul style="list-style-type: none"> ▪ Teams present internal/external scan results and impact statements in a structured format to committee ▪ CampusWorks to provide template for presentations <p>By design, a powerful outcome of the Scan Teams is a cadre of individuals throughout the College who are well educated about the challenges and opportunities that face the College and are vested in the strategic planning process and ultimately the execution of the strategies.</p> |
| <p>Scan to Plan Workshop</p> | <p>Using information from Scan Teams, focus groups and SWOT:</p> |

| | |
|---|--|
| |  |
| <p>Mission, Vision and Values: Board Session</p> | <p>CampusWorks will be onsite to work with the College’s Board of Trustees to review and refresh the College’s mission and vision in light of the information and trends that have emerged in the activities to date.</p> <p>Many strategic planning methodologies lead with mission and vision. CampusWorks understands that it is difficult to create fresh views of the future without being exposed to new possibilities and believes looking at the mission of the organization after leadership has heard constituent voices, been immersed in future and trend conversations will lead to a clearer idea of what East Central College must be to be relevant in the next decade.</p> <p>The vision workshop often occurs as a separate event. The timing is dependent on the Board’s internal alignment and progress on the mission statement.</p> <p>CampusWorks sees the mission and vision as complementary.</p> |
| <p>Mission, Vision and Values: Survey</p> | <p>Once drafted, the mission and vision will go through an iterative process with the Board, College leadership and then the constituents. Online surveys are most helpful in gathering qualitative feedback from large groups for this purpose.</p> <p>CampusWorks sees establishing the mission and vision for the College as the Board’s responsibility in collaboration with College leadership. The Board should drive the mission and vision and formally approve it.</p> <p>CampusWorks sees the Values of the organization as “owned” by those who work in the organization. Finalizing these values is leadership’s responsibility; however, strong voice in the development of the values must come from faculty, staff and administrators. Depending on the inculcation of the current values at ECC, CampusWorks will schedule activities to create or review or refresh the values.</p> <p>From CampusWorks’ perspective, values will help to drive the execution of the strategies detailed in the strategic plan.</p> |

| | |
|---|--|
| Draft Strategy Statements | In collaboration with the Strategic Planning Committee, CampusWorks will draft strategy statements. These statements will be reviewed by College leadership and subsequently shared with internal constituents for feedback and commentary via survey. |
| Community Focus Groups | Community focus groups will be held to gather feedback on vision, mission and strategies. This is a great opportunity to reengage external constituents in the process. They see the progress and provide input, and, most importantly, are further educated to East Central College’s direction and their symbiotic role in it. |
| Revised strategies & next level objectives | CampusWorks will draft the revised strategies and next level objectives to be reviewed with the Planning Committee. Planning Committee members will be assigned tasks to finalize strategies, objectives and timeframes. |
| Collaboratively Develop a Strategic Plan that is widely embraced and aligns with budget, enrollment, master plan | CampusWorks will perform a detailed analysis of the data collected during the focus groups; workshops and document review to provide the College with the draft strategic plan and associated recommendations. The data will also be compared to appropriate best practices and benchmarks in higher education. Details on the strategic planning project action plan are provided below. |
| Co-author a Sustainable, Authentic Implementation Plan | The <i>strategic</i> aspect of the planning process typically closes with defined strategic objectives. CampusWorks goes one step further as organizations can overburden themselves by defining and committing to too many tactics to support these objectives. Colleges tend to fall prey to being certain the plan includes “one of everything” and the result is thin, incomplete accomplishments across a wide band of areas. CampusWorks counsels clients to maintain focus and identify 2-3 key items that are College inclusive and have measurable impact on the College’s ability to thrive. In collaboration with the college, CampusWorks will develop the implementation plan approach that best suits the needs of the College. The CampusWorks team will work in tandem with the College’s team to draft the materials to support the plan. |
| Leadership Development for Planning Committee | A hallmark of a CampusWorks engagement is knowledge transfer. Our clients rave about our ability to deliver strong results according to the scope of work, <i>and</i> to advance the knowledge and skills of the individuals with whom we work closely. The approach to developing engaging activities and group techniques is often a sustainable outcome for the task force and one that growing leaders find invaluable. In addition, Liz Murphy and the team will be available for executive consulting throughout the engagement to discuss communication strategies, means to increase participation, and techniques to hone the focus of the strategic plan. Calling upon experiences with other institutions and varied strategic planning models, the CampusWorks team will share varied approaches and decision frameworks. The learnings for those most closely engaged in the project will reach beyond strategic planning to strengthening communication and influencing skills. |

Note: CampusWorks professionals are adept at creating engaging and productive events from a distance, as well. Should your college communities be open to it, we can provide services through live streaming, webinars and other distance technologies.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 10: RENEWAL OF LEASES

Recommendation: To **approve** the renewal of off-campus leases for fiscal year 2018 as follows:

Rolla Technical Center
500 Forum Drive, Rolla \$145,530 annually (*no change*)

Rolla North
2303 North Bishop, Rolla \$106,807.92 annually (*increase of \$4,108*)

Attachment



EAST CENTRAL COLLEGE

To: Dr. Jon Bauer, President

From: Philip E. Pena, Vice President – Finance & Administration 

Date: June 11, 2018

Subject: Off-Campus Lease Renewal for FY19

Each summer, the Board of Trustees is asked to approve lease renewals for our offsite campuses for the upcoming fiscal year. I recommend that the Board approve the following for FY19:

| Offsite Location | Lessor | Annual Lease Amount | Notes | Total Ft ² \$/Ft ² |
|--|--|---------------------|--|---|
| Rolla Technical Center 500 Forum Drive Rolla, MO 65401 | Rolla Public School District No. 31 <i>500A Forum Drive Rolla, MO 65401</i> | \$145,530.00 | No change from FY18 | 8,140ft ² \$17.88/ft ² |
| Rolla North 2303 North Bishop Rolla, MO 65401 | Columbia College <i>1001 Rogers Street Columbia, MO 65218</i> | \$106,807.92 | New rate of \$13.52/ ft ² is effective 11/1/2018 (prior rate \$13.00/ ft ²), increase of \$4,108 for FY19 | 7,900ft ² \$13.52/ft ² |

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 11: VENDING CONTRACT

Recommendation: To **approve** the renewal of vending contracts approved in July 2014 with the following firms for one additional year:

| | |
|--|---|
| Pepsi-Cola, New Haven New Haven, MO | 53.1% bottle commission rate 42.1% can commission rate <i>(no change from current contract)</i> |
| Krueger Vending Sullivan, MO | 23.20% commission rate <i>(no change from current contract)</i> |

Attachment

Memo

To: Jon Bauer, President

From: Melissa Popp, Purchasing Manager

Cc: Phil Pena, VP, Finance & Administration
Annette Moore, Director, Financial Services

RE: Renewal Snack and Beverage Vending Machine Services

The current snack and beverage vending contract is set to expire on June 30, 2018. The recommendation is to renew the existing contracts with Pepsi-Cola, New Haven, MO and Krueger Vending, Sullivan, MO for an additional one year term, as per the original contract approved by the board July, 2014. The commission rates will remain the same: Pepsi-Cola: Bottle – 53.1% and Can – 42.1%, and Krueger: 23.20%.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 12: PREAUTHORIZATION OF GRANT FUNDED PURCHASES

Recommendation: To **authorize** in advance items to be purchased with state vocational enhancement grant funds and Trade Adjustment Assistance Community College and Career Training (TAACCCT) grant funds in order to facilitate purchases that need to be made prior to the start of the fall semester.

Attachment

6/27/2018

Section 12, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601

To: Dr. Jon Bauer, President
From: Philip E. Pena, Vice President – Finance & Administration 
Date: June 4, 2018
Subject: Grant-Funded Purchases

REQUEST TO PRE-AUTHORIZE GRANT FUNDED PURCHASES

This memorandum serves as a request for the Board of Trustees to authorize, in advance, purchases to be made with funding from state and federal grants. Purchases will not exceed the grant funding awarded and the college will follow normal purchasing procedures for competitive quotes, bids, or contract purchasing. As in years past, we will follow up by providing the Board with a list of purchases made with grant funds.

Pre-authorization of these purchases will enable the College to acquire necessary equipment and materials prior to the start of the Fall semester. After the July Board meeting, Trustees will not meet again until after the semester has begun. Potentially some of the purchases to be made will exceed \$15,000 and therefore require Board approval. Pre-authorization serves that purpose.

The Missouri Department of Elementary and Secondary Education will notify the College in June regarding the amount awarded through the Vocational Enhancement Program. These funds typically require a local match of 25% for equipment and 50% for other purchases. The College is also a recipient under the MoSTEM program. Purchases under all of these programs may be necessary this Summer.

Please let me know if you need further information.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 13: INSURANCE BROKER

Recommendation: To **approve** the continuation of J.W. Terrill as the College's employee benefit consultant and broker of record for a term of three fiscal years (2019-2021) at an annual cost of \$30,000, subject to annual approval.

Attachments

6/27/2018

Section 13, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601

BOARD MEMORANDUM

TO: BOARD OF TRUSTEES
FROM: DR. JON BAUER
SUBJECT: INSURANCE BROKER
DATE: JUNE 25, 2018
CC:

This memorandum serves as a recommendation for the Board of Trustees to approve renewing the contract for Employee Benefit Consulting Services and Broker of Record to J.W. Terrill, at an annual cost of \$30,000. The contract is for Fiscal Year 2019, with renewals in FY2020 and 2021 subject to annual board approval.

I have enclosed the memorandum from Wendy Hartmann, which details the recommendation of the Insurance Benefits Committee. The committee recommended renewing with Terrill based on the experience we have had with the firm.

Ms. Hartmann will be available at the board meeting if there are any questions. If approved, the contract would go into effect July 1.

HUMAN RESOURCES

TO: Dr. Jon Bauer
DATE: May 17, 2018
FROM: Wendy A. Hartmann
RE: Employee Benefit Consulting Services, Broker of Record for 2019, 2020, 2021

The College's Insurance Benefits Committee is recommending the continuation of JW Terrill as the College's Insurance Benefits Consultant for 2019, 2020 and 2021 with an annual cost of \$30,000. The College has been working with JW Terrill since August 2015 as the broker processing group benefit renewals that have been below or at budget. They are serving as a liaison between the college and the carriers, and providing guidance in regards to healthcare reform, wellness programming, and benefit options.

In February a Request for Proposals from Employee Benefit Consulting Firms and Brokers was issued. We received eight bids from instate and out of state firms ranging from \$28,000 to \$85,000 annually for services.

The committee met in April to review the proposals and select the finalist. The committee discussed the comparison of the services of JW Terrill and Schroepfer Bauer based on the proposals and experience with the firms. The committee members felt that both firms are able to provide broker services but the Committee strongly believes that the services of JW Terrill meets/exceeds our needs based on our current experience with them since 2015. The committee recognized that Schroepfer Bauer is local and was the low bid by \$2,000 but do not feel that savings justifies the interruption of changing brokers since the committee is very satisfied with the services of JW Terrill.

The committee members voted to make the recommendation to renew with JW Terrill based on current satisfaction of the experienced account team familiar with the College, higher education institutions and public entities. The other considerations included:

- No increase in the cost for their services,
- Medical renewals have been below or at budget (2016 – no increase and no plan changes, 2017 – 3% increase with no plan changes and 2018 – 5% increase with minor formulary changes).
- Current quality of service and professional approach to working with the college employees, the committee, and the Human Resources staff.
- Resources available related to legal advice, education, and training.
- Dedicated wellness coordinator to assist with wellness programming and resources.
- Access to in-house legal, actuary and data analytic representatives
- Firm's ability to work on our behalf to secure the best insurance benefits possible

The committee requests your approval and recommendation to the board of trustees to hire JW Terrill as the College's broker of record at the June 27, 2018 board meeting.

Please let me know if you have any questions or need additional information.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 14: PROFESSIONAL SERVICES AGREEMENTS

Recommendation: To **approve** the renewal of professional service agreements for FY19 as follows:

Legal Services

Tueth, Keeney, Cooper, Mohan & Jackstadt, P.C., St. Louis, MO

Auditing Services

KPM, Springfield, MO

Attachment

6/27/2018

Section 14, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084

(636) 583-5195, Ext. 6502

FAX (636) 583-6601

To: Dr. Jon Bauer, President
From: Philip E. Pena, Vice President – Finance & Administration 
Date: June 4, 2018
Subject: Professional Services for FY19

Each summer the Board of Trustees is asked to approve continued agreements for professional services for the upcoming fiscal year. I recommend that the Board approve the following for FY19:

Legal Services

Tueth, Keeney, Cooper, Mohan & Jackstadt, P.C.
34 North Meramec Avenue, Suite 600
St. Louis, MO 63105

Rates for FY19 will be:

- For partners and of counsel attorneys = \$215 per hour
- For associates = \$150 to \$185 per hour

Rates remain the same as FY18.

Auditing Services

The auditing services were previously approved when the Board accepted the proposal on February 5, 2018 from KPM for fiscal years 2018 – 2020 with 2 one-year options. The cost for the FY18 audit will be \$45,400.

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

**AGENDA ITEM 15: EXTENSION OF MEMORANDUM OF UNDERSTANDING –
CENTRAL METHODIST UNIVERSITY**

Recommendation: To **approve** a revised Memorandum of Understanding for Continuing Facilities Usage with Central Methodist University for FY2019 at a flat rental fee of \$21,500.

Attachments

6/27/2018

Section 15, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601

BOARD RECOMMENDATION

TO: BOARD OF TRUSTEES
FROM: DR. JON BAUER
SUBJECT: 2016-17 LEASE WITH CENTRAL METHODIST UNIVERSITY
DATE: JUNE 20, 2017=8
CC:

Enclosed please find a copy of the proposed lease with Central Methodist University for the 2018-19 academic year. I recommend that the board approve the lease as proposed, at a rate of \$21,500.

East Central College and Central Methodist University have been in partnership for more than 20 years, with CMU offering bachelor's and master's level classes to students on the ECC campus. I reviewed the agreement with CMU staff and they have agreed to the new rate for 2018-19, which represents a 2.38% increase over the previous rate of \$21,000.

We are pleased to continue our partnership with CMU for the benefit of the students in the region. I will be happy to answer any questions you may have.

**Memorandum of Understanding
East Central College and Central Methodist University
For
Continuing Facilities Usage**

For the fiscal year of 2018 (July 1 to June 30), a flat rental fee of \$21,500 for facilities usage at East Central College by Central Methodist University will be imposed. This agreement is effective July 1, 2018.

The annual fee will include room usages of up to an average of 45 credit hours per CMU eight-week session for general classroom usage including fall, spring, and summer; office space for CMU staff; and the use of the theatre for commencement.

The ITV room will not be included in the total credit hours, per the *interconnection Agreement Document* dated May 11, 2001.

If the total room usage exceeds 45 credit hours in a CMU eight-week session, then an additional \$350 usage charge per additional credit hour beyond 45 hours will be assessed.

ECC will bill CMU the flat fee of \$21,000 in December of the fiscal year. Actual room usage will be assessed at the end of the spring term, and any additional charges for room usage will be billed after the final session in May of the fiscal year.

CMU will be responsible for phone, printing, and postage expenses.

This Memorandum of Understanding will be in effect for fiscal year 2017 with an annual renewal. If any annual increases from this established fee schedule are necessary for renewal of this MOU, the increases shall not exceed the CPI-U, January to January, of the previous year and will be capped at 5% unless otherwise agreed to by both parties. It is agreed by both parties that at the end of this time period the Memorandum of Understanding will be fully reviewed by both parties. This Memorandum of Understanding may be cancelled by either party on eight weeks' notice.

East Central College

Signed:

Title:

Date:

Central Methodist University

Signed:

Title:

Date:

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 16: USDA GRANT APPLICATION

Recommendation: To **approve** a resolution authorizing East Central College's participation in the U.S. Department of Agriculture's Rural Economic Development Grant program.

Attachments

6/27/2018

Section 16, Page 1

East Central College

1964 Prairie Dell Road, Union, Missouri 63084
(636) 583-5195, Ext. 6502
FAX (636) 583-6601

MEMORANDUM

To: Dr. Jon Bauer

From: Joel Doepker

Date: 06.20.2018

Re: USDA Grant Resolution: Culinary Arts Department Greenhouse

Please consider this recommendation to the Board of Trustees for the adoption of a resolution concerning the compliance with various requirements to obtain financial assistance from the United States of America, acting through the United States Department of Agriculture, Rural Development (CP Guide 36 – Borrower Certification Form).

This required document is in relation to the USDA Rural Business Development Grant application for the construction of a Greenhouse to support the Culinary Arts program. Consideration for this project request is in the amount of \$70,000.

Final award from the USDA Rural Business Development has not yet been determined; however, to continue the process of consideration for this award, the College must submit the document in reference.

If you should have any further questions, please do not hesitate to let me know.



Joel Doepker
Vice President, External Relations

A RESOLUTION/ORDINANCE OF THE _____ OF
_____ CONCERNING ACCEPTANCE AND COMPLIANCE
WITH VARIOUS REQUIREMENTS TO OBTAIN FINANCIAL ASSISTANCE FROM UNITED STATES OF AMERICA, ACTING
THROUGH THE UNITED STATES DEPARTMENT OF AGRICULTURE, RURAL DEVELOPMENT.

BE IT RESOLVED BY THE _____ OF _____,
MISSOURI, AS FOLLOWS:

Section 1. Definitions.

- A. _____ will also be referenced as “applicant”,
"recipient", "participant", and “grantee” throughout this document.
- B. United States of America, acting through United States Department of Agriculture, Rural
Development, will also be referenced as USDA Rural Development and “RD” throughout this
document.

Section 2. Certifications.

The following listed forms with instructions are attached hereto and fully incorporated as if set forth
herein:

- A. Standard Form 424-B, Assurances – Non Construction Programs.
Standard Form 424-D, Assurances – Construction Programs.
- B. Form RD 400-1, Equal Opportunity Agreement.
- C. Form RD 400-4, Assurance Agreement.
- D. Form AD-1047, Certification Regarding Debarment, Suspension and Other Responsibility Matters –
Primary Covered Transactions.
- E. Form AD-1049, Certification Regarding Drug Free Workplace Requirements (Grants) Alternative I –
For Grantees Other Than Individuals. **This form is applicable only when a USDA grant is being
made.**
- F. Form RD 1910-11, Applicant Certification Federal Collection Policies for Consumer or Commercial
Debts. **This form is applicable only when a USDA loan is being made.**
- G. FmHA Instruction 1940-Q, Exhibit A-1 (8-21-91), Certification for Contracts, Grants and Loans.
- H. Form AD-3030, Representations Regarding Felony Conviction and Tax Delinquent Status for
Corporate Applicants. **This form is applicable to Non Profits Only.**
- I. Form AD-3031, Assurance Regarding Felony Conviction or Tax Delinquent Status for Corporate
Applicants. **This form is applicable to Non Profits Only.**

Section 3. Miscellaneous Provisions.

- A. If any section, subsection or part of this resolution/ordinance, whether large or small, and whether set forth or incorporated herein by reference, is for any reason held invalid, the validity thereof shall not affect the validity of any of the other provisions of this resolution, whether large or small, and whether set forth or incorporated herein by reference.
- B. If any section, subsection or other part of this resolution/ordinance is found to be in conflict with an actual form set forth or referred to herein, the version of the form which is in effect on the date of this instrument will be applicable.
- C. The signature of the _____ and the attestation by the _____ to this resolution/ordinance shall act as the signature and attestation to each and every one of the requirements and forms set for and incorporated by reference in the sections and subsections of this resolution/ordinance as fully as if signed and attested to on individual documents or forms for each.

Section 4. Notice to Applicant.

- A. The applicant is given notice and hereby acknowledges the following:
Applicants are required to identify any known relationship or association with a Rural Development employee. This would include family members, known close relatives, business associates or known close personal associates. IN these cases, arrangements will be made for special handling of processing and servicing actions as required by CFR Part 1900 Subpart D. It will not affect your account status.

This Resolution/Ordinance shall be in full force and effect from and after its passage and approval.

PASSED on: _____.

The vote was: Yeas _____ Nays _____ Absent _____

(OFFICIAL SEAL)

Signature

Title

Attested by:

Signature

Title

CERTIFICATE

I, the undersigned, as _____ of _____
Do hereby certify that the _____ is composed of _____
Members, of whom _____, constituting a quorum, were present at a meeting thereof duly
called and held on the date passed; that the foregoing Resolution/Ordinance was adopted at such meeting by
the vote shown above; that the passage of the foregoing Resolution/Ordinance is reflected in the official
minutes of the said meeting; and that the Resolution/Ordinance has not been rescinded or amended in any way.

Dated: _____.

Signature

Title

CONFLICT OF INTEREST

To assure the high standards of honesty, integrity and impartiality maintained by Federal employees, we ask you to identify any relative or close associate of yours who is also a Rural Development employee.

Your response will not affect your application status, but would allow us to make special provisions for processing.

If there are no conflicts, this form may be left blank, as it is not applicable.

Name of Organization

Official

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a -1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

| | |
|---|-------------------------|
| <p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p style="text-align: center;">No Signature Required</p> | <p>* TITLE</p> |
| <p>* APPLICANT ORGANIZATION</p> | <p>* DATE SUBMITTED</p> |

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Approval No. 4040-0009
Expiration Date 07/30/2010

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-1 33, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

| | |
|---|-----------------|
| *SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL No Signature Required | *TITLE |
| *APPLICANT ORGANIZATION | *DATE SUBMITTED |

EQUAL OPPORTUNITY AGREEMENT

This agreement, dated _____ between _____

(herein called "Recipient" whether one or more) and United States Department of Agriculture (USDA), pursuant to the rules and regulations of the Secretary of Labor (herein called the 'Secretary') issued under the authority of Executive Order 11246 as amended, witnesseth:

In consideration of financial assistance (whether by a loan, grant, loan guaranty, or other form of financial assistance) made or to be made by the USDA to Recipient, Recipient hereby agrees, if the cash cost of construction work performed by Recipient or a construction contract financed with such financial assistance exceeds \$10,000 - unless exempted by rules, regulations or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order 11246 of September 24, 1965.

1. To incorporate or cause to be incorporated into any contract for construction work, or modification thereof, subject to the relevant rules, regulations, and orders of the Secretary or of any prior authority that remain in effect, which is paid for in whole or in part with the aid of such financial assistance, the following "Equal Opportunity Clause":

During the performance of this contract, the contractor agrees as follows:

- (a) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex or national origin. Such action shall include, but not be limited, to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the USDA setting forth the provisions of this nondiscrimination clause.
- (b) The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.
- (c) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the USDA, advising the said labor union or workers' representative of the contractor's commitments under this agreement and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- (d) The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of all rules, regulations and relevant orders of the Secretary of Labor.
- (e) The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, rules, regulations, and orders, or pursuant thereto, and will permit access to his books, records, and accounts by the USDA Civil Rights Office, and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (f) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be cancelled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order No. 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order No. 11246 of September 24, 1965, or by rule, regulation or order of the Secretary of Labor, or as otherwise provided by Law.
- (g) The contractor will include the provisions of paragraph 1 and paragraph (a) through (f) in every subcontract or purchase order, unless exempted by the rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the USDA may direct as a means of enforcing such provisions, including sanctions for noncompliance: Provided, however, that in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the USDA, the contractor may request the United States to enter into such litigation to protect the interest of the United States.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collections is 0575-0018. The time required to complete this information collection is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

2. To be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: Provided, that if the organization so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the contract.
3. To notify all prospective contractors to file the required 'Compliance Statement', Form RD 400-6, with their bids.
4. Form AD-425, Instructions to Contractors, will accompany the notice of award of the contract. Bid conditions for all nonexempt federal and federally assisted construction contracts require inclusion of the appropriate "Hometown" or "Imposed" plan affirmative action and equal employment opportunity requirements. All bidders must comply with the bid conditions contained in the invitation to be considered responsible bidders and hence eligible for the award.
5. To assist and cooperate actively with USDA and the Secretary in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and rules, regulations, and relevant orders of the Secretary, that will furnish USDA and the Secretary such information such as , but not limited to, Form AD-560, Certification of Nonsegregated Facilities, to submit the Monthly Employment Utilization Report, Form CC-257, as they may require for the supervision of such compliance, and that it will otherwise assist USDA in the discharge of USDA's primary responsibility for securing compliance.
6. To refrain from entering into any contract or contract modification subject to such Executive Order 11246 of September 24, 1965, with a contractor debarred from, or who has not demonstrated eligibility for, Government contracts and Federally assisted construction contracts pursuant to the Executive Order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by USDA or the Secretary of Labor pursuant to Part II, Subpart D, of the Executive Order.
7. That if the recipient fails or refuses to comply with these undertakings, the USDA may take any or all of the following actions: Cancel, terminate, or suspend in whole or in part this grant (contract, loan, insurance, guarantee); refrain from extending any further assistance to the organization under the program with respect to which the failure or refund occurred until satisfactory assurance of future compliance has been received from such organization; and refer the case to the Department of Justice for appropriate legal proceedings.

Signed by the Recipient on the date first written above.

No Signature Required

 Recipient

No Signature Required

 Recipient

(CORPORATE SEAL)

 Name of Corporate Recipient

Attest:

 Secretary

By _____
 President

ASSURANCE AGREEMENT
(Under Title VI, Civil Rights Act of 1964)

The _____
(name of recipient)

Not applicable at this time.

(address)

("Recipient" herein) hereby assures the U. S. Department of Agriculture that Recipient is in compliance with and will continue to comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d et. seq.), 7 CFR Part 15, and Rural Housing Service, Rural Business-Cooperative Service, Rural Utilities Service, or the Farm Service Agency, (hereafter known as the "Agency") regulations promulgated thereunder, 7 C.F.R. § 1901.202. In accordance with that Act and the regulations referred to above, Recipient agrees that in connection with any program or activity for which Recipient receives Federal financial assistance (as such term is defined in 7 C.F.R. § 14.2) no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination.

1. Recipient agrees that any transfer of any aided facility, other than personal property, by sale, lease or other conveyance of contract, shall be, and shall be made expressly, subject to the obligations of this agreement and transferee's assumption thereof.
2. Recipient shall:
 - (a) Keep such records and submit to the Government such timely, complete, and accurate information as the Government may determine to be necessary to ascertain our/my compliance with this agreement and the regulations.
 - (b) Permit access by authorized employees of the Agency or the U.S. Department of Agriculture during normal business hours to such books, records, accounts and other sources of information and its facilities as may be pertinent to ascertaining such compliance.
 - (c) Make available to users, participants, beneficiaries and other interested persons such information regarding the provisions of this agreement and the regulations, and in such manner as the Agency or the U. S. Department of Agriculture finds necessary to inform such persons of the protection assured them against discrimination.
3. The obligations of this agreement shall continue:
 - (a) As to any real property, including any structure, acquired or improved with the aid of the Federal financial assistance, so long as such real property is used for the purpose for which the Federal financial assistance is made or for another purpose which affords similar services or benefits, or for as long as the Recipient retains ownership or possession of the property, whichever is longer.
 - (b) As to any personal property acquired or improved with the aid of the Federal financial assistance, so long as Recipient retains ownership or possession of the property.
 - (c) As to any other aided facility or activity, until the last advance of funds under the loan or grant has been made.
4. Upon any breach or violation this agreement the Government may, at its option:
 - (a) Terminate or refuse to render or continue financial assistance for the aid of the property, facility, project, service or activity.
 - (b) Enforce this agreement by suit for specific performance or by any other available remedy under the laws of the United States or the State in which the breach or violation occurs.

Rights and remedies provided for under this agreement shall be cumulative.

In witness whereof, _____ on this
(name of recipient)

date has caused this agreement to be executed by its duly authorized officers and its seal affixed hereto, or, if a natural person, has hereunto executed this agreement.

(SEAL)

Recipient

Date

Attest: _____

Title

Title

U.S. DEPARTMENT OF AGRICULTURE

**Certification Regarding Debarment, Suspension, and Other
Responsibility Matters - Primary Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

No Signature Required

Signature(s)

Date

Form AD-1047 (1/92)

Instructions for Certification

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

U.S. DEPARTMENT OF AGRICULTURE

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS) ALTERNATIVE I - FOR GRANTEES OTHER THAN INDIVIDUALS

This certification is required by the regulations implementing Section 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D: 41 U.S.C. 701 et seq.), 7 CFR Part 3017. Subpart F, Section 3017.600, Purpose. The January 13, 1989, regulations were amended and published as Part II of the May 25, 1990 Federal Register (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON PAGE 3)

Alternative I

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by:**
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;**
 - (b) Establishing an ongoing drug-free awareness program to inform employees about -**
 - (1) The dangers of drug abuse in the workplace;**
 - (2) The grantee's policy of maintaining a drug-free workplace;**
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and**
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.**
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);**
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -**
 - (1) Abide by the terms of the statement; and**
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;**
 - (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position**

AD-1049 (REV 5/90)

title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check If there are workplaces on file that are not identified here.

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

No Signature Required

Signature

Date

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this form, the grantee is providing the certification set out on pages 1 and 2.
2. The certification set out on pages 1 and 2 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s). If it previously identified the workplaces in question (see paragraph three).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or States criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) all "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g. volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces)

UNITED STATES DEPARTMENT OF AGRICULTURE
RURAL DEVELOPMENT

APPLICANT CERTIFICATION
FEDERAL COLLECTION POLICIES FOR CONSUMER OR COMMERCIAL DEBTS

The Federal Government is authorized to check credit information about the applicant(s) including using the federal Credit Alert Interactive Voice Response System (CAIVRS) or its successors to check to see if the applicant(s) are delinquent or in default on a Federal debt.

The Federal Government is also authorized by law to take any or all of the following actions in the event your loan payments become delinquent or you default on your loan:

- Report your name and account information to a credit reporting agency, and the Credit Alert Interactive Voice Response System (CAIVRS).
- Assess interest and penalty charges for the period of time that payment is not made.
- Assess charges to cover additional administrative costs incurred by the government to service your account.
- Offset amounts to be paid to you from your Federal income tax refund.
- Offset amounts to be paid to you under other Federal Programs.
- Refer your account to a private collection agency to collect the amount due.
- Foreclose on any security you have given for the loan.
- Pursue legal action to collect through the courts.
- Report any written off debt to the Internal Revenue Service as taxable income.
- If you are a current or retired Federal employee, take action to offset your salary, or civil service retirement benefits.
- Debar or suspend you from doing business with the Federal Government either as a participant or principal throughout the executive branch of the Federal Government for the period of debarment or suspension.
- Refer any debt that is delinquent to the Treasury Offset Program (TOP) in accordance with the Debt Collection Improvement Act of 1996.
- Refer any eligible debt that is delinquent to the Treasury for cross servicing in accordance with the Debt Collection Improvement Act of 1996.
- Garnish your wages as allowed by the Debt Collection Improvement Act of 1996.

Any or all of these actions may be used to recover any debts owed when it is determined to be in the interest of the Government to do so.

CERTIFICATION: I/we have read and I/we understand the actions the Federal Government may take in the event that I/we fail to meet my/our scheduled payments in accordance with the terms and conditions of my/our agreement. I/we understand that the above list is not all inclusive and that the Federal Government may deem additional actions necessary to collect should I/we become delinquent.

| | | | |
|---------------------------|--------|---------------------------|--------|
| (Signature-Individual(s)) | (Date) | (Signature-Individual(s)) | (Date) |
|---------------------------|--------|---------------------------|--------|

| | | |
|--------|--------|---|
| (SEAL) | (Date) | (Name of Applicant) |
| | | No Signature Required |
| | | (Signature of Authorized Entity Official) |

ATTEST:

No Signature Required

(Signature of Attesting Official)

(Title of Attesting Official)

(Title of Authorized Entity Official)

(Address)

(City, State, and Zip Code)

CERTIFICATION FOR CONTRACTS, GRANTS AND LOANS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant or Federal loan, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant or loan.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant or loan, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subcontracts, and subgrants under grants and loans) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(name)

(date)

(title)

oOo

AD-3030
 (05-15-13)

U.S. DEPARTMENT OF AGRICULTURE

**REPRESENTATIONS REGARDING FELONY CONVICTION
 AND TAX DELINQUENT STATUS FOR CORPORATE APPLICANTS**

You only need to complete this form if you are a corporation. A corporation is any entity that has filed articles of incorporation in one of the 50 States, the District of Columbia, or the various territories of the United States including American Samoa, Federated States of Micronesia, Guam, Midway Islands, Northern Mariana Islands, Puerto Rico, Republic of Palau, Republic of the Marshall Islands, or the U.S. Virgin Islands. Corporations include both for profit and non-profit entities.

NOTE: *The following statement is made in accordance with the Privacy Act of 1974 (5 U.S.C. 552(a), as amended). The authority for requesting the following information for USDA Agencies and staff offices is in §738 and 739 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012, P.L. 112-55 and subsequent similar provisions. The information will be used to confirm applicant status concerning entity conviction of a felony criminal violation, and/or unpaid Federal tax liability status.*

According to the Paperwork Reduction Act of 1985 an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0505-0025. The time required to complete this information collection is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. RETURN THIS COMPLETED FORM TO YOUR COUNTY FSA OFFICE.

PART A – APPLICANT (You must complete this form if you are a Corporation)

| | | |
|---------------------|---|-------------------------------|
| 1. APPLICANT'S NAME | 2. APPLICANT'S ADDRESS (Including Zip Code) | 3. TAX ID NO. (Last 4 digits) |
|---------------------|---|-------------------------------|

4A. Has the Applicant been convicted of a felony criminal violation under Federal or State law in the 24 months preceding the date of application? YES NO

4B. Has any officer or agent of Applicant been convicted of a felony criminal violation for actions taken on behalf of Applicant under Federal or State law in the 24 months preceding the date of application? YES NO

4C. Does the Applicant have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability? YES NO

Providing the requested information is voluntary. However, failure to furnish the requested information will make the applicant ineligible to enter into a contract, memorandum of understanding, grant, loan, loan guarantee, or cooperative agreement with USDA.

PART B – SIGNATURE

| | | |
|---|--|------------------------------|
| 5A. APPLICANT'S SIGNATURE (BY) No Signature Required | 5B. TITLE/RELATIONSHIP OF THE INDIVIDUAL IF SIGNING IN A REPRESENTATIVE CAPACITY | 5C. DATE SIGNED (MM-DD-YYYY) |
|---|--|------------------------------|

The U.S. Department of Agriculture (USDA) prohibits discrimination against its customers, employees, and applicants for employment on the bases of race, color, national origin, age, disability, sex, gender identity, religion, reprisal, and where applicable, political beliefs, marital status, familial or parental status, sexual orientation, or all or part of an individual's income is derived from any public assistance program, or protected genetic information in employment or in any program or activity conducted or funded by the Department. (Not all prohibited bases will apply to all programs and/or employment activities.) Persons with disabilities, who wish to file a program complaint, write to the address below or if you require alternative means of communication for program information (e.g., Braille, large print, audiotape, etc.) please contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). Individuals who are deaf, hard of hearing, or have speech disabilities and wish to file either an EEO or program complaint, please contact USDA through the Federal Relay Service at (800) 877-8339 or (800) 845-6136 (in Spanish).

If you wish to file a Civil Rights program complaint of discrimination, complete the USDA Program Discrimination Complaint Form, found online at http://www.ascr.usda.gov/complaint_filing_cust.html, or at any USDA office, or call (866) 632-9992 to request the form. You may also write a letter containing all of the information requested in the form. Send your completed complaint form or letter by mail to U.S. Department of Agriculture, Director, Office of Adjudication, 1400 Independence Avenue, S.W., Washington, D.C. 20250-9410, by fax (202) 690-7442 or email at program.intake@usda.gov. USDA is an equal opportunity provider and employer.

AD-3031

U.S. Department of Agriculture
ASSURANCE REGARDING FELONY CONVICTION
OR TAX DELINQUENT STATUS FOR CORPORATE APPLICANTS

NOTE: The following statement is made in accordance with the Privacy Act of 1974 (5 USC 55a – as amended). The authority for requesting the following information for USDA agencies and offices is in sections 738 and 739 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012, P.L. 112-55, and subsequent similar provisions. The information will be used to document compliance with appropriations restrictions.

According to the Paperwork Reduction Act of 1995 an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number of this information collection is 0505-0025. The time required to complete this information collection is estimated to average 3 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The provisions of appropriate criminal and civil fraud, privacy, and other statutes may be applicable to the information provided.

This award is subject to the provisions contained in the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012, P.L. 112-55, Division A, Sections 738 and 739 for USDA agencies and offices (except Forest Service) regarding corporate felony convictions and corporate federal tax delinquencies.

Accordingly, by accepting this award the recipient acknowledges that it: (1) does not have a tax delinquency, meaning that it is not subject to any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, and (2) has not been convicted (or had an officer or agent acting on its behalf convicted) of a felony criminal violation under any Federal or State law within 24 months preceding the award, unless a suspending and debarring official of the United States Department of Agriculture has considered suspension or debarment of the recipient corporation, or such officer or agent, based on these convictions and/or tax delinquencies and determined that suspension or debarment is not necessary to protect the interests of the Government. If the recipient fails to comply with these provisions, the agency will annul this agreement and may recover any funds the recipient has expended in violation of sections, 738 and 739.

No Signature Required

APPLICANT'S SIGNATURE (BY)

TITLE/RELATIONSHIP OF THE INDIVIDUAL IF SIGNING IN A REPRESENTATIVE CAPACITY

BUSINESS NAME

DATE SIGNED (MM-DD-YYYY)

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**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 17: BUDGET/STAFFING PLAN UPDATE

An update will be provided on the status of budget/staffing plan development for Fiscal Year 2019. It is anticipated the final budget will be presented for approval at the July 19, 2018 Board meeting.

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East Central College

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**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
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AGENDA ITEM 18: JOHNSON CONTROLS CONTRACT UPDATE

Vice President Phil Pena will provide an update on efficiencies realized through the performance contract with Johnson Controls that was approved in February 2017.

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**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 19: *PERSONNEL

A. APPOINTMENTS

Recommendation: To **approve** the appointment of Stephanie Hebert as the Business Analyst, Enrollment Services effective July 2, 2018 with an annual salary of \$48,000.

Recommendation: To **approve** the reappointment of the Mary Buckey as Instructor, Reading on an annual contract for the 2018-19 academic year.

Recommendation: To **approve** the appointment of Dr. Michelle Smith as Executive Director, Institutional Effectiveness effective August 1, 2018 with an annual salary of \$72,000.

B. ADJUNCT FACULTY – SUMMER 2018

Recommendation: To **approve** the appointment of adjunct faculty for the Summer 2018 semester as listed in the attached memorandum.

Attachments

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East Central College

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Interoffice Memo
HUMAN RESOURCES

TO: Dr. Jon Bauer, College President
DATE: June 19, 2018
FROM: Wendy Hartmann, Director
RE: Recommendation to Hire – Business Analyst, Enrollment Services

Please accept the Search Committee's recommendation to hire Mrs. Stephanie Hebert as the Business Analyst, Enrollment Services effective July 2, 2018 with an annual salary of \$48,000.00. Sarah Scroggins, Registrar, served as search committee chair and is the hiring manager for this position. Shelli Allen, Vice President of Student Development, approved the recommendation to hire.

Mrs. Stephanie Hebert's experience includes, but is not limited to the following:

- Coordinator, Student Services at East Central College, 2012 to current
- Generalist at East Central College, 2010-2012
- Registration Assistant at East Central College, 2005-2010

Mrs. Hebert received her Bachelor's Degree from Truman State University and has been employed at East Central College for 12 years. She has proficient knowledge in the Ellucian/Colleague system as well as Informer and ImageNow.

/wh



**Interoffice Memo
President's Office**

TO: Board of Trustees
DATE: June 19, 2018
FROM: Dr. Jon Bauer, President
RE: Reappointment of Full-Time Faculty – FY19

This memo serves as a recommendation for reappointment of faculty member Mary Buckey on an annual contract as a Reading Instructor for FY19.

Approval Signature:

A handwritten signature in black ink, appearing to read "Jon Bauer", is written over a horizontal line.

Dr. Jon Bauer, President

BOARD MEMORANDUM

TO: BOARD OF TRUSTEES
FROM: DR. JON BAUER
SUBJECT: EXECUTIVE DIRECTOR, INSTITUTIONAL EFFECTIVENESS
DATE: JUNE 25, 2018
CC: WENDY HARTMANN

This memorandum serves as a recommendation to name Dr. Michelle L. Smith as the Executive Director of Institutional Effectiveness, effective August 1, 2018, at a salary of \$72,000.

Since 2012, Dr. Smith has served as the data and web coordinator for Missouri Professional Learning Communities. In that role, she is responsible for collecting and analyzing data from hundreds of schools across Missouri. She has coordinated program evaluation of MO PLC, facilitated data-based decision making, assessed implementation of best practices in exemplary school districts, and maintained web and technological resources for the organization. MO PLC serves school districts around Missouri. From 2004 to 2012 she served the South Central Regional Professional Development Council, based in Rolla. Prior to that, she was an elementary educator.

Dr. Smith holds an Ed.D. in Educational Leadership and Policy Analysis, an M.S. in Curriculum and Instruction, and a B.S. in Elementary Education, all from the University of Missouri-Columbia.

The search committee for the position was chaired by Greg Stotler, and included Erin Anglin, John Hardecke, Stephanie Hebert, Bethany Lohden, Nancy Mitchell and Phil Pena.

I am pleased to present this recommendation for your consideration.



EAST CENTRAL COLLEGE

Interoffice Memo

TO: Dr. Jon Bauer
DATE: June 1, 2018
FROM: Office of Academic Affairs
RE: Adjuncts for Summer Semester 2018

Please approve the following adjuncts for the 2018 Summer semester.

Nursing and Allied Health

Rechell Alcorn, EMT
Theresa Briggs, EMT
Lucy Crain, Health Science
Amber Dunn, MDA

Tom Fitts, EMT
Jenifer Goodson, EMT
Lisa Korn, EMT

Career and Technical Education

Jason Durbin, CIS
Curtis Elliott, Machine Tool
Matthew Graham, Business
Lisa Hanneken, Business

Mike Palazzola, Culinary
Alison Plaster, Business
Anna Schwein, CIS

Math/Engineering/Science

Reginald Brigham, Math
Elizabeth Cantrell, Biology
Kevin Dixon, Biology
Parvatha Govindaswamy, Biology
Teri Haas, Mathematics
Sarah Havens, Biology

Anne Mentz, Mathematics
Tracy Mowery, Biology
Keith Pulles, Biology
Shaun Roberson, Mathematics
Laura Roselli Insall, Mathematics
Elizabeth Winters-Rozema, Biology

Humanities and Fine Arts

John Anglin, Theatre
Linda Barro, English
Aaron Bounds, Music
Mary Buckey, English
Shanee Haynes, Communications
Susan LaFayette, English

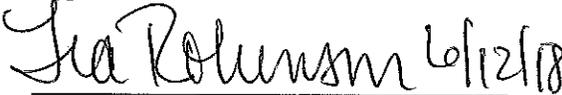
Gary Powers, Art
Juanita Schuler, Art
Josh Stroup, English
Chris Swanson, Communications
Patsy Watts, English

Social Sciences

Kristen Adams, Psychology
Erin Anglin, Psychology
Coreen Derifield, History
Susan Giesing, Education
Matthew Gifford, Philosophy

Rachel Howard, Psychology
Wendy Pecka, Psychology
Dennis Pohlman, History
Jessica Robart, Sociology

Approval:


Vice President, Academic Affairs Date


Director, Human Resources Date

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
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AGENDA ITEM 20: BOARD PRESIDENT'S REPORT

Board President Ann Hartley will share information with the Board.

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**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 21: REPORTS

Reports may be presented by:

- A. Faculty Association President, Sarah Havens
- B. ECC-NEA President, Tom Fitts
- C. Professional Staff President, Karen Klos/Jenny Kuchem
- D. Classified Staff Association Vice President, Kim Aguilar

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**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
June 27, 2018**

AGENDA ITEM 22: PRESIDENT’S REPORT

Projected meeting dates for 2018 are listed below for planning purposes. Meetings will normally begin at 5:30 p.m. Please let me know as soon as possible if you will not be able to attend any of the projected meetings.

2018 Projected Meeting Dates

Alternate Meeting Dates

July 19 (*Thursday noon business meeting*)
August 27
No September Meeting
October 1
November 5
December 3

October 8
November 12
December 10

**EAST CENTRAL COLLEGE
BOARD OF TRUSTEES MEETING
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**AGENDA ITEM 23: EXECUTIVE SESSION – REVISED STATUTES OF MISSOURI
2004, SECTION 610.21 (3) PERSONNEL**

Recommendation: To **enter** into executive session per RSMo 2004, Section 610.21 (3)
Personnel

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**EAST CENTRAL COLLEGE
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AGENDA ITEM 24: ADJOURNMENT

Recommendation: To **adjourn** the June 27, 2018 meeting of the Board of Trustees.

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